

MEETING OF THE



TENNESSEE HIGHER EDUCATION COMMISSION

Fall Quarterly Meeting
18th Floor, Parkway Towers
November 18-19, 2015

AGENDA
TENNESSEE HIGHER EDUCATION COMMISSION
Fall Quarterly Meeting
Commission Boardroom, Parkway Towers
November 19, 2015, 9:00 a.m. CST

Adoption of Agenda

Approval of Minutes, July 24, 2015 Meeting

Chairman's Report

Executive Director's Report

Recognition of Institutional Excellence

Institutes for Advanced Composites Manufacturing Innovation – University of Tennessee

System's Reports

Tennessee Board of Regents

University of Tennessee

I. Action Items

- A. Postsecondary Education Authorization
 - 1. Authorization of New Institutions
 - 2. Approval of New Programs
- B. New Academic Program
 - UT Knoxville, Master of Laws (LL.M.) United States Business Law
- C. 2016-17 Operating State Appropriation Recommendations
- D. 2016-17 Student Fee Recommendations
- E. 2016-17 Capital Projects Recommendations
- F. Audit Committee Appointment

II. Information Items

- A. Office of P-16 Initiatives Status Report
- B. 2015 Articulation & Transfer Report
- C. 2016 Improving Teacher Quality Grant Awards
- D. TN Promise Program Update
- E. Title VI Implementation Plan Update and Compliance Report
- F. Schedule of 2016 Commission Meetings

MINUTES
TENNESSEE HIGHER EDUCATION COMMISSION
Summer Quarterly Meeting
July 23, 2015, 9:00 a.m. CST

The meeting was called to order by Chairman Evan Cope at 9:00 a.m.

Commission Members Present:

Mr. Evan Cope	Mr. Bill Lee
Secretary of State Tre Hargett	Treasurer David Lillard
Ms. Siri Kadire	Mr. Alex Martin
Mr. Jon Kinsey	Ms. Pam Martin
Ms. Pam Koban	Ms. Mintha Roach
Mr. David Kustoff	Mr. Keith Wilson

Commission Members Absent:

Dr. Sara Heyburn	Comptroller Justin Wilson
Mayor A C Wharton	

Opening Remarks

Chairman Evan Cope welcomed all and thanked them for their attendance. He then introduced new THEC members, Ms. Siri Kadire, student representative from the University of Tennessee Health Science Center and Mr. David Kustoff of Germantown, representing the 8th Congressional district and special guest Mr. Dennis Jones, President of the National Center for Higher Education Management Systems (NCHEMS).

Adoption of Agenda

Mr. Cope called for a motion to approve the agenda and noted that items IB, IC, and IG have been placed on the consent agenda and have been thoroughly reviewed and will be acted on in one vote and all others will be acted on accordingly. Secretary Tre Hargett made a motion to approve the agenda as presented. Mr. Jon Kinsey seconded the motion; the motion was duly adopted.

Approval of Minutes, April 23, 2015, Meeting

Chairman Cope then called for a motion to approve the minutes of the April 23, 2015, Commission meeting. Mr. Keith Wilson made a motion to approve the minutes as presented. Mr. David Kustoff seconded the motion; the motion was duly adopted.

Chairman's Report

Chairman Cope commented on the productive worksession yesterday. He then called on Dr. Deaton for comments. Dr. Deaton introduced Mr. James Snyder, the new Tennessee Promise Director of TSAC and then recognized Mr. Mike Krause to provide an update on the TN Promise and Drive to 55 programs.

Mr. Krause reviewed the twelve initiatives only Tennessee was doing: SAILS, College Success Course, Tennessee Promise Summer Bridge Program, LEAP, Tennessee College Advisor, TN Promise, Degree Compass, MOOC's, Veteran Initiatives, TN Reconnect, Reconnect and Complete, and the Community College Reconnect Program and provided a brief overview of each and noted the FAFSA completion growth of 40 percent in Tennessee. Mr. Krause then stated that the Promise program expected 12,000 students this year and currently, there are 14,000 participants.

Executive Director's Report

Dr. Russ Deaton, Interim Executive Director, was recognized. He began by commenting on the productive worksession yesterday and the senior staff retreat held last month to review future projects and next steps for staff. Dr. Deaton then introduced new staff members: Ms. Kelly Overton of the DPSA division and Mr. Kevin Bradley in the Adult Learner division. He then announced that Dr. Kimberly Martin of the lottery division has accepted another position with Armstrong State University in Georgia. He recognized Ms. Leah Louallen to comment on the McWherter reception. Ms. Louallen announced there would be a reception at the Executive Residence in honor of the McWherter Scholars program, a competitive scholarship program with over 1200 applicants, of which 48 were selected. She stated that applicants selected held a 3.99 GPA and scored an average of 34 on the ACT.

Dr. Deaton then recognized Ms. Jessica Gibson to provide an update on the Adult Learner Initiative. Ms. Gibson stated the Success for Tennessee Reconnect, an adult learner initiative, is attributed to the communities where they came together with community leaders to provide information and access to adult programs. She also noted that a grant from the Lumina Foundation to set up services for eight communities and \$1M in recurring state funds for the initiative. Ms. Gibson stated that by March 2016, three sites will be opening and another five sites anticipated by December 2016.

Recognition of Institutional Excellence

Chairman Cope recognized Dr. Karen Bowyer, President of Dyersburg State Community College, to present this report. Dr. Bowyer commented on the Skill Builder program at Dyersburg State Community College and noted the Academic Success Centers, opened in 2012 to enhance the skills necessary to be successful, and 342 students participated. Since its inception, over 1,900 students have participated in the program. Dr. Bowyer noted that success of the program is due to encouraging students to attend by calling and inviting them, having group sessions, and one-on-one tutoring in specific areas.

Systems' Reports

Tennessee Board of Regents

Mr. John Morgan, Chancellor, Tennessee Board of Regents was recognized. Chancellor Morgan began by announcing that Austin Peay State University has again been named as one of the greatest institutions to work for, for the fourth consecutive year, the only public or private institution in Tennessee to receive this rating. He then announced new institutional presidents: Dr. Tracey Hall, Southwest Tennessee Community College, Dr. Flora

Tydings, Chattanooga State Community College, and Dr. Anthony Kinkel, Motlow State Community College. Chancellor Morgan stated that the TCAT Jacksboro director's position was vacant and interviews were underway to fill that position.

Chancellor Morgan then commented on the Tennessee Reconnect Program and a substantial portion of the 11,000 applicants are interested in the LPN and other Nursing programs, Information Technology, and Business Administration Technology. He stated projections for the Tennessee Promise Program are ahead of initial projections and noted that most first-time full-time freshmen are TN Promise recipients.

Chancellor Morgan then noted in the fall, TBR institutions will scale up strategies and move to co-requisite support instead of pre-requisite learning support to identify areas of concern and address them before allowing students to enroll in credit bearing courses to ensure student success, which is expected to increase to 65 percent as opposed to the normal 12 percent. He stated another initiative to accomplish is to phase out undeclared majors and have all students in an area of focus.

University of Tennessee

Dr. Joe DiPietro, President, University of Tennessee System, was recognized. He began his report by commenting on the UT Board of Trustees meeting, specifically noting the tuition increase of three percent, the lowest increase in thirty years and also noted that this year's appropriations was the second best the UT system has seen in ten years. Dr. DiPietro commented on the budget models being put together and reviewed to correct deficiencies anticipated in the next several years in order to keep tuition low and close the gap in appropriations.

Dr. DiPietro then commented on the new independent foundation created to raise \$200 M per year and stated last year, over \$300 M was raised and \$85M in gifts was received. He then commented on the passing of Dr. Ed Bowling, who served as vice chancellor of UTK for 18 years. Dr. DiPietro also commented on the chancellor search underway for UT Martin and vice president search at the Institute of Public Service. In closing, he reviewed enrollment at each institution, UTK has an increase, Chattanooga was around the same as last year, and Martin is struggling to maintain.

Action Items

Election of Officers

Dr. Deaton was recognized to present the nomination recommendations for the 2015-16 officers. Secretary Hargett made a motion to approve the following recommended slate of officers: Mr. Evan Cope, Chair; Mr. Keith Wilson, vice chair; Mr. David Kustoff, vice chair; and Mayor AC Wharton, secretary. Mr. Kinsey seconded the motion; the motion was duly adopted.

Consent Agenda Items

Chairman Cope noted the detailed discussion at the worksession for items I.B, I.C., and I.G, which were placed on the consent agenda and will be approved with one vote. There being

no questions, he then called for a motion to adopt and approve the following consent agenda items:

Approval of New Academic Degree Programs

- East Tennessee State University – Pharmacy Studies, BS
- East Tennessee State University – Global Sport Leadership, EdD
- East Tennessee State University – Post-Doctor of Nursing Practice Graduate Certificates: Family Nurse Practitioner, Adult/Gerontological Nurse Practitioner, Psychiatric Mental Health Nurse Practitioner, and Executive Leadership in Nursing
- UT Chattanooga – Social Work, MSW
- UT Chattanooga -- Interior Design, MID and MSID

Postsecondary Education Authorization

Authorization of New Institutions

Approval of New Programs

2015-16 Proposed Operating Budgets

Mr. Wilson made a motion to approve all items on the consent agenda. Mr. Alex Martin seconded the motion; the motion was duly adopted.

Chairman Cope stated items I.D, I.E. and I.F would be voted on with a single vote, with no objections from Commission members. There being no objections, he recognized Mr. David Wright to present the 2015-2025 Master Plan.

Approval of the 2015-2025 Master Plan for Tennessee Higher Education

Mr. David Wright, Associate Executive Director for Policy and Planning, was recognized to provide the 2015-2025 Master Plan. Mr. Wright reviewed the major accomplishments to date, D55 framework for the work ahead such as adequacy and alignment, focus populations such as adult learners, low income students and academically underprepared students; available tools and strategies including D55 agenda that includes the TN Promise, Reconnect, and LEAP; CCTA addressing articulation and transfer and alignment of financing strategies with policy goals; Outreach which includes P-16, Adult Learners, building capacity in communities and ongoing evaluation for accountability and improvement.

2015-20 Quality Assurance Funding

Ms. Victoria Harpool, Assistant Executive Director for Academic Affairs, was recognized to present the 2015-20 Quality Assurance Funding. Ms. Harpool stated that quality standards for Performance Funding are evaluated every five years to ensure alignment with the public agenda and state high education priorities. She noted that an advisory committee comprised of Commission staff, governing boards and institutional faculty and staff collaborate to revise the standards that are then approved by the Commission.

Ms. Harpool stated the 2015-20 cycle standards reflect current state priorities outlined in the 2015-25 Master Plan and guided by the Drive to 55 and continue to challenge

institutions to promote the highest standards and strive for excellence. She noted the 2015-20 QAF standards reflect the professional judgment of the Advisory Committee, as well as a Scoring Sub-Committee, who worked with THEC staff to develop operational strategies in the evaluation of the standards. Commission staff expresses appreciation to both committees for their contributions to the 2015-20 QAF standards which are student learning and engagement and student access and success, with five defining features which include academic programs, institutional satisfaction study, adult learner success, Tennessee job market graduate placement and student access and success.

2015-20 Outcomes-Based Formula

Chairman Cope then recognized Dr. Deaton to provide the 2015-20 Outcomes-Based Formula. Dr. Deaton summarized the changes in the outcomes-based formula and noted the importance of process where a six month long committee to work through details of the decisions made to build a model. He noted there were several changes from the current model for Community College and University outcomes and weight structure of campus missions to reflect the imperatives of the Drive to 55 and increase the subpopulation premiums and focus population premiums. Secretary Hargett requested the staff bring any further changes to the formula before final approval.

There being no further discussion, Chairman Cope then called for a motion to approve agenda items I.D., I.E. and I.F. Mr. Wilson made a motion to combine items I.D., I.E. and I.F. under a single action item and approve each item for immediate implementation with the authority for staff to adjust and fine-tune the necessary details with the understanding that any substantive changes and final outcomes be brought back before the Commission for review and action as necessary. Mr. Martin seconded the motion; the motion was duly adopted.

University of Tennessee Health Science Center Master Plan Update

Dr. Ken Brown was recognized to introduce Ms. Kris Osterby of Perkins & Will to provide a report on the 2015 UTHSC Campus Master Plan. Ms. Osterby discussed the existing challenges and the new goals and objectives of the Master Plan update to accommodate the anticipated needs of increased student FTE, research facilities and student housing needs. She stated one of the critical concerns was the condition of existing facilities, which range from 50 years old to 100 years old and noted the dilapidated conditions of those facilities which no longer fit the needs of the institution and would be completed in three phases. Chairman Cope called for a motion to approve the University of Tennessee Health Science Center Master Plan Update. Mr. Kinsey made a motion to approve the University of Tennessee Health Science Center Master Plan Update, as presented. Mr. Kustoff seconded the motion; the motion was duly adopted.

Information Items

Tennessee Education Lottery Scholarship Annual Report

Ms. Emily House was recognized to provide a brief overview of the annual TELS report. Ms. House stated this was the state's merit based program and includes four scholarship types: HOPE, Aspire (an income-based scholarship), GAMS (merit-based scholarship), and

Access. She then discussed eligibility and award amounts of each of the scholarships, which differ by institution type and enrollment status and are subject to future changes. Ms. House then noted that most students who receive awards receive the HOPE award and commented on the demographics, race, and family GPI of recipients. She also commented on renewal criteria and noted that around 56 percent renew their scholarship in year two. Ms. House then commented on funds transferred from the Lottery reserve to the Tennessee Promise and noted that funds are disbursed first from TELS prior to Tennessee Promise funds.

Diversity in Teaching Grant Awards, 2015-17

Mr. Herbert Brown was recognized to provide the Diversity in Teaching awards for 2015-2017. He stated that the program is to increase the number of K-12 teachers from underrepresented groups with a commitment to diversity as a tool for instruction. Mr. Brown noted that a total of eight proposals were submitted and the advisory committee recommended four of the eight proposals for funding. The four proposals recommended for funding totaled \$395,884 over a two year period from the following institutions: UT Chattanooga - Each One, Reach One \$99,984; UT Knoxville-Diversity in Teaching Intern Project \$100,000; Freed Hardeman University - Diversity in Teaching Recruiting and Training Initiative \$95,000; and Lee University - STEPS: Systematic Techniques to Equalize Personnel in Schools \$100,000.

Closing Comments

Chairman Cope recognized Mr. Dennis Jones, President, NCHEMS to provide remarks. Mr. Jones commended the staff on the Master Plan, the funding model and the extensive amount of information provided to improve higher education issues. He stated that the community and regional approaches and the way they are addressed are imperative to student success and Tennessee is doing a good job in its approach. He stated the largest remaining uncompleted piece of the Master Plan is the Drive to 55 and the strategy used to afford the aspirations of the initiative and the assurance of quality.

Fall Commission Meeting, November 18-19, 2015

Dr. Deaton stated the next meeting of the Commission will be held November 18-19 in Nashville.

There being no further business, the meeting was adjourned at 11:27 a.m.

Approved:

Evan Cope, Chair

DATE: November 19, 2015

SUBJECT: Temporary Authorization of New Institutions under the Postsecondary Authorization Act

ACTION RECOMMENDED: Temporary Authorization

BACKGROUND INFORMATION: The Commission, under the Postsecondary Authorization Act, has the “power and duty” to act upon applications for authorization to operate an educational institution in the state. For the institutions listed below, applications have been reviewed, site visits have been performed, and staff has determined that all necessary documentation and bonds have been secured. The Committee on Postsecondary Educational Institutions, which is a review and advisory committee to the Commission, met on October 15, 2015 and endorsed staff recommendations for Temporary Authorization of these institutions.

A. HRB Tax Group, Inc. Sparta, TN
177 Mose Drive, Sparta, Tennessee 38583

Corporate Structure: C-Corporation
Accreditation: None
Title IV Funding: No

HRB Tax Group, Inc. is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Sparta, Tennessee.

1. Program: Income Tax Course
Credential Awarded: Certificate of Completion
Length of Program: 60 Contact Hours
3.86 Months

B. Musicians Institute Guitar Craft Academy Nashville, TN
5000 Harding Place, Nashville, Tennessee 37211

Corporate Structure: C-Corporation
Accreditation: National Association of Schools of Music, Commission on Accreditation (NASM)
Title IV Funding: None

Musicians Institute Guitar Craft Academy is seeking approval for two new programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Nashville, Tennessee.

- 1. Program: Guitar Craft**
Credential Awarded: Certificate
Length of Program: 30 Quarter Credit Hours
6 Months

- 2. Program: Guitar Craft Acoustic Guitar Design**
Credential Awarded: Certificate
Length of Program: 45 Quarter Credit Hours
9 Months

C. Nashville Software School, Inc. Nashville, TN
283 Plus Park Boulevard, Nashville, Tennessee 37217

Corporate Structure: Not-for-Profit Corporation
Accreditation: None
Title IV Funding: No

Nashville Software School, Inc. is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Nashville, Tennessee.

- 1. Program: Web Developer Bootcamp**
Credential Awarded: Certificate
Length of Program: 812 Contact Hours
6 Months

D. St. Jude Graduate School of Biomedical Sciences, LLC Memphis, TN
262 Danny Thomas Place, MS 1500, Memphis, Tennessee 38105

Corporate Structure: Limited Liability Company (LLC)
Accreditation: None
Title IV Funding: No

St. Jude Graduate School of Biomedical Sciences, LLC is seeking approval for two new programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Memphis, Tennessee.

1. **Program:** Biomedical Sciences
Credential Awarded: Doctorate of Biomedical Sciences
Length of Program: 106 Semester Credit Hours
60 Months
2. **Program:** Biomedical Sciences
Credential Awarded: Master of Biomedical Sciences
Length of Program: 61 Semester Credit Hours
30 Months

E. The Iron Yard **Nashville, TN**
613 Ewing Street, Nashville, Tennessee 37203

Corporate Structure: Limited Liability Company (LLC)
Accreditation: None
Title IV Funding: No

The Iron Yard is seeking approval for three new programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Nashville, Tennessee.

1. **Program:** Back End Engineering
Credential Awarded: Certificate
Length of Program: 444 Contact Hours
12 Weeks
2. **Program:** Front End Engineering
Credential Awarded: Certificate
Length of Program: 444 Contact Hours
12 Weeks
3. **Program:** Mobile Engineering
Credential Awarded: Certificate
Length of Program: 444 Contact Hours
12 Weeks

F. University of New Haven **Nashville, TN**
Blackbird Studios, Inc., 2806 Azalea Place, Nashville, Tennessee 37204

Corporate Structure: Not-for-Profit Corporation
Accreditation: New England Association of Schools and Colleges,
Commission on Institutions of Higher Education

Title IV Funding: (NEASC)
Yes

University of New Haven is seeking approval for three new programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Nashville, Tennessee.

1. **Program:** Study Away Experience - Music
Credential Awarded: Academic Credit
Length of Program: 15 Semester Credit Hours
4 Months
2. **Program:** Study Away Experience - Music and Sound Recording
Credential Awarded: Academic Credit
Length of Program: 15 Semester Credit Hours
4 Months
3. **Program:** Study Away Experience - Music Industry
Credential Awarded: Academic Credit
Length of Program: 15 Semester Credit Hours
4 Months

G. Wyoming Technical Institute Blairsville, PA
500 Innovation Drive, Blairsville, Pennsylvania 15717

Corporate Structure: Not-for-Profit Corporation
Accreditation: Accrediting Commission of Career Schools and Colleges (ACCSC)
Title IV Funding: Yes

Change of Ownership:

Wyoming Technical Institute was purchased by Zenith Education Group Inc. on November 19, 2014. The institution is a not-for-profit corporation and has been authorized by THEC since November 14, 2002.

Wyoming Technical Institute is seeking approval to revise eighteen programs. The programs will be offered in a residential format. The institution is recruitment only and all instruction will be provided by faculty from their authorized site in Blairsville, Pennsylvania.

1. **Program:** Automotive Technology and Management (Revised)
Credential Awarded: Associate of Specialized Technology
Length of Program: 65 Semester Credit Hours
9 Months

2. **Program:** Collision/Refinishing Technology & Management (Revised)
Credential Awarded: Associate of Specialized Technology
Length of Program: 70 Semester Credit Hours
9 Months
3. **Program:** Diesel Technology and Management (Revised)
Credential Awarded: Associate of Specialized Technology
Length of Program: 65 Semester Credit Hours
9 Months
4. **Program:** Auto/Diesel Vehicle Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months
5. **Program:** Automotive Technology with High Performance Power Trains (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months
6. **Program:** Automotive Technology with Light Duty Diesel (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months
7. **Program:** Automotive Technology with Trim & Upholstery Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months
8. **Program:** Collision/Refinishing & Upholstery Technology (Revised)
Credential Awarded: Diploma
Length of Program: 65 Semester Credit Hours
9 Months
9. **Program:** Diesel Advanced Technology for Mack Trucks and Volvo Trucks (Revised)
Credential Awarded: Diploma

- Length of Program: 60 Semester Credit Hours
9 Months**
- 10. Program: Diesel Technology with High Performance Power Trains (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months**
- 11. Program: Diesel Technology with Light Duty Diesel (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months**
- 12. Program: Diesel/Auto Vehicle Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months**
- 13. Program: Motorsports Chassis Fabrication with Automotive Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months**
- 14. Program: Motorsports Chassis Fabrication with Collision/Refinishing Technology (Revised)
Credential Awarded: Diploma
Length of Program: 65 Semester Credit Hours
9 Months**
- 15. Program: Motorsports Chassis Fabrication with Diesel Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months**
- 16. Program: Street Rod & Custom Fabrication with Automotive Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months**
- 17. Program: Street Rod & Custom Fabrication with**

Credential Awarded: Collision/Refinishing Technology (Revised)
Diploma
Length of Program: 65 Semester Credit Hours
9 Months

18. **Program:** Street Rod and Custom Fabrication with Diesel
Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months

H. **Wyoming Technical Institute** Laramie, WY
4373 North 3rd Street, Laramie, Wyoming 82072

Corporate Structure: Not-for-Profit Corporation
Accreditation: Accrediting Commission of Career Schools and Colleges
(ACCSC)
Title IV Funding: Yes

Change of Ownership:

Wyoming Technical Institute was purchased by Zenith Education Group Inc. on November 19, 2014. The institution is a not-for-profit corporation and has been authorized by THEC since November 14, 2002.

Wyoming Technical Institute is seeking approval to revise nineteen programs. The programs will be offered in a residential format. The institution is recruitment only and all instruction will be provided by faculty from their authorized site in Laramie, Wyoming.

1. **Program:** Automotive Technology and Management (Revised)
Credential Awarded: Associate in Specialized Technology
Length of Program: 65 Semester Credit Hours
9 Months

2. **Program:** Collision/Refinishing Technology & Management
(Revised)
Credential Awarded: Associate in Specialized Technology
Length of Program: 70 Semester Credit Hours
9 Months

3. **Program:** Diesel Technology and Management (Revised)
Credential Awarded: Associate in Specialized Technology
Length of Program: 65 Semester Credit Hours

- 9 Months**
4. **Program:** Advanced Diesel Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months
 5. **Program:** Auto/Diesel Vehicle Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months
 6. **Program:** Automotive Technology with High Performance
Power Trains (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months
 7. **Program:** Automotive Technology with Off-Road Power
(Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months
 8. **Program:** Automotive Technology with Trim and Upholstery
Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months
 9. **Program:** Collision/Refinishing and Upholstery Technology
(Revised)
Credential Awarded: Diploma
Length of Program: 65 Semester Credit Hours
9 Months
 10. **Program:** Collision/Refinishing Technology with Off-Road
Power (Revised)
Credential Awarded: Diploma
Length of Program: 65 Semester Credit Hours
9 Months
 11. **Program:** Diesel Technology with High Performance Power
Trains (Revised)

- | | | |
|------------|----------------------------|--|
| | Credential Awarded: | Diploma |
| | Length of Program: | 60 Semester Credit Hours
9 Months |
| 12. | Program: | Diesel Technology with Off-Road Power (Revised) |
| | Credential Awarded: | Diploma |
| | Length of Program: | 60 Semester Credit Hours
9 Months |
| 13. | Program: | Diesel/Auto Vehicle Technology (Revised) |
| | Credential Awarded: | Diploma |
| | Length of Program: | 60 Semester Credit Hours
9 Months |
| 14. | Program: | Motorsports Chassis Fabrication with Automotive Technology (Revised) |
| | Credential Awarded: | Diploma |
| | Length of Program: | 60 Semester Credit Hours
9 Months |
| 15. | Program: | Motorsports Chassis Fabrication with Collision/Refinishing Technology (Revised) |
| | Credential Awarded: | Diploma |
| | Length of Program: | 65 Semester Credit Hours
9 Months |
| 16. | Program: | Motorsports Chassis Fabrication with Diesel Technology (Revised) |
| | Credential Awarded: | Diploma |
| | Length of Program: | 60 Semester Credit Hours
9 Months |
| 17. | Program: | Street Rod and Custom Fabrication with Automotive Technology (Revised) |
| | Credential Awarded: | Diploma |
| | Length of Program: | 60 Semester Credit Hours
9 Months |
| 18. | Program: | Street Rod and Custom Fabrication with Collision/Refinishing Technology (Revised) |
| | Credential Awarded: | Diploma |
| | Length of Program: | 65 Semester Credit Hours
9 Months |

19. Program: Street Rod and Custom Fabrication with Diesel Technology (Revised)
Credential Awarded: Diploma
Length of Program: 60 Semester Credit Hours
9 Months

I. WyoTech Ormond Beach, FL
470 Destination Daytona Lane, Ormond Beach, Florida 32174

Corporate Structure: Not-for-Profit Corporation
Accreditation: Accrediting Commission of Career Schools and Colleges (ACCSC)
Title IV Funding: Yes

Change of Ownership:

WyoTech was purchased by Zenith Education Group Inc. on November 19, 2014. The institution is a not-for-profit corporation and has been authorized by THEC since January 25, 2007.

WyoTech is seeking approval to revise eight programs. The programs will be offered in a residential format. The institution is recruitment only and all instruction will be provided by faculty from their authorized site in Ormond Beach, Florida.

1. Program: Marine Technology and Management (Revised)
Credential Awarded: Associate of Specialized Technology
Length of Program: 109 Quarter Credit Hours
9 Months

2. Program: Motorcycle Technology and Management (Revised)
Credential Awarded: Associate of Specialized Technology
Length of Program: 109 Quarter Credit Hours
9 Months

3. Program: Marine Specialist with Advanced Marine (Revised)
Credential Awarded: Diploma
Length of Program: 108 Quarter Credit Hours
9 Months

4. Program: Marine Specialist with Off-Road Power (Revised)
Credential Awarded: Diploma
Length of Program: 108 Quarter Credit Hours
9 Months

5. **Program:** Motorcycle Technology with Asian (Revised)
Credential Awarded: Diploma
Length of Program: 108 Quarter Credit Hours
9 Months
6. **Program:** Motorcycle Technology with European (Revised)
Credential Awarded: Diploma
Length of Program: 108 Quarter Credit Hours
9 Months
7. **Program:** Motorcycle Technology with Harley Davidson
(Revised)
Credential Awarded: Diploma
Length of Program: 108 Quarter Credit Hours
9 Months
8. **Program:** Motorcycle Technology with Off-Road Power
(Revised)
Credential Awarded: Diploma
Length of Program: 108 Quarter Credit Hours
9 Months

DATE: November 20, 2015

SUBJECT: Approval of New Programs under the Postsecondary Authorization Act

ACTION RECOMMENDED: Approval

BACKGROUND INFORMATION: The Commission, under the Postsecondary Authorization Act, has the “power and duty” to act upon applications for authorization of educational programs in the state. Applications have been reviewed and staff has determined that all necessary documentation for the institutions submitting new program applications is in accordance with the Act and postsecondary rules. The Committee on Postsecondary Educational Institutions, which is a review and advisory committee to the Commission, met on October 15, 2015 and affirmed staff recommendations for approval.

A. Belhaven University **Memphis, TN**
 1790 Kirby Parkway, Suite 100, Memphis, Tennessee 38138

Corporate Structure:	Not-for-Profit Corporation
Authorization Date:	November 3, 1995
Accreditation:	Southern Association of Colleges and Schools, Commission on Colleges (SACSCOC)
Title IV Funding:	Yes
Highest Credential Offered:	Master Degree

Belhaven University is seeking approval to revise one program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Memphis, Tennessee.

1. Program:	General Studies (Revised)
Credential Awarded:	Associate of Arts
Length of Program:	62 Semester Credit Hours
	27 Months Full-Time
	54 Months Part-Time

B. CCS Truck Driving School, Inc. **Fall Branch, TN**
 134 Joe R. McCrary Road, Fall Branch, Tennessee 37656

Corporate Structure: S-Corporation
Authorization Date: November 10, 2011
Accreditation: None
Title IV Funding: No
Highest Credential Offered: Certificate

CCS Truck Driving School, Inc. is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Fall Branch, Tennessee.

- 1. Program:** **Class A Commercial Driver License Skills Training**
Credential Awarded: **Certificate of Completion**
Length of Program: **162 Contact Hours**
3.6 Weeks

License/Certification Required for Employment: **CDL-A**
Licensing Board/Agency: **Tennessee Department of Safety and Homeland Security**

- C. Chattanooga College Medical, Dental, and Technical Careers** **Chattanooga, TN**
5600 Brainerd Road, Suite E-3, Chattanooga, Tennessee 37411

Corporate Structure: S-Corporation
Authorization Date: November 19, 2009
Accreditation: Accrediting Commission of Career Schools and Colleges (ACCSC)
Title IV Funding: Yes
Highest Credential Offered: Associate Degree

Chattanooga College Medical, Dental, and Technical Careers is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Chattanooga, Tennessee.

- 1. Program:** **Cyber Security**
Credential Awarded: **Associate of Applied Science**
Length of Program: **96 Quarter Credit Hours**
24 Months

D. Crown College of the Bible

Powell, TN

2307 West Beaver Creek Drive, Powell, Tennessee 37849

Corporate Structure: Not-for-Profit Corporation
Authorization Date: July 26, 2007
Accreditation: Transnational Association of Christian Colleges and Schools, Accreditation Commission (TRACS)
Title IV Funding: No
Highest Credential Offered: Master Degree

Crown College of the Bible is seeking approval for one new program. The program will be offered in a blended format. Instruction will be provided by the faculty from their authorized site in Powell, Tennessee, as well as on-line.

- 1. Program:** Christian Education
- Credential Awarded:** Master of Christian Education
- Length of Program:** 30 Semester Credit Hours
8 Months Full-Time
24 Months Part-Time

E. Crown School of Trades and Technology

Powell, TN

2307 West Beaver Creek Drive, Powell, Tennessee 37849

Corporate Structure: Not-for-Profit Corporation
Authorization Date: January 29, 2015
Accreditation: None
Title IV Funding: No
Highest Credential Offered: Certificate

Crown School of Trades and Technology is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Powell, Tennessee.

- 1. Program:** Heating and Air Conditioning Technician Training (HVAC-R)
- Credential Awarded:** Diploma
- Length of Program:** 1710 Contact Hours
24 Months

F. Daymar College
2691 Trenton Road, Clarksville, Tennessee 37040

Clarksville, TN

Corporate Structure: S-Corporation
Authorization Date: January 1, 1987
Accreditation: Accrediting Council for Independent Colleges and Schools (ACICS)
Title IV Funding: Yes
Highest Credential Offered: Bachelor Degree

Daymar College is seeking approval for three new programs. The programs will be offered in a blended format. Instruction will be provided by the faculty from their authorized site in Clarksville, Tennessee, as well as on-line.

- 1. Program: Psychology/Business Management**
Credential Awarded: Bachelor of Applied Arts
Length of Program: 180 Quarter Credit Hours
48 Months

- 2. Program: Psychology/Criminal Justice**
Credential Awarded: Bachelor of Applied Arts
Length of Program: 180 Quarter Credit Hours
48 Months

- 3. Program: Psychology/Healthcare**
Credential Awarded: Bachelor of Applied Arts
Length of Program: 180 Quarter Credit Hours
48 Months

G. Daymar College
415 Golden Bear Court, Murfreesboro, Tennessee 37128

Murfreesboro, TN

Corporate Structure: S-Corporation
Authorization Date: July 17, 2003
Accreditation: Accrediting Council for Independent Colleges and Schools (ACICS)
Title IV Funding: Yes
Highest Credential Offered: Bachelor Degree

Daymar College is seeking approval for four new programs. Three programs will be offered in a blended format and one will be offered in a residential format. Instruction will be

provided by the faculty from their authorized site in Murfreesboro, Tennessee, as well as on-line.

1. **Program:** Psychology/Business Management
Credential Awarded: Bachelor of Applied Arts
Length of Program: 180 Quarter Credit Hours
48 Months
2. **Program:** Psychology/Criminal Justice
Credential Awarded: Bachelor of Applied Arts
Length of Program: 180 Quarter Credit Hours
48 Months
3. **Program:** Psychology/Healthcare
Credential Awarded: Bachelor of Applied Arts
Length of Program: 180 Quarter Credit Hours
48 Months
4. **Program:** Commercial Driver's License (CDL)/Passenger
Endorsement
Credential Awarded: Certificate of Completion
Length of Program: 200 Contact Hours
5 Weeks

License/Certification Required for Employment: CDL-A or CDL-B
Licensing Board/Agency: Tennessee Department of Safety and Homeland Security

H. Daymar College Nashville, TN
340 Plus Park Boulevard, Nashville, Tennessee 37217

Corporate Structure: S-Corporation
Authorization Date: January 1, 1974
Accreditation: Accrediting Council for Independent Colleges and Schools (ACICS)
Title IV Funding: Yes
Highest Credential Offered: Bachelor Degree

Daymar College is seeking approval for six new programs. Four programs will be offered in a blended format and two programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Nashville, Tennessee, as well as on-line.

1. **Program:** **Health Care Management**
Credential Awarded: **Master of Applied Science**
Length of Program: **48 Quarter Credit Hours**
 12 Months Full-Time
 18 Months Part-Time

2. **Program:** **Psychology/Business Management**
Credential Awarded: **Bachelor of Applied Arts**
Length of Program: **180 Quarter Credit Hours**
 48 Months

3. **Program:** **Psychology/Criminal Justice**
Credential Awarded: **Bachelor of Applied Arts**
Length of Program: **180 Quarter Credit Hours**
 48 Months

4. **Program:** **Psychology/Healthcare**
Credential Awarded: **Bachelor of Applied Arts**
Length of Program: **180 Quarter Credit Hours**
 48 Months

5. **Program:** **Commercial Driver's License (CDL) Training**
Credential Awarded: **Certificate of Completion**
Length of Program: **160 Contact Hours**
 4 Weeks

License/Certification Required for Employment: CDL-A
Licensing Board/Agency: Tennessee Department of Safety and Homeland Security

6. **Program:** **Commercial Driver's License (CDL)/Passenger**
 Endorsement
Credential Awarded: **Certificate of Completion**
Length of Program: **200 Contact Hours**
 5 Weeks

License/Certification Required for Employment: CDL-A or CDL-B
Licensing Board/Agency: Tennessee Department of Safety and Homeland Security

I. DeVry University
1200 East Diehl Road, Naperville, Illinois 60563

Naperville, IL

Corporate Structure: C-Corporation
Authorization Date: January 31, 2002
Accreditation: The Higher Learning Commission (HLC)
Title IV Funding: Yes
Highest Credential Offered: Master Degree

DeVry University is seeking approval for three new programs. The programs will be offered in a distance learning format. This institution is recruitment only and all instruction is provided on-line.

- 1. Program:** **Computer Information Systems/Cyber Security Administration**
Credential Awarded: **Bachelor of Science**
Length of Program: **124 Semester Credit Hours**
32 Months Full-Time
64 Months Part-Time
- 2. Program:** **Computer Information Systems/Cyber Security Programming**
Credential Awarded: **Bachelor of Science**
Length of Program: **124 Semester Credit Hours**
32 Months Full-Time
64 Months Part-Time
- 3. Program:** **Medical Billing and Coding**
Credential Awarded: **Undergraduate Certificate**
Length of Program: **34 Semester Credit Hours**
8 Months Full-Time
15 Months Part-Time

J. DeVry University
3343 Perimeter Hill Drive, Suite 200, Nashville, Tennessee 37211

Nashville, TN

Corporate Structure: C-Corporation
Authorization Date: April 26, 2007
Accreditation: The Higher Learning Commission (HLC)
Title IV Funding: Yes
Highest Credential Offered: Master Degree

DeVry University is seeking approval for three new programs. The programs will be offered in a blended format. Instruction will be provided by the faculty from their authorized site in Nashville, Tennessee, as well as on-line.

1. **Program:** **Computer Information Systems/Cyber Security Administration**
Credential Awarded: **Bachelor of Science**
Length of Program: **124 Semester Credit Hours**
32 Months Full-Time
64 Months Part-Time

2. **Program:** **Computer Information Systems/Cyber Security Programming**
Credential Awarded: **Bachelor of Science**
Length of Program: **124 Semester Credit Hours**
32 Months Full-Time
64 Months Part-Time

3. **Program:** **Medical Billing and Coding**
Credential Awarded: **Undergraduate Certificate**
Length of Program: **34 Semester Credit Hours**
8 Months Full-Time
15 Months Part-Time

K. EduMed Partners, LLC **Goodlettsville, TN**
907 Rivergate Parkway, Suite D2, Goodlettsville, Tennessee 37072

Corporate Structure: Limited Liability Company (LLC)
Authorization Date: January 26, 2012
Accreditation: Council on Occupational Education (COE)
Title IV Funding: No
Highest Credential Offered: Certificate

EduMed Partners, LLC is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Goodlettsville, Tennessee.

1. **Program:** **Phlebotomy Technician 60 Hour Program**
Credential Awarded: **Certificate of Completion**
Length of Program: **60 Contact Hours**

4 Weeks

L. Genesis Career College **Cookeville, TN**
880-A East 10th Street, Cookeville, Tennessee 38501

Corporate Structure: S-Corporation
Authorization Date: April 24, 2014
Accreditation: Council on Occupational Education (COE)
Title IV Funding: Yes
Highest Credential Offered: Diploma

Genesis Career College is seeking approval for four new programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Cookeville, Tennessee.

1. Program: Cosmetology
Credential Awarded: Diploma
Length of Program: 1500 Contact Hours
12 Months Full-Time
18 Months Part-Time

License/Certification Required for Employment: Cosmetologist
Licensing Board/Agency: Board of Cosmetology and Barber Examiners

2. Program: Esthetician
Credential Awarded: Diploma
Length of Program: 900 Contact Hours
9 Months Full-Time
13.5 Months Part-Time

License/Certification Required for Employment: Esthetician
Licensing Board/Agency: Board of Cosmetology and Barber Examiners

3. Program: Instructor Training
Credential Awarded: Diploma
Length of Program: 300 Contact Hours
3 Months Full-Time
6 Months Part-Time

License/Certification Required for Employment: Cosmetology Instructor
Licensing Board/Agency: Board of Cosmetology and Barber Examiners

- 4. Program: Nail Technology**
Credential Awarded: Diploma
Length of Program: 600 Contact Hours
6 Months Full-Time
9 Months Part-Time

License/Certification Required for Employment: Nail Technician
Licensing Board/Agency: Board of Cosmetology and Barber Examiners

M. Genesis Career College **Lebanon, TN**
1505 Noah Court, Lebanon, Tennessee 37087

Corporate Structure: S-Corporation
Authorization Date: April 24, 2014
Accreditation: Council on Occupational Education (COE)
Title IV Funding: Yes
Highest Credential Offered: Diploma

Genesis Career College is seeking approval for three new programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Lebanon, Tennessee.

- 1. Program: Cosmetology**
Credential Awarded: Diploma
Length of Program: 1500 Contact Hours
12 Months Full-Time
18 Months Part-Time

License/Certification Required for Employment: Cosmetologist
Licensing Board/Agency: Board of Cosmetology and Barber Examiners

- 2. Program: Instructor Training**
Credential Awarded: Diploma
Length of Program: 300 Contact Hours
3 Months Full-Time

6 Months Part-Time

License/Certification Required for Employment: Cosmetology Instructor
Licensing Board/Agency: Board of Cosmetology and Barber Examiners

- 3. Program: Nail Technology**
- Credential Awarded: Diploma**
- Length of Program: 600 Contact Hours**
- 6 Months Full-Time**
- 9 Months Part-Time**

License/Certification Required for Employment: Nail Technician
Licensing Board/Agency: Board of Cosmetology and Barber Examiners

- N. Genesis Career College: Nashville Airport Campus Nashville, TN**
30 Rachel Drive, Nashville, Tennessee 37214

Corporate Structure: S-Corporation
Authorization Date: April 18, 1997
Accreditation: Council on Occupational Education (COE)
Title IV Funding: Yes
Highest Credential Offered: Diploma

Genesis Career College: Nashville Airport Campus is seeking approval for five new programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Nashville, Tennessee.

- 1. Program: Cosmetology**
- Credential Awarded: Diploma**
- Length of Program: 1500 Contact Hours**
- 12 Months Full-Time**
- 18 Months Part-Time**

License/Certification Required for Employment: Cosmetologist
Licensing Board/Agency: Board of Cosmetology and Barber Examiners

- 2. Program: Esthetician**
- Credential Awarded: Diploma**

**Length of Program: 900 Contact Hours
9 Months Full-Time
13.5 Months Part-Time**

**License/Certification Required for Employment: Esthetician
Licensing Board/Agency: Board of Cosmetology and Barber Examiners**

**3. Program: Instructor Training
Credential Awarded: Diploma
Length of Program: 300 Contact Hours
3 Months Full-Time
6 Months Part-Time**

**License/Certification Required for Employment: Cosmetology Instructor
Licensing Board/Agency: Board of Cosmetology and Barber Examiners**

**4. Program: Master Barber
Credential Awarded: Diploma
Length of Program: 1500 Contact Hours
12 Months Full-Time
18 Months Part-Time**

**License/Certification Required for Employment: Master Barber
Licensing Board/Agency: Board of Cosmetology and Barber Examiners**

**5. Program: Nail Technology
Credential Awarded: Diploma
Length of Program: 600 Contact Hours
6 Months Full-Time
9 Months Part-Time**

**License/Certification Required for Employment: Nail Technician
Licensing Board/Agency: Board of Cosmetology and Barber Examiners**

**O. Health - Tech Institute of Memphis
571 Vance Avenue, Memphis, Tennessee 38126**

Memphis, TN

Corporate Structure: Limited Liability Company (LLC)
Authorization Date: July 11, 2002
Accreditation: None
Title IV Funding: No
Highest Credential Offered: Diploma

Health - Tech Institute of Memphis is seeking approval for one new program. The program will be offered in a blended format. Instruction will be provided by the faculty from their authorized site in Memphis, Tennessee, as well as on-line.

1. Program: Core Curriculum Craft Assessment
Credential Awarded: Certificate of Completion
Length of Program: 300 Contact Hours
15 Weeks

P. Kaplan College Nashville, TN
750 Envious Lane, Nashville, Tennessee 37217

Corporate Structure: C-Corporation
Authorization Date: September 16, 1981
Accreditation: Accrediting Council for Independent Colleges and Schools (ACICS)
Title IV Funding: Yes
Highest Credential Offered: Associate Degree

Kaplan College is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Nashville, Tennessee.

1. Program: Medical Assistant
Credential Awarded: Associate of Applied Science
Length of Program: 109.5 Quarter Credit Hours
18 Months

Q. National College Bartlett, TN
5760 Stage Road, Bartlett, Tennessee 38134

Corporate Structure: S-Corporation
Authorization Date: November 16, 2006

Accreditation: Accrediting Council for Independent Colleges and Schools (ACICS)
Title IV Funding: Yes
Highest Credential Offered: Associate Degree

National College is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Bartlett, Tennessee.

- 1. Program:** **Phlebotomy and ECG Technician**
Credential Awarded: **Diploma**
Length of Program: **36 Quarter Credit Hours**
7 Months Full-Time
14 Months Part-Time

R. National College **Bristol, TN**
1328 Highway 11 West, Bristol, Tennessee 37620

Corporate Structure: S-Corporation
Authorization Date: January 27, 2000
Accreditation: Accrediting Council for Independent Colleges and Schools (ACICS)
Title IV Funding: Yes
Highest Credential Offered: Bachelor Degree

National College is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Bristol, Tennessee.

- 1. Program:** **Phlebotomy and ECG Technician**
Credential Awarded: **Diploma**
Length of Program: **36 Quarter Credit Hours**
7 Months Full-Time
14 Months Part-Time

S. National College **Madison, TN**
900 Madison Square, Madison, Tennessee 37115

Corporate Structure: S-Corporation
Authorization Date: July 27, 2006

Accreditation: Accrediting Council for Independent Colleges and Schools (ACICS)
Title IV Funding: Yes
Highest Credential Offered: Associate Degree

National College is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Madison, Tennessee.

1. Program: **Phlebotomy and ECG Technician**
Credential Awarded: **Diploma**
Length of Program: **36 Quarter Credit Hours**
7 Months Full-Time
14 Months Part-Time

T. National College **Nashville, TN**
1638 Bell Road, Nashville, Tennessee 37211

Corporate Structure: S-Corporation
Authorization Date: July 16, 1991
Accreditation: Accrediting Council for Independent Colleges and Schools (ACICS)
Title IV Funding: Yes
Highest Credential Offered: Associate Degree

National College is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Nashville, Tennessee.

1. Program: **Phlebotomy and ECG Technician**
Credential Awarded: **Diploma**
Length of Program: **36 Quarter Credit Hours**
7 Months Full-Time
14 Months Part-Time

U. Richmond Graduate University **Chattanooga, TN**
1815 McCallie Avenue, Chattanooga, Tennessee 37404

Corporate Structure: Not-for-Profit Corporation
Authorization Date: July 31, 1998

Accreditation: Southern Association of Colleges and Schools,
Commission on Colleges (SACSCOC)
Title IV Funding: Yes
Highest Credential Offered: Master Degree

Richmont Graduate University is seeking approval for one new program. The program will be offered in a blended format. Instruction will be provided by the faculty from their authorized site in Chattanooga, Tennessee, as well as on-line.

1. **Program:** **Spiritual Formation and Direction**
Credential Awarded: **Master of Arts**
Length of Program: **40 Semester Credit Hours**
18 Months Full-Time
24 Months Part-Time

W. South College **Knoxville, TN**
3904 Lonas Drive, Knoxville, Tennessee 37909

Corporate Structure: Limited Liability Company (LLC)
Authorization Date: July 27, 2006
Accreditation: Southern Association of Colleges and Schools,
Commission on Colleges (SACSCOC)
Title IV Funding: Yes
Highest Credential Offered: Master Degree

South College is seeking approval for twenty new programs. Fourteen programs will be offered in a blended format and six programs will be offered in a distance learning format. Instruction will be provided by the faculty from their authorized site in Knoxville, Tennessee, as well as on-line.

1. **Program:** **Criminal Justice Concentration in Forensic
Computer Investigation**
Credential Awarded: **Master of Science**
Length of Program: **48 Quarter Credit Hours**
12 Months Full-Time
18 Months Part-Time

2. **Program:** **Criminal Justice Concentration in Public
Administration**
Credential Awarded: **Master of Science**
Length of Program: **48 Quarter Credit Hours**

- 12 Months Full-Time**
18 Months Part-Time
3. **Program:** Criminal Justice Concentration in Forensic Computer Investigation
Credential Awarded: Certificate (Post-Baccalaureate)
Length of Program: 24 Quarter Credit Hours
6 Months Full-Time
12 Months Part-Time
 4. **Program:** Public Administration for Criminal Justice Professionals
Credential Awarded: Graduate Certificate
Length of Program: 24 Quarter Credit Hours
6 Months Full-Time
12 Months Part-Time
 5. **Program:** Business Administration Concentration in Logistics and Supply Chain Management
Credential Awarded: Bachelor of Business Administration
Length of Program: 192 Quarter Credit Hours
42 Months Full-Time
63 Months Part-Time
 6. **Program:** Health Science Concentration in Adult Echocardiography
Credential Awarded: Bachelor of Science
Length of Program: 191 Quarter Credit Hours
42 Months Full-Time
61 Months Part-Time
 7. **Program:** Health Science Concentration in Computed Tomography
Credential Awarded: Bachelor of Science
Length of Program: 194 Quarter Credit Hours
42 Months Full-Time
61 Months Part-Time
 8. **Program:** Health Science Concentration in Magnetic Resonance Imaging
Credential Awarded: Bachelor of Science
Length of Program: 194 Quarter Credit Hours

- 42 Months Full-Time
61 Months Part-Time**
9. **Program:** Health Science Concentration in Vascular Sonography
Credential Awarded: Bachelor of Science
Length of Program: 191 Quarter Credit Hours
42 Months Full-Time
61 Months Part-Time
 10. **Program:** Forensic Computer Investigation
Credential Awarded: Associate of Science
Length of Program: 92 Quarter Credit Hours
21 Months Full-Time
30 Months Part-Time
 11. **Program:** Investigation and Security
Credential Awarded: Associate of Science
Length of Program: 92 Quarter Credit Hours
24 Months Full-Time
36 Months Part-Time
 12. **Program:** Medical Imaging Informatics
Credential Awarded: Associate of Science
Length of Program: 100 Quarter Credit Hours
24 Months Full-Time
36 Months Part-Time
 13. **Program:** Occupational Therapy
Credential Awarded: Associate of Science
Length of Program: 122 Quarter Credit Hours
24 Months
 14. **Program:** Adult Echocardiography
Credential Awarded: Certificate
Length of Program: 26 Quarter Credit Hours
6 Months
 15. **Program:** Computer Tomography
Credential Awarded: Certificate
Length of Program: 24 Quarter Credit Hours
6 Months

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| 16. | Program:
Credential Awarded:
Length of Program: | Criminal Justice
Certificate
24 Quarter Credit Hours
6 Months Full-Time
12 Weeks Part-Time |
| 17. | Program:
Credential Awarded:
Length of Program: | Forensic Computer Investigation
Certificate
52 Quarter Credit Hours
12 Months Full-Time
18 Months Part-Time |
| 18. | Program:
Credential Awarded:
Length of Program: | Investigation and Security
Certificate
52 Quarter Credit Hours
12 Months Full-Time
18 Months Part-Time |
| 19. | Program:
Credential Awarded:
Length of Program: | Magnetic Resonance Imaging
Certificate
24 Quarter Credit Hours
6 Months |
| 20. | Program:
Credential Awarded:
Length of Program: | Vascular Sonography
Certificate
26 Quarter Credit Hours
6 Months |

V. South College **Knoxville, TN**
 400 Goody's Lane, Knoxville, Tennessee 37922

Corporate Structure:	Limited Liability Company (LLC)
Authorization Date:	January 1, 1980
Accreditation:	Southern Association of Colleges and Schools, Commission on Colleges (SACSCOC)
Title IV Funding:	Yes
Highest Credential Offered:	Doctorate Degree

South College is seeking approval for two new programs. The programs will be offered in a blended format. Instruction will be provided by the faculty from their authorized site in

Knoxville, Tennessee, as well as on-line.

1. **Program:** Higher Education Administration
Credential Awarded: Master of Science
Length of Program: 48 Quarter Credit Hours
12 Months Full-Time
18 Months Part-Time
2. **Program:** STEM Integration
Credential Awarded: Mater of Education
Length of Program: 48 Quarter Credit Hours
12 Months

- X. **University of Northwestern Ohio** **Lima, OH**
1441 North Cable Road, Lima, Ohio 45805

Corporate Structure: Not-for-Profit Corporation
Authorization Date: April 24, 2008
Accreditation: The Higher Learning Commission (HLC)
Title IV Funding: Yes
Highest Credential Offered: Bachelor Degree

University of Northwestern Ohio is seeking approval for one new program. The program will be offered in a residential format. The institution is recruitment only and all instruction will be provided by faculty from their authorized site in Lima, Ohio.

1. **Program:** Robotics and Automation Technology
Credential Awarded: Associate of Applied Science
Length of Program: 90 Quarter Credit Hours
21 Months

- Y. **University of Phoenix** **Chattanooga, TN**
1208 Pointe Centre Drive, Chattanooga, Tennessee 37421

Corporate Structure: C-Corporation
Authorization Date: July 27, 2006
Accreditation: The Higher Learning Commission (HLC)
Title IV Funding: Yes
Highest Credential Offered: Master Degree

University of Phoenix is seeking approval to revise twenty-two programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Chattanooga, Tennessee.

- 1. Program: Psychology (Revised)**
Credential Awarded: Master of Science
Length of Program: 42 Semester Credit Hours
22 Months
- 2. Program: Addictions (Revised)**
Credential Awarded: Certificate
Length of Program: 24 Semester Credit Hours
10 Months
- 3. Program: Advanced Business Analytics (Revised)**
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
- 4. Program: Advanced Cloud Computing (Revised)**
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
- 5. Program: Advanced Information Systems Security (Revised)**
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
- 6. Program: Advanced Multimedia Development (Revised)**
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
- 7. Program: Advanced Networking (Revised)**
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
- 8. Program: Advanced Software Developer (Revised)**
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours

- 8 Months**
9. **Program:** **Call Center Professional (Revised)**
Credential Awarded: **Certificate**
Length of Program: **18 Semester Credit Hours**
8 Months

 10. **Program:** **Communication and Technology (Revised)**
Credential Awarded: **Certificate**
Length of Program: **18 Semester Credit Hours**
8 Months

 11. **Program:** **Emergency Management (Revised)**
Credential Awarded: **Certificate**
Length of Program: **18 Semester Credit Hours**
8 Months

 12. **Program:** **Environmental Sustainability (Revised)**
Credential Awarded: **Certificate**
Length of Program: **18 Semester Credit Hours**
8 Months

 13. **Program:** **Family and Child Services (Revised)**
Credential Awarded: **Certificate**
Length of Program: **24 Semester Credit Hours**
10 Months

 14. **Program:** **Gerontology (Revised)**
Credential Awarded: **Certificate**
Length of Program: **24 Semester Credit Hours**
10 Months

 15. **Program:** **Health Management (Revised)**
Credential Awarded: **Certificate**
Length of Program: **18 Semester Credit Hours**
8 Months

 16. **Program:** **Human Resource Management (Revised)**
Credential Awarded: **Certificate**
Length of Program: **18 Semester Credit Hours**
8 Months

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| 17. | Program:
Credential Awarded:
Length of Program: | Human Services Management (Revised)
Certificate
24 Semester Credit Hours
10 Months |
| 18. | Program:
Credential Awarded:
Length of Program: | Journalism (Revised)
Certificate
18 Semester Credit Hours
8 Months |
| 19. | Program:

Credential Awarded:
Length of Program: | Leadership Communication in Organizations (Revised)

Certificate
18 Semester Credit Hours
8 Months |
| 20. | Program:
Credential Awarded:
Length of Program: | Long Term Care (Revised)
Certificate
18 Semester Credit Hours
8 Months |
| 21. | Program:
Credential Awarded:
Length of Program: | Marketing and Sales Communication (Revised)
Certificate
18 Semester Credit Hours
8 Months |
| 22. | Program:
Credential Awarded:
Length of Program: | Project Management (Revised)
Certificate
18 Semester Credit Hours
8 Months |

Z. University of Phoenix **Clarksville, TN**
141 Chesapeake Drive, Suite 100, Clarksville, Tennessee 37040

Corporate Structure:	C-Corporation
Authorization Date:	January 28, 2010
Accreditation:	The Higher Learning Commission (HLC)
Title IV Funding:	Yes
Highest Credential Offered:	Master Degree

University of Phoenix is seeking approval to revise one program. The program will be

offered in a residential format. Instruction will be provided by the faculty from their authorized site in Clarksville, Tennessee.

- 1. Program: Human Resource Management (Revised)**
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months

AA. University of Phoenix Cordova, TN
65 Germantown Court, Suite 100, Cordova, Tennessee 38018

- Corporate Structure: C-Corporation**
- Authorization Date: July 17, 2003**
- Accreditation: The Higher Learning Commission (HLC)**
- Title IV Funding: Yes**
- Highest Credential Offered: Master Degree**

University of Phoenix is seeking approval to revise nineteen programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Cordova, Tennessee.

- 1. Program: Addictions (Revised)**
Credential Awarded: Certificate
Length of Program: 24 Semester Credit Hours
10 Months
- 2. Program: Advanced Business Analytics (Revised)**
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
- 3. Program: Advanced Cloud Computing (Revised)**
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
- 4. Program: Advanced Information Systems Security (Revised)**
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months

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| 5. | Program:
Credential Awarded:
Length of Program: | Advanced Multimedia Development (Revised)
Certificate
18 Semester Credit Hours
8 Months |
| 6. | Program:
Credential Awarded:
Length of Program: | Advanced Networking (Revised)
Certificate
18 Semester Credit Hours
8 Months |
| 7. | Program:
Credential Awarded:
Length of Program: | Advanced Software Developer (Revised)
Certificate
18 Semester Credit Hours
8 Months |
| 8. | Program:
Credential Awarded:
Length of Program: | Communication and Technology (Revised)
Certificate
18 Semester Credit Hours
8 Months |
| 9. | Program:
Credential Awarded:
Length of Program: | Emergency Management (Revised)
Certificate
18 Semester Credit Hours
8 Months |
| 10. | Program:
Credential Awarded:
Length of Program: | Environmental Sustainability (Revised)
Certificate
18 Semester Credit Hours
8 Months |
| 11. | Program:
Credential Awarded:
Length of Program: | Family and Child Services (Revised)
Certificate
24 Semester Credit Hours
10 Months |
| 12. | Program:
Credential Awarded:
Length of Program: | Gerontology (Revised)
Certificate
24 Semester Credit Hours
10 Months |
| 13. | Program:
Credential Awarded: | Health Management (Revised)
Certificate |

- Length of Program:** 18 Semester Credit Hours
8 Months
14. **Program:** Human Resource Management (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
15. **Program:** Human Services Management (Revised)
Credential Awarded: Certificate
Length of Program: 24 Semester Credit Hours
10 Months
16. **Program:** Journalism (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
17. **Program:** Leadership Communication in Organizations
(Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
18. **Program:** Long Term Care (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
19. **Program:** Marketing and Sales Communication (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months

BB. University of Phoenix **Murfreesboro, TN**
2615 Medical Center Parkway, Suite 1590, Murfreesboro, Tennessee 37129

Corporate Structure: C-Corporation
Authorization Date: November 19, 2009
Accreditation: The Higher Learning Commission (HLC)
Title IV Funding: Yes

Highest Credential Offered: Master Degree

University of Phoenix is seeking approval to revise two programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Murfreesboro, Tennessee.

1. **Program:** Human Resource Management (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
2. **Program:** Project Management (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months

CC. University of Phoenix Nashville, TN
616 Marriott Drive, Suite 150, Nashville, Tennessee 37214

Corporate Structure: C-Corporation
Authorization Date: January 31, 2002
Accreditation: The Higher Learning Commission (HLC)
Title IV Funding: Yes
Highest Credential Offered: Doctorate Degree

University of Phoenix is seeking approval to revise twenty-one programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Nashville, Tennessee.

1. **Program:** Addictions (Revised)
Credential Awarded: Certificate
Length of Program: 24 Semester Credit Hours
10 Months
2. **Program:** Advanced Business Analytics (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
3. **Program:** Advanced Cloud Computing (Revised)
Credential Awarded: Certificate

- Length of Program: 18 Semester Credit Hours
8 Months**
4. **Program: Advanced Information Systems Security (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months**
 5. **Program: Advanced Multimedia Development (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months**
 6. **Program: Advanced Networking (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months**
 7. **Program: Advanced Software Developer (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months**
 8. **Program: Call Center Professional (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months**
 9. **Program: Communication and Technology (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months**
 10. **Program: Emergency Management (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months**
 11. **Program: Environmental Sustainability (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months**

12. **Program:** Family and Child Services (Revised)
Credential Awarded: Certificate
Length of Program: 24 Semester Credit Hours
10 Months
13. **Program:** Gerontology (Revised)
Credential Awarded: Certificate
Length of Program: 24 Semester Credit Hours
10 Months
14. **Program:** Health Management (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
15. **Program:** Human Resource Management (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
16. **Program:** Human Services Management (Revised)
Credential Awarded: Certificate
Length of Program: 24 Semester Credit Hours
10 Months
17. **Program:** Journalism (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
18. **Program:** Leadership Communication in Organizations
(Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months
19. **Program:** Long Term Care (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months

20. Program: Marketing and Sales Communication (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months

21. Program: Project Management (Revised)
Credential Awarded: Certificate
Length of Program: 18 Semester Credit Hours
8 Months

DD. Urban League of Greater Chattanooga Chattanooga, TN
730 Martin Luther King Blvd, Chattanooga, Tennessee 37403

Corporate Structure: Not-for-Profit Corporation
Authorization Date: April 17, 2003
Accreditation: None
Title IV Funding: No
Highest Credential Offered: Certificate

Urban League of Greater Chattanooga is seeking approval for two new programs. The programs will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Chattanooga, Tennessee.

1. Program: Project Management Fundamentals of Obtaining Certification
Credential Awarded: Certificate
Length of Program: 35 Contact Hours
6 Weeks

2. Program: Computer Software and Internet Skills Training
Credential Awarded: Certificate of Completion
Length of Program: 18 Contact Hours
6 Weeks

EE. West Tennessee Business College Jackson, TN
1186 Highway 45 By-Pass, Jackson, Tennessee 38301

Corporate Structure: S-Corporation
Authorization Date: January 1, 1976

Accreditation: Accrediting Council for Independent Colleges and Schools (ACICS)
Title IV Funding: Yes
Highest Credential Offered: Associate Degree

West Tennessee Business College is seeking approval for one new program. The program will be offered in a residential format. Instruction will be provided by the faculty from their authorized site in Jackson, Tennessee.

- 1. Program:** ECG/EKG Technician
Credential Awarded: Certificate of Completion
Length of Program: 40 Contact Hours
8 Weeks

DATE: November 19, 2015

SUBJECT: University of Tennessee – Knoxville, Master of Laws (LL.M.) United States Business Law

ACTION RECOMMENDED: Approval

BACKGROUND INFORMATION: The University of Tennessee Knoxville has developed a curriculum proposal for the Master of Laws (LL.M.) in United States Business Law. The LL.M. is an advanced law degree that allows a practicing lawyer who has already earned a J.D. or its foreign equivalent to attain specialized knowledge useful for practice. The proposed LL.M. program will target foreign-educated lawyers seeking a credential in U.S. Business Law.

In Tennessee, as well as other states, a practicing lawyer who has received a law degree from another country may sit for the state’s bar exam and apply for admission, provided the lawyer receives additional education from a law school accredited by the American Bar Association (ABA) and satisfies the state’s other eligibility requirements. The proposed LL.M. program will provide the required additional educational requirements. The curriculum for the LL.M. program is based on an existing concentration (Business Transaction) and it is anticipated that the degree will be completed in one year.

The practice of law is increasingly global. To provide the full range of legal services that many clients require, today’s lawyers may need an understanding of the legal system that exists in their home countries and well as other countries. The proposed LL.M. program may serve as a bridge that links a foreign-educated lawyer’s existing knowledge and experience to an understanding of the U.S. legal system.

The UT College of Law has developed strong ties with several law schools in China and Australia. The College is confident that it can attract quality students from these institutions and from law schools in other countries. The proposed program will position the UT College of Law to prepare lawyers to practice in a global marketplace.

PROPOSED IMPLEMENTATION DATE: Fall 2016

1.1.20A MISSION: The proposed LL.M. program will advance the institutional mission of the University of Tennessee Knoxville and the UT College of Law. The program supports the University's mission of "enriching and elevating the citizens of the state, the nation, and the world." The program will attract internationally trained lawyers who will each bring their own unique perspectives to the classroom.

UTK's 2015 vision calls for creating value "through economic, social, and environmental development targeted to an increasingly global and multicultural world." The LL.M. program will provide a valuable educational benefit to lawyers who have already earned a legal degree in another country and provide opportunities to build and expand legal and business relationships between Tennessee and other countries.

1.1.20B CURRICULUM: The LL.M. in United States Business Law will be a one-year program consisting of 24 credit hours. The curriculum consists mainly of the existing courses in the Business Transaction concentration (17 credit hours). The remaining curriculum will consist of the following courses: Structure and Operation of the American Legal System (two credits), Legal Research, Writing and Analysis (two credits), and Legal Ethics (three credits).

Completers of the LL.M. program will be eligible to sit for a state's bar examination, provided they satisfy all other requirements.

1.1.20C ACADEMIC STANDARDS: Program admission requires a foreign law degree (qualifying them to apply for or sit for a licensing examination); a minimum 2.0 overall undergraduate GPA; and competency of the English language sufficient to allow them to achieve success in the LL.M. program.

Students enrolled in the LL.M. degree program will be graded on a No Credit/Satisfactory, Honors, or High Honors basis. In order to remain in good academic standing, students enrolled in the LL.M. program must earn a grade of at least Satisfactory in two-thirds of the required courses.

Projected Program Enrollment and Productivity

Enrollment projections for the proposed LL.M. program are based on existing relationships with three prominent law programs in China and one in Australia. Dean Han of the Renmin Law School in Beijing has committed to offering his students the opportunity to enroll in the proposed program. The UT College of Law has also developed an exchange program with Queensland University in Australia. As a result of these existing relationships, the initial enrollment projections are based on attracting students from China and Australia coupled with a focused marketing program to attract students from other countries in the future.

Year	Enrollment	Graduates
2016	3	3
2017	4	4
2018	7	7
2019	10	9
2020	10	9

1.1.20D FACULTY: The current ten full-time faculty who regularly teach courses in the Business Transaction concentration are adequate to support the program. In limited instances, an adjunct faculty member may teach a course associated with the proposed degree program.

1.1.20E LIBRARY RESOURCES: Existing law school library and information technology resources are adequate for program implementation. These resources meet or exceed the standards established by the American Bar Association.

1.1.20F ADMINISTRATION/ORGANIZATION: This program will be offered through the University of Tennessee College of Law's Clayton Center for Entrepreneurial Law. The Center's director will have primary responsibility for administration of the program. The director's administrative and service responsibilities will be reduced due to the new responsibilities associated with the proposed LL.M. degree.

1.1.20G SUPPORT RESOURCES: Students will have access to a wide range of support resources, including advising support from the program director. Additionally, a Chinese librarian in the College of Law will serve as an advisor to any applicants from China.

The UT College of Law, through its International Law Student Association, will coordinate with the University's International House to help integrate LL.M. students in the law school, university, and broader Knoxville communities. Students will also have the opportunity to meet with local lawyers and business leaders in conjunction with the College of Law's Alumni Development and Pro Bono office.

1.1.20H FACILITIES AND EQUIPMENT: Current facilities and instructional equipment are adequate to support the program.

1.1.20I NEED AND DEMAND: According to the American Bar Association, the demand for LL.M. programs increased 52 percent from 2000 to 2012. Coupled with this demand, the Law School Admission Council recently reported an increase in LL.M. applications for 2015, with the highest increase (38 percent) occurring in law schools located in the Southeast. The proposed LL.M. program will contribute to meeting this demand especially with the focus on foreign-educated lawyers. Familiarity with U.S. business law will give foreign-educated lawyers greater understanding of U.S. legal principles and assist them in

interactions with legal professions in the United States or abroad. The demand for American LL.M. programs has increased dramatically in recent years, especially from Asian countries. The UT College of Law has established strong relationships with several prominent Chinese laws schools.

1.1.20J NO UNNECESSARY DUPLICATION: Establishing the proposed degree program will not result in an unnecessary duplication. The proposed program will be the only LL.M. program in operation at a public law school in Tennessee. The only LL.M. program currently available in Tennessee is at Vanderbilt University.

1.1.20K COOPERATING INSTITUTIONS: N/A

1.1.20L DIVERSITY AND ACCESS: The UT College of Law already boasts a diverse student body. For example, the Class of 2018 has an ethnic diversity of 22 percent. The proposed LL.M. degree will enhance the diversity of the Knoxville campus as well as enrich the education of other students. Law students will be taking classes with practicing lawyers where they will bring with them their own perspectives from their countries. These perspectives will expand the worldview of traditional law students.

1.1.20M ASSESSMENT/EVALUATION AND ACCREDITATION: The proposed LL.M. program will be evaluated annually to ensure program viability and effectiveness. The program director will evaluate the curriculum every two years to ensure that it remains effective and relevant. Students will complete surveys to assist in determining program strengths and weaknesses. Adjustments to instruction, advising, scheduling and other practices will be made as needed based on the results of these assessments. Additionally, the program will be evaluated externally every five years.

The American Bar Association does not currently accredit LL.M. programs. Accordingly, the UT College of Law requested “acquiescence” from the ABA and demonstrated that the proposed LL.M. program would not detract from the College’s ability to maintain a solid J.D. degree program. The UT College of Law received acquiescence from the ABA in July 2015.

1.1.200 EXTERNAL JUDGMENT: External review of the proposed program was conducted during an institution site visit on September 8-9, 2015. Mr. Bryan Fair, Thomas E. Skinner Professor of Law at the University of Alabama, served as the external reviewer. Mr. Fair directs the University of Alabama’s LL.M. program for international students. He stated that the proposed program has several strengths that include talented and dedicated faculty and staff, commitment from all levels and significant success with the existing concentration in Business Transaction.

Mr. Fair stated that “based on the materials and my on-site meetings, I am convinced that the University and its College of Law have the commitment to implement and administer an outstanding International LL.M. program for foreign-trained lawyers.”

1.1.20P COST/BENEFIT: The cost to administer the proposed LL.M. program will be significantly less than its potential revenue raising capabilities. Expenditures for the program will include a one-third staff position to provide administrative support, adjunct faculty salary and marketing. Projected revenue from out-of-state tuition will offset the projected expenditures, even based on a conservative estimate of student enrollment.

1.1.30 POST APPROVAL MONITORING: An annual performance review of the proposed program will be conducted for the first five years following program approval. The review will be based on benchmarks established in the approved proposal. At the end of this period, the campus, governing board, and Commission staff will perform a summative evaluation. The benchmarks include, but are not limited to, enrollment and graduation, program cost, progress toward accreditation and other metrics set by the institution and agreed upon by governing board and Commission staff. If benchmarks are not met during the monitoring period, the Commission may recommend that the governing board terminate the program. If additional time is needed and requested by the governing board, the Commission may choose to extend the monitoring period.

DATE: November 19, 2015

SUBJECT: 2016-17 Operating State Appropriation Recommendations

ACTION RECOMMENDED: Approval

BACKGROUND INFORMATION

Immediately following the passage of the Complete College Tennessee Act of 2010 (CCTA), THEC convened a Formula Review Committee (FRC) consisting of institutional, system and governmental stakeholders to provide counsel on the creation of an outcomes-based funding formula, informed by university and community college presidents, that funds institutions based on metrics that measure success and weights that reflect institutional priorities and missions.

Since 2010, THEC has annually convened the FRC to review the strengths and weaknesses of the formula. Beginning in February 2015, the FRC met monthly to review and propose changes to the formula model for the 2015-2020 funding cycle. A basic framework for this revised model was presented to and approved by the Commission in July 2015. Soon after, all components of the funding model were finalized. Summaries of these changes can be found in Appendix A.

The finalized 2015-2020 outcomes-based funding formula was used to calculate the 2016-17 recommendations for operating state appropriations and these recommendations are presented in the following attachments for consideration. Funds continue to be allocated on an equitable basis as academic formula unit campuses are recommended to receive the same percentage of their formula calculation.

As a reminder, since 2012-13 THEC is to make state appropriations recommendations in lump sum fashion for the community college sector as a whole, per a provision of the CCTA. The CCTA transferred responsibility for determining individual community college allocations to the Tennessee Board of Regents (TBR). Outcomes-based formula calculations for individual community colleges are presented for informational purposes only.

RECOMMENDATION SUMMARY

Institutions showed some improvement in funding formula outcomes in 2014-15, the most recent year of data that is utilized for the 2016-17 budget cycle. Outcomes overall are beginning to plateau as the enrollment surge that occurred in the aftermath of the economic downturn in 2008 fades. Tennesseans who returned to higher education to retool in a shrinking economy now are entering the workforce rather than enrolling in higher education. Universities awarded more bachelor's degrees in 2014-15 than the previous year. Community colleges awarded more short-term, workforce ready certificates and provided more dual enrollment opportunities to high school students this year than last.

Students continue to be responsible for the majority of costs at community colleges and universities. On average, tuition and fees accounts for nearly 66 percent of revenue at the formula units. A decade ago, they were responsible for less than half. THEC is presenting operating appropriations, student fees and need-based financial aid recommendations that work together to begin to reverse this trend and improve affordability for Tennessee students.

For the 2016-17 fiscal year, THEC is requesting an increase of \$40.9 million in state appropriations for formula units that would increase the percent funded of the formula from 63.2 percent to 66 percent. As recently as 2007-08, formula units were funded at an average of 86 percent of their formula calculations. This increase in state funding will begin to ameliorate the cost shifting over the last decade that has transferred significant funding responsibilities to students and their families.

Along with the formula unit funding recommendation, THEC is requesting an equivalent percentage increase in funding for operations and strategic investments at the non-formula units. This 4.7 percent increase in state appropriations will fund \$9.5 million in new operating dollars spread across all non-formula units, as well as \$6.2 million in strategic program initiatives at seven non-formula units. The THEC staff recommendation for 2016-17 operating funds for the formula and non-formula units are detailed in Attachment II. Additional information on the non-formula strategic initiatives can be found in Appendix B.

The staff recommendations include other components of note. First is an improvement to the state's need-based grant, the Tennessee Student

Assistance Award (TSAA). In 2015-16, the program will fund approximately 41,100 students across public, private and proprietary institutions in Tennessee with total funding of \$68 million in state appropriations and \$6.8 million in lottery funds. In September, the TSAC Board recommended that funding increase in 2016-17 by \$28.6 million, which would fund 15 percent of the estimated 118,000 students that are eligible for the award — based on financial need — but currently do not receive the grant due to limited funds being exhausted. THEC staff concur with this recommendation and believe that this improvement, coupled with the student fee recommendations presented in Item I.C., represent continued advancement in college affordability for Tennesseans.

Additionally, THEC staff are recommending \$800,000 in non-recurring state appropriations to fund an institutional outcome improvement fund. As a framework, this fund could award four to eight grants ranging from \$50,000 to \$150,000 to institutions that continue to face challenges as they work to increase outcomes. These grants would be awarded through a competitive application process and would require that institutions develop action plans for addressing lagging outcomes, goals for increases in these outcomes of focus, and metrics for how to measure success.

The grand total recurring and non-recurring recommendation for all higher education operating appropriations for 2016-17 is \$1.37 billion. This grand total includes \$40.9 million to fund the outcomes formula, \$9.5 million for other institutional operating costs and \$6.2 million for strategic program investments at non-formula units, \$28.6 million for expansion of the need-based financial aid program, and \$800,000 in non-recurring funds for an institutional outcome improvement fund. These recurring and non-recurring recommendations total \$86 million, or an increase of 6.7 percent.

Finally, the Department of Finance & Administration has requested that state agencies prepare the 2016-17 budget with a three and a half percent reduction in state appropriations. Financial aid funding provided by TSAC — primarily through the need-based grant award — and recurring funds for the Governor's Drive to 55 Initiatives are exempted from these reduction scenarios. For higher education this would result in a reduction in state appropriations of \$42.3 million. This distribution is detailed in Attachment III.

ATTACHMENT I

State Appropriations History

Academic Formula Units	2010-11	2011-12	2012-13 *	2013-14 *	2014-15 *	2015-16*
TBR Universities						
Austin Peay	\$25,570,600	\$26,107,600	\$28,537,600	\$32,995,000	\$34,239,800	\$36,983,700
East Tennessee	45,582,600	44,000,700	45,772,200	48,685,000	48,048,900	51,428,100
Middle Tennessee	71,318,700	73,423,800	77,193,600	81,024,600	82,830,300	85,856,700
Tennessee State	28,554,800	29,335,100	30,810,900	32,610,800	32,088,900	32,892,000
Tennessee Tech	35,853,000	35,086,300	37,288,600	39,559,500	38,394,000	39,297,400
University of Memphis	91,785,400	85,464,300	87,346,700	89,106,400	89,331,900	95,139,600
Subtotal	\$298,665,100	\$293,417,800	\$306,949,600	\$323,981,300	\$324,933,800	\$341,597,500
Community Colleges						
Chattanooga	\$20,086,100	\$19,970,200	\$21,902,500	\$26,624,800	\$26,008,100	\$27,449,400
Cleveland	9,062,000	8,421,200	8,672,000	8,997,100	8,843,700	9,336,300
Columbia	11,439,800	11,121,800	11,294,400	12,339,500	12,349,500	12,842,400
Dyersburg	6,168,000	6,484,500	6,867,800	7,238,900	7,317,900	7,841,700
Jackson	10,479,000	10,518,500	10,821,400	11,510,200	11,095,700	11,401,100
Motlow	8,591,400	9,662,900	10,310,000	11,017,200	10,656,700	11,007,400
Nashville	12,677,800	13,794,900	14,516,500	15,983,500	15,861,200	16,935,900
Northeast	10,605,000	11,924,900	12,920,300	13,648,200	13,224,100	14,594,100
Pellissippi	17,199,100	18,692,600	20,819,800	22,913,400	23,429,800	25,599,300
Roane	15,684,300	14,750,900	15,244,700	16,619,800	17,399,500	18,011,800
Southwest	32,436,900	28,648,100	27,953,000	25,739,300	24,677,200	25,278,600
Volunteer	15,389,800	15,281,400	15,614,700	16,075,400	16,216,000	17,198,100
Walters	16,032,000	15,745,100	17,043,300	19,866,900	20,350,200	20,967,800
Subtotal	\$185,851,200	\$185,017,000	\$193,980,400	\$208,574,200	\$207,429,600	\$218,463,900
UT Universities						
UT Chattanooga	\$33,463,400	\$33,294,400	\$34,601,800	\$36,128,500	\$37,501,400	\$41,674,700
UT Knoxville	143,699,500	144,150,000	153,343,900	174,335,300	179,044,900	187,890,300
UT Martin	24,047,300	23,636,300	24,609,100	25,243,000	26,249,700	27,892,100
Subtotal	\$201,210,200	\$201,080,700	\$212,554,800	\$235,706,800	\$242,796,000	\$257,457,100
Total Colleges and Universities	\$685,726,500	\$679,515,500	\$713,484,800	\$768,262,300	\$775,159,400	\$817,518,500
TN Colleges of Applied Technology	\$46,263,500	\$52,260,300	\$53,848,800	\$57,400,500	\$55,346,600	\$56,343,900
Total Academic Formula Units	\$731,990,000	\$731,775,800	\$767,333,600	\$825,662,800	\$830,506,000	\$873,862,400

Note: All years of appropriations are recurring funds only.

*Community College detail was estimated by THEC based on information from the Tennessee Board of Regents. Beginning in 2012-13, funds were allocated to the Community Colleges as a system.

ATTACHMENT I

State Appropriations History

Specialized Units	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Medical Education						
ETSU College of Medicine	\$25,377,900	\$25,859,200	\$27,321,000	\$28,893,900	\$28,948,800	\$30,166,900
ETSU Family Practice	5,150,800	5,322,000	5,731,700	6,117,800	6,130,800	6,447,000
UT College of Medicine	42,524,700	42,820,200	44,883,300	47,065,400	46,956,800	48,646,400
UT Family Practice	9,187,200	9,313,200	9,870,100	10,458,800	10,506,000	10,929,900
UT Memphis	62,105,000	63,089,600	66,869,800	71,363,200	71,919,300	75,408,500
UT College of Vet Medicine	14,160,600	14,416,600	15,385,200	16,453,000	16,530,900	17,379,800
Subtotal	\$158,506,200	\$160,820,800	\$170,061,100	\$180,352,100	\$180,992,600	\$188,978,500
Research and Public Service						
UT Agricultural Experiment Station	\$22,812,000	\$23,111,900	\$24,342,600	\$25,438,800	\$25,557,800	\$26,380,600
UT Agricultural Extension Service	27,416,300	27,825,100	29,431,800	30,836,900	31,044,400	32,384,200
TSU McMinnville Center	527,900	527,300	543,300	560,400	560,400	575,500
TSU Institute of Ag. and Environmental Research	2,156,200	2,145,000	2,208,900	2,280,500	2,278,500	2,340,600
TSU Cooperative Extension	2,918,300	2,918,200	3,010,500	3,110,400	3,108,900	3,207,300
TSU McIntire-Stennis Forestry Research	171,900	170,600	174,100	179,400	179,400	183,400
UT Space Institute	7,212,500	7,276,600	7,603,400	7,896,700	7,916,500	8,187,700
UT Institute for Public Service	4,312,800	4,341,200	4,541,300	5,232,400	5,247,800	5,420,500
UT County Technical Assistance Service	1,482,500	1,521,800	1,646,200	1,753,200	1,763,100	1,858,100
UT Municipal Technical Advisory Service	2,499,300	2,554,300	2,732,200	2,886,200	2,897,500	3,033,400
Subtotal	\$71,509,700	\$72,392,000	\$76,234,300	\$80,174,900	\$80,554,300	\$83,571,300
Other Specialized Units						
UT University-Wide Administration	\$4,143,800	\$4,209,000	\$4,440,900	\$4,589,300	\$4,661,800	\$4,859,900
TN Board of Regents Administration	4,407,400	4,563,400	4,881,800	5,104,200	5,133,100	5,465,400
TN Student Assistance Corporation	48,567,100	48,579,200	55,205,400	61,586,800	61,566,800	70,459,600
Tennessee Student Assistance Awards	46,162,500	46,162,500	52,762,500	57,762,500	57,762,500	67,762,500
Tennessee Student Assistance Corporation Loan/Scholarships Program	1,213,600	1,225,700	1,251,900	1,353,500	1,333,500	1,476,300
Endowment Scholarships	1,191,000	1,191,000	1,191,000	1,220,800	1,220,800	1,220,800
	-	-	-	1,250,000	1,250,000	-
TN Foreign Language Institute	338,100	352,800	378,600	410,300	414,100	426,500
Contract Education	2,217,000	2,198,200	2,178,400	2,232,900	2,180,800	2,110,800
TN Higher Education Commission	2,160,300	2,224,500	2,292,100	2,479,200	2,438,800	2,921,000
Total Formula and Specialized Units	\$1,023,839,600	\$1,027,115,700	\$1,083,006,200	\$1,162,592,500	\$1,168,448,300	\$1,232,655,400
Program Initiatives						
Campus Centers of Excellence	\$17,238,700	\$17,328,000	\$17,538,300	\$18,193,700	\$17,769,000	\$17,414,600
Campus Centers of Emphasis	1,240,700	1,247,600	1,265,900	1,313,300	1,282,600	1,257,000
Academic Scholars Program	401,800	401,800	401,800	411,800	411,800	411,800
UT Access and Diversity Initiative	5,648,700	5,600,600	5,550,100	5,688,900	5,688,900	5,806,700
TBR Access and Diversity Initiative	9,977,400	9,892,900	9,803,700	10,048,800	10,048,800	10,256,900
THEC Grants	2,359,200	2,339,200	2,318,100	2,403,300	2,353,900	5,778,400
Research Initiatives - UT	5,693,700	5,645,200	5,594,300	5,734,200	5,734,200	5,852,900
Subtotal	\$42,560,200	\$42,455,300	\$42,472,200	\$43,794,000	\$43,289,200	\$46,778,300
Total Operating	\$1,066,399,800	\$1,069,571,000	\$1,125,478,400	\$1,206,386,500	\$1,211,737,500	\$1,279,433,700

Note: All years of appropriations are recurring funds only.

ATTACHMENT II

2016-17 State Appropriations Share of Total Calculation

	A	B	C	D	E	F = D + E	G = F + A	H = F / A
				Breakdown of 2016-17 Changes				
Academic Formula Units	2015-16 Appropriation ¹	2015-16 Appropriation Share	2016-17 Appropriation Share	Outcomes Formula Adjustments	Share of New Funding	2016-17 Changes	2016-17 Recommendation	Percent Change
TBR Universities								
Austin Peay	\$36,983,700	4.54%	4.65%	\$833,000	\$1,742,200	\$2,575,200	\$39,558,900	7.0%
East Tennessee ²	51,078,100	6.28%	6.30%	193,700	2,362,100	2,555,800	53,633,900	5.0%
Middle Tennessee	85,856,700	10.55%	10.42%	(1,021,100)	3,908,400	2,887,300	88,744,000	3.4%
Tennessee State	32,892,000	4.04%	3.86%	(1,433,400)	1,449,300	15,900	32,907,900	0.0%
Tennessee Tech	39,297,400	4.83%	4.90%	553,600	1,836,000	2,389,600	41,687,000	6.1%
University of Memphis	95,139,600	11.69%	11.79%	817,500	4,420,800	5,238,300	100,377,900	5.5%
Subtotal	\$341,247,500	41.92%	41.92%	(\$56,700)	\$15,718,800	\$15,662,100	\$356,909,600	4.6%
Community Colleges³								
Chattanooga	\$27,449,400	3.37%	3.37%	\$900	\$1,264,700	\$1,265,600	\$28,715,000	4.6%
Cleveland	9,336,300	1.15%	1.12%	(210,800)	420,400	209,600	9,545,900	2.2%
Columbia	12,842,400	1.58%	1.61%	273,000	604,200	877,200	13,719,600	6.8%
Dyersburg	7,841,700	0.96%	0.99%	221,100	371,500	592,600	8,434,300	7.6%
Jackson	11,401,100	1.40%	1.43%	198,600	534,400	733,000	12,134,100	6.4%
Motlow	11,007,400	1.35%	1.35%	3,900	507,300	511,200	11,518,600	4.6%
Nashville	16,935,900	2.08%	2.04%	(302,700)	766,300	463,600	17,399,500	2.7%
Northeast	14,594,100	1.79%	1.84%	413,100	691,400	1,104,500	15,698,600	7.6%
Pellissippi	25,599,300	3.14%	3.15%	2,100	1,179,500	1,181,600	26,780,900	4.6%
Roane	18,011,800	2.21%	2.20%	(93,900)	825,500	731,600	18,743,400	4.1%
Southwest	25,278,600	3.11%	3.01%	(791,300)	1,128,100	336,800	25,615,400	1.3%
Volunteer	17,198,100	2.11%	2.15%	264,500	804,500	1,069,000	18,267,100	6.2%
Walters	20,967,800	2.58%	2.52%	(443,600)	945,600	502,000	21,469,800	2.4%
Community College Subtotal	\$218,463,900	26.84%	26.78%	(\$465,100)	\$10,043,400	\$9,578,300	\$228,042,200	4.4%
UT Universities								
UT Chattanooga	\$41,674,700	5.12%	5.26%	\$1,155,100	\$1,973,100	\$3,128,200	\$44,802,900	7.5%
UT Knoxville ²	184,890,300	22.71%	22.66%	(454,700)	8,497,100	8,042,400	192,932,700	4.3%
UT Martin ²	27,692,100	3.40%	3.38%	(178,600)	1,267,600	1,089,000	28,781,100	3.9%
Subtotal	\$254,257,100	31.24%	31.30%	\$521,800	\$11,737,800	\$12,259,600	\$266,516,700	4.8%
Total Colleges and Universities	\$813,968,500	100.00%	100.00%	\$0	\$37,500,000	\$37,500,000	\$851,468,500	4.6%

1 - Recurring funding. Includes historical funding of \$2.81M for legislative initiatives. A breakdown of these initiatives by campus is included in Appendix C.

2 - Does not include recurring funds appropriated to the ETSU Gray Fossil Site (\$350K), UT Martin Parsons Center (\$200K) or to UT Knoxville for the engineering college (\$3M). These appropriations are included as Program Initiatives.

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ATTACHMENT II

2016-17 State Appropriations Distribution Recommendation

	A	B	C	D	E = C + D	F = E + A	G = E / A	H = F / B
			Breakdown of 2016-17 Changes					
Academic Formula Units	2015-16 Appropriation ¹	2016-17 Formula Calculation	Outcomes Formula Adjustments	Share of New Funding	2016-17 Changes	2016-17 Recommendation	Percent Change	Percent Funded
TBR Universities								
Austin Peay	\$36,983,700	\$59,934,200	\$833,000	\$1,742,200	\$2,575,200	\$39,558,900	7.0%	66.0%
East Tennessee ²	51,078,100	81,258,600	193,700	2,362,100	2,555,800	53,633,900	5.0%	66.0%
Middle Tennessee	85,856,700	134,452,400	(1,021,100)	3,908,400	2,887,300	88,744,000	3.4%	66.0%
Tennessee State	32,892,000	49,857,400	(1,433,400)	1,449,300	15,900	32,907,900	0.0%	66.0%
Tennessee Tech	39,297,400	63,158,300	553,600	1,836,000	2,389,600	41,687,000	6.1%	66.0%
University of Memphis	95,139,600	152,078,500	817,500	4,420,800	5,238,300	100,377,900	5.5%	66.0%
Subtotal	\$341,247,500	\$540,739,400	(\$56,700)	\$15,718,800	\$15,662,100	\$356,909,600	4.6%	66.0%
Community Colleges³								
Chattanooga	\$27,449,400	\$43,504,900	\$900	\$1,264,700	\$1,265,600	\$28,715,000	4.6%	66.0%
Cleveland	9,336,300	14,462,600	(210,800)	420,400	209,600	9,545,900	2.2%	66.0%
Columbia	12,842,400	20,786,000	273,000	604,200	877,200	13,719,600	6.8%	66.0%
Dyersburg	7,841,700	12,778,400	221,100	371,500	592,600	8,434,300	7.6%	66.0%
Jackson	11,401,100	18,383,900	198,600	534,400	733,000	12,134,100	6.4%	66.0%
Motlow	11,007,400	17,451,400	3,900	507,300	511,200	11,518,600	4.6%	66.0%
Nashville	16,935,900	26,361,300	(302,700)	766,300	463,600	17,399,500	2.7%	66.0%
Northeast	14,594,100	23,784,300	413,100	691,400	1,104,500	15,698,600	7.6%	66.0%
Pellissippi	25,599,300	40,574,700	2,100	1,179,500	1,181,600	26,780,900	4.6%	66.0%
Roane	18,011,800	28,397,300	(93,900)	825,500	731,600	18,743,400	4.1%	66.0%
Southwest	25,278,600	38,808,900	(791,300)	1,128,100	336,800	25,615,400	1.3%	66.0%
Volunteer	17,198,100	27,675,800	264,500	804,500	1,069,000	18,267,100	6.2%	66.0%
Walters	20,967,800	32,527,900	(443,600)	945,600	502,000	21,469,800	2.4%	66.0%
Community College Subtotal	\$218,463,900	\$345,497,400	(\$465,100)	\$10,043,400	\$9,578,300	\$228,042,200	4.4%	66.0%
UT Universities								
UT Chattanooga	\$41,674,700	\$67,879,200	\$1,155,100	\$1,973,100	\$3,128,200	\$44,802,900	7.5%	66.0%
UT Knoxville ²	184,890,300	292,304,400	(454,700)	8,497,100	8,042,400	192,932,700	4.3%	66.0%
UT Martin ²	27,692,100	43,605,000	(178,600)	1,267,600	1,089,000	28,781,100	3.9%	66.0%
Subtotal	\$254,257,100	\$403,788,600	\$521,800	\$11,737,800	\$12,259,600	\$266,516,700	4.8%	66.0%
Total Colleges and Universities	\$813,968,500	\$1,290,025,400	\$0	\$37,500,000	\$37,500,000	\$851,468,500	4.6%	66.0%
TN Colleges of Applied Technology	\$56,343,900	\$90,496,500	\$0	\$3,400,000	\$3,400,000	\$59,743,900	6.0%	66.0%
Total Academic Formula Units	\$870,312,400	\$1,380,521,900	\$0	\$40,900,000	\$40,900,000	\$911,212,400	4.7%	66.0%

1 - Recurring funding. Includes historical funding of \$2.81M for legislative initiatives. A breakdown of these initiatives by campus is included in Appendix C.

2 - Does not include recurring funds appropriated to the ETSU Gray Fossil Site (\$350K), UT Martin Parsons Center (\$200K) or to UT Knoxville for the engineering college (\$3M). These appropriations are included as Program Initiatives.

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ATTACHMENT II

2016-17 State Appropriations Distribution Recommendation

A B₁ B₂ C = (B₁ + B₂) - A D = C / A

Specialized Units	2015-16 Appropriation ¹	2016-17 Recommendation ¹		Total Change	Percent Change
		Operating Funds	Strategic Initiatives ²		
Medical Education					
ETSU College of Medicine	\$30,166,900	\$30,926,900	\$583,600	\$1,343,600	4.5%
ETSU Family Practice	6,447,000	6,609,400	-	162,400	2.5%
UT College of Vet Medicine	17,379,800	17,817,700	1,365,300	1,803,200	10.4%
UT Memphis Medical Units	134,984,800	138,385,700	-	3,400,900	2.5%
UT College of Medicine	48,646,400	49,872,000	-	1,225,600	2.5%
UT Family Practice	10,929,900	11,205,300	-	275,400	2.5%
UT Memphis Other Specialized	75,408,500	77,308,400	-	1,899,900	2.5%
Subtotal	\$188,978,500	\$193,739,700	\$1,948,900	\$6,710,100	3.6%
Research and Public Service					
UT Agricultural Experiment Station	\$26,380,600	\$27,045,200	\$1,289,500	\$1,954,100	7.4%
UT Agricultural Extension Service	32,384,200	33,200,100	1,198,700	2,014,600	6.2%
TSU McMinnville Center	575,500	590,000	-	14,500	2.5%
TSU Institute of Ag. and Environmental Research	2,340,600	2,399,600	1,039,000	1,098,000	46.9%
TSU Cooperative Extension	3,207,300	3,288,100	-	80,800	2.5%
TSU McIntire-Stennis Forestry Research	183,400	188,000	-	4,600	2.5%
UT Space Institute	8,187,700	8,394,000	-	206,300	2.5%
UT Institute for Public Service	5,420,500	5,557,100	-	136,600	2.5%
UT County Technical Assistance Service	1,858,100	1,904,900	-	46,800	2.5%
UT Municipal Technical Advisory Service	3,033,400	3,109,800	-	76,400	2.5%
Subtotal	\$83,571,300	\$85,676,800	\$3,527,200	\$5,632,700	6.7%
Other Specialized Units					
UT University-Wide Administration	\$4,859,900	\$4,982,300	\$500,000	\$622,400	12.8%
TN Board of Regents Administration	5,465,400	5,603,100	200,000	337,700	6.2%
TN Student Assistance Corporation	70,459,600	99,186,400	-	28,726,800	40.8%
Tennessee Student Assistance Awards	67,762,500	96,362,500	-	28,600,000	42.2%
Tennessee Students Assistance Corporation	1,476,300	1,545,700	-	69,400	4.7%
Loan/Scholarships Program	1,220,800	1,278,200	-	57,400	4.7%
Endowment Scholarships	-	-	-	-	NA
TN Higher Education Commission	2,921,000	3,058,300	-	137,300	4.7%
TN Foreign Language Institute	426,500	437,200	-	10,700	2.5%
Contract Education	2,110,800	2,210,000	-	99,200	4.7%
Subtotal	\$86,243,200	\$115,477,300	\$700,000	\$29,934,100	34.7%
Total Specialized Units	\$358,793,000	\$394,893,800	\$6,176,100	\$42,276,900	11.8%
Total Formula and Specialized Units	\$1,229,105,400	\$1,306,106,200	\$6,176,100	\$83,176,900	6.8%
Program Initiatives					
Campus Centers of Excellence	\$17,414,600	\$18,233,000	\$0	\$818,400	4.7%
Campus Centers of Emphasis	1,257,000	1,316,100	-	59,100	4.7%
Academic Scholars Program	411,800	431,200	-	19,400	4.7%
UT Access and Diversity Initiative	5,806,700	6,079,600	-	272,900	4.7%
TBR Access and Diversity Initiative	10,256,900	10,738,900	-	482,000	4.7%
THEC Grants	2,278,400	2,385,500	-	107,100	4.7%
Research Initiatives - UT	5,852,900	6,128,000	-	275,100	4.7%
ETSU Gray Fossil Site ³	350,000	350,000	-	-	0.0%
UT Martin Parsons Center ³	200,000	200,000	-	-	0.0%
UT Knoxville College of Engineering ³	3,000,000	3,000,000	-	-	0.0%
Governor's Drive to 55 Initiative	3,500,000	3,500,000	-	-	0.0%
Institutional Outcome Improvement Fund ⁴	-	800,000	-	800,000	NA
Subtotal	\$50,328,300	\$53,162,300	\$0	\$2,834,000	5.6%
Total Recurring	\$1,279,433,700	\$1,359,268,500	\$6,176,100	\$86,010,900	6.7%

1 - Recurring funds unless otherwise footnoted.

2 - Recurring funds for strategic initiatives at ETSU College of Med (\$584K), UT College of Vet Med (\$1.37M), UT Ag Experiment (\$1.29M), UT Ag Extension (\$1.20M), TSU Institute of Ag (\$1.04M), UT Admin (\$500K), and TBR Admin (\$200K). Additional information can be found in Appendix B.

3 - Recurring funds appropriated to ETSU (\$350K), UT Martin (\$200K) and UT Knoxville (\$3M).

4 - Nonrecurring funding for a competitive grant program to assist institutions facing challenges as they work to increase outcomes.

ATTACHMENT III

2016-17 State Appropriations Distribution With a 3.5% Reduction

A B C D E = C + D F = E + A G = E / A H = F / B

	2015-16 Appropriation ¹	2016-17 Formula Calculation	Breakdown of 2016-17 Changes		2016-17 Change	2016-17 Recommendation	Percent Change	Percent Funded
			Outcomes Formula Adjustments	3.5% Reduction to Higher Education				
Academic Formula Units								
TBR Universities								
Austin Peay	\$36,983,700	\$59,934,200	\$833,000	(\$1,566,900)	(\$733,900)	\$36,249,800	-2.0%	60.5%
East Tennessee ²	51,078,100	81,258,600	193,700	(2,124,500)	(1,930,800)	49,147,300	-3.8%	60.5%
Middle Tennessee	85,856,700	134,452,400	(1,021,100)	(3,515,200)	(4,536,300)	81,320,400	-5.3%	60.5%
Tennessee State	32,892,000	49,857,400	(1,433,400)	(1,303,500)	(2,736,900)	30,155,100	-8.3%	60.5%
Tennessee Tech	39,297,400	63,158,300	553,600	(1,651,200)	(1,097,600)	38,199,800	-2.8%	60.5%
University of Memphis	95,139,600	152,078,500	817,500	(3,976,000)	(3,158,500)	91,981,100	-3.3%	60.5%
Subtotal	\$341,247,500	\$540,739,400	(\$56,700)	(\$14,137,300)	(\$14,194,000)	\$327,053,500	-4.2%	60.5%
Community Colleges³								
Chattanooga	\$27,449,400	\$43,504,900	\$900	(\$1,137,400)	(\$1,136,500)	\$26,312,900	-4.1%	60.5%
Cleveland	9,336,300	14,462,600	(210,800)	(378,100)	(588,900)	8,747,400	-6.3%	60.5%
Columbia	12,842,400	20,786,000	273,000	(543,400)	(270,400)	12,572,000	-2.1%	60.5%
Dyersburg	7,841,700	12,778,400	221,100	(334,100)	(113,000)	7,728,700	-1.4%	60.5%
Jackson	11,401,100	18,383,900	198,600	(480,600)	(282,000)	11,119,100	-2.5%	60.5%
Motlow	11,007,400	17,451,400	3,900	(456,300)	(452,400)	10,555,000	-4.1%	60.5%
Nashville	16,935,900	26,361,300	(302,700)	(689,200)	(991,900)	15,944,000	-5.9%	60.5%
Northeast	14,594,100	23,784,300	413,100	(621,800)	(208,700)	14,385,400	-1.4%	60.5%
Pellissippi	25,599,300	40,574,700	2,100	(1,060,800)	(1,058,700)	24,540,600	-4.1%	60.5%
Roane	18,011,800	28,397,300	(93,900)	(742,400)	(836,300)	17,175,500	-4.6%	60.5%
Southwest	25,278,600	38,808,900	(791,300)	(1,014,600)	(1,805,900)	23,472,700	-7.1%	60.5%
Volunteer	17,198,100	27,675,800	264,500	(723,600)	(459,100)	16,739,000	-2.7%	60.5%
Walters	20,967,800	32,527,900	(443,600)	(850,400)	(1,294,000)	19,673,800	-6.2%	60.5%
Community College Subtotal	\$218,463,900	\$345,497,400	(\$465,100)	(\$9,032,700)	(\$9,497,800)	\$208,966,100	-4.3%	60.5%
UT Universities								
UT Chattanooga	\$41,674,700	\$67,879,200	\$1,155,100	(\$1,774,900)	(\$619,800)	\$41,054,900	-1.5%	60.5%
UT Knoxville ²	184,890,300	292,304,400	(454,700)	(7,642,100)	(8,096,800)	176,793,500	-4.4%	60.5%
UT Martin ²	27,692,100	43,605,000	(178,600)	(1,140,000)	(1,318,600)	26,373,500	-4.8%	60.5%
Subtotal	\$254,257,100	\$403,788,600	\$521,800	(\$10,557,000)	(\$10,035,200)	\$244,221,900	-3.9%	60.5%
Total Colleges and Universities	\$813,968,500	\$1,290,025,400	\$0	(\$33,727,000)	(\$33,727,000)	\$780,241,500	-4.1%	60.5%
TN Colleges of Applied Technology	\$56,343,900	\$90,496,500	\$0	(\$1,609,000)	(\$1,609,000)	\$54,734,900	-2.9%	60.5%
Total Academic Formula Units	\$870,312,400	\$1,380,521,900	\$0	(\$35,336,000)	(\$35,336,000)	\$834,976,400	-4.1%	60.5%

1 - Recurring funding. Includes historical funding of \$2.81M for legislative initiatives. A breakdown of these initiatives by campus is included in Appendix C.

2 - Does not include recurring funds appropriated to the ETSU Gray Fossil Site (\$350K), UT Martin Parsons Center (\$200K) or to UT Knoxville for the engineering college (\$3M). These appropriations are included as Program Initiatives.

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ATTACHMENT III

2016-17 State Appropriations Distribution With a 3.5% Reduction

	A	B	C = B - A	D = C / A
Specialized Units	2015-16 Appropriation ¹	2016-17 Recommendation ¹	Total Change	Percent Change
Medical Education				
ETSU College of Medicine	\$30,166,900	\$29,528,300	(\$638,600)	-2.1%
ETSU Family Practice	6,447,000	6,343,100	(103,900)	-1.6%
UT College of Vet Medicine	17,379,800	16,912,300	(467,500)	-2.7%
UT Memphis Medical Units	134,984,800	131,564,000	(3,420,800)	-2.5%
UT College of Medicine	48,646,400	47,435,200	(1,211,200)	-2.5%
UT Family Practice	10,929,900	10,753,800	(176,100)	-1.6%
UT Memphis Other Specialized	75,408,500	73,375,000	(2,033,500)	-2.7%
Subtotal	\$188,978,500	\$184,347,700	(\$4,630,800)	-2.5%
Research and Public Service				
UT Agricultural Experiment Station	\$26,380,600	\$25,955,500	(\$425,100)	-1.6%
UT Agricultural Extension Service	32,384,200	31,862,400	(521,800)	-1.6%
TSU McMinnville Center	575,500	566,200	(9,300)	-1.6%
TSU Institute of Ag. and Environmental Research	2,340,600	2,302,900	(37,700)	-1.6%
TSU Cooperative Extension	3,207,300	3,155,600	(51,700)	-1.6%
TSU McIntire-Stennis Forestry Research	183,400	180,400	(3,000)	-1.6%
UT Space Institute	8,187,700	8,039,200	(148,500)	-1.8%
UT Institute for Public Service	5,420,500	5,333,200	(87,300)	-1.6%
UT County Technical Assistance Service	1,858,100	1,828,200	(29,900)	-1.6%
UT Municipal Technical Advisory Service	3,033,400	2,984,500	(48,900)	-1.6%
Subtotal	\$83,571,300	\$82,208,100	(\$1,363,200)	-1.6%
Other Specialized Units				
UT University-Wide Administration	\$4,859,900	\$4,781,600	(\$78,300)	-1.6%
TN Board of Regents Administration	5,465,400	5,377,300	(88,100)	-1.6%
TN Student Assistance Corporation	70,459,600	70,435,800	(23,800)	0.0%
Tennessee Student Assistance Awards	67,762,500	67,762,500	-	0.0%
Tennessee Students Assistance Corporation	1,476,300	1,452,500	(23,800)	-1.6%
Loan/Scholarships Program	1,220,800	1,220,800	-	0.0%
Endowment Scholarships	-	-	-	NA
TN Higher Education Commission	2,921,000	2,873,900	(47,100)	-1.6%
TN Foreign Language Institute	426,500	419,600	(6,900)	-1.6%
Contract Education	2,110,800	2,076,800	(34,000)	-1.6%
Subtotal	\$86,243,200	\$85,965,000	(\$278,200)	-0.3%
Total Specialized Units	\$358,793,000	\$352,520,800	(\$6,272,200)	-1.7%
Total Formula and Specialized Units	\$1,229,105,400	\$1,187,497,200	(\$41,608,200)	-3.4%
Program Initiatives				
Campus Centers of Excellence	\$17,414,600	\$17,134,000	(\$280,600)	-1.6%
Campus Centers of Emphasis	1,257,000	1,236,700	(20,300)	-1.6%
Academic Scholars Program	411,800	411,800	-	0.0%
UT Access and Diversity Initiative	5,806,700	5,713,100	(93,600)	-1.6%
TBR Access and Diversity Initiative	10,256,900	10,091,600	(165,300)	-1.6%
THEC Grants	2,278,400	2,241,700	(36,700)	-1.6%
Research Initiatives - UT	5,852,900	5,758,600	(94,300)	-1.6%
ETSU Gray Fossil Site ²	350,000	350,000	-	0.0%
UT Martin Parsons Center ²	200,000	200,000	-	0.0%
UT Knoxville College of Engineering ²	3,000,000	3,000,000	-	0.0%
Governor's Drive to 55 Initiative	3,500,000	3,500,000	-	0.0%
Subtotal	\$50,328,300	\$49,637,500	(\$690,800)	-1.4%
Total	\$1,279,433,700	\$1,237,134,700	(\$42,299,000)	-3.3%

1 - Recurring funds unless otherwise footnoted.

2 - Recurring funds appropriated to ETSU (\$350K), UT Martin (\$200K) and UT Knoxville (\$3M).

NOTE: TSAA Awards, Loan/Scholarship Program, Academic Scholars Program and Endowment Scholarships are exempt from 2016-17 reductions per F&A budget instructions.

ATTACHMENT IV

2016-17 State Appropriations Funding Scenarios

	A	B	C	D	E
				Alternative Funding Scenarios	
	Outcomes Formula Calculation	Share of Total Formula Calculation	\$40,900,000 THEC Recommendation	\$0 Flat Funding Scenario	3.5% Reduction Scenario
Academic Formula Units					
TBR Universities					
Austin Peay	\$59,934,200	4.65%	\$39,558,900	\$37,783,900	\$36,249,800
East Tennessee	81,258,600	6.30%	53,633,900	51,227,300	49,147,300
Middle Tennessee	134,452,400	10.42%	88,744,000	84,761,800	81,320,400
Tennessee State	49,857,400	3.86%	32,907,900	31,431,300	30,155,100
Tennessee Tech	63,158,300	4.90%	41,687,000	39,816,400	38,199,800
University of Memphis	152,078,500	11.79%	100,377,900	95,873,800	91,981,100
Subtotal	\$540,739,400	41.92%	\$356,909,600	\$340,894,500	\$327,053,500
Community Colleges					
Chattanooga	\$43,504,900	3.37%	\$28,715,000	\$27,426,500	\$26,312,900
Cleveland	14,462,600	1.12%	9,545,900	9,117,600	8,747,400
Columbia	20,786,000	1.61%	13,719,600	13,103,900	12,572,000
Dyersburg	12,778,400	0.99%	8,434,300	8,055,800	7,728,700
Jackson	18,383,900	1.43%	12,134,100	11,589,700	11,119,100
Motlow	17,451,400	1.35%	11,518,600	11,001,700	10,555,000
Nashville	26,361,300	2.04%	17,399,500	16,618,800	15,944,000
Northeast	23,784,300	1.84%	15,698,600	14,994,200	14,385,400
Pellissippi	40,574,700	3.15%	26,780,900	25,579,200	24,540,600
Roane	28,397,300	2.20%	18,743,400	17,902,300	17,175,500
Southwest	38,808,900	3.01%	25,615,400	24,466,000	23,472,700
Volunteer	27,675,800	2.15%	18,267,100	17,447,400	16,739,000
Walters	32,527,900	2.52%	21,469,800	20,506,300	19,673,800
Community College Subtotal	\$345,497,400	26.78%	\$228,042,200	\$217,809,400	\$208,966,100
UT Universities					
UT Chattanooga	\$67,879,200	5.26%	\$44,802,900	\$42,792,600	\$41,054,900
UT Knoxville	292,304,400	22.66%	192,932,700	184,275,300	176,793,500
UT Martin	43,605,000	3.38%	28,781,100	27,489,600	26,373,500
Subtotal	\$403,788,600	31.30%	\$266,516,700	\$254,557,500	\$244,221,900
Total Colleges and Universities	\$1,290,025,400	100.00%	\$851,468,500	\$813,261,300	\$780,241,500
TN Colleges of Applied Technology	\$90,496,500	NA	\$59,743,900	\$57,051,100	\$54,734,900
Total Academic Formula Units	\$1,380,521,900	100.00%	\$911,212,400	\$870,312,400	\$834,976,400

ATTACHMENT V

Changes in Formula Outcomes

Community Colleges

Total Outcomes	2015-16	2016-17	Change	
Students Accumulating 12 hrs	24,207	23,485	(722)	-3.0%
Students Accumulating 24 hrs	18,732	17,907	(826)	-4.4%
Students Accumulating 36 hrs	15,675	14,907	(768)	-4.9%
Dual Enrollment	14,207	15,635	1,428	10.1%
Associates	9,283	9,306	23	0.3%
Certificates 1-2 Year	792	781	(11)	-1.4%
Certificates <1 Year	2,508	2,583	75	3.0%
Job Placements	4,232	4,404	171	4.0%
Student Transfers	6,290	6,120	(170)	-2.7%
Workforce Training (Contact Hours)	786,646	704,207	(82,439)	-10.5%
Awards per 100 FTE	17.98	19.17	1.19	6.6%
Adult Focus Population				
Students Accumulating 12 hrs	6,236	5,213	(1,023)	-16.4%
Students Accumulating 24 hrs	6,224	5,296	(929)	-14.9%
Students Accumulating 36 hrs	6,074	5,209	(865)	-14.2%
Associates	5,211	5,044	(167)	-3.2%
Certificates 1-2 Year	527	512	(14)	-2.7%
Certificates <1 Year	1,610	1,595	(15)	-0.9%
Low-Income Focus Population				
Students Accumulating 12 hrs	15,441	13,583	(1,857)	-12.0%
Students Accumulating 24 hrs	12,677	11,384	(1,294)	-10.2%
Students Accumulating 36 hrs	10,879	9,812	(1,067)	-9.8%
Associates	6,437	6,316	(121)	-1.9%
Certificates 1-2 Year	477	484	7	1.5%
Certificates <1 Year	1,466	1,490	24	1.6%
Academically Underprepared Focus Population				
Students Accumulating 12 hrs	15,747	14,591	(1,156)	-7.3%
Students Accumulating 24 hrs	12,942	11,850	(1,092)	-8.4%
Students Accumulating 36 hrs	10,803	9,871	(933)	-8.6%
Associates	6,003	5,933	(70)	-1.2%
Certificates 1-2 Year	468	458	(10)	-2.1%
Certificates <1 Year	1,339	1,376	37	2.8%
One Focus Population Only				
Students Accumulating 12 hrs	7,460	7,558	98	1.3%
Students Accumulating 24 hrs	5,370	5,523	153	2.9%
Students Accumulating 36 hrs	4,333	4,391	58	1.3%
Associates	2,436	2,496	60	2.4%
Certificates 1-2 Year	239	230	(9)	-3.9%
Certificates <1 Year	833	881	48	5.7%
Two Focus Populations Only				
Students Accumulating 12 hrs	9,279	8,410	(869)	-9.4%
Students Accumulating 24 hrs	7,248	6,657	(591)	-8.1%
Students Accumulating 36 hrs	5,857	5,412	(445)	-7.6%
Associates	3,268	3,196	(72)	-2.2%
Certificates 1-2 Year	292	292	1	0.2%
Certificates <1 Year	923	925	2	0.3%
All Three Focus Populations				
Students Accumulating 12 hrs	3,802	3,003	(799)	-21.0%
Students Accumulating 24 hrs	3,993	3,231	(762)	-19.1%
Students Accumulating 36 hrs	3,903	3,226	(677)	-17.4%
Associates	2,893	2,802	(91)	-3.1%
Certificates 1-2 Year	216	213	(3)	-1.4%
Certificates <1 Year	579	577	(2)	-0.3%

ATTACHMENT V

Changes in Formula Outcomes

Universities

Total Outcomes	2015-16	2016-17	Change	
Students Accumulating 30 hrs	17,590	17,727	137	0.8%
Students Accumulating 60 hrs	18,135	18,211	75	0.4%
Students Accumulating 90 hrs	19,893	20,008	115	0.6%
Bachelors and Associates	20,923	21,244	321	1.5%
Masters / Ed Specialists	5,908	5,767	(141)	-2.4%
Doctoral / Law Degree	1,100	1,107	6	0.6%
Research and Service	\$302,289,973	\$286,636,087	(\$15,653,886)	-5.2%
Degrees per 100 FTE	20.37	20.99	0.62	3.0%
Six-Year Graduation Rate	54.9%	54.6%	(0.00)	-0.5%
Adult Focus Population				
Students Accumulating 30 hrs	1,078	967	(111)	-10.3%
Students Accumulating 60 hrs	1,978	1,846	(132)	-6.7%
Students Accumulating 90 hrs	3,821	3,692	(129)	-3.4%
Bachelors and Associates	7,316	7,343	27	0.4%
Low-Income Focus Population				
Students Accumulating 30 hrs	8,650	7,987	(664)	-7.7%
Students Accumulating 60 hrs	9,302	8,859	(443)	-4.8%
Students Accumulating 90 hrs	10,683	10,461	(221)	-2.1%
Bachelors and Associates	10,702	11,113	411	3.8%
One Focus Population Only				
Students Accumulating 30 hrs	8,109	7,670	(438)	-5.4%
Students Accumulating 60 hrs	8,179	7,942	(237)	-2.9%
Students Accumulating 90 hrs	8,562	8,458	(104)	-1.2%
Bachelors and Associates	7,937	8,203	266	3.4%
Two Focus Populations Only				
Students Accumulating 30 hrs	810	642	(168)	-20.8%
Students Accumulating 60 hrs	1,551	1,382	(169)	-10.9%
Students Accumulating 90 hrs	2,971	2,848	(123)	-4.2%
Bachelors and Associates	5,041	5,127	86	1.7%

ATTACHMENT VI

2016-17 Total Formula Revenue Analysis

Academic Formula Units	State Appropriation Recommendation ¹	Tuition Revenue ²	Out-of-State Tuition Revenue ²	Total Revenue	Total Formula Revenue Need	Difference (Short)	Percent Funded
TBR Universities							
Austin Peay	\$39,558,900	\$60,270,900	\$3,630,200	\$103,460,000	\$110,855,500	(\$7,395,500)	93.3%
East Tennessee	53,633,900	93,041,000	18,455,500	165,130,400	159,472,800	5,657,600	103.5%
Middle Tennessee	88,744,000	145,695,700	18,338,000	252,777,700	249,550,000	3,227,700	101.3%
Tennessee State	32,907,900	54,424,400	25,258,900	112,591,200	101,331,200	11,260,000	111.1%
Tennessee Tech	41,687,000	77,431,300	17,873,300	136,991,600	119,610,000	17,381,600	114.5%
University of Memphis	100,377,900	151,997,200	7,856,300	260,231,400	290,858,900	(30,627,500)	89.5%
Subtotal	\$356,909,600	\$582,860,500	\$91,412,200	\$1,031,182,300	\$1,031,678,400	(\$496,100)	100.0%
Community Colleges							
Chattanooga	\$28,715,000	\$30,288,700	\$811,600	\$59,815,300	\$66,474,600	(\$6,659,300)	90.0%
Cleveland	9,545,900	10,272,500	338,800	20,157,200	21,765,100	(1,607,900)	92.6%
Columbia	13,719,600	14,775,500	488,400	28,983,500	31,331,900	(2,348,400)	92.5%
Dyersburg	8,434,300	8,776,300	88,900	17,299,500	19,237,200	(1,937,700)	89.9%
Jackson	12,134,100	13,821,500	87,600	26,043,200	27,662,900	(1,619,700)	94.1%
Motlow	11,518,600	14,445,200	402,500	26,366,300	26,315,200	51,100	100.2%
Nashville	17,399,500	28,382,300	1,081,800	46,863,600	39,879,900	6,983,700	117.5%
Northeast	15,698,600	21,635,500	58,600	37,392,700	35,688,500	1,704,200	104.8%
Pellissippi	26,780,900	31,561,800	2,991,700	61,334,400	61,369,200	(34,800)	99.9%
Roane	18,743,400	17,979,300	429,500	37,152,200	42,827,900	(5,675,700)	86.7%
Southwest	25,615,400	31,039,400	2,786,900	59,441,700	58,445,600	996,100	101.7%
Volunteer	18,267,100	26,537,300	1,052,100	45,856,500	41,864,400	3,992,100	109.5%
Walters	21,469,800	20,522,600	451,200	42,443,600	48,967,700	(6,524,100)	86.7%
Community College Subtotal	\$228,042,200	\$270,037,900	\$11,069,600	\$509,149,700	\$521,830,100	(\$12,680,400)	97.6%
UT Universities							
UT Chattanooga	\$44,802,900	\$75,824,100	\$6,756,000	\$127,383,000	\$126,742,000	\$641,000	100.5%
UT Knoxville	192,932,700	272,971,100	41,442,600	507,346,400	551,051,200	(43,704,800)	92.1%
UT Martin	28,781,100	49,550,300	5,012,700	83,344,100	81,537,200	1,806,900	102.2%
Subtotal	\$266,516,700	\$398,345,500	\$53,211,300	\$718,073,500	\$759,330,400	(\$41,256,900)	94.6%
TN Colleges of Applied Technology	\$59,743,900	\$30,928,900	\$0	\$90,672,800	\$112,791,000	(\$22,118,200)	80.4%
Total Academic Formula Units	\$911,212,400	\$1,282,172,800	\$155,693,100	\$2,349,078,300	\$2,425,629,900	(\$76,551,600)	96.8%

1 - Recurring; accounts for recommended \$40.9M in additional funding for formula units.

2 - Assumes 3% tuition increases, 0% enrollment increases at Universities, and 3% enrollment increases at Community Colleges and TN Colleges of Applied Technology in 2016-17.

Appendix A

Tennessee Higher Education Commission

2015-2020 Outcomes-Based Funding Formula Overview

Introduction

Immediately following the passage of the Complete College Tennessee Act of 2010 (CCTA) — a law which in part stipulates that higher education institutions be funded based on outcomes rather than enrollment — the Tennessee Higher Education Commission (THEC) convened a Formula Review Committee (FRC) consisting of institutional, system and governmental stakeholders to provide counsel on the creation of an outcomes-based funding formula. THEC also solicited advice and feedback from all university and community college presidents and chancellors. Through this process THEC produced a formula that funds institutions based on metrics that measure success as well as weights that reflect institutions' priorities and missions.

Since 2010, THEC has convened the FRC annually to review the strengths and weaknesses of the formula, with plans to implement any structural changes after the first five-year cycle. That five-year cycle came to an end with the distribution of FY 2015-16 appropriations in November 2014. Beginning in February 2015, the 2015-2020 FRC (see membership in Appendix A) proposed and reviewed changes to the current model. THEC also requested frequent feedback and advice from all institutions' presidents and chancellors, and discussed all proposed changes from these meetings with the Statutory Formula Review Committee, a formal committee charged with reviewing and recommending changes to the formula (see Appendix B).

THEC staff presented the basic framework and structure of the proposed 2015-2020 Outcomes-Based Funding Formula model to commissioners at the July 2015 Quarterly Commission Meeting. Since the approval by the Commission at the July meeting, all components of the 2015-2020 formula have been finalized. The finalized components are detailed below and are summarized in Appendices C and D.

Outcomes

The outcomes for both sectors remain largely intact. Modifications include several definitional changes and two outcome removals.

Community College Sector

In the 2010-2015 model, only academic and technical short-term certificates (those requiring fewer than 24 semester credit hours) that represented the highest award earned at the time of a student's stop-out were counted. In the 2015-2020 model, *all* technical certificates will be counted, whether

awarded to students who then stopped out or who continued taking classes at any institution. Short-term certificates identified as academic in nature will not be counted as part of the short-term certificate metric as they are awarded to students who intend to transfer — a measurement of success that is its own outcome.

Members of the FRC expressed an interest in removing non-degree-seeking students, such as dual enrollment students, from the full-time enrollment metric used in the Awards per 100 FTE outcome. Due to improvements to the THEC Student Information System the 2015-2020 model will only count degree-seeking undergraduate students in the Awards per 100 FTE outcome.

Finally, in an effort to better capture a community college's success in remediating students, the Remedial and Development Success outcome will be replaced with an Academically Underprepared focus population. In the 2010-2015 model, a student who enrolled in a remedial or developmental course and then completed at least one college-level course during any of the following three academic years was considered successfully remediated and counted as an outcome. Today community colleges engage in learning development for underprepared students in methods that occur outside of a remedial course (e.g. SAILS, or Seamless Alignment and Integrated Learning Support, offered to high school students by community colleges throughout the state). To recognize these innovative interventions, the 2015-2020 model will instead reward community colleges with an applied premium when academically underprepared students attain different progression metrics or earn an award.

University Sector

THEC identified the Transfers Out outcome from the university sector as an outcome that did not necessarily represent an accurate measurement of success at universities. Because of this, the outcome will be removed from the university model for 2015-2020.

To encourage on-time completion at the university sector, the 24-, 48- and 72-credit hour progression metrics will change to 30-, 60- and 90-credit hour progression metrics. These progression points better represent the number of hours students must earn within an academic year to complete a bachelor's degree in four years.

Finally, as in the community college sector, the university sector's Degrees per 100 FTE outcome will be refined within the FTE metric to recognize only degree-seeking students.

Focus Populations & Premiums

The 2010-2015 model applied a premium of 40 percent to an institution's progression metrics and awards (certificates, associates and bachelors) whenever a low-income student or an adult persisted or completed. These two populations of students were recognized as "subpopulations." In the 2015-2020 model, these groups of students will instead be referred to as "focus populations," to highlight the significance of their success to completion initiatives across Tennessee.

As discussed above, an additional focus population will be added to the community college sector: Academically Underprepared. A student is identified as academically underprepared if s/he meets one of three criteria: the community college identifies the student as requiring remediation; a student scores an 18 or below on the ACT Composite; or a student scores an 18 or below on the ACT Reading or Mathematics component, or a 17 or below on the ACT Writing component.

Discussion ensued within the FRC and during the Quarterly Commission meeting as to whether universities should also be rewarded for success with academically underprepared students. After in-depth discussion with all stakeholders, THEC decided to study the issue further and will not include academically underprepared as a focus population for universities at this time.

Finally, the FRC recommended to THEC that the 40 percent premium level be increased based on feedback from campus officials throughout the 2010-2015 cycle who believed a higher premium level would be more appropriate. The 2015-2020 model will employ *elevated* and *graduated* premium levels: students who qualify for one focus population will garner an 80 percent premium; students who qualify for two will garner a 100 percent premium; and students who qualify for three — at community colleges only — will garner a 120 percent premium.

Weights

CCTA stipulates that outcomes must be weighted to reflect mission differentiation. During the formula review process, college presidents and chancellors were asked to prioritize the 2015-2020 outcomes and to provide narratives describing how the priorities reflect their institutions' missions. The University of Tennessee and Tennessee Board of Regents systems also reviewed their respective institutions' responses to verify and validate the campuses' priorities.

Weights at universities are based on a combination of the prioritized outcomes and on Carnegie classification. In the community college sector weights are largely based on institutional mission. Officials from TBR recommended that weights for certain outcomes be prioritized and standardized across the community college sector to reflect the needs of statewide completion initiatives, including Drive to 55 and CCTA: Associate degrees are weighted at 22.5 percent; progression metrics sum to 15 percent for all community colleges; and Long-term and Short-term certificates sum to 20 percent, with differentiation between the two certificate types based on institutional priority and historical performance. See Appendix E for each institution's weight structure.

Removal of Salary Monetization and Out-of-State Tuition

In the 2010-2015 model, each institution's total weighted outcomes were monetized using a salary multiplier based on institutional peer data collected by the Southern Regional Education Board. Members of the FRC proposed removing the multiplier since it introduced unwanted volatility from other states' salary policies and therefore shifted state funding based on changes to the SREB median faculty salary rather than outcome production. The 2015-2020 model will no longer rely on a salary multiplier to monetize the outcomes.

The 2010-2015 model also deducted out-of-state tuition from each institution based on the number of full-time equivalent students identified by the state as paying out-of-state tuition. Members of the FRC suggested that the deduction discouraged institutions from enrolling out-of-state students — students who as degree completers would contribute to the state economy as well as the Drive to 55 initiative. The 2015-2020 model therefore excludes the out-of-state tuition deduction.

Scales

In addition to serving the purpose of comparing outcomes of varying magnitudes (e.g. Research and Services in the millions to Doctoral/Law Degrees in the dozens), the 2010-2015 scales were used in part to help calibrate the new outcomes-based funding formula to the old enrollment-based funding formula. This decision required the use of estimated values for scales.

With the reworking of the underlying structure of the 2015-2020 model to allow for the removal of salary monetization, the model can now be calibrated without the use of scales and mathematically-derived scales can be implemented.

The 2015-2020 model uses an historic data set (a ten-year history for most outcomes) to determine the average standard deviations of all outcomes across each sector. These averages were used in determining the scales. Most outcomes use the exact mathematically-derived scales while a few are altered to provide parity between the sectors or to reflect observed and anticipated volatility.

The process used to analyze and review changes to the outcomes model allowed all stakeholders to play a significant role in creating the 2015-2020 model. This model does not differ greatly from the 2010-2015 model, but more effectively rewards institutions for outcome success while reflecting the input from these stakeholders.

Appendix B
2016-17 Non-formula Units Strategic Initiatives

System Priority	System	Institution	Project Name	Total Cost	Project Description
1	TBR	ETSU College of Medicine	Pediatric and Children's Services	\$583,600	The Mountain States Health System has initiated an increased presence for the Children's Hospital in Johnson City and they have requested the College of Medicine to collaborate with them by expansion of services. These services enhance the College of Medicine education program and the training of residents. This collaboration has resulted in a significant investment by the hospital system and requires the College of Medicine to match their funding. The end result is significant improvement in training at a lower cost than if fully supported by the College of Medicine. Project will fund six faculty or staff members.
2	TBR	TSU Institute of Agricultural and Environmental Research	Required Federal Match	\$1,039,000	This request is for an increase in state funding to fully match available federal funds (minimum 1:1 match) that are apart of TSU's land grant designation and mission. These funds are federally required to be used to create new knowledge, share that new scientific knowledge with the general public, and foster workforce development in the areas of: (1) food security; (2) environmental sustainability; (3) renewable energy; (4) food safety; and (5) human health and nutrition/obesity. These federal and state funds have improved Tennessee State University's capacity to meet Drive to 55 by providing talented faculty who in turn attract bright students to agriculture and related disciplines. With match funding, TSU will be able to continue to teach students the high-tech skills needed in such areas as biotechnology, geo-spatial sciences, remote sensing, and others. Importantly, these funds will continue to help minority students be educated in these high demand STEM areas. In the area of extension services, TSU has been able to increase its presence from 11 counties in 2008 to 50 counties in 2015. In collaboration with the University of Tennessee, and with the aid of this state investment, the goal is to expand into all 95 counties.
1	UT	UT-System	Business Intelligence System	\$500,000	The University of Tennessee is currently developing a strategy for a comprehensive Business Intelligence system. It will standardize access to data in multiple information systems at all UT campuses and institutes (such as human resources, finance, student records, research, financial aid, advancement, and facilities) and incorporate tools for data extraction, analysis, and visualization. Accurate, actionable and timely data is vital for good stewardship and purposeful use of resources. This is more true than ever for the University of Tennessee as it works to reinvent its business model and explores every possible way to be efficient, effective and entrepreneurial. We estimate that annual recurring costs for licensing/subscription fees, maintenance, and periodic enhancements could exceed \$1 million. The University requests partial funding of \$500,000 recurring to support its ongoing effort to become a data-driven organization.
2	UT	UT Institute of Agriculture and UT College of Veterinary Medicine	Governor's Rural Challenge: Advancing the Agricultural Economy	\$3,853,500	This initiative expands the UT Institute of Agriculture's (UTIA) ability to assist with the implementation of the Governor's Rural Challenge to advance rural Tennessee's economy. The Governor's Rural Challenge is a 10-year strategic plan that emphasizes opportunities to increase agricultural income and agribusiness investment through practical, affordable and actionable steps to boost rural economic activity. This initiative also supports the work of the Governor's Rural Task Force, providing valuable research, service and education to rural communities which depend on agriculture and natural resources as a primary industry. The funds will support the additional faculty and staff that achieve specific goals and actions recommended by the Task Force: to expand marketing opportunities for Tennessee producers and encourage new production systems and agribusiness.
*	TBR	TBR-System	Workforce Development Assistant Vice Chancellor	\$200,000	Recurring funding is requested to create a position that serves as the Tennessee Board of Regents workforce development "single point of contact." This position would coordinate the efforts of various state agencies and TBR institutions, including TN Colleges of Applied Technology, community colleges and universities, in responding to the needs of the State in its economic development activities. This position would also support the work of the Middle Tennessee skills panel and the Labor Education Alignment Program (LEAP).

Appendix C

Legislative Initiatives Included in Funding Formula

This appendix presents legislative initiatives that historically have been distributed through the funding formula. Projects identified for distribution outside the funding formula or those appropriated to non-formula units are excluded.

	Initiative	Funding
TBR Universities		
Middle Tennessee	Small Business Development Center	\$ 270,800
	Center for Dyslexic Studies	218,700
Tennessee State	Cooperative Agriculture	\$ 50,000
	Center on Aging	37,000
	Upward Bound	31,800
	Intracampus Transportation	75,500
	Academically-Talented Student Scholarships	832,000
Tennessee Tech	Horticultural Research	\$ 92,300
	Joe L. Evins Center	608,600
University of Memphis	Seismic Safety Commission	\$ 65,000
Subtotal		\$ 2,281,700
Community Colleges		
Columbia	Collegiate Center	\$ 72,700
Roane	Oak Ridge Campus Operations	\$ 150,000
Subtotal		\$ 222,700
UT Universities		
UT Martin	Ripley Center	\$ 310,000
Subtotal		\$ 310,000
Total Funding		\$ 2,814,400

DATE: November 19, 2015

SUBJECT: 2016-17 Student Fee Recommendations

ACTION RECOMMENDED: Approval

BACKGROUND INFORMATION

The Complete College Tennessee Act requires THEC to make student fee and state appropriation recommendations concurrently. Numerous factors impact the tuition recommendation including affordability and financial aid, the income profile of students attending Tennessee public institutions, and institutional revenues and cost inflation.

Average full-time, annual tuition and mandatory fees for 2015-16 is \$8,690 at public universities, \$4,121 at community colleges and \$3,554 at TCATs. Tennessee’s public higher education tuition and fee levels are considered average compared to peers across the states in the Southern Regional Education Board. Over the last five years, tuition and mandatory fees have increased an average of five to seven percent across the sectors, while state appropriations have increased an average of nearly four percent per year.

Tennessee’s financial aid resources are among the highest in the US. According to data provided by the National Association of State Student Grant Aid Programs (NASSGAP), Tennessee had the ninth largest financial aid program in the nation, and the fourth largest per capita. Funding for the lottery scholarship and the need-based grant, the Tennessee Student Assistance Award, comprise the majority of financial aid. In part due to these funding levels, Tennessee college graduates had the 15th lowest debt level in the US, according to data published by the Project on Student Debt. It should be noted, however, that no data is available for debt among students who do not graduate.

Taking into account an appropriations request of \$40.9 million, THEC staff recommends increases in tuition (commonly referred to as maintenance fees at Tennessee public higher education institutions) of zero to three percent at universities, community colleges and the colleges of applied technology. Scenarios for tuition increases in 2016-17 of zero, one and a half, and three percent are presented and summarized in Attachment I. Attachment II presents estimated tuition levels under flat and reduction scenarios as well.

ATTACHMENT I

2016-17 Tuition Recommendation

THEC Recommendation Summary

Universities	0% to 3% Tuition Increase
CCs	0% to 3% Tuition Increase
TCATs	0% to 3% Tuition Increase

Tuition and Fee Levels

	2015-16		2016-17 Scenarios		
	Mandatory Fees	Tuition	Tuition Increase ¹		
			= 0%	= 1.5%	= 3%
APSU	\$1,453	\$6,348	\$7,801	\$7,896	\$7,991
ETSU²	1,504	6,828	8,332	8,434	8,537
MTSU	1,648	6,756	8,404	8,505	8,607
TSU	1,039	6,378	7,417	7,513	7,608
TTU	1,171	7,182	8,353	8,461	8,568
UM	1,583	7,686	9,269	9,384	9,500
UTC	1,732	6,624	8,356	8,455	8,555
UTM	1,408	6,918	8,326	8,430	8,534
UTK³	1,758	10,190	11,948	12,101	12,254
CC Avg	293	3,828	4,121	4,178	4,236
TCATs	230	3,324	3,554	3,604	3,654

1 - Percent increase applied to tuition and not to the mandatory fees.

2 - ETSU is phasing in mandatory fees approved for the renovation of the DP Culp Center. Freshman and Sophomores are paying an additional debt service fee of \$240 and an additional Student Activity fee of \$50 in FY16. As these classes progress, the additional fees will remain part of the mandatory fees.

3 - The tuition rates for students admitted in the Fall of 2013 and later are flat rates for 15 semester credit hours, regardless of the number of credit hours taken by the student. This policy ("Fifteen in Four") was approved in 2012 by the UT Board for introduction in Fall 2013. The tuition rate presented here is a weighted average.

Note: Tuition is used here for ease of understanding though UT and TBR use the term maintenance fee.

ATTACHMENT II

2016-17 Tuition Model Analysis Scenarios

The following scenarios utilize the THEC Tuition Model to estimate the tuition increase required to maintain the 2015-16 estimated total revenue per FTE. The scenarios assume a 0% enrollment growth at universities, a 3% enrollment growth at community colleges and colleges of applied technology, and a 2.2% increase in costs inflation at all institutions. This analysis is presented for information and is meant to provide guidance on the tuition recommendation analysis.

Average Increase Needed With a \$40.9M (4.7%) Increase in State Appropriations

Model Assumptions	Universities	CCs	TCATs
Costs Inflation	2.2%	2.2%	2.2%
Enrollment	0.0%	3.0%	3.0%
State Appropriations	4.7%	4.4%	6.0%
Average Tuition Rate Increase	0.8%	3.0%	0.7%

Average Increase Needed With Overall Flat Appropriations

Model Assumptions	Universities	CCs	TCATs
Costs Inflation	2.2%	2.2%	2.2%
Enrollment	0.0%	3.0%	3.0%
State Appropriations	0.0%	-0.3%	1.3%
Average Tuition Rate Increase	3.8%	7.0%	10.2%

Average Increase Needed With a \$35.3M (4.1%) Reduction in Appropriations

Model Assumptions	Universities	CCs	TCATs
Costs Inflation	2.2%	2.2%	2.2%
Enrollment	0.0%	3.0%	3.0%
State Appropriations	-4.1%	-4.3%	-2.9%
Average Tuition Rate Increase	6.3%	10.4%	18.4%

Note: The recommendation is based on an assumed costs inflation rate of 2.2% as determined by the Higher Education Price Index (HEPI). HEPI, a traditionally referenced inflation index produced by Commonfund, an institutional investment firm, measures changes in costs in higher education by tracking eight categories of operational expenses, including salaries for employees, fringe benefits, utilities, and supplies and materials.

ATTACHMENT III

Tuition and Mandatory Fees History

Tuition and Mandatory Fees History

	2010-11	2013-14	2014-15	2015-16	1 Year Change	5 Year Change
APSU	\$6,228	\$7,158	\$7,462	\$7,801	4.5%	25.3%
ETSU ¹	6,004	7,543	7,985	8,332	4.3%	38.8%
MTSU	6,478	7,840	8,188	8,404	2.6%	29.7%
TSU	5,854	6,774	7,224	7,417	2.7%	26.7%
TTU	6,036	7,383	7,985	8,353	4.6%	38.4%
UM	6,990	8,666	8,973	9,269	3.3%	32.6%
UTC	6,062	7,555	8,138	8,356	2.7%	37.8%
UTM	6,190	7,514	8,024	8,326	3.8%	34.5%
UTK ²	7,382	10,062	11,003	11,948	8.6%	61.9%
CC Avg	3,211	3,787	3,992	4,121	3.2%	28.3%
TCATs	2,735	3,176	3,425	3,554	3.8%	29.9%

1 - ETSU is phasing in mandatory fees approved for the renovation of the DP Culp Center. Freshman and Sophomores will pay an additional debt service fee of \$240 and an additional Student Activity fee of \$50 in FY16. As these classes progress, the additional fees will remain part of the mandatory fees.

2 - The tuition rates for students admitted in the Fall of 2013 and later are flat rates for 15 semester credit hours, regardless of the number of credit hours taken by the student. This policy ("Fifteen in Four") was approved in 2012 by the UT Board for introduction in Fall 2013. The tuition rate presented here is a weighted average.

Mandatory Fees Only History

	2010-11	2013-14	2014-15	2015-16	1 Year Change	5 Year Change
APSU	\$1,224	\$1,284	\$1,264	\$1,453	15.0%	18.7%
ETSU ¹	1,000	1,345	1,355	1,504	11.0%	50.4%
MTSU	1,474	1,618	1,636	1,648	0.7%	11.8%
TSU	850	930	1,026	1,039	1.3%	22.2%
TTU	1,032	1,287	1,543	1,171	-24.1%	13.5%
UM	1,212	1,256	1,563	1,583	1.3%	30.6%
UTC	1,150	1,490	1,708	1,732	1.4%	50.6%
UTM	1,058	1,178	1,308	1,408	7.6%	33.1%
UTK	932	1,414	1,510	1,758	16.4%	88.6%
CC Avg	271	283	290	293	1.0%	8.1%
TCATs	200	230	230	230	0.0%	15.0%

DATE: November 19, 2015

SUBJECT: 2016-17 Capital Project Recommendations

ACTION RECOMMENDED: Approval

BACKGROUND INFORMATION

Capital projects are broadly categorized according to the scope of the project and funding source. State appropriations fund capital outlay projects, which consist of new construction or significant renovation of existing facilities, as well as capital maintenance projects which repair and replace systems and structures on existing facilities, such as new roofs or HVAC systems. The third type of capital project, referred to as a disclosed project, is distinguished by its funding source, which does not include state funding. These are typically projects related to various auxiliary functions on a campus, such as dorms, parking or athletics. Since the project must be funded without direct state appropriations, the institution signals its intent to initiate the project and present it for approval at the State Building Commission. This declaration of intent is disclosed to the Governor and the General Assembly, even though no state funding is requested.

In early 2015, Governor Haslam convened a Capital Task Force on Higher Education Infrastructure and Capacity and charged its members with developing long-term strategies to address higher education capital and facilities issues. The Capital Task Force broadened the definition of capital projects to address not only infrastructure but higher education’s ability to deliver and expand program capacity in order to meet Tennesseans’ workforce and education needs. The capital recommendations below incorporate policy options and themes considered by the Capital Task Force.

RECOMMENDATION SUMMARY

Capital Outlay

The capital outlay recommendation for 2016-17 totals \$379.3 million. As shown in Attachment I, this includes four projects for the Tennessee Board of Regents (TBR) totaling \$144.0 million (38 percent of the total), four projects

for the University of Tennessee (UT) system totaling \$225.4 million (59 percent of the total), and, for the top THEC priority, a statewide Drive to 55 Program Capacity Fund totaling \$10.0 million.

Drive to 55 Program Capacity Fund

The Capital Task Force endorsed a policy to establish an annual Drive to 55 Program Capacity Fund — a capital outlay project to be prioritized by THEC as the top request. The fund would be distributed to institutions for specific projects that enhance the workforce development and education attainment capabilities needed to meet the underlying goals of the Drive to 55 and the State Master Plan. Examples of these projects may be startup costs for new academic programs, equipment acquisitions for new or established programs, or renovations of or expansions of space in existing buildings.

Should the request be funded THEC staff will present for approval to Commissioners a detailed process by which to distribute the Drive to 55 Program Capacity Funds. An example of a process is that THEC receives requests for proposals on a quarterly basis, distributing grants of up to a few million dollars to recipients each quarter throughout the fiscal year. The process could utilize the Workforce Subcabinet — which includes representatives from TBR, UT, THEC, the Governor's Office, the Department of Labor and Workforce Development, and the Department of Economic and Community Development — to select recipients. All institutions — both formula and non-formula units — will be eligible to apply.

System-level Capital Outlay Projects

All system-level capital outlay projects include an institutional matching component applicable to the first \$75 million of the total project cost. THEC intends that TBR and UT have flexibility to craft the specific parameters of the matching component, though matching funds should largely consist of private gifts, grants and institutional funds.

In 2015-16, all six capital outlay projects recommended by THEC were funded, totaling \$171.9 million. Two additional projects — equipment purchases for TN Colleges of Applied Technology (\$5.0 million) and the TN Aerothermodynamics Laboratory at UT Space Institute (\$1.0 million) — were funded outside of the THEC recommendation.

Capital Maintenance

Tennessee has consistently funded maintenance projects at a high level. Since 2006-07, capital maintenance funding has averaged \$46.0 million per year. Last year, \$55.5 million of the \$132.9 million recommended by THEC in capital maintenance was allocated by the General Assembly. A consistent theme discussed within the Capital Task Force, however, was the critical level of deferred maintenance. Estimates from TBR and UT suggest that nearly \$500 million of deferred maintenance exist in each system. The Capital Task Force agreed, therefore, that Tennessee should continue to appropriately fund capital maintenance.

The 2016-17 recommendation for capital maintenance for TBR and UT is \$153.8 million. As shown in Attachment IV, this includes 87 projects for TBR totaling \$95.5 million — or 62 percent of the total — and 12 projects for UT totaling \$58.3 million — or 38 percent of the total. Meeting this request will allow each system to limit increases in deferred maintenance.

Disclosure of Revenue-Funded Projects

Projects of this nature are funded through institutional funds, the Tennessee State School Bond Authority, auxiliary funds, or sources other than state appropriations. For 2016-17, TBR and UT are disclosing 42 revenue-funded projects totaling \$120.0 million. As shown in Attachment V, the listing includes 26 revenue-funded projects totaling \$19.9 million for TBR, and 8 revenue-funded projects totaling \$23.9 million for UT. TBR is also disclosing planning funds for three future capital outlay projects totaling \$6.5 million.

Both systems are also disclosing projects identified for funding through the Tennessee School Bond Authority (TSSBA). For 2016-17, TBR is disclosing one project partially funded by TSSBA funds for \$12.0 million, and UT is disclosing four TSSBA-funded projects, totaling \$57.8 million.

ATTACHMENT I

THEC 2016-17 Capital Projects Recommendation Summary

THEC Priority	Capital Outlay	Total Project Cost	2016-17 Project Cost ¹	Match	Total Match Funds ²	Previous Years Match Funds ³	2016-17 Match Funds	State Funds Request
1	* Statewide Drive to 55 Program Capacity Fund	\$ 10,000,000	\$ 10,000,000	NA	NA	NA	NA	\$ 10,000,000
2	UT UTC Academic Classroom Building Renovation (Lupton/Fine Arts)	37,910,000	37,910,000	25%	9,478,000	2,000,000	7,478,000	28,432,000
3	TBR TSU Health Sciences Facility	38,800,000	38,800,000	25%	9,700,000	0	9,700,000	29,100,000
4	UT UTHSC Dentistry Faculty Practice/Research Building	41,000,000	41,000,000	10%	4,100,000	2,000,000	2,100,000	34,700,000
5	TBR TTU Laboratory Science Building and Infrastructure	90,000,000	90,000,000	25%	18,750,000	4,500,000	14,250,000	71,250,000
6	TBR ETSU Lamb Hall Renovation	23,000,000	23,000,000	25%	5,750,000	0	5,750,000	17,250,000
7	UT UTK Engineering Services Facility	110,000,000	110,000,000	25%	18,750,000	3,000,000	15,750,000	91,250,000
8	TBR UM Biochemistry and Biology Facility	36,000,000	35,150,000	25%	8,788,000	1,200,000	7,588,000	26,362,000
9	UT UTIA Energy and Environmental Science Education Research Center (Ellington)	78,500,000	78,500,000	10%	7,500,000	2,000,000	5,500,000	71,000,000
TBR Total		\$ 187,800,000	\$ 186,950,000	25%	\$ 42,988,000	\$ 5,700,000	\$ 37,288,000	\$ 143,962,000
UT Total		\$ 267,410,000	\$ 267,410,000	10%-25%	\$ 39,828,000	\$ 9,000,000	\$ 30,828,000	\$ 225,382,000

Capital Outlay Planning Funds	Total Project Cost	2016-17 Project Cost ¹	Match	Total Match Funds ²	Institutional Planning Funds ⁴	Remaining Match Funds	State Funds Request
TBR MTSU Academic Classroom Building	\$ 30,500,000	NA	25%	\$ 7,625,000	\$ 1,600,000	\$ 6,025,000	NA
TBR CCs Community College Additions and Renovations	29,880,000	NA	10%	2,988,000	2,988,000	0	NA
TBR TCATs TCAT Improvements Phase II	45,800,000	NA	5%	2,290,000	1,920,000	370,000	NA
TBR Total	\$ 106,180,000	NA	5%-25%	\$ 12,903,000	\$ 6,508,000	\$ 6,395,000	NA

Capital Maintenance	Total	Projects	State Funds Request
TBR Total	\$ 95,470,000	87	\$ 95,470,000
UT Total	\$ 58,330,000	12	\$ 58,330,000

Total	Total	Total Match Funds ¹	Projects	State Funds Request
Total Capital Outlay	\$ 465,210,000	\$ 464,360,000	9	\$ 379,344,000
Total Capital Outlay Planning Funds	\$ 106,180,000	NA	3	NA
Total Capital Maintenance	\$ 153,800,000	NA	99	\$ 153,800,000
Total Capital Investment	\$ 725,190,000	\$ 464,360,000	111	\$ 533,144,000

1 - 2016-17 Project Cost is lower than Total Project Cost when an institution received funding from state appropriations or other sources in the years prior to the 2012-13 match requirement. The match component is based on the 2016-17 Project Cost.

2 - Match is required only on the first \$75 million of each capital outlay project. Total Match Funds consist of previous years match funds and 2016-17 match funds.

3 - Institutional funding expended since 2011-12 for project planning.

4 - Funds disclosed in 2016-17 that will be used to meet the requirements of the match.

ATTACHMENT II
2016-17 THEC Capital Outlay Projects Recommendation

THEC Priority	System Priority	Institution	Project Name	A	B	C = A - B	D	E = C * D	F + G = E		H = C - E
				Total Project Cost	Previous Years Funding	2016-17 Project Cost	Match Percentage	Total Match Funds ¹	Previous Years Match Funds ²	2016-17 Match Funds	State Appropriation Request
1	*	Statewide	Drive to 55 Program Capacity Fund	\$ 10,000,000	\$ -	\$ 10,000,000	NA	NA	NA	NA	\$ 10,000,000
2	1	UTC	Academic Classroom Building Renovation (Lupton/Fine Arts)	\$ 37,910,000	\$ -	\$ 37,910,000	25%	\$ 9,478,000	\$ 2,000,000	\$ 7,478,000	\$ 28,432,000
3	1	TSU	Health Sciences Facility	\$ 38,800,000	\$ -	\$ 38,800,000	25%	\$ 9,700,000	\$ -	\$ 9,700,000	\$ 29,100,000
4	2	UTHSC	Dentistry Faculty Practice/Research Building	\$ 41,000,000	\$ -	\$ 41,000,000	10%	\$ 4,100,000	\$ 2,000,000	\$ 2,100,000	\$ 34,700,000
5	2	TTU	Laboratory Science Building and Infrastructure	\$ 90,000,000	\$ -	\$ 90,000,000	25%	\$ 18,750,000	\$ 4,500,000	\$ 14,250,000	\$ 71,250,000
6	3	ETSU	Lamb Hall Renovation	\$ 23,000,000	\$ -	\$ 23,000,000	25%	\$ 5,750,000	\$ -	\$ 5,750,000	\$ 17,250,000
7	3	UTK	Engineering Services Facility	\$ 110,000,000	\$ -	\$ 110,000,000	25%	\$ 18,750,000	\$ 3,000,000	\$ 15,750,000	\$ 91,250,000
8	4	UM	Biochemistry and Biology Facility	\$ 36,000,000	\$ 850,000	\$ 35,150,000	25%	\$ 8,788,000	\$ 1,200,000	\$ 7,588,000	\$ 26,362,000
9	4	UTIA	Energy and Environmental Science Education Research Center (Ellington)	\$ 78,500,000	\$ -	\$ 78,500,000	10%	\$ 7,500,000	\$ 2,000,000	\$ 5,500,000	\$ 71,000,000
2016-17 Special Project Total				\$ 10,000,000	\$ -	\$ 10,000,000	NA	NA	NA	NA	\$ 10,000,000
2016-17 TBR Total				\$ 187,800,000	\$ 850,000	\$ 186,950,000	25%	\$ 42,988,000	\$ 5,700,000	\$ 37,288,000	\$ 143,962,000
2016-17 UT Total				\$ 267,410,000	\$ -	\$ 267,410,000	10%-25%	\$ 39,828,000	\$ 9,000,000	\$ 30,828,000	\$ 225,382,000
2016-17 THEC Capital Outlay Projects Recommendation				\$ 465,210,000	\$ 850,000	\$ 464,360,000	10%-25%	\$ 82,816,000	\$ 14,700,000	\$ 68,116,000	\$ 379,344,000

1 - Match is required only on the first \$75 million of each capital outlay project. Total Match Funds consist of previous years match funds and 2016-17 match funds.

2 - Institutional funding expended since 2011-12 for project planning.

ATTACHMENT III
THEC 2016-17 Capital Outlay Projects Descriptions

THEC Priority	System Priority	System	Institution	Project Name	Total Project Cost	State Request	Project Description
1	*	*	Statewide	Drive to 55 Program Capacity Fund	\$ 10,000,000	\$ 10,000,000	The Capital Task Force endorsed a policy to establish an annual Drive to 55 Program Capacity Fund — a capital outlay project to be prioritized by THEC as the top request. The fund will be distributed to both formula and nonformula institutions that identify specific projects that enhance the workforce development and education attainment capabilities needed to meet the underlying goals of the Drive to 55 and the State Master Plan. Examples of these projects may be startup costs for new academic programs, equipment acquisitions for new or established programs, or renovations of or expansions of space in existing buildings.
2	1	UT	UTC	Academic Classroom Building Renovation (Lupton/Fine Arts)	\$ 37,910,000	\$ 28,432,000	This project expands floor space for the Departments of Art, Theatre, and Music and adds general classrooms and offices for the liberal arts departments. The renovation will take place in the existing Lupton Library (116,000 square feet) and Fine Arts Center (72,300 square feet). The renovation includes the replacement of all mechanical, electrical, and plumbing systems, as well as building finishes, fire alarms, and lighting. Life Safety Code upgrades are also included as necessary. The Fine Arts Center has structural, ceiling, lighting, HVAC, and telecommunication systems that must be upgraded. Additionally, two large theatres and a costume shop must be made ADA compliant. This project also includes the development and build-out of two-story spaces in the art, theatre, and music wings.
3	1	TBR	TSU	Health Sciences Facility	\$ 38,800,000	\$ 29,100,000	This new facility will house the health science programs of nursing, occupational therapy, physical therapy, cardio-respiratory, and health management. The building will include all industry-standard laboratories, model medical facilities, and IT infrastructures needed to prepare students for professional employment. This project demolishes Elliott Hall (56,000 square feet) and a portion of Clement Hall (14,000 square feet). These present buildings suffer from inadequacies in the HVAC system (AASHRAE non-compliant), overcrowding, and mounting deferred maintenance.
4	2	UT	UTHSC	Dentistry Faculty Practice/Research Building	\$ 41,000,000	\$ 34,700,000	This project concerns the construction of a new College of Dentistry building on the Memphis campus. The building will be approximately 66,000 square feet and will connect the existing Dunn Dental Building -- which requires renovations -- to other buildings for the College. This facility will contain the Office of the Dean, the College of Dentistry Faculty Practice, the Dental Hygiene Clinic, and all clinical simulators for dental education.
5	2	TBR	TTU	Laboratory Science Building and Infrastructure	\$ 90,000,000	\$ 71,250,000	This project constructs a new health sciences facility for the relocation and expansion of the Department of Chemistry and modifies existing campus facilities to accommodate the new building. This facility will offer expanded space for the Departments of Chemistry, Biology, and Earth Science, as well as interdisciplinary programs, by providing additional classrooms and research/instrumentation labs. The existing Chemistry building must be demolished due to extensive issues with ventilation and overcrowding.
6	3	TBR	ETSU	Lamb Hall Renovation	\$ 23,000,000	\$ 17,250,000	This project consists of the renovation of Lamb Hall to meet the needs of changing academic programs and the requirements for institutional accreditation due to overcrowding. This facility serves the College of Public and Allied Health, and the renovation will expand classrooms, multi-media spaces, laboratories, and research endeavors. The current building has significant air quality, electrical, and structural concerns.
7	3	UT	UTK	Engineering Services Facility	\$ 110,000,000	\$ 91,250,000	This project consists of the construction of a new engineering facility to house student services, research, and instructional spaces for the College of Engineering and the Department of Nuclear Engineering. The new building will be located near Berry Hall, Estabrook Hall, and Pasqua Engineering Building and will require the demolition and/or repurposing of those buildings.
8	4	TBR	UM	Biochemistry and Biology Facility	\$ 36,000,000	\$ 26,362,000	This new facility will support research in the natural cell sciences (e.g., Biochemistry, Cell and Developmental Biology, and Molecular Biology) to promote excellence in research, post-baccalaureate training, and undergraduate education. This building will include modern laboratories and outreach functions for the Feinstone Institute of Molecular Biology. The current space has outdated research facilities and is often overcrowded.
9	4	UT	UTIA	Energy and Environmental Science Education Research Center (Ellington)	\$ 78,500,000	\$ 71,000,000	After construction, this facility will house teaching laboratories, research and public service labs, offices, new classrooms, a 500-seat teaching and learning center, support facilities, and a space for interdisciplinary and state/community partnerships. This project requires the demolition of the Ellington Plant Science Building, the construction of a new surge facility (20,000 square feet), and the renovation of McCord Hall.

ATTACHMENT IV

THEC 2016-17 Capital Maintenance Projects Recommendation

TENNESSEE BOARD OF REGENTS		Total
TCAT Oneida	Huntsville Building Stabilization and Corrections	\$ 210,000
Walters	ADA and Mechanical Systems Updates	780,000
TCAT Dickson	Roof Replacements (Several Buildings)	550,000
Chattanooga	Instructional Materials Building Roof Replacement	500,000
Roane	Oak Ridge Campus Roof Replacement	450,000
Columbia	Roof Replacements (Several Buildings)	700,000
TBR	Cookeville Higher Education Campus Roof Repair (Statewide)	750,000
TCAT Covington	Roof and Moisture Remediation	270,000
MTSU	Saunders Fine Arts HVAC Updates	1,830,000
ETSU	Stormwater Drainage Repairs	2,000,000
Volunteer	Ramer Building HVAC Updates	400,000
MTSU	Energy Recovery Boiler Repair	880,000
Jackson	Elevator Modernization (Several Buildings)	360,000
APSU	Music/Mass Communications HVAC Replacement	1,530,000
Southwest	Roof Replacements and Envelope Repairs (Several Buildings)	1,110,000
Dyersburg	E. H. Lannom, Jr. Gymnasium Mechanical Updates	310,000
TCATs	Mechanical, Plumbing and Electrical Infrastructure Updates Phase I (Statewide)	1,350,000
Pellissippi	HVAC Updates Phase II (Several Buildings)	750,000
Cleveland	Underground Utility Lines Modernization	750,000
Northeast	Building Automation System Controls Updates	430,000
UM	Building Envelope Repairs Phase I (Several Buildings)	3,000,000
Motlow	Exterior Building Repairs Phase III (Several Buildings)	310,000
TCATs	Maintenance Repairs and Corrections Phase I (Statewide)	190,000
TTU	Several Buildings Upgrades Phase VI (Several Buildings)	2,670,000
TSU	Migration Implementation Phase I	2,620,000
Volunteer	Roof Replacements and Envelope Repairs (Several Buildings)	320,000
Roane	O'Brien Building Roof Replacement	370,000
UM	Business, Jones, and Browning Buildings HVAC Replacements Phase I	2,350,000
MTSU	Electrical Updates (Several Buildings)	1,600,000
Chattanooga	Elevator Updates (Several Buildings)	990,000
MTSU	Building Automation System Control Panel Replacements (Several Buildings)	790,000
Walters	Chiller and Cooling Tower Replacement	780,000
APSU	Browning Hall Mechanical Updates	1,530,000
Jackson	Science Building HVAC Update	520,000
Columbia	Powerhouse System Repairs Phase I	300,000
Southwest	Mechanical Systems Modernization (Several Buildings)	1,110,000
TCAT Covington	Moisture Remediation	450,000
Motlow	Exterior Building Repairs Phase IV (Several Buildings)	310,000
MTSU	Exterior Building Repairs (Several Buildings)	1,630,000
Roane	Campus-wide Paving Phase I	160,000
TTU	Waterproof and Exterior Building Repairs Phase IV (Several Buildings)	1,800,000
Dyersburg	E. H. Lannom, Jr. Gymnasium Interior Repairs	220,000
TTU	Several Buildings Upgrades Phase VII (Several Buildings)	2,670,000
Cleveland	Classroom Renovations (Several Buildings)	330,000
TSU	Migration Implementation Phase II	2,620,000
TCATs	Mechanical, Plumbing and Electrical Infrastructure Updates Phase II (Statewide)	530,000
TCATs	Parking and Paving Repairs Phase I (Statewide)	640,000
TCATs	Security System Updates (Statewide)	330,000
TCATs	Maintenance Repairs and Corrections Phase II (Statewide)	230,000
TCATs	Parking and Paving Repairs Phase II (Statewide)	710,000

ATTACHMENT IV

THEC 2016-17 Capital Maintenance Projects Recommendation

TENNESSEE BOARD OF REGENTS (CONTINUED)		Total
TCATS	Maintenance Repairs and Corrections Phase III (Statewide)	\$ 180,000
ETSU	Accessibility and Code Corrections (Several Buildings)	2,000,000
TCAT Covington	Roof Replacement (Main Building)	410,000
APSU	Roof Replacements (Several Buildings)	2,480,000
UM	Business, Jones, and Browning Buildings HVAC Replacements Phase II	2,350,000
ETSU CoM	Sprinkler Updates (Several Buildings)	500,000
UM	Mitchell Hall and Clement Hall HVAC Updates	3,000,000
Volunteer	Central Plant Cooling Tower Replacement	410,000
MTSU	Domestic Water-Sewer Systems Updates	750,000
Columbia	Powerhouse System Repairs Phase II	100,000
Chattanooga	Electrical Updates (Several Buildings)	980,000
MTSU	Plumbing and Restroom Updates (Several Buildings)	1,500,000
Roane	Campus-wide Paving Phase II	340,000
Dyersburg	Door and Access Replacement (Campus-wide)	220,000
Walters	Claiborne County Campus Exterior Remediation	780,000
ETSU	Memorial Center (Dome) Code Updates	2,500,000
MTSU	Peck Hall Stairwell and Flooring Restoration	450,000
TSU	Migration Implementation Phase III	2,610,000
TCAT Ripley	Interior Updates (Main Building)	240,000
TCAT Ripley	Flooring Updates (Main Building)	170,000
TCATs	Mechanical, Plumbing and Electrical Infrastructure Updates Phase III (Statewide)	960,000
Volunteer	Accessibility Enhancements (Campus-wide)	200,000
MTSU	Maintenance Complex Roof Replacements	850,000
UM	Roof Replacements (Several Buildings)	3,000,000
Northeast	General Studies Roof Replacements (Several Buildings)	600,000
UM	Ellington Hall and Ball Hall HVAC Updates	3,000,000
ETSU	Valleybrook Complex Building Systems Replacements	1,300,000
ETSU CoM	Building 178 Mechanical Updates	2,000,000
Jackson	Walter L. Nelms Classroom Building HVAC Updates	590,000
MTSU	Campus Stormwater Plan	880,000
ETSU	Water Line Repairs (Several Buildings)	2,200,000
Roane	Dunbar Classroom Building Elevator Replacement	440,000
UM	Underground Steam Line Replacement	3,000,000
Columbia	Underground Plumbing and Drainage Repairs	800,000
MTSU	Peck Hall HVAC Updates	1,380,000
Motlow	Exterior Building Repairs Phase V (Several Buildings)	310,000
UM	Building Envelope Repairs Phase II (Several Buildings)	4,000,000
2016-17 TBR Total		\$ 95,470,000

UNIVERSITY OF TENNESSEE		Total
UTK	Window Replacements and Masonry Repairs (Several Buildings)	\$ 5,400,000
UTC	Roof Replacements (Several Buildings)	4,500,000
UTIA	College of Veterinary Medicine Building Improvements Phase II	6,700,000
UTM	Elam Center and Fieldhouse and Clement Hall Roof Replacement and Masonry Repair	3,960,000
UTHSC	Security Upgrades Phase II (Several Buildings)	8,000,000
UTK	HVAC Improvements (Several Buildings)	5,500,000
UTC	West Campus Utility Connections	1,560,000
UTM	Upgrade Steam Lines Phase II	4,330,000
UTHSC	General Education Building Improvements Phase II	6,180,000
UTIA	Ridley 4-H Center Improvements	4,400,000
UTC	Pfeiffer Hall Improvements	4,800,000
UTK/UTSI	UTSI Building Improvements Phase II	3,000,000
2016-17 UT Total		\$ 58,330,000

	Projects	Total
TBR	87	\$ 95,470,000
UT	12	\$ 58,330,000
Total	99	\$ 153,800,000

ATTACHMENT V

THEC Disclosure of Revenue-Funded Capital Projects 2016-17

TENNESSEE BOARD OF REGENTS								
Institution	Project	Funding Source	Project Cost	New Sq.Ft.	Gifts	Grants	Auxiliary	Operating
ETSU	Johnson City Day Center	Federal Grant (Health Resources and Services Administration)	\$ 1,000,000	3,050	\$ -	\$ 1,000,000	\$ -	\$ -
ETSU	Outdoor Track and Field Facility	Plant Funds - Auxiliary (Athletics) and Gifts	\$ 4,200,000	0	\$ 4,185,000	\$ -	\$ 15,000	\$ -
UoM	Park Avenue Physical Plant	Plant Funds - Non-Auxiliary	\$ 1,050,000	20,000	\$ -	\$ -	\$ -	\$ 1,050,000
Jackson	Physical Plant Service Building Repairs and Updates	Plant Funds - Non-Auxiliary	\$ 1,000,000	0	\$ -	\$ -	\$ -	\$ 1,000,000
Nashville	Clarksville Modular Space	Plant Funds - Non-Auxiliary	\$ 550,000	40,000	\$ -	\$ -	\$ -	\$ 550,000
Nashville	New Academic Building Parking	Plant Funds - Non-Auxiliary	\$ 490,000	40,000	\$ -	\$ -	\$ -	\$ 490,000
Northeast	Amphitheater Plaza and Stage	Plant Funds - Non-Auxiliary	\$ 500,000	0	\$ -	\$ -	\$ -	\$ 500,000
Pellissippi	Blount Modular Classroom Building	Plant Funds - Non-Auxiliary	\$ 370,000	3,250	\$ -	\$ -	\$ -	\$ 370,000
Pellissippi	Building Entrance Upgrades	Plant Funds - Non-Auxiliary	\$ 230,000	0	\$ -	\$ -	\$ -	\$ 230,000
Pellissippi	Clayton Performing Arts Center Lighting Updates	Plant Funds - Non-Auxiliary	\$ 230,000	0	\$ -	\$ -	\$ -	\$ 230,000
Pellissippi	Division Street Renovations	Plant Funds - Non-Auxiliary	\$ 650,000	0	\$ -	\$ -	\$ -	\$ 650,000
Pellissippi	Division Street Student Parking	Plant Funds - Auxiliary (Campus Access Fees)	\$ 820,000	6,400	\$ -	\$ -	\$ 820,000	\$ -
Pellissippi	Hardin Valley Courtyard Improvements	Plant Funds - Non-Auxiliary and Auxiliary (Existing Sustainability Fees)	\$ 1,950,000	0	\$ -	\$ -	\$ 50,000	\$ 1,900,000
Pellissippi	Magnolia Courtyard Improvements	Plant Funds - Non-Auxiliary and Auxiliary (Existing Sustainability Fees)	\$ 250,000	0	\$ -	\$ -	\$ 10,000	\$ 240,000
Pellissippi	Magnolia Print Shop Relocation	Plant Funds - Non-Auxiliary	\$ 150,000	0	\$ -	\$ -	\$ -	\$ 150,000
Pellissippi	Magnolia Student Parking	Plant Funds - Auxiliary (Campus Access Fees)	\$ 600,000	0	\$ -	\$ -	\$ 600,000	\$ -
Pellissippi	Paving and Repairs	Plant Funds - Auxiliary (Campus Access Fees)	\$ 500,000	0	\$ -	\$ -	\$ 500,000	\$ -
Pellissippi	Strawberry Plains Envelope Repairs	Plant Funds - Auxiliary (Rent)	\$ 2,900,000	0	\$ -	\$ -	\$ 2,900,000	\$ -
Pellissippi	Strawberry Plains Repaving	Plant Funds - Auxiliary (Rent and Existing Sustainability Fees)	\$ 300,000	0	\$ -	\$ -	\$ 300,000	\$ -
Pellissippi	Theater Modular Building	Plant Funds - Non-Auxiliary	\$ 370,000	3,500	\$ -	\$ -	\$ -	\$ 370,000
Roane	Electrical System Upgrade	Plant Funds - Non-Auxiliary	\$ 320,000	0	\$ -	\$ -	\$ -	\$ 320,000
Volunteer	Campus Access Control and Security Improvements	Plant Funds - Non-Auxiliary	\$ 350,000	0	\$ -	\$ -	\$ -	\$ 350,000
Volunteer	Campus Lighting Control Improvements	Plant Funds - Non-Auxiliary	\$ 100,000	0	\$ -	\$ -	\$ -	\$ 100,000
Volunteer	Parking Lot and Street Improvements	Plant Funds - Non-Auxiliary	\$ 400,000	0	\$ -	\$ -	\$ -	\$ 400,000
Volunteer	Warf Lab Upgrades	Plant Funds - Non-Auxiliary	\$ 200,000	0	\$ -	\$ -	\$ -	\$ 200,000
Volunteer	Sevier County Campus Maples Marshall Improvements	Gifts	\$ 400,000	0	\$ 400,000	\$ -	\$ -	\$ -
26 Projects	TOTAL TBR REVENUE-FUNDED PROJECTS DISCLOSED		\$ 19,880,000	116,200	\$ 4,585,000	\$ 1,000,000	\$ 5,195,000	\$ 9,100,000

ATTACHMENT V
THEC Disclosure of Revenue-Funded Capital Projects 2016-17

UNIVERSITY OF TENNESSEE

Institution	Project	Funding Source	Project Cost	New Sq.Ft.	Gifts	Grants	Auxiliary	Operating
UTHSC	Student Alumni Center Renovations	Plant Funds - Non-Auxiliary	\$ 1,000,000	0	\$ -	\$ -	\$ -	\$ 1,000,000
UTHSC	Office Building Renovations	Plant Funds - Non-Auxiliary	\$ 1,500,000	0	\$ -	\$ -	\$ -	\$ 1,500,000
UTIA	Greeneville 4-H Center Lodge Phase II	Gifts	\$ 3,100,000	11,000	\$ 3,100,000	\$ -	\$ -	\$ -
UTK	Office of Informational Technology Improvements and Infrastructure	Plant Funds - Non-Auxiliary	\$ 5,000,000	0	\$ -	\$ -	\$ -	\$ 5,000,000
UTK	Classroom Upgrades (2016-2017)	Plant Funds - Non-Auxiliary	\$ 5,000,000	0	\$ -	\$ -	\$ -	\$ 5,000,000
UTK	Campus Beautification Projects (2016-2017)	Plant Funds - Non-Auxiliary	\$ 2,000,000	0	\$ -	\$ -	\$ -	\$ 2,000,000
UTK	Athletics Scoreboard Replacements	Plant Funds - Auxiliary (Athletics)	\$ 2,000,000	0	\$ -	\$ -	\$ 2,000,000	\$ -
UTM	Entrepreneurial Epicenter	Gifts	\$ 4,300,000	0	\$ 4,300,000	\$ -	\$ -	\$ -

8 Projects	TOTAL UT REVENUE-FUNDED PROJECTS DISCLOSED		\$ 23,900,000	11,000	\$ 7,400,000	\$ -	\$ 2,000,000	\$ 14,500,000
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CAPITAL OUTLAY MATCH FUNDS

Institution	Project	Funding Source	Project Cost	New Sq.Ft.	Gifts	Grants	Auxiliary	Operating
MTSU	Academic Classroom Building	Plant Funds - Non-Auxiliary	\$ 1,600,000	91,200	\$ -	\$ -	\$ -	\$ 1,600,000
CCs	Community College Additions and Renovations	Plant Funds - Non-Auxiliary and Gifts	\$ 2,988,000	16,606	\$ 2,003,000	\$ -	\$ -	\$ 985,000
TCATs	TCAT Improvements Phase II	Plant Funds - Non-Auxiliary	\$ 1,920,000	595,250	\$ -	\$ -	\$ -	\$ 1,920,000

3 Projects	TOTAL REVENUE-FUNDED CAPITAL OUTLAY MATCH FUNDS DISCLOSED		\$ 6,508,000	703,056	\$ 2,003,000	\$ -	\$ -	\$ 4,505,000
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ATTACHMENT V
THEC Disclosure of Tennessee State School Bond Authority Funded Capital Projects 2016-17

TENNESSEE BOARD OF REGENTS

Institution	Project	Funding Source	Project Cost	New Sq.Ft.	TSSBA	Gifts	Grants	Auxiliary	Operating
MTSU	Health and Wellness Building Addition	TSSBA (Health Services Fee), Plant Funds - Auxiliary (Health Services Fees) & Gifts	\$ 12,000,000	13,500	\$ 3,500,000	\$ 6,250,000	\$ -	\$ 2,250,000	\$ -
1 Project	TOTAL TBR TSSBA-FUNDED PROJECTS DISCLOSED		\$ 12,000,000	13,500	\$ 3,500,000	\$ 6,250,000	\$ -	\$ 2,250,000	\$ -

UNIVERSITY OF TENNESSEE

Institution	Project	Funding Source	Project Cost	New Sq.Ft.	TSSBA	Gifts	Grants	Auxiliary	Operating
UTC	Athletic Facility Phase II	TSSBA (Athletics)	\$ 19,000,000	50,000	\$ 19,000,000	\$ -	\$ -	\$ -	\$ -
UTHSC	Energy Performance Contract	TSSBA (Plant Funds - Non-Auxiliary)	\$ 30,000,000	0	\$ 30,000,000	\$ -	\$ -	\$ -	\$ -
UTK	Environmental and Utilities Saving Projects (2016-2017)	TSSBA (Student Activity Fees)	\$ 5,000,000	0	\$ 5,000,000	\$ -	\$ -	\$ -	\$ -
UTK	Campus Beautification Projects - Volunteer Boulevard Phase II	TSSBA (Facilities Fees)	\$ 3,750,000	0	\$ 3,750,000	\$ -	\$ -	\$ -	\$ -
4 Projects	TOTAL UT TSSBA-FUNDED PROJECTS DISCLOSED		\$ 57,750,000	50,000	\$ 57,750,000	\$ -	\$ -	\$ -	\$ -

42 Projects	TOTAL REVENUE- & TSSBA-FUNDED PROJECTS DISCLOSED		\$ 120,038,000	893,756	\$ 61,250,000	\$ 20,238,000	\$ 1,000,000	\$ 9,445,000	\$ 28,105,000
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ATTACHMENT VI
THEC Five-Year Plan for Capital Projects - Out Years Summary
2017-18 through 2020-21

		A	B	C	D = (A * B) - C	E = A - C - D
		Total	Target	Planning	Match Funds	State Funds
		Project Cost	Match	Funds ¹	Less Planning ²	Request
Statewide Capital Outlay Out Years						
*	Drive to 55 Program Capacity Fund 2017-18	\$ 10,000,000	NA	NA	NA	\$ 10,000,000
*	Drive to 55 Program Capacity Fund 2018-19	10,000,000	NA	NA	NA	10,000,000
*	Drive to 55 Program Capacity Fund 2019-20	10,000,000	NA	NA	NA	10,000,000
*	Drive to 55 Program Capacity Fund 2020-21	10,000,000	NA	NA	NA	10,000,000
Statewide Total		\$ 40,000,000	NA	NA	NA	\$ 40,000,000

		Total	Target	Planning	Match Funds	State Funds
		Project Cost	Match	Funds ¹	Less Planning ²	Request
TBR Capital Outlay Out Years						
MTSU	Academic Classroom Building	\$ 30,500,000	25%	TBD from Match	\$ 7,625,000	\$ 22,875,000
	CCs Community College Additions and Renovations	29,880,000	10%	TBD from Match	2,988,000	26,892,000
	TCATs TCAT Improvements Phase II	45,800,000	5%	TBD from Match	2,290,000	43,510,000
TBR Total		\$ 106,180,000	5% - 25%	TBD from Match	\$ 12,903,000	\$ 93,277,000

		Total	Target	Full Planning	Match Funds	State Funds
			Match	Funds ¹	Less Planning ²	Request
UT Capital Outlay Out Years						
UTM	New Classroom Building (Science, Technology, Engineering and Math)	\$ 58,385,000	25%	TBD from Match	\$ 14,596,000	\$ 43,789,000
UTK	Academic and Instructional Support Facility (Melrose)	90,000,000	25%	3,000,000	15,750,000	71,250,000
UTIA	Interdisciplinary Research and Education Greenhouses	4,300,000	10%	TBD from Match	430,000	3,870,000
UTK	Life Sciences and Laboratory Facility (Walters)	117,000,000	25%	TBD from Match	18,750,000	98,250,000
UTC	Health Science Building	59,180,000	25%	TBD from Match	14,795,000	44,385,000
UTM	Fine Arts Renovation and Addition Phase II	16,946,000	25%	TBD from Match	4,237,000	12,709,000
UTC	Communications Classroom Building	25,630,000	25%	TBD from Match	6,408,000	19,222,000
UTK	Classroom and Laboratory Facility (Harris Building)	45,000,000	25%	TBD from Match	11,250,000	33,750,000
UTK	Nursing Building Renovation and Addition	51,000,000	25%	TBD from Match	12,750,000	38,250,000
UTHSC	Medicine/Administration Building	92,700,000	10%	TBD from Match	7,500,000	85,200,000
UTC	Life Sciences Laboratory Facility	64,670,000	25%	TBD from Match	16,168,000	48,502,000
UTIA	Teaching and Learning Center (Veterinary Medical Center)	3,710,000	10%	TBD from Match	371,000	2,960,000
UTHSC	Coleman Building Renovations	33,000,000	10%	TBD from Match	3,300,000	29,700,000
UTIA	Organic Crops Unit Improvements (East Tennessee Research and Education Center)	710,000	10%	TBD from Match	71,000	639,000
UTIA	Staff Dormitory (Clyde Austin 4-H Center)	1,000,000	10%	TBD from Match	100,000	900,000
UT Total		\$ 663,231,000	10% - 25%	TBD from Match	\$ 126,476,000	\$ 533,376,000

		Total	Target	Full Planning	Match Funds	State Funds
			Match	Funds ¹	Less Planning ²	Request
Capital Maintenance Out Years						
TBR Total		\$ 129,390,000	NA	NA	NA	\$ 129,390,000
UT Total		\$ 331,450,000	NA	NA	NA	\$ 331,450,000

		Total	Target	Institution Funds		State Funds
			Match	Full Planning	Match Funds	Request
				Funds ¹	Less Planning ²	
Total Out Years						
Total Capital Outlay Out Years 2017-18 through 2020-21		\$ 809,411,000	5% - 25%	TBD from Match	\$ 139,379,000	\$ 666,653,000
Total Capital Maintenance Out Years 2017-18 through 2020-21		\$ 460,840,000	NA	NA	NA	\$ 460,840,000
Total Capital Investment 2017-18 through 2020-21		\$ 1,270,251,000	5% - 25%	TBD from Match	\$ 139,379,000	\$ 1,127,493,000

1 - Full planning funds come from the institutional match. Some planning funds have not yet been broken out from total match funds. The UTK Academic and Instructional Support Facility had full planning funds disclosed in 2012-13. All TBR institutions have full planning funds disclosed in 2016-17.

2 - Match is required only on the first \$75 million of each capital outlay project.

ATTACHMENT VII

THEC Five-Year Plan for Capital Maintenance Projects - Out Years 2017-18 through 2020-21

Tennessee Board of Regents			Total
2017-18	MTSU	Sidewalk Repairs and Replacements	\$ 620,000
2017-18	Volunteer	Wood Building Restroom Renovations	300,000
2017-18	TCATs	Maintenance Repairs and Corrections Phase IV (Statewide)	30,000
2017-18	TCATs	Parking and Paving Repairs Phase III (Statewide)	800,000
2017-18	TCAT Livingston	Door Replacements (Comprehensive Building)	200,000
2017-18	UM	Building Code and Safety Updates Phase I	3,000,000
2017-18	TCAT Harriman	Entry Updates	200,000
2017-18	TTU	Roof Replacements Phase II (Several Buildings)	3,560,000
2017-18	MTSU	Bell Street Facility Roof Replacements	800,000
2017-18	Chattanooga	Center for Engineering, Arts and Sciences (CETAS) Building Roof Replacement	2,300,000
2017-18	Walters	Greeneville Campus Mechanical Corrections	780,000
2017-18	Pellissippi	HVAC Updates Phase III (Several Buildings)	1,800,000
2017-18	TCAT Athens	Welding Ventilation and Exhaust Installation	160,000
2017-18	ETSU	Mechanical Repair and Replacement (Several Buildings)	2,200,000
2017-18	TCAT Pulaski	Administration and Classroom Mechanical Updates	160,000
2017-18	TCAT Crump	HVAC System Replacement	230,000
2017-18	TCAT Memphis	Aviation HVAC Updates	330,000
2017-18	TCAT Hohenwald	HVAC System Replacement	490,000
2017-18	Motlow	Underground Utility Lines Replacement	1,160,000
2017-18	APSU	Dunn Center HVAC Replacement	4,350,000
2017-18	TCAT Whiteville	Pavement and Sidewalk Repairs	230,000
2017-18	TSU	Entrance Colonnade Repairs	5,000,000
2017-18	Columbia	Restroom Updates	120,000
2017-18	TCAT Pulaski	ADA Updates	170,000
2017-18	TSU	Life Safety and ADA Updates	1,000,000
2017-18	UM	Asbestos Abatement (Several Buildings)	1,000,000
2017-18	Walters	Sevier County Campus Roof Replacement	660,000
2017-18	TSU	McMinnville Campus Roof and Envelope Repairs	2,500,000
2017-18	TTU	Stormwater Replacement	750,000
2017-18	TTU	Roaden University Center Electrical Updates Phase I	3,160,000
2017-18	TTU	Derryberry Hall Systems Replacement Phase I	3,160,000
2017-18	TTU	Health and Physical Education Building Mechanical Replacement Phase I	3,100,000
2017-18	ETSU CoM	Clinical Education Building HVAC Replacement	1,750,000
2017-18	UM	Lambuth Campus Maintenance Updates	3,000,000
2018-19	Pellissippi	Chiller Replacement	520,000
2018-19	TTU	Roaden University Center Electrical Updates Phase II	3,160,000
2018-19	ETSU	Electrical Repair and Replacement	2,500,000
2018-19	UM	Dunn and Fieldhouse HVAC Updates	4,550,000
2018-19	ETSU	Systems Repair (Several Buildings)	1,000,000
2018-19	TCAT Chattanooga	Shop Building HVAC Corrections	1,250,000
2018-19	TSU	HVAC Updates (Several Buildings)	1,750,000
2018-19	TTU	Derryberry Hall Systems Replacement Phase II	3,160,000
2018-19	TCAT Covington	Electrical Updates	470,000
2018-19	TCAT Covington	Fiber Optic Cabling	210,000
2018-19	TTU	Health and Physical Education Building Mechanical Replacement Phase II	3,100,000
2018-19	APSU	Kimbrough HVAC Replacement	1,930,000
2018-19	TTU	Roaden University Center Electrical Updates Phase III	2,440,000
2018-19	TSU	Plumbing Updates	2,500,000

Tennessee Board of Regents (continued)			Total
2019-20	Motlow	McMinnville Campus Geothermal Modernization	\$ 730,000
2019-20	TSU	Tunnel Utility Piping Repairs	2,500,000
2019-20	TSU	Underground Utility Updates	2,500,000
2019-20	Motlow	Fayetteville Campus Geothermal Modernization	610,000
2019-20	TSU	Electrical Distribution Updates	2,500,000
2019-20	TSU	Information Technology Infrastructure Updates	2,500,000
2019-20	TSU	HVAC Updates	2,500,000
2019-20	Motlow	Central Power Plant Boiler Modernization	1,020,000
2019-20	TSU	Plumbing Corrections	2,500,000
2019-20	Pellissippi	Window Replacements	300,000
2019-20	TCAT Covington	Door and Hardware Replacement	370,000
2019-20	ETSU CoM	Various Window Replacements	1,250,000
2019-20	TCAT Chattanooga	Courtyard Repairs	430,000
2019-20	TCAT Covington	Paving Updates	110,000
2020-21	TSU	Campus Window Replacements	1,500,000
2020-21	TSU	Access Control and Locking Updates	3,000,000
2020-21	TTU	Waterproof and Exterior Repairs (Several Buildings)	2,700,000
2020-21	TSU	Campus Center Updates	2,500,000
2020-21	Motlow	Parking and Roadway Repairs	1,010,000
2020-21	TSU	Street and Parking Updates	2,500,000
2020-21	TSU	Exterior Repairs	2,500,000
2020-21	TCAT Chattanooga	Auto Body Shop Interior Corrections	350,000
2020-21	TCAT Dickson	Restroom Repairs	210,000
2020-21	TCAT Covington	Restroom Updates	220,000
2020-21	UM	Wilder Tower Completion	4,900,000
2020-21	Motlow	Several Buildings Interior Repairs	570,000
2020-21	Chattanooga	Center for Engineering, Arts and Sciences (CETAS) Building Modifications and Updates	6,000,000
2020-21	UM	Building Code and Safety Updates Phase II	4,000,000
TBR Out Years Total			\$ 129,390,000

ATTACHMENT VII

THEC Five-Year Plan for Capital Maintenance Projects - Out Years 2017-18 through 2020-21

University of Tennessee			Total
2017-18	UTM	Engineering and Physical Sciences (Johnson EPS) Building Improvements Phase II	\$ 3,400,000
2017-18	UTIA	Clyde York 4-H Center Improvements	1,000,000
2017-18	UTHSC	Campus Restroom Upgrades	6,200,000
2017-18	UTK	Utilities Improvements	5,000,000
2017-18	UTC	Elevator Upgrades	3,400,000
2017-18	UTIA	College of Veterinary Medicine Building Improvements Phase III	4,000,000
2017-18	UTM	Paul Meek Library HVAC Improvements	4,190,000
2017-18	UTHSC	Elevator Improvements Phase I	5,200,000
2017-18	UTK	Fire Safety Upgrades Phase II	7,500,000
2017-18	UTC	Building Envelope Repairs	2,600,000
2017-18	UTIA	Center for Renewable Carbon/MAST Laboratory Building Improvements	500,000
2017-18	UTM	Sociology Building System Upgrades	4,250,000
2017-18	UTK	Window Replacements and Masonry Repairs	4,500,000
2017-18	UTC	Mapp Building Improvements	2,070,000
2017-18	UTM	Clement Building System Improvements Phase II	7,290,000
2018-19	UTHSC	Elevator Improvements Phase II	5,100,000
2018-19	UTIA	Livestock Housing Improvements (Research and Education Center)	9,900,000
2018-19	UTC	Cadek Hall Improvements	4,500,000
2018-19	UTK	HVAC Improvements	8,000,000
2018-19	UTHSC	Roof Replacements	7,300,000
2018-19	UTM	McCombs Systems Upgrades	4,510,000
2018-19	UTIA	Paving and Fencing Improvements (Research and Education Center)	8,000,000
2018-19	UTK	Water Distribution Systems Improvements	10,000,000
2018-19	UTHSC	Campus Sidewalk Repairs	2,100,000
2018-19	UTC	MacIellan Improvements	8,610,000
2018-19	UTM	Engineering and Physical Sciences (Johnson EPS) Building Improvements Phase III	8,250,000
2018-19	UTIA	Infrastructure Improvements (Research and Education Center)	8,000,000
2019-20	UTK	Utility and Energy Conservation Measures	10,000,000
2019-20	UTC	Brock Hall Improvements	3,900,000
2019-20	UTM	Hall Moody Systems Upgrade	8,890,000
2019-20	UTIA	Livestock Waste Handling System Improvements (Research and Education Center)	1,000,000
2019-20	UTK	Asbestos Removal	8,000,000
2019-20	UTM	Campus Restroom Upgrades	2,330,000
2019-20	UTK	Window Replacements and Masonry Repair	8,000,000
2019-20	UTC	Electrical Improvements	1,560,000
2019-20	UTK	HVAC Improvements	6,500,000
2019-20	UTM	Agricultural Teaching Facilities Upgrade	2,390,000
2019-20	UTIA	Feed Storage and Livestock Feeding System Improvements (Research and Education Center)	920,000
2019-20	UTK	HVAC Controls Systems Consolidation	9,000,000

University of Tennessee (continued)			Total
2019-20	UTM	Tom and Kathleen Elam Center HVAC Upgrade Phase II	\$ 5,750,000
2019-20	UTC	Hunter Hall Improvements	2,850,000
2019-20	UTK	Electrical Distribution Improvements	14,000,000
2019-20	UTM	Stalling Facility HVAC Upgrade (West Tennessee Agricultural Pavilion)	3,380,000
2020-21	UTIA	Research and Education Center and 4-H Employee Housing Improvements	3,400,000
2020-21	UTK	Elevator Upgrades	6,000,000
2020-21	UTM	Campus Wide Energy Management System Upgrades	2,730,000
2020-21	UTC	Patten and Danforth Chapels Interior Improvements	3,200,000
2020-21	UTK	Steam Distribution System Improvements Phase V	6,000,000
2020-21	UTM	Engineering and Physical Sciences (Johnson EPS) Building Improvements Phase III	10,510,000
2020-21	UTK	Flooring Replacement	5,000,000
2020-21	UTM	Tom and Kathleen Elam Center Arena Lighting Upgrade	1,350,000
2020-21	UTK	HVAC Improvements	13,000,000
2020-21	UTK	Dabney Buehler Systems Upgrade Phase I	9,000,000
2020-21	UTM	Tom and Kathleen Elam Center Pool Repair	2,330,000
2020-21	UTK	Andy Holt Tower Systems Upgrade	6,000,000
2020-21	UTK	Communications and Student Services Systems Upgrades	12,000,000
2020-21	UTM	Storm and Sewer Line Upgrades	5,090,000
2020-21	UTK	Conference Center Systems Improvements	12,000,000
UT Out Years Total		58 Projects	\$ 331,450,000

Projects			Total
76	TBR Total Capital Maintenance Projects Out Years		\$ 129,390,000
58	UT Total Capital Maintenance Projects Out Years		\$ 331,450,000
134	Total Capital Maintenance Projects Out Years		\$ 460,840,000

ATTACHMENT VIII

THEC Five-Year Capital Plan

2016-17 through 2020-21

2016-17 (See Detailed Summary in Attachment I)

	Total Project		Total	State Funds
	Cost	Projects	Match Funds ¹	Request
Capital Maintenance				
TBR	\$ 95,470,000	87	NA	\$ 95,470,000
UT	\$ 58,330,000	12	NA	\$ 58,330,000
Total	\$ 153,800,000	99	NA	\$ 153,800,000
Capital Outlay				
Statewide	\$ 10,000,000	1	NA	\$ 10,000,000
TBR	\$ 187,800,000	4	\$ 42,988,000	\$ 143,962,000
UT	\$ 267,410,000	4	\$ 39,828,000	\$ 225,382,000
Total	\$ 465,210,000	9	\$ 82,816,000	\$ 379,344,000
Full Planning				
TBR	\$ 106,180,000	3	\$ 12,903,000	NA
UT	\$ -	-	\$ -	NA
Total	\$ 106,180,000	3	\$ 12,903,000	NA
Total Capital Investment	\$ 725,190,000	111	\$ 95,719,000	\$ 533,144,000

2017-18

	Total Project		Total	State Funds
	Cost	Projects	Match Funds ¹	Request
Capital Maintenance				
TBR	\$ 49,070,000	34	NA	\$ 49,070,000
UT	\$ 61,100,000	15	NA	\$ 61,100,000
Total	\$ 110,170,000	49	NA	\$ 110,170,000
Capital Outlay				
Statewide	\$ 10,000,000	1	NA	\$ 10,000,000
TBR	\$ 106,180,000	3	\$ 12,903,000	\$ 93,277,000
UT	\$ 152,685,000	3	\$ 33,776,000	\$ 118,909,000
Total	\$ 268,865,000	7	\$ 46,679,000	\$ 222,186,000
Full Planning				
TBR	TBD	-	TBD	NA
UT	TBD	-	TBD	NA
Total	TBD	-	TBD	NA
Total Capital Investment	\$ 379,035,000	56	\$ 46,679,000	\$ 332,356,000

2018-19

	Total Project		Total	State Funds
	Cost	Projects	Match Funds ¹	Request
Capital Maintenance				
TBR	\$ 28,540,000	14	NA	\$ 28,540,000
UT	\$ 84,270,000	12	NA	\$ 84,270,000
Total	\$ 112,810,000	26	NA	\$ 112,810,000
Capital Outlay				
Statewide	\$ 10,000,000	1	NA	\$ 10,000,000
TBR	\$ -	-	\$ -	\$ -
UT	\$ 218,756,000	4	\$ 44,190,000	\$ 174,566,000
Total	\$ 228,756,000	5	\$ 44,190,000	\$ 184,566,000
Full Planning				
TBR	TBD	-	TBD	NA
UT	TBD	-	TBD	NA
Total	TBD	-	TBD	NA
Total Capital Investment	\$ 341,566,000	31	\$ 44,190,000	\$ 297,376,000

2019-20

	Total Project		Total	State Funds
	Cost	Projects	Match Funds ¹	Request
Capital Maintenance				
TBR	\$ 19,820,000	14	NA	\$ 19,820,000
UT	\$ 88,470,000	16	NA	\$ 88,470,000
Total	\$ 108,290,000	30	NA	\$ 108,290,000
Capital Outlay				
Statewide	\$ 10,000,000	1	NA	\$ 10,000,000
TBR	\$ -	-	\$ -	\$ -
UT	\$ 188,700,000	3	\$ 31,500,000	\$ 157,200,000
Total	\$ 198,700,000	4	\$ 31,500,000	\$ 167,200,000
Full Planning				
TBR	TBD	-	TBD	NA
UT	TBD	-	TBD	NA
Total	TBD	-	TBD	NA
Total Capital Investment	\$ 306,990,000	34	\$ 31,500,000	\$ 275,490,000

2020-21

	Total Project		Total	State Funds
	Cost	Projects	Match Funds ¹	Request
Capital Maintenance				
TBR	\$ 31,960,000	14	NA	\$ 31,960,000
UT	\$ 97,610,000	15	NA	\$ 97,610,000
Total	\$ 129,570,000	29	NA	\$ 129,570,000
Capital Outlay				
Statewide	\$ 10,000,000	1	NA	\$ 10,000,000
TBR	\$ -	-	\$ -	\$ -
UT	\$ 103,090,000	5	\$ 20,010,000	\$ 82,701,000
Total	\$ 113,090,000	6	\$ 20,010,000	\$ 92,701,000
Full Planning				
TBR	TBD	-	TBD	NA
UT	TBD	-	TBD	NA
Total	TBD	-	TBD	NA
Total Capital Investment	\$ 242,660,000	35	\$ 20,010,000	\$ 222,271,000

Five-Year Total

	Total Project		Total	State Funds
	Cost	Projects	Match Funds ¹	Request
Capital Maintenance				
TBR	\$ 224,860,000	163	NA	\$ 224,860,000
UT	\$ 389,780,000	70	NA	\$ 389,780,000
Total	\$ 614,640,000	233	NA	\$ 614,640,000
Capital Outlay				
Statewide	\$ 50,000,000	5	NA	\$ 50,000,000
TBR	\$ 293,980,000	7	\$ 55,891,000	\$ 237,239,000
UT	\$ 930,641,000	19	\$ 169,304,000	\$ 758,758,000
Total	\$ 1,274,621,000	31	\$ 225,195,000	\$ 1,045,997,000
Full Planning				
TBR	\$ 106,180,000	3	\$ 12,903,000	NA
UT	\$ -	-	\$ -	NA
Total	\$ 106,180,000	3	\$ 12,903,000	NA
Total Capital Investment	\$ 1,995,441,000	267	\$ 238,098,000	\$ 1,660,637,000

1- Match is required only on the first \$75 million of capital outlay projects.

Agenda Item: I.F.

DATE: November 19, 2015

SUBJECT: Audit Committee Appointment

ACTION RECOMMENDED: Approval

BACKGROUND INFORMATION: The THEC/TSAC Audit Committee Charter outlines the requirements for membership on the audit committee. The committee and its chair shall be selected by the Executive Director of THEC/TSAC and confirmed by the Commission/Board of Directors. The audit committee shall consist of five members with representation from both organizations who are generally knowledgeable in financial, management, and auditing matters. The committee chair shall have some accounting or financial management expertise. Each member shall serve for a term not to exceed three years, and may be reappointed. Each member shall be free of any appearance of conflict and of any relationship that would interfere with his or her exercise of independent judgment.

The current composition of the audit committee is:

- Claude Pressnell, TSAC, Chair
- Jon Kinsey, THEC
- Greg Turner, TSAC
- Keri McInnis, TSAC
- Vacant, THEC – previously Sharon Hayes

Appointment: Dr. Deaton recommends the appointment of Pam Koban to the Audit Committee for a 3-year term, effective immediately and ending November 30, 2018.

DATE: November 19, 2015
SUBJECT: Office of P-16 Initiatives Status Report
ACTION RECOMMENDED: Information

BACKGROUND INFORMATION:

GEAR UP TN Youth Summit

In October 2011, Lumina Foundation for Education awarded the Tennessee Higher Education Commission a Latino Student Success Grant aimed at increasing the number of Latinos completing higher education in Memphis. The Memphis Latino Student Success Collaborative directs its work using a three-tiered approach: public will building focused on the importance of increasing degree completion among the Latino population, the development and expansion of college access and success programming including the Abriendo Puertas (Opening Doors) college access and success mentoring program, and the formal development of a community-wide collaborative focused on increasing Latino student success in Memphis.

Tennessee Promise Forward Grants Awarded

There are exciting changes coming to CollegeforTN.org in the next several months. After completing a competitive proposal process, the Tennessee Higher Education Commission signed contracts with new vendors to provide Tennessee’s online college and career planning portal and the electronic transcript exchange. Moving forward, THEC will partner with Graduation Alliance to provide the CollegeforTN.org web portal and the National Student Clearinghouse will serve as the state’s vendor for electronic transcripts.

The CollegeforTN.org website will operate in its current state until January 1, 2016. At that point, a transitional website will be in place until the new website is ready in the spring of 2016. The transitional site will be interactive and will still provide users with a full menu of Tennessee-specific college and career planning resources. Once the transition is complete, CollegeforTN.org will be a robust portal of resources for students, management tools for educators, and college access information for professionals.

The electronic transcript exchange, which sends student transcripts to postsecondary institutions and to the Tennessee Student Assistance Corporation for lottery scholarship verification, is dormant as of November 1, 2015. The new electronic transcript solution will be ready to send transcripts in spring 2016.

DATE: November 19, 2015

SUBJECT: 2015 Articulation and Transfer Annual Report

ACTION RECOMMENDED: Information

BACKGROUND INFORMATION: Staff will present the annual report on articulation and transfer, submitted to the General Assembly in October 2015 pursuant to T.C.A. §49-7-202(f).

The 2015 Articulation and Transfer Report examines Tennessee student transfer activity and student migration from universities, community colleges, and Tennessee Colleges of Applied Technology during the 2013-14 academic year.

Analyses conducted for this report show that (a) student transfer activity in Tennessee is robust, multidirectional, and consistent over time; (b) most transfers take place within Tennessee, and many students who transfer from out-of-state institutions are returning Tennessee residents; (c) transfer students have low efficiency in terms of earned credit hours; and (d) the majority of students listed as migrating from Tennessee Colleges of Applied Technology (TCATs) are actually returning or readmitted students who had enrolled previously at a community college or university.

The report is available on THEC's website:

http://tn.gov/assets/entities/thec/attachments/Articulation_Transfer_Report_2015.pdf

DATE: November 19, 2015

SUBJECT: 2016 Improving Teacher Quality Grant Awards

ACTION RECOMMENDED: Information

BACKGROUND INFORMATION: Operating as Title II of the No Child Left Behind Act, the Improving Teacher Quality Grant Program is a federally funded program which provides grants to public and private higher education institutions and non-profit organizations. Administered in Tennessee by the Tennessee Higher Education Commission, these grants are designed to conduct professional development for in-service K-12 teachers.

In accordance with Section 2132 (a) of the No Child Left Behind Act, the Tennessee Higher Education Commission worked jointly with the Tennessee Department of Education to identify priorities that will have the greatest impact on Tennessee school districts and student achievement. As a result of this collaboration, STEM subjects for grades 9-12 were identified as the areas of focus for 2016.

Institutions prepared proposals to demonstrate their ability to provide a summer workshop, along with sustained activities throughout the school year, to high school teachers. Proposals were allowed a maximum funding level of \$75,000. Projects will be funded for the period January 1, 2016 to December 31, 2016.

An Advisory Committee consisting of both K-12 and higher education experts was constituted to review grant proposals and make funding recommendations to the Commission. This year's Advisory Committee is listed on Attachment A. Attachment B presents the projects recommended by the Advisory Committee and approved by the THEC Interim Executive Director. A total of 30 proposals were submitted and 13 projects recommended for funding at \$933,000.

The grant review process is described on Attachment C to this agenda item. All grant proposals are available for review at the Commission office.

Attachment A
2016 Improving Teacher Quality
Advisory Committee

Diane Berty
Tennessee Independent Colleges and Universities
Association

Karen Brinkley
University of Tennessee

Kate Derrick
Tennessee Higher Education Commission

Nancy Dietrich
University of Tennessee

Matt Freeman
Tennessee Higher Education Commission

Gloria Gammell
University of Tennessee

Briana Johnson
Tennessee Department of Labor

Deborah Knoll
Tennessee Department of Education

Heidi Leming
Tennessee Board of Regents

Patrick L. Meldrim
Tennessee Independent Colleges and Universities
Association

Amy Owen
Tennessee Department of Education

Gregory A. Sedrick
Tennessee Board of Regents

Deanna Morris-Stacey
Tennessee Board of Regents

Latonya Todd
Tennessee Higher Education Commission

Kate Watts
Tennessee Higher Education Commission

Brad Windley
Citizen Representative

Attachment B
2016 Improving Teacher Quality
Recommended Projects

East Tennessee State University

"Integrating High School Chemistry and Literacy for STEM Prosperity"

Dr. Chih-Che Tai

East Tennessee State University will use ITQ funds to provide research-based professional development to 20 high school STEM teachers to increase their content knowledge and advance their pedagogical skills in Tennessee's Science, English Language Arts and Career Technical Education standards.

East Tennessee State University

"Reaching for Excellence in High School Biology and Literacy"

Dr. Karin Keith

The project will increase teacher content knowledge for 20 high school Biology teachers. Teachers will participate in professional development to improve their students' academic performance and advance their own pedagogical skills.

Lee University

"Career and Technical Content in High School Mathematics (CATCH Math)"

Dr. Caroline Maher-Boulis

Lee University will use ITQ funds to raise awareness among 24 high school mathematics teacher. The CATCH Math project will show teachers how to help students develop workplace and technical skills sought after by industry leaders. This will be done through creating real world problems that encapsulate the targeted mathematical content, the effective use of manipulatives and hands-on scientific experiments and developing workplace and technical skills.

Lee University

"Computations in Scientific Inquiry (CSI)"

Dr. Lori West

The project seeks to increase teacher knowledge and competency in STEM instruction for 24 high school mathematics and science teachers. This project will promote integrative learning using a forensic science theme and provide teachers with the opportunity and resources to collaborate with one another across disciplines.

Milligan College

"Hands-on CaMP: Integrating Chemistry, Math, and Physics to Support Real World STEM Applications"

Dr. Lyn C. Howell

Milligan College will use ITQ funds to provide 30 teachers with hands-on opportunities to practice and refine their math, chemistry, and physics knowledge while equipping them with effective strategies for instruction and collaboration and exposing them to workforce needs.

Middle Tennessee State University

"POGIL to Success in Chemistry"

Dr. Tom Cheatham

This project seeks to serve 25 teachers using the Process Oriented Guided Inquiry Learning (POGIL) model. The POGIL model has been used effectively to support that students learn best and experience higher interest when doing science like scientists. Teacher participants will strategically be selected to play the role of students working in small teams to solve problems related to chemistry.

Tennessee Technological University

"Coding Connections at the Interface of Algebra I and Physical World Concepts"

Dr. Leslie Suters

Tennessee Technological University will use ITQ funds to provide professional development to 24 high school teachers focusing on computer programming and robotics with specific connections to Algebra I and Physical World concepts.

Tennessee Technological University

"Experiencing STEM: Demystifying the Practical Classroom Application of Immersive & Augmented Technologies"

Dr. David Gallop

This project will focus on training 18 high school teachers to use new technology in the classroom and thereby enrich course content. Teachers will build course content and pedagogical knowledge that will help them engage students in hands-on experiences that will lead to the creation of virtual educational materials.

University of Memphis

"Improving Mobile Technology Integration in High School Math and Science Teachers' Instruction and Assessment Practices"

Dr. Deborah Watlington

University of Memphis seeks to increase 24 high school STEM teachers content knowledge, improving instructional strategies and assessment practices through the integration of mobile technology.

University of Tennessee, Chattanooga

"Leveraging Remote Engineering Laboratories to Inspire Learning & Reinforce 9-12 STEM Curriculum Standards in the Physical, Chemical & Biological Sciences"

Dr. Bryan J. Ennis

The ITQ project at University of Tennessee, Chattanooga will increase 24 teachers knowledge in their respective fields of chemistry, biology, and physics/technology, as well as underlying mathematics content, through utilization of professional engineering remote laboratory activities.

University of Tennessee, Chattanooga

"Equations, Functions, and Modeling with Real-world Problems in Algebra I"

Dr. Deborah A. McAllister

The project will focus on improving mathematics content and pedagogy for 32 Algebra I teachers including regular teachers and exceptional teachers, as they implement the Tennessee Math Standards. The program will emphasize the importance of equations, functions, and modeling for solving contextual problems.

University of Tennessee, Chattanooga

"Real World Applications for the Mathematics Classroom"

Dr. Francesco Barioli

University of Tennessee, Chattanooga will use ITQ funds to provide 30 in service teachers with the methodology to enhance the teaching of algebra/statistics via real world applications. These applications will range from science to business and include various algebra topics such as linear equations and exponential equations.

University of Tennessee, Knoxville

"Connecting Math and STEM through Modeling"

Dr. Lynn Hodge

The ITQ project at University of Tennessee, Knoxville will seek to enhance and improve 24 teachers' instructional practices, math content understanding, and implementation of STEM activities and projects at the high school level in order to substantially impact student learning and motivation.

Attachment C
2016 Improving Teacher Quality
Proposal Review Process

On August 10, 2015, a memo from Dr. Russ Deaton and the Request for Proposals (RFP) for the Improving Teacher Quality Grants was distributed to college and university chancellors, presidents, deans, and faculty.

The RFP included the background of ITQ grants, federal requirements, funding priorities as determined by THEC, a description of eligible partners (including a list of high-need school districts), competition guidelines, grant timeline, evaluation rubric, and all appropriate forms to be completed for proposals. A Notice of Intent to Submit was due by August 24, 2015 and completed grant proposals were due to THEC on September 21, 2015 by 4:30 p.m. CST.

THEC staff distributed the grant proposals to the Advisory Committee for review prior to the committee meeting on October 14, 2015. The committee was divided into teams to individually evaluate proposals. The teams met separately in small groups to discuss their assigned grants and score the grants according to the evaluation rubric.

Proposals with the top scores were compiled into a master list. The entire committee could pose questions about the grant proposal, make recommendations or amendments, and discuss the level of funding the proposal should receive. The Advisory Committee then funded the proposals based on the scored average, with necessary geographical requirements taken into account.

DATE: November 19, 2015

SUBJECT: Tennessee Promise Update

ACTION RECOMMENDED: Information

BACKGROUND INFORMATION: Staff will report on Tennessee Promise cohorts 1 and 2, examining the enrollment patterns and demographics of Cohort 1 students (the graduating high school class of 2015) and exploring patterns in initial program take up among Cohort 2 students (the graduating high school class of 2016.)

Additionally, updates on plans for Tennessee Promise research and evaluation will be presented.

Agenda Item: II.E.

DATE: November 19, 2015

SUBJECT: Title VI Implementation Plan Update and Compliance Report

ACTION RECOMMENDED: Information

BACKGROUND INFORMATION: Tennessee Code Annotated §§ 4-21-203 and 4-21-901 require each state agency receiving federal funds to file a Title VI implementation plan with the Tennessee Human Rights Commission. The purpose of the plan is to show how the state agency, and the entities to which its federal funds flow, is assuring compliance of Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of a person’s race, color, or national origin.

The Commission’s Title VI Compliance Report and Implementation Plan was filed with the Tennessee Human Rights Commission on September 14, 2015.



TENNESSEE HIGHER EDUCATION COMMISSION



FISCAL YEAR 2015-2016 TITLE VI COMPLIANCE REPORT AND IMPLEMENTATION PLAN UPDATE

“Simple justice requires that public funds, to which all taxpayers of all races contribute, not be spent in any fashion which encourages, entrenches, subsidizes, or results in racial discrimination.”

President John F. Kennedy, in his message calling for the enactment of Title VI in 1963.

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OVERVIEW OF THE TENNESSEE HIGHER EDUCATION COMMISSION'S TITLE VI ENFORCEMENT PROGRAM

OVERVIEW OF THE TENNESSEE HIGHER EDUCATION COMMISSION

The Tennessee Higher Education Commission was created in 1967 for the purpose of achieving cooperation and unity in higher education. The coordination function grew out of a nationwide trend by governors and legislators to promote planned growth, equitable funding, and accountability among the state's colleges and universities.

Since that time the Commission has created funding formulae, funding initiatives based on performance, legislative benchmarks, master plans, and criteria for new academic programs. The Commission believes strongly in working in a collaborative effort with the two public governing boards and the independent sector to communicate clearly and frequently with diverse constituency groups. The Commission's duties include:

- recommending a budget for a statewide system, which is a two billion dollar enterprise;
- engaging in master planning with a central focus on increasing educational attainment; sharpening institutional missions, and expanding the use of technology; and
- answering questions regarding accountability measures on a daily basis.

The Commission is committed to the principles of equity, excellence, accessibility, and accountability, and strives to coordinate all Tennessee higher education according to those principles. An organizational chart, as well as a more detailed listing of the Commission's duties and responsibilities, is included as an appendix to this report (*Appendix I*).

The Commission is composed of thirteen voting members and two non-voting members (*Appendix II*). Specifically, there are nine voting lay members appointed by the Governor for six-year terms, each representing a congressional district of the state. The other voting members include the three constitutional officers, (Comptroller of the Treasury, Secretary of State, and State Treasurer) and one of the two student members. The two student members, one from each of the two systems, Tennessee Board of Regents and the University of Tennessee, are appointed by the Governor and serve staggered two-year terms. The student serving in the second year of his or her term is vested with voting authority. Finally, the Executive Director of the State Board of Education serves as a non-voting, ex-officio member.

The Tennessee Higher Education Commission members and staff take seriously the responsibility of ensuring compliance with Title VI as well as other programs to prevent discrimination of any type. The Commission continuously strives to identify initiatives to help meet this responsibility.

Period Covered by the Title VI Implementation Plan Update and Compliance Report

This implementation plan update for compliance with Title VI of the Civil Rights Act of 1964 covers the period of July 1, 2014 through June 30, 2015. The programs and activities outlined in the report are included within the scope of the implementation plan update. The plan update was developed by the Commission's Title VI Coordinator in cooperation with resource staff and representatives from each of the Commission's program areas. This plan has been approved by the Executive Director of the Commission.

Policy Statement Regarding Title VI Compliance

As a recipient of federal education funds, the Commission affirms its intention to comply with Title VI of the Civil Rights Act of 1964. Title VI states:

No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied benefits of, or be subject to discrimination under any program or activity receiving federal financial assistance.

The Tennessee Higher Education Commission prohibits discrimination in any manner related to institutions, non-profit organizations or program participants receiving services or benefits under federal or state programs. This information is disseminated to employees through items posted in each break room and copy room, and also through Title VI training opportunities. Additionally, the information is included in all RFP documents issued by this office. Successful project directors must attend a project directors' meeting where Title VI compliance is reinforced.

The Tennessee Higher Education Commission reaffirms its policies and commitment to afford all individuals the same opportunity to participate in federally financially assisted programs in compliance with Title VI of the Civil Rights Act of 1964.

FEDERAL PROGRAMS AND ACTIVITIES

The Tennessee Higher Education Commission administers the following federal programs in Tennessee:

College Access Challenge Grant (CACG)

In September 2014, the U.S. Department of Education awarded Tennessee a College Access Challenge Grant (CACG) totaling \$2,518,367. The purpose of the College Access Challenge Grant Program is to foster partnerships among federal, state, and local governments and philanthropic organizations through matching grants aimed at increasing the number of low-income students who are prepared to enter and succeed in postsecondary education. The 2014 CACG award focuses on bolstering initiatives set forth in Governor Haslam's Drive to 55 Campaign in three areas:

- 1) **Expand Statewide College Access and Success Efforts:** THEC continues to manage CollegeforTN.org, the state's college access web portal, which receives over 3,339,124 page views annually. The FY 2014 CACG award expands on the successful College Application Week initiative to create Path to College Events designed to foster a college-going culture in Tennessee high schools. College Application Week, held each fall, aims to build excitement around the college application process and provide each Tennessee senior the opportunity to apply for college. College Goal Tennessee provides free information and assistance to Tennessee families completing the FAFSA and applying for financial assistance for higher education. On College Planning Night, high schools host an after school event for high school juniors and their parents to provide information about college search, application, and financial aid processes. On College Signing Day, high schools celebrate their college-bound seniors through a school-wide assembly or pep rally where each senior's postsecondary choice is announced and celebrated.
- 2) **Build Capacity to Meet College Completion Goals:** THEC developed the Tennessee Promise Forward program to support Tennessee Promise, a financial aid and mentoring initiative of Governor Haslam that provides all Tennessee high school graduates with the opportunity to attend community college or a TCAT free of tuition and fees. Tennessee Promise Forward provides subgrants to nine community colleges selected through a competitive application process, to provide direct services to support the retention and graduation of Tennessee Promise students. The contracts between THEC and the community colleges were finalized on June 15 and students will be served in the next fiscal year.
- 3) **Bolster Go Back and Finish Initiatives:** Tennessee's Drive to 55 initiative relies largely on the recruitment, retention, and completion of adults in higher education. Adults currently make up over 27 percent, or 55,000, of enrolled public undergraduate students, and the prospective adult student pool of Tennesseans with some college but no degree is over 900,000. At every public higher education institution in Tennessee, adults earn a higher share of credentials compared to their

enrollment. The FY 2014 award supports programs aimed to attract adults and provide them with appropriate supports has the capability to boost completion rates and the overall educational attainment rate in Tennessee.

GEAR UP Tennessee

In spring 2012, the United States Department of Education awarded a *Gaining Early Awareness and Readiness for Undergraduate Programs* (GEAR UP) grant to the Commission in the amount of \$29,590,281. GEAR UP, a seven-year discretionary grant program, aims to increase the number of low-income, first generation students enrolling and succeeding in college.

Tennessee's GEAR UP program, operating under the name GEAR UP, provides direct services to a cohort of students, the Class of 2018. Direct services began when the students were in seventh grade and will continue through the cohort's first year of postsecondary education. GEAR UP also provides services to students in the senior class of participating high schools each grant year.

The GEAR UP project is designed to:

- 1) Increase the academic performance and preparation for postsecondary education for GEAR UP students;
- 2) Increase the rates of high school graduation and enrollment in postsecondary education for GEAR UP students; and
- 3) Increase GEAR UP students' and their families' knowledge of postsecondary education options, preparation, and financing.

During the reporting period, Tennessee's GEAR UP program provided college access and success services to 15,772 students attending one of 32 GEAR UP high schools. In total, GEAR UP is providing services to 15 communities located in the following counties: Anderson, Bradley, Campbell, Claiborne, Davidson, Grainger, Hardeman, Haywood, Henderson, Johnson, McNairy, Robertson, Shelby, Union and Wayne.

As a part of the GEAR UP application, Tennessee was required to provide a letter of assurance of nondiscrimination. (*Appendix III*).

Improving Teacher Quality Grant Program (ITQ)

The Improving Teacher Quality Grant Program is a federally-funded program that provides grants to the state's public and private higher education institutions and non-profit organizations for the purpose of providing research-based professional development and continuing education for K-12 teachers, paraprofessionals and principals. Institutions use grant funds from the U.S. Department of Education to assemble project teams who work across disciplines and have access to the most recent research in relevant content areas, curriculum reform and pedagogical strategies.

There were fourteen projects funded for FY 2014-2015 totaling \$954,527. It is anticipated that a like amount will be available for the current fiscal year, although that will be dependent on federal funding.

Race to the Top (RTTT)

In 2010, Tennessee was one of two states selected for funding in the first round of the federal Race to the Top competition, receiving \$501 Million from the U.S. Department of Education. Tennessee's innovative education reform agenda centered around improving teachers and school leaders, making better use of data systems, increasing the rigor of state standards and assessments, turning around low-performing schools, and creating a focus on Science, Technology, Engineering, and Math (STEM) education. A strength of Tennessee's application was the close collaborative relationship between K-12 and higher education. Tennessee is one of the few states in the nation where the K-12 department of education and the higher education agency work in tandem to programmatically and fiscally administer the grant.

The Tennessee Higher Education Commission serves on the overall *First to the Top* leadership team which includes the Department of Education, legislative representatives, State Board of Education, business and industry representatives, and the Governor's office. THEC also administers eight of the individual projects within the *First to the Top* program which includes a budget of approximately \$19 million.

The projects focus on the following key areas:

- ***Improving Teacher Training Programs*** through the integration of standards based curriculum, alignment with K-12 standards and assessments, and improving pre-service teachers' knowledge of state data systems and their use in the classroom;
- ***Increasing Tennessee's competitiveness in STEM fields*** by expanding the UTeach program and using the expertise in higher education institutions to provide high-quality professional development to K-12 educators;
- ***Providing accountability in teacher preparation with a focus on strengthening programs*** through the improvement of Tennessee's groundbreaking *Report Card on the Effectiveness of Teacher Training Programs* and the creation of the *School Leader Study*;
- ***Expanding P-20 data systems*** so that student information can be tracked through all grades, post-secondary education, and careers; the State Longitudinal Data System which will provide valuable research related to student outcomes that predict workforce success. Additionally, THEC is expanding the current College Access Network to assist students in successful application and admission to colleges and universities.

Since the conclusion of the original First to the Top grant period ended in June of 2014, THEC has received a one year, no cost extension to continue work on three projects: improving teacher training programs, providing accountability in teacher preparation, and expanding the College Access Network. The RTTT program, and funding for the same, concluded on June 30, 2015.

Veterans Education Division

The Veterans Education Division of the Commission is the State Approving Agency (SAA) funded by the U.S. Department of Veterans Affairs to approve and monitor all educational institutions receiving federal funds for education of veterans based on federal guidelines.

Pursuant to U.S.C. Title 38, the SAA is responsible by contract to the U.S. Department of Veterans Affairs.

Veterans Affairs regulations require that all participants (schools, business, etc.) acknowledge and adhere to the policies referred to under the Title VI enforcement form, which affirms that they will not discriminate based on race, color or national origin (*Appendix IV*). A school will not be approved for veterans training unless this form has been signed. An institution currently approved for veterans training that fails to comply with Title VI procedure will be withdrawn from the veterans program. During the FY 2014-2015, there were 313 institutions and 78 apprenticeship on-the-job training programs approved to provide veterans training in Tennessee.

Each institution approved for the training of veterans must have an EEO statement and guidelines in place at all times. Commission staff reviews these guidelines and makes sure they are in place. Staff also reviews and investigates claims of discrimination made by students.

The total budget for Veterans Affairs for FY 2014-2015 was \$393,495 and a like amount is anticipated for the current fiscal year.

It should be noted, however, that the Commission is not involved in the distribution of GI Bill funds. The U.S. Department of Veterans Affairs notifies veterans of their eligibility and pays benefits directly from the federal office.

ORGANIZATION OF CIVIL RIGHTS OFFICE/CIVIL RIGHTS COORDINATOR

The ultimate responsibility for enforcing and complying with the provisions of Title VI and this report is vested in the Executive Director of the Tennessee Higher Education Commission. The Executive Director oversees all policy and hiring for the agency.

The individual responsible for developing, reporting and enforcing Title VI guidelines is Scott Sloan, Associate Executive Director for Legal and Regulatory Affairs. Mr. Sloan reports directly to the Executive Director, and can be contacted at (615) 741-7571 or via e-mail at scott.sloan@tn.gov.

As the Title VI coordinator, Mr. Sloan is charged with developing the Commission's Title VI implementation plan and provides overall direction and leadership for the Commission's Title VI compliance activities, including professional development.

There have been no Title VI complaints filed with the Commission in FY 2014-2015. If any complaints were filed, Mr. Sloan would investigate and respond to such complaints and consult with appropriate staff.

DATA COLLECTION AND ANALYSIS

Commission Staff

Staff members are responsible for the day-to-day activities of the Commission. The staff is made up of a diverse racial mix. Specifically, of the 68 employees, 16 are African-American, 48 are white, three are Asian, and there is one individual who would be classified as “other.” There are currently five vacant positions.

This can be further broken down by EEO category:

- EEO 1: 3 African-Americans; 14 Caucasians; 2 Vacancies.
- EEO 2: 13 African-Americans; 33 Caucasians; 3 Asians; 1 Other; 3 Vacancies.
- EEO 6: 1 Caucasian.

(See *Appendix V*)

The 68 filled positions are broken down as follows:

- 16 African-Americans (24 percent);
- 48 Caucasians (71 percent);
- 3 Asian (4 percent);
- 1 Other (1 percent).

An organizational chart of the Commission staff is also included as part of *Appendix I*. The Commission addresses Title VI compliance at each of its fall meetings. To supplement that activity, the Commission has implemented a policy that compliments and is consistent with its commitment in this area.

Data Analysis for Federally Funded Programs:

College Access Challenge Grant (CACG)

The CACG program did not serve students directly in FY 2014 – 2015.

GEAR UP Tennessee

GEAR UP served 15,772 students during FY 2014-2015. An analysis of racial diversity in the GEAR UP program is included in *Appendix VI*.

Improving Teacher Quality Grants

Annually, the Commission issues a Request for Proposals (RFP) to Tennessee public and private higher education institutions and not-for-profit entities that have an approved teacher preparation program, inviting them to compete for these federal funds. The FY 2014-2015 RFP was mailed to the presidents and chancellors, other college and university administrators, previously funded

project directors, and others who requested a copy. This includes faculty and administrators at historically African-American colleges and universities who were contacted about the program and encouraged to submit proposals. The RFP includes a requirement that each successful project must include a plan to recruit minorities for the project. An analysis of racial diversity in the ITQ Grant Program is included in *Appendix II*. The total of all participants was 396, of which 46, or 12 percent, were minority participants.

A predetermined rubric is used to evaluate the various RFPs (*Appendix I*).

Each successful ITQ project director must report information regarding their respective projects. Included in this report is a list of data that was compiled during the grant cycle to show evidence of Title VI compliance (*Appendix II*). This data is compiled and utilized to identify trends of potential discriminatory practices and in evaluating project proposals in subsequent years.

Race to the Top (RTTT)

For data concerning the extent to which members of minority groups are represented in Tennessee's Race to the Top programming, see the *STEM* and *UTeach* tables in *Appendix VI*.

DEFINITIONS

Assurance – A written statement or contractual agreement signed by the agency head in which a recipient agrees to administer federally assisted programs in compliance with civil rights laws and regulations.

Beneficiaries – Those persons to whom assistance, services, or benefits are ultimately provided. The beneficiaries assisted by the Commission include public and private postsecondary institution students and teachers.

Compliance – The fulfillment of the requirement of Title VI, other applicable laws, implementing regulations, and instructions to the extent that no distinctions are made in the delivery of any service or benefit on the basis of race, color or national origin.

Complaint – A verbal or written allegation of discrimination which indicates that any federally assisted program is operated in such a manner that it results in disparity of treatment to persons or groups or persons because of race, color or national origin.

Conciliatory Agreement – A voluntary agreement between a federal agency, the state, and a subrecipient, which provides for corrective action by a recipient to eliminate discrimination in any program receiving federal assistance.

Contractor – A person or entity that agrees to perform services at a specified price.

Civil Rights Compliance Reviews – Regular systematic inspections of agency programs conducted to determine regulatory compliance with civil rights laws and regulation. Compliance reviews determine compliance and noncompliance in the delivery of benefits and services in federally assisted programs. They identify problems such as denial of full benefits, barriers to participation, difference in treatment, lack of selection to advisory boards and planning committees, lack of information, and denial of the right to file a civil rights complaint. Compliance reviews may be conducted on-site or through desk audits.

Discrimination – To make any distinction between one person or group of persons and others, either intentionally, by neglect, or by the effect of actions or lack of actions based on race, color, or national origin.

Federal Assistance – Any funding, property, or aid provided for the purpose of assisting a beneficiary.

High-need Local Education Agency – an LEA:

- (A) 1. that serves not fewer than 10,000 children from families with incomes below the poverty line; or
2. for which not less than 20 percent of the children served by the agency are from families with incomes below the poverty line; and

- (B) 1. for which there is a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach; or
2. for which there is a high percentage of teachers with emergency, provisional, or temporary certification or licensing.

Minority – A person or group of persons who differs from others in some characteristic(s) and is often subjected to differential treatment on the basis of race, color, or national origin.

Noncompliance – Failure or refusal to comply with Title VI of the Civil Rights Acts of 1964, other applicable civil rights laws, and implementing departmental regulations.

Primary Recipient – Any recipient authorized or required to extend Federal financial assistance to another recipient for the purpose of carrying out a program.

Public Notification – Process of publicizing information on the availability of programs, services and benefits to minorities and statements of nondiscrimination. This is attained through use of newspapers, newsletters, periodicals, radio and television, community organizations, and grassroots and special needs directories, brochures, and pamphlets.

Racially Hostile Environment – Harassing conduct (for example, physical, verbal, graphic, or written) that is sufficiently severe, pervasive, or persistent so as to interfere with or limit the ability of an individual to participate in or benefit from the services, activities or privileges provided by a recipient of federal funds.

Recipient – Any state (including political subdivisions or instrumentalities of a state), public or private agency, institution, organization, other entity, or individual, to whom federal financial assistance is extended, directly or through another recipient. This definition includes any successor, assign, or transferee thereof, but does not include any ultimate beneficiary under any such program.

Request for Proposals – The document that solicits competitive grant proposals from higher education and non-profit institutions.

DISCRIMINATORY PRACTICES

There are many forms of illegal discrimination based on race, color, or national origin that can limit the opportunity of minorities to gain equal access to services and programs. Among other things, in operating a federally assisted program, a sub-recipient cannot, on the basis of race, color, or national origin, either directly or through contractual means:

- Be refused an award for a grant administered by the Commission;
- Deny any qualified applicant participation in a program funded with a grant;
- Provide an individual instruction or participation at a level of service or benefit in a manner different from others under the same program;
- Subject a participant to segregation in any manner related to the receipt of services or benefits under the program;
- Subject a project participant to separate treatment in any manner related to receiving services or benefits under the program;
- Restrict an individual in any way in the receipt of any advantage or privilege enjoyed by others under the program;
- Require different standards or conditions as prerequisites for accepting an individual into a program;
- Use criteria or methods of administration which (a) have the effect of subjecting individuals to discrimination or (b) operate to defeat or substantially impair the accomplishment of the objectives of the program;
- Permit discriminatory activity in a facility built in whole or in part with federal funds;
- Fail to provide service or information in a language other than English when a significant number of potential or actual beneficiaries have limited English speaking ability;
- Fail to advise the population eligible to be served or benefited by the program of the existence of the program;
- Locate a facility in any way which would limit or impede access to a federally funded service or benefit; or
- Deny a person the opportunity to participate as a member of a planning or advisory body that is an integral part of the program.

LIMITED ENGLISH PROFICIENCY (LEP)

Notwithstanding the limited likelihood that participants in programs administered by the Commission will be in need of LEP services, the Commission is committed to ensure that all eligible participants have complete access to the programs it administers. Therefore, the following procedures have been put in place should the need arise.

During FY 2014-2015 there were no requests, nor was there any observed need, to provide LEP services.

GEAR UP Tennessee

The GEAR UP program provides direct services to students through subgrants to LEAs. Services provided to students are tailored to students' individual needs. Should a GEAR UP student require specific services to address his or her LEP needs, the Commission works with the LEA to ensure such needs are met.

College Access Challenge Grants (CACG)

As is the case with the GEAR UP program, CACG provides direct services either through broad outreach or through subgrants to higher education institutions. These services are individualized to students' needs by subgrantees when appropriate. In the event that a CACG student requires services to address his or her LEP needs, the Commission works with the subgrantee in which the student is enrolled to ensure such needs are met.

Improving Teacher Quality Grants

Improving Teacher Quality Grants are awarded to higher education or non-profit entities that provide teacher training to the state's K-12 teachers, who must be proficient in English to be in their position.

Regardless, it is recognized that there could be some limited instances where the individuals that would benefit from the ultimate flow of funds may include those in need of LEP accommodations. Therefore, THEC will work with contractors, subrecipients, and vendors to ensure meaningful access and an equal opportunity for those with limited English proficiency. All interpreters, translators and other aids needed to comply with this policy shall be provided without cost to the person being served.

Language assistance will be provided through an arrangement with the Tennessee Foreign Language Institute. Appropriate staff will be provided notice of this policy and procedure, and staff that may have direct contact with LEP individuals will be trained in effective communication techniques, including the effective use of an interpreter. The Commission will conduct a regular review of the language access needs of our service population, as well as update and monitor the implementation of this policy and these procedures, as necessary.

PROCEDURES

1. *Identifying LEP Persons and Their Language*

The Commission will promptly identify the language and communication needs of the LEP person. If necessary, staff will use language identification cards (or “I speak cards”) or posters to determine the language. In addition, when records are kept of past interactions with individuals or their family members, the language used to communicate with the LEP person will be included as part of the record.

2. *Obtaining a Qualified Interpreter*

The Tennessee Foreign Language Institute has agreed to provide qualified interpreter services. The TFLI is a state agency that provides interpretation services in over 200 languages, either in person or over a 24/7 telephonic language service (877-346-1674). Additionally, the TFLI can provide written translation for forms, websites and other business documents.

Some LEP persons may prefer or request to use a family member or friend as an interpreter. However, family members or friends of the LEP person will not be used as interpreters unless specifically requested by that individual. Furthermore, the LEP person must first understand that an offer of an interpreter at no charge to the person has been made by the department or agency. Such an offer and the response will be documented in the person’s file. If the LEP person chooses to use a family member or friend as an interpreter, issues of competency of interpretation, confidentiality, privacy, and conflict of interest will be considered. If the family member or friend is not competent or appropriate for any of these reasons, competent interpreter services will be provided to the LEP person. Children will **not** be used to interpret, in order to ensure confidentiality of information and accurate communication.

3. *Providing Written Translations*

As indicated above, when translation of vital documents is needed, the Commission shall submit the documents to the TFLI for translation. Original documents being submitted for translation will be in final, approved form.

4. *Monitoring Language Needs and Implementation*

On an ongoing basis, the Commission will assess changes in demographics, types of services or other needs that may require reevaluation of this policy and its procedures. In addition, the Commission will regularly assess the efficacy of these procedures, including but not limited to:

- mechanisms for securing interpreter services,
- equipment used for the delivery of language assistance,
- complaints filed by LEP persons, and
- feedback from the public and community organizations.

COMPLAINT PROCEDURES

Title VI Complaints

There were no Title VI-related complaints or lawsuits filed against THEC during FY 2014-2015.

The Tennessee Higher Education Commission has adopted complaint procedures which require that all form letters used to communicate the status of a complaint investigation be included in *Appendix VIII*. In addition, the Commission utilizes standard forms developed by the Tennessee Human Rights Commission related to the investigation itself (e.g. *Investigation Commencement Form, Title VI Investigative Plan, and Case Summary Report*).

Timeline for Filing

Any person alleging discrimination based on race, color, or national origin has a right to file a complaint within 180 days of the alleged discrimination.

Receipt of Complaints

To request a preliminary review by the Commission, which determines whether it will investigate an allegation of noncompliance with Title VI, the complainant must complete the *Discrimination Complaint Form* contained in *Appendix VIII* (or provide the information requested on the *Complaint Form*). Additionally, he or she must complete the *Consent Form for Use of Personal Information*. The complainant must sign all forms.

Essential Elements of a Complaint

The complainant must provide the following information:

- Name, address, and telephone number of the person making the complaint;
- The location and name of the entity delivering the service;
- The nature of the incident that led the complainant to feel discrimination was a factor;
- Whether the discrimination was based on race, color, or national origin;
- Names, addresses, and phone numbers of people who may have witnessed the event or may have knowledge of the event; and
- The date(s) of the alleged discriminatory acts.

Complaint Receipt and Reporting Process

The procedures listed below will be followed in processing Civil Rights complaints.

- Within fifteen days of receiving the complaint, Commission will send a letter to the complainant acknowledging receipt of the complaint. The Commission will advise the complainant that the Commission will conduct a preliminary review of the complaint and that he or she will be advised of the results of the preliminary review.
- The Commission's Title VI Coordinator will conduct a preliminary review of the complaint, and will determine whether a potential violation of Title VI has occurred. The Title VI Coordinator will also determine whether the Commission has jurisdiction to

investigate the complaint, and whether the Commission is the best entity to conduct the investigation. In the course of the investigation, the Title VI coordinator will work with the program administrator for the particular program involved in the complaint. If it is determined that the Commission is not the best entity to conduct the investigation, the Commission may refer the complaint to the U.S. Department of Education Office for Civil Rights, the Tennessee Department of Labor and Workforce Development or U.S. Department of Veterans Affairs, or any other appropriate entity.

- While the Commission does not have statutory responsibility for the operation of the two governing boards, the Executive Director will refer any complaint involving an institution of the University of Tennessee System or the Tennessee Board of Regents to the respective governing boards for review and resolution. In either case, the complainant will be apprised of the action taken.
- Within thirty days of the Commission's receipt of the complaint, the Commission will notify the complainant as to the results of the preliminary review of the complaint and whether the Commission will conduct an investigation.
- If the decision of the Commission is to conduct a complaint investigation, the Commission will send a letter of notice to the entity to be investigated.
- If the Commission accepts a complaint for investigation, the Commission will strive to complete the investigation within 180 days of the receipt of the complaint. The investigation will include interviews with persons who may have direct knowledge of the alleged discriminatory act(s), a review of pertinent documents and records, and any other legal investigative techniques deemed necessary to allow the Commission to reach a conclusion as to whether discrimination occurred.
- If appropriate, the Commission will coordinate with other agencies on interdepartmental matters.
- If the investigation substantiates the allegations of the complainant or if other instances of noncompliance with Title VI of the Civil Rights Act of 1964 are found, the Commission will send a draft copy of the investigative report to the entity that has been the subject of the investigation. The Commission will request the entity to submit a written response to any findings or recommendations in the draft report.
- If the entity that is the subject of the complaint submits a written response which states that action will be taken to resolve the complaint, the Commission will issue a final investigative report that will include the response of the entity. The Commission investigator will schedule a follow-up review for an appropriate time period to determine whether the complaint has been resolved.
- If the entity does not agree to resolve a substantiated complaint, the Commission will issue a final report with an opinion statement that the entity has not committed to resolving the complaint. The Commission's Title VI coordinator, in consultation with the

Executive Director of the Commission, will make a determination as what further action the Commission will take to resolve the complaint.

- If the alleged discriminatory act(s) directly affected the complainant, a letter, containing a description of the allegations investigated, the scope of the investigation, the facts learned, and a closing statement summarizing the basis on which the determination was made, will be sent to the complainant. The complainant will be advised of his or her right to file a complaint with other applicable governmental entities, including the Tennessee Human Rights Commission, if dissatisfied with the resolution of the complaint by the Commission.

COMPLIANCE REVIEW

Subrecipients, Contractors, Vendors

- The Commission and any subrecipients/contractors shall make available any Title VI compliance report to be reviewed by the Tennessee Human Rights Commission upon request.
- A list of the Commission's subrecipients, contractors and/or vendors is found in *Appendix IX*.
- The Commission had a total of four contractors for federally funded programs and activities in FY 2014-2015. These contracts totaled \$ \$8,340,678.¹ Two of the four contractors are minority-owned business enterprises (MBE) for a fifty percent (50%) ratio of the total contracts and twenty-four percent (24%) of the total dollar amount.
- For entities that enter into grants and contracts with the Commission, the grant contract document includes the following provision prohibiting discrimination (Paragraph D.8. of *Appendix X*):

Nondiscrimination. The Grantee hereby agrees, warrants, and assures that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of this Grant Contract or in the employment practices of the Grantee on the grounds of handicap or disability, age, **race, color**, religion, sex, **national origin**, or any other classification protected by Federal, Tennessee State constitutional, or statutory law. The Grantee shall, upon request, show proof of such nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination. (Emphasis added.)

Signing of a grant contract with the above language is a precondition to receiving funds. If the entity does not sign, funds will not be released.

Recipients of the Improving Teacher Quality Grants and the institutions approved to offer veterans' benefits to their student must sign a statement of assurance regarding compliance with Title VI. The Commission relies on the contractual nondiscrimination language outlined above for compliance by all other contractors and subrecipients.

- There are currently no pending applications for financial assistance from any federal or state department or agency.

¹ Maximum contract liability for the multi-year contract total.

Pre-Award and Post-Award Procedures

College Access Challenge Grant

The Commission staff performs a site visit on each project that receives a grant under the College Access Challenge Grant.

GEAR UP Tennessee

The Commission staff makes numerous site visits each year to all the GEAR UP recipients.

Improving Teacher Quality Grant Program

Pre-Award Review

The Academic Affairs Analyst includes mandatory Title VI requirements in the RFP. Also, the staff instituted an updated evaluation feature that will provide information on whether previously funded institutions were found to have successfully satisfied Title VI compliance reviews or have pending Title VI complaints. Projects that have been found in non-compliance will not be considered for funding.

The Commission assembles a selection committee to recommend which proposals should be funded. Awards are based on the merit of the proposals, which are evaluated using prior established criteria identified to enhance K-12 teachers' instructional abilities and principals' leadership skills. The selection committee includes representatives from the state's public and private higher education institutions, Board of Education and Department of Education. The FY 2014-2015 committee included 3 African-Americans out of a total of 14 reviewers. (*Appendix III*).

Post Award Title VI Compliance

Procedures for conducting compliance reviews of funded grant projects under the Improving Teacher Quality Grant program include the following steps:

- Site visits to all grant programs;
- Mandatory project directors meeting to include Title VI presentation;
- Completion of Title VI Compliance Checklist;
- Survey of Project Director(s), which among other things identifies the number of minorities the project served and the number of external consultants that were employed by the project (*Appendix VII*);
- Review whether the grantee implemented the project's plan for recruiting minority participants;
- Technical assistance with any Title VI complaints or issues; and
- Mandatory final report submitted to program director 45 days after the grant ends.

Site visits were made to all ITQ projects for FY 2014-2015.

Project Directors will submit in the final report on any Title VI complaint received during the funded grant period. In addition, the grant Project Director will submit in the final report an explanation of the results of the proposed minority recruitment plan. Unsatisfactory compliance review findings, failure to submit final reports, and pending discriminatory complaints can result in the withholding of the projects' final disbursement of grant funds.

Two examples of how discrimination might occur:

- Failure to notify all eligible institutions of the availability of funds; and
- Applicants receiving awards notify only certain teachers or schools in the targeted geographical areas of the fact that professional development activities will be conducted, knowing or having reason to believe that no minorities are among that group.

Veterans Education

Compliance Audits, as well as Inspection and Technical Assistance visits, were conducted by the SAA during FY 2014-2015 at each of the institutions participating in the Veterans Education program as required by our contract with USDVA and 38 U.S.C. §3673 and §3675. These visits include records audits, interviewing students, and facilities monitoring. Title VI compliance reviews are also completed by the U.S. Department of Veterans Affairs. The Assistant Executive Director of Veterans Education for the Tennessee Higher Education Commission is responsible for investigating complaints of discrimination filed by veterans and acts as a liaison between the institution and the U.S. Department of Veterans Affairs. As part of the Principles of Excellence, Executive Order 13607, the U.S. Department of Veterans Affairs has an online complaint system. Veteran complaints through this system are adjudicated in Washington, DC and forwarded to the appropriate State Approving Agency as necessary.

Public Notice and Outreach

The Commission monitors all subrecipients and contractors concerning the dissemination of information about the following to the public:

- Nondiscrimination policy;
- Programs and services;
- Complaint procedures; and
- Minority participation on planning boards and advisory bodies.

Procedures for Noncompliance

The Commission has adopted the following policies and procedures which will be followed through complaint investigations or compliance reviews, when it is determined that a Title VI violation has occurred. Efforts will be made to the fullest extent practicable to obtain voluntary compliance before a case is referred to the U.S. Department of Education Office for Civil Rights for possible refusal, suspension, or termination of federal financial assistance.

Procedures for Achieving Voluntary Compliance

- In cases where a complaint investigation or compliance review results in a finding of noncompliance, the Commission will notify the subrecipient of federal/state funds of the apparent noncompliance.
- The notice will clearly identify the conditions of noncompliance and offer a reasonable time to willingly comply.
- The Commission will record the date the recipient received notice, and will note and record the last day afforded the recipient for voluntary compliance before initiating an administrative process to terminate assistance.
- A subrecipient of federal funds may request a meeting for the purpose of discussing the problem areas or requirement for compliance. The principal investigator will be involved in the discussion process.
- The Executive Director of the Commission, or designee, will approve the recipient's voluntary compliance plans, methods, procedures, and proposed actions if such approval will result in compliance with the Act. The plan will be put in writing. Failure of voluntary efforts will result in the implementation of an administrative process, which could result in termination or suspension of assistance.

Termination or Suspension of Assistance

If the Commission cannot obtain compliance through voluntary means, the Commission will notify the U.S. Department of Education Office for Civil Rights (USDE/OCR) and will request the assistance of the USDE/OCR to obtain compliance, which may involve termination or suspension of assistance.

If termination of assistance is considered due to noncompliance with Title VI, the alleged problems are delineated to the award recipient. Opportunity is provided for informal resolution. If these efforts fail, formal sanctions up to and including termination can be pursued.

COMPLIANCE/NONCOMPLIANCE REPORTING

Currently, the Commission submits its Title VI report only to the Tennessee Human Rights Commission (THRC). Compliance reports will be maintained by the Commission and forwarded to the other state and federal agencies as may be requested or directed. Additionally, the Commission is not aware of any CFR regulations requiring any reporting obligations.

The Commission will maintain the following records:

- Administrative records such as copies of assurances, public notification plans, press releases, and training materials;
- Data collection and participation records, documentation of analytical review procedures, and results of follow-up;
- Monitoring records, including working papers, reports, and corrective action plans; and
- All Title VI correspondence and reports received from and submitted to the federal government.

The Commission has not received any Title VI or discrimination-related audits or findings from federal or state monitoring agencies.

TITLE VI TRAINING PLAN

Mr. Sloan is designated the Title VI coordinator and will execute all of the duties and responsibilities of the position, including participation in meetings of the Tennessee Title VI Compliance Commission and Governor's Office of Diversity Business Opportunities.

Marcie Mills, who serves as paralegal for both the Commission and the Tennessee Student Assistance Corporation, attended the Title VI compliance meeting on July 29, 2015.

Title VI training for the Commission staff was accomplished through an on-line tutorial module through Edison. The module provided an overview of Title VI to include its history, key elements and principles regarding application of the law to the work of the Commission. The training included a post-test in which the staff responded to questions related to the on-line tutorial. An employee roster showing completion of the training can be found in *Appendix XI*.

Commission staff members were advised that access to the mandatory training module was available on May 8, 2015, for each staff member to take no later than May 22, 2015. Through Edison, it was verified that 100 percent of full-time Commission staff completed the module. The training incorporated a history of civil rights in the United States, and outlined the purpose and applicability of Title VI (*Appendix XI*). It is anticipated that the FY 2015-2016 training will take place in the spring or summer of 2016.

In addition to the training received by the Title VI coordinator, the Title VI guidelines are reinforced by mandatory attendance at the annual project directors' workshop which is designed to educate grant recipients regarding federal and state guidelines including the proper procedures for reporting Title VI complaints. In FY 2014-2015, all Improving Teacher Quality Grant project directors attended this workshop.

Additionally, the Commission's Title VI Implementation Plan is addressed each year at the November meeting of the Commission. At that time, information similar to what was presented in the on-line tutorial for staff is reviewed with the Commission, as well as highlights of the most recent Title VI plan. Specifically, this review was included at the November 20, 2014 meeting of the Commission and will be included at the November 19, 2015 meeting.

PUBLIC NOTICE AND OUTREACH

As mentioned above, the Commission monitors all subrecipients and contractors concerning the dissemination of information on multiple topics:

- Nondiscrimination policy;
- Programs and services;
- Complaint procedures; and
- Minority participation on planning boards and advisory bodies.

Specifically, the Commission uses the following measures with respect to the Improving Teacher Quality Grant Program, the GEAR UP Program, and the College Access Challenge Grant(CACG) Program:

- *Nondiscrimination policy:* Throughout the 2014-2015 project period, monitoring was conducted by THEC staff to ensure compliance with all aspects of the contractual terms. Per Section D.8. of all contracts, grantees were required to furnish to applicants and employees notices of non-discrimination.
- *Programs and services:* Information regarding programs and services was disseminated primarily in the form of communications with prospective workshop participants. Per the terms of the Request for Proposals, the ITQ grantees were required to develop a recruiting plan for minority participants. However, no such plan is required of GEAR UP as these services are provided to all students enrolled in specific grades in the respective county school systems serving as GEAR UP counties.
- *Complaint procedures:* The public is informed via Request for Proposals and any other program communications that Title VI requires federally assisted programs to be free of discrimination. These documents also provide contact information for the THEC Title VI Coordinator in the event that a citizen claims to have been subjected to discrimination. In addition, grantees are contractually required, under Section D.10., to annotate on all public notices that the grant was funded under an agreement with the Tennessee Higher Education Commission.
- *Minority participation on planning boards and advisory committees:* THEC maintains records of minority participation on the ITQ Advisory Committee, the Teacher Diversity Grant Advisory Committee, and the Committee on Postsecondary Educational Institutions, all of which are available for public review. (*Appendix XII*)

The Tennessee Higher Education Commission holds public meetings at various times and locations throughout the year. The work of the Commission, its staff and committees is public record. All meetings are open to the public and publicized in accordance with the Tennessee Open Meetings Act. These public hearings concern such issues as funding of higher education, capital outlay and maintenance, and academic planning.

The Title VI guidelines are reinforced by mandatory attendance at the annual project directors' workshop which is designed to educate grant recipients regarding federal and state guidelines including the proper procedures for reporting Title VI complaints. In FY 2014-2015, all

Improving Teacher Quality Grant project directors attended this workshop on November 12, 2014.

Posters and flyers are displayed in high traffic areas of the Commission offices which articulate the Commission's commitment to compliance of Title VI and contact information for filing a complaint.

As a general rule, staff vacancies are filled after the positions are advertised in publications that will ensure a representative pool of applicants. In addition, efforts are made to network with African-American professionals and educators to assist in identifying potential applicants for the various positions.

As previously noted, the Commission provides its Title VI Implementation Plan upon request to any agency, department or individual that may request it. Additionally, the plan is found on the Commission's website < <http://www.tn.gov/thec/article/title-vi-compliance> >.

Minority Media Utilization

During FY 2014-2015, the Commission's outreach work around college access programs included efforts to be diverse and inclusive. The Commission holds a contract with a minority-owned marketing firm to facilitate outreach regarding its programs and college-going messages. In conducting market research focused on creating effective college access and success messages for all Tennesseans, the Commission made a concerted effort to be inclusive of minority voices. This research will, in turn, shape future outreach initiatives. In the development of an upcoming public outreach campaign, a diverse set of college students will be featured in an effort to make the communications process inclusive to a wide set of constituents.

Minority Representation on Planning Boards or Advisory Bodies

The Governor appoints all members of the Tennessee Higher Education Commission except the four ex-officio members (*Appendix II*). Pursuant to T.C.A. § 49-7-204(a)(6), "*at least one (1) of the appointive members shall be a member of the principal racial minority in the state*. Three of the fifteen Commission members (20 percent) are African-American: Ms. Pam Martin; Mr. A.C. Wharton, Mayor of Shelby County; and Mr. Robert Fisher.

The General Assembly created the Committee on Postsecondary Educational Institutions to assist the Commission staff with the oversight of the many proprietary and not-for-profit postsecondary institutions in the state. Pursuant to T.C.A. §49-7-207, the committee is composed of the Executive Director of the Tennessee Higher Education Commission, the Executive Director of the Tennessee Student Assistance Corporation and eleven persons appointed by the Commission. Dr. Deaton currently serves as the Interim Executive Director of both the Tennessee Higher Education Commission and the Tennessee Student Assistance Corporation, but for voting purposes is considered as one vote. Of the twelve persons serving as committee members, four are from a racial or ethnic minority group.

There is not a set number of Improving Teacher Quality Grant Program Selection Committee members; however, five of the members are determined by position. These positions include:

- Math Consultant for the State Department of Education;
- Science Consultant for the State Department of Education;
- Improving Teacher Quality Grant Coordinator for the State Department of Education;
- Coordinator of Special Projects for the State Department of Education; and
- Academic Affairs Analyst (THEC).

The selection committee responsible for the current grant awards included three African-Americans out of a total of fourteen committee members (*Appendix III*).

The Diversity in Teaching Grant Advisory Committee determines which entities will receive the grants under this program. The committee that reviewed and recommended awards for FY 2015-2017 included two African-American out of a total of six committee members (*Appendix IV*).

Below is an analysis of minority participation on advisory bodies for which the Commission has the authority and/or responsibility for appointing or recommending members. One of the Commission’s goals and objectives is to ensure that minorities are adequately represented on advisory bodies.

Advisory Body	Total Members	No. of Minority Members	Percentage of Minority Members
Committee on Postsecondary Educational Institutions	12	4	33%
Improving Teacher Quality Grant Program Selection Committee	14	3	21%
Diversity in Teaching Grant Advisory Committee	6	2	33%
Total	32	9	28%

Minority Input

As mentioned above, the Commission uses a women owned business enterprise (WBE) firm for coordination of its marketing activities. As a part of the firm’s market research responsibilities, it solicits input from populations representing a cross-section of Tennesseans. Those populations necessarily include minority representation.

Process for Obtaining Grants/Bidding on Contracts

As mentioned above, the Request for Proposals (RFP) is the method of informing potential grant recipients of available federal and state funding. RFPs are disseminated to public and private higher education institutions as well as non-profit organizations, if applicable. The Commission

makes special efforts to provide notice to African-Americans and other racial and ethnic minorities of all program activities. This information is also provided to institutions whose primary focus is to reach racial and ethnic minorities.

Goals and Objectives – Implementation Plan Deficiencies

THEC's primary goal in Title VI enforcement is to ensure that information on all THEC programs is disseminated to all Tennesseans regardless of race, color or national origin.

THEC's secondary goal is the appropriate recipient representation regardless of race, color, or national origin.

THEC's Title VI Coordinator is responsible for recommending policy changes in Title VI enforcement to the Executive Director. For the purpose of monitoring compliance activities, THEC's Program Administrators, Title VI Coordinator, and the Executive Director will meet at least once a year to review the prior year's activities. This yearly meeting will focus primarily on complaints filed during the year. Any significant problems of general compliance will also be addressed. If Title VI deficiencies are noted, prompt corrective action will be taken.

Further mechanisms to ensure compliance will also be considered. Notices to inform THEC employees, clients and prospective clients of their obligations and rights under Title VI and of the availability of services will be posted at the agency and shown on documents that clients receive.

THEC's Title VI Coordinator is responsible for displaying the Title VI information in the agency.

THEC's Title VI Coordinator shall attend training offered by the THRC.

THEC employees shall receive information regarding the obligations and rights involved in the Title VI program. The information will apprise staff of their responsibility to render a high quality of service to all clients regardless of their race, color or national origin.

THEC will review its publications, literature, website, and other media to address Limited English Proficiency as it relates to discrimination and implement procedures to address deficiencies.

THEC will require a statement of compliance with Title VI of the Civil Rights Act of 1964 from every contracting agency before entering into a contract or other agreement which involves the purpose of services or other benefits on behalf of persons served by the programs of THEC.

Any state or contracting agency believed by THEC to be in violation of the provisions of Title VI shall be given a written notice. Failure to eliminate further discrimination within 30 days of receipt of the notice will be considered as a violation of the terms of the contract and a basis for contract suspension, termination or rejection. The enforcement procedure by THEC for termination of the contracting agency from participation as a recipient of federal financial assistance will be in accordance with the enforcement procedure contained in 45 C.F.R. 80.9, 80.10 and 80.11.

The Title VI Coordinator monitors and recommends to the Executive Director appropriate changes in applicant selection criteria that may be discriminatory to racial groups. As appropriate, the Executive Director will forward recommendations to the Commission members.

The Title VI Coordinator will investigate all complaints in a timely manner and submit recommendations to the Executive Director. The Executive Director will be responsible for appropriate resolution of all complaints.

Timeline

THEC's Title VI Coordinator shall set a date in October for its annual meeting with the Program Administrators and the Executive Director to discuss implementation goals and deficiencies.

THEC's Title VI Coordinator shall contact the THRC in October to discuss training objectives.

THEC's Title VI Coordinator shall immediately review Statements of Assurance and Statements of Compliance deficiencies observed in this report and will ensure that any deficiencies are corrected.

RESPONSIBLE OFFICIALS

The responsible State official charged with ensuring that the agency complies with Title VI is Dr. Russ Deaton, Interim Executive Director.

The person designated as the Title VI Coordinator is M. Scott Sloan, Associate Executive Director of Legal and Regulatory Affairs.

The policy and procedures outlined in this implementation plan for compliance with Title VI of the Civil Rights Act of 1964 took effect on July 1, 2015 and will be in place through June 30, 2016.

Russ Deaton, Interim Executive Director

M. Scott Sloan, Title VI Coordinator

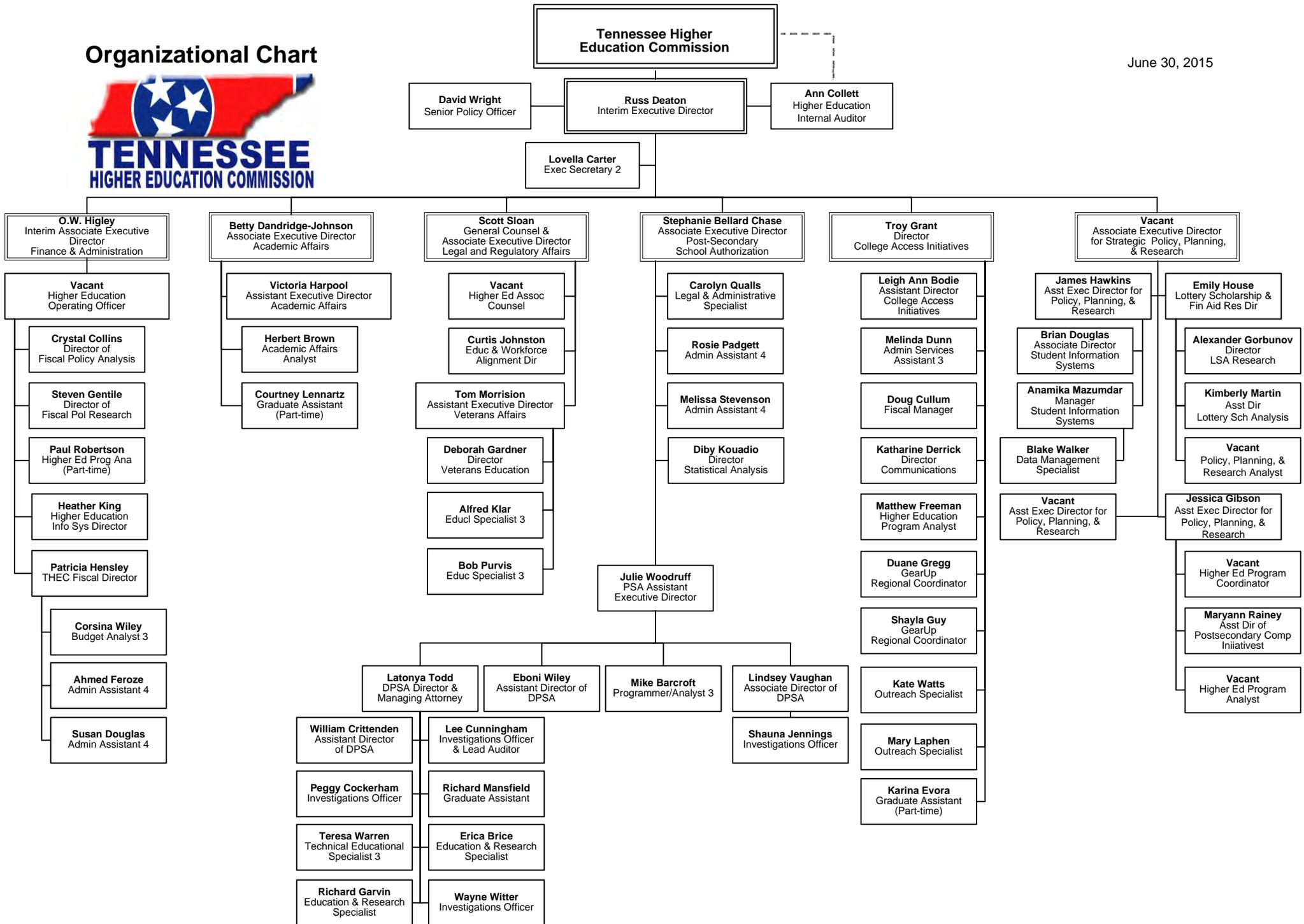
Tennessee Higher Education Commission
404 James Robertson Parkway, Suite 1900
Nashville, TN 37243

APPENDIX I

Organizational Chart



June 30, 2015



Programs Administered by the
Tennessee Higher Education Commission

The Tennessee Higher Education Commission was created in 1967 for the purpose of achieving cooperation and unity in higher education. The coordination function grew out of a nationwide trend by governors and legislators to promote planned growth, equitable funding, and accountability among the state's colleges and universities.

Since that time the Commission has created funding formulae, funding initiatives based on performance, legislative benchmarks, master plans, and criteria for new academic programs. The Commission believes strongly in working in a collaborative effort with the two public governing boards, and the independent sector to communicate clearly and frequently with various and diverse constituency groups. The Commission currently:

- recommends a budget for a statewide system that is a billion dollar enterprise,
- is engaged in master planning with a central focus on increasing educational attainment, focusing institutional missions and expanding the use of technology, and
- answers questions regarding accountability measures on a daily basis.

The Commission is committed to the principles of equity, excellence, accessibility, and accountability and strives to coordinate all of Tennessee higher education according to those principles.

ENABLING LEGISLATION

1. Study the use of public funds for higher education in Tennessee and analyze programs and needs in the field of higher education. T.C.A. § 49-7-202(a)
2. Undertake such specific duties as may be directed by resolution of the general assembly or as may be requested by the Governor. T.C.A. § 49-7-202(b)
3. Develop a master plan for the future development of public higher education in Tennessee, and make recommendations regarding the implementation of the plan. The focus of the master plan shall include consideration of the state's economic development, work force development and research needs. It will also require attention to increased degree production and consider the missions of the institutions as part of the process. T.C.A. § 49-7-202(c)(1)
4. Approve the mission of each institution after consultation with the respective governing board. The Commission shall consider the make-up of the student population at each institution as well as other unique features of the institutions. T.C.A. § 49-7-202(c)(2)

5. Develop policies and formulae or guidelines for the fair and equitable distribution and use of public funds among the state's institutions of higher learning, to include provisions for capital outlay and institutional operating expenditures.

Consistent with the direction of the master planning, the funding formula shall be outcomes-based. Elements such as "end of semester enrollment for each semester, student retention, timely progress toward degree completion" shall be included, as well as unique factors of the community colleges. Additionally, such things as "student transfer activity, research and student success" may be included.

Additionally the formula or guidelines shall provide for the consideration of the impact of tuition, maintenance fees and other charges assessed by each institution and in consideration of these factors, the Commission shall make recommendations to the governing boards on adjustments to tuition and maintenance fees. T.C.A. § 49-7-202(c)(3)-(4)

6. Study 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 for the governing boards for the purpose of minimizing duplication and overlapping of functions and services and to foster cooperative programs among the institutions. T.C.A. § 49-7-202(c)(5)
7. Review and approve or disapprove all proposals for new degrees or degree programs, or for the establishment of new academic departments or divisions within the various institutions. T.C.A. § 49-7-202(c)(6)
8. Conduct a program of public information concerning higher education in Tennessee. T.C.A. § 49-7-202(c)(7)
9. Study and make determination concerning the establishment of new institutions of higher learning as to the desirability or understandability of their establishment, their location, standards, functions, financing and source of governance. T.C.A. § 49-7-202(c)(8)
10. Review and approve or disapprove all proposals by an existing higher education institution to establish a physical presence at any location other than its main campus, or to expand an existing location, which will be utilized for administrative purposes or to offer courses for which academic credit is offered. Report to the chairs of the fiscal review and education committees by February 15 on the applications filed in the previous year and the status of the application. T.C.A. § 49-7-202 (c)(9)
11. Develop a university tract program consisting of sixty (60) hours that will allow a student to transfer from a community college as a junior. The sixty (60) hours is to consist of forty-one (41) general education instruction and nineteen (19) hours of pre-major

- instruction. Additionally, to ensure that the transition from a community college to a university as seamless as possible the Commission shall develop a common course numbering system at the community colleges and direct that any list of course offerings by a community college will be listed in a way that clearly identifies courses that will not transfer to a university. Beginning with the fall 2010 semester the Commission will report on progress being made to the chairs of the Education and Finance, Ways and Means Committees of both the House and Senate prior to each semester until Fall 2015 implementation. The Commission shall have ongoing responsibility to update and revise the requirements as necessary and report to the various committees on action taken each year. T.C.A. § 49-7-202(d)-(f)
12. In consultation with the Board of Regents and the University of Tennessee board of trustees, develop policies governing dual admission to both two-year and four-year institutions where appropriate based upon geographic and programmatic considerations to be adopted by July, 2015. T.C.A. § 49-7-202(g)
 13. Determine and post on the Commission's website information concerning career opportunities for the various fields of study leading to a baccalaureate degree at all institutions of higher education within the University of Tennessee and the Tennessee Board of Regents systems. Such information shall include, but not be limited to potential job market in Tennessee, the median income or an income range for the jobs and whether an advanced degree is required to obtain a position within a particular discipline. T.C.A. § 49-7-202(h)
 14. By February 1, transmit jointly with the State Board of Education an Annual Joint Report on Pre-Kindergarten through Higher Education in Tennessee. The Annual Joint Report outlines progress toward P-16 performance goals. T.C.A. § 49-1-302(a)(10)
 15. On or around March 15, transmit the Tennessee Postsecondary Education Fact Book which provides a variety of data points on public universities, community colleges, and technology centers. The report should include information to reflect on progress being made under the Complete College Tennessee Act. This would include such information as, student progression, academic and financial trends, workforce preparation data and affordability trends. T.C.A. § 49-7-210

Additional Legislative Imposed Responsibilities

Academic Common Market

The Academic Common Market was created in 1974 as a means of sharing specialized academic programs among Southern Regional Education Board states. Over 1,800 programs at the baccalaureate and higher degree levels at over 151 colleges and universities currently participate in the Market. The Academic Common Market is administered by the Southern Regional

Education Board with the cooperation of 14 of the 15 SREB states. The Market allows residents of participating states to have a broader range of educational opportunities at in-state tuition rates. The Market has a three-fold purpose: (1) eliminating unnecessary duplication among states, in that it is impractical for any institution or single state to develop or maintain degree programs in every field of knowledge; (2) support existing degree programs that have the capacity to serve additional students; and (3) provide access and encourage movement across state lines for programs not available in a student's home state. T.C.A. § 49-7-301

Combat Sports Grant

In 2008 the Legislature created the Tennessee Athletic Commission to regulate mixed martial arts and other "professional unarmed combat" sports including licensing of individuals involved in any aspect of the sport including combatants, managers, promoters and ringside physicians. The law directs that beginning with FY 2010-2011 a portion of the funds generated through regulation of this industry shall be set aside to fund a grant program that will develop and maintain NCAA Division I combat sports programs in the state's postsecondary educational institutions. The Commission is charged with developing the grant in collaboration with athletic directors of each postsecondary educational institution in the state with an NCAA Division I sanctioned combat sports program. T.C.A. § 68-115-107

Community Service Awards

The Community Service Awards were created in 1991 to reward faculty and students in higher education who provide a public service to the community. Those honored by an award have distinguished themselves in the many dimensions of community service and leadership roles in community organizations. They serve as ambassadors for community service among public and independent institutions of higher education. T.C.A. §§ 49-7-208 and -209

Consortium of Historically Black Colleges and Universities

The Commission is authorized to provide assistance to a consortium of Tennessee historically black colleges and universities in their efforts to impact the economic development of the state by strategically partnering with the State and private industry. The Commission is to facilitate strategy development and coordinate the implementation of the partnership between the Consortium and other parties. The program has not yet been funded. T.C.A. §§ 49-7-2901 et seq.

Contract Education Program

The Contract Education Program provides Tennessee residents with the opportunity to pursue academic programs where access is limited due to the size and/or location of the programs or where the programs are not offered in a public college or university. Providing access to these special needs areas in this manner is more economical than initiating or expanding comparable programs in public institutions. In addition to reserving positions for Tennessee residents in these special needs areas, the contract education program also provides some form of financial assistance to the students. Additionally, in an effort to meet a shortage of physicians in family medicine and preventive medicine, the contract education program partially funds medical residency positions at Meharry Medical College, regardless of their state of residence. Some

additional programs currently being contracted are Mortuary Science, Sign Language Interpretation, Optometry and graduate level nursing programs. T.C.A. §§ 49-7-203(b), 49-7-301 et seq., and 47-7-401 et seq.

Education Lottery Scholarship Program

The Commission has been charged with the responsibility to collect and analyze data related to students receiving lottery scholarships to provide the General Assembly with information related to student success and scholarship retention. The Commission is to make an annual report to the General Assembly on its findings by the second Tuesday in January. T.C.A. § 49-4-903

Medical School Authorities Act of 2010

The Medical School Authorization Act of 2010 authorizes certain municipalities to establish a medical school authority to aid in the establishment and operation of a medical or dental school. The Commission shall review and approve for public funding any proposed project of a medical school authority where state or municipal bonds will be issued, or if state funding is otherwise included in the project. Additionally, a medical school authority cannot approve a project, regardless of funding source, until the Commission finds there is a need for the project and that it is consistent with the state's higher education master plan, and if debt is to be issued, the ability of the authority and medical education program to repay the incurred debt. T.C.A. § 7-90-122 and -123

Postsecondary Education Authorization Program

The Postsecondary Education Authorization Act of 1974 was established to protect the education and welfare of the citizens of the State of Tennessee. The Tennessee Higher Education Commission has been designated as the agency to authorize the operation of institutions in Tennessee, which are included under this Act. The Commission establishes minimum standards concerning quality of education, ethical and business practices, health, safety, and fiscal responsibility, and protects the Tennessee consumer against fraudulent institutions and practices. It also authorizes the granting of degrees, diplomas, or other educational credentials by postsecondary institutions; prohibits the granting of false educational credentials; regulates the use of terminology in naming institutions; and prohibits misleading literature, advertising, solicitation, or representations by institutions. T.C.A. § 49-7-2001 et seq.

Diversity in Teaching Grant Program

A competitive matching grant program was established in 1989 to support pilot projects designed to expand the recruitment pool of minorities preparing to be teachers. Since the resolution of the state higher education desegregation lawsuit, the focus of the program has become one where an examination of a student's commitment to diversity in instruction will be of primary import in determining eligibility. The program will continue to be a joint effort between higher education institutions and local school districts, these projects target groups including teacher aides, substitute teachers, high school students, community college students, non-degreed community residents, military personnel, and college graduates presently not teaching who are interested in entering the teaching profession. Project initiatives must include matching state-appropriated funds with local funds on a one-to-one basis and the establishment of an evaluation model. This

program is authorized through funding in the appropriations bill and the two year awards are contingent on such funding.

Tuition Discount and Fee Waiver Programs

The dependent children age 24 years and under of all full-time state employees (who have been employed for more than six months) or retired state employees may receive a 25 percent maintenance fee discount on undergraduate tuition at any public college or university. The discount is also available for the child of a former State employee who died while employed by the State, whether or not the death was job-related or in the line of duty. The same 25 percent discount also applies for the dependent children of current full-time public school teachers in Tennessee, as well as the dependent children of former public school teachers who die while their child is receiving the benefit as long as all other eligibility requirements are met. Further, children of eligible retired teachers were added to the discount program through legislative action in 2013.

Full-time state employees and members of the General Assembly are allowed to take one course per term at any public college, university, technology center or the Tennessee Foreign Language Institute at no charge. When these discounts were authorized by the General Assembly, the Tennessee Higher Education Commission was charged with formulating the rules and regulations to implement the waiver. T.C.A. §§ 8-50-114, 8-50-115, 49-7-119

FEDERAL PROGRAMS

College Access Challenge Grant (CACG)

In August 2011, the U.S. Department of Education awarded Tennessee a College Access Challenge Grant totaling \$2,518,367. The purpose of the College Access Challenge Grant Program is to foster partnerships among federal, state, and local governments and philanthropic organizations through matching challenge grants that are aimed at increasing the number of low-income students who are prepared to enter and succeed in postsecondary education. Building on the successes of the 2010 CACG program, Tennessee's 2011 CACG grant was designed to 1) expand and enhance implementation of Tennessee's college access web portal, CollegeforTN.org, through professional development and 2) continued implementation and expansion of the statewide College Mentor Corps program.

Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP)

In spring 2012, the United States Department of Education awarded a Gaining Early Awareness and Readiness for Undergraduate Programs grant to the Commission in the amount of \$29,590,281. GEAR UP, a seven-year discretionary grant program, aims to increase the number of low-income, first generation students enrolling and succeeding in college.

The Commission's successful GEAR UP proposal provides direct services to a cohort of approximately 7,500 students, the Class of 2018, beginning in the 7th grade and continuing through the cohort's first year of postsecondary education. GEAR UP also provides services to

students in the senior class of participating high schools each grant year. GEAR UP aims to: 1) Increase the academic performance and preparation for postsecondary education for GEAR UP students; 2) Increase the rates of high school graduation and enrollment in postsecondary education for GEAR UP students; and 3) Increase GEAR UP students' and their families' knowledge of postsecondary education options, preparation, and financing.

Improving Teacher Quality Grant Program

This federal program operates as Title II Part A of No Child Left Behind. It was established to provide grants to colleges and universities in order to provide professional development for K-12 teachers, paraprofessionals and principals. Each year, the Tennessee Higher Education Commission works jointly with the Tennessee Department of Education to identify priorities that will have the greatest impact on Tennessee school districts and student achievement. One of the missions of the Commission is to study 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. One of the goals established was to develop a collaborative planning partnership between higher education and K-12 education for teacher preparation and continuing professional development. This program helps stimulate the linkages between higher education faculty and K-12 faculty for the preparation of teachers to use curriculum and instructional processes which promote active learning, problem solving, interdisciplinary learning and content application.

Race to the Top

With Tennessee's successful Race to the Top bid, higher education will have a significant role in achieving the overall goals of the federal school reform grant. THEC and institutions of higher education are instrumental in ensuring the success of Race to the Top in the state. The THEC Executive Director serves on the First to the Top Advisory Council which oversees implementation. THEC staff members also serve on various First to the Top working teams such as Project Management Oversight Committee, STEM leadership team and the First to the Top Oversight Team.

Not only will higher education be involved in shaping the education reforms being enacted but will also be directly responsible as programmatic and fiscal manager for numerous programs. Individual institutions will have opportunities to apply for funding for projects that will address the provisions of the federal award. Tennessee's Race to the Top framework names THEC as directing and managing several projects with a total fiscal impact of over \$20 million.

Veterans Education Program

In 1983 the Tennessee Higher Education Commission was assigned to be the State Approving Agency for determining training programs in the state in which eligible veterans may enroll and receive veteran's education benefits, more commonly known as the GI Bill®. The Commission works in partnership with the U.S. Department of Veterans Affairs, following both state and federal legislation and regulations in administering the approval program. Many of the institutions and programs that are reviewed for state authorization are also reviewed by Commission staff members for veteran's education approval purposes.

GRANTS

Latino Student Success Grant

The Lumina Foundation awarded the Commission a Latino Student Success Grant in the amount of \$600,000 in fall 2011 focused on improving the number of Latinos accessing and completing higher education in Memphis. Tennessee has the fourth fastest growing Latino population in the United States. Memphis is home to one of the fastest growing Latino populations in the state making Shelby County and the City of Memphis an important staging ground for addressing the challenges of Latino student success. The Memphis Latino Student Success Collaborative will direct its work using a three-tiered approach: Latino student success public will-building in Memphis, including a Latino student report card for the entire Memphis-Shelby County community; the development and expansion of college access and success programming, including the Abriendo Puertas (Opening Doors) college access and success mentoring program modeled after the College Access Challenge Grant College Mentor Corps; and the formal development of a community-wide collaborative focused on increasing Latino student success in Memphis.

September 30, 2015

APPENDIX II

TENNESSEE HIGHER EDUCATION COMMISSION MEMBERS
September 1, 2015

1. Mr. Evan Cope, *Chair*
Fourth Congressional District
2. Mr. Keith Wilson, *Vice Chair*
First Congressional District
3. Mr. Alex Martin, voting ex-officio
Tennessee Technological University
4. Mr. Tre Hargett
Secretary of State
5. Mr. David Kustoff, *Vice Chair*
Eighth Congressional District
6. Mr. Jon Kinsey
Third Congressional District
7. Ms. Pam Koban
Fifth Congressional District
8. Mr. Bill Lee
Seventh Congressional District
9. Mr. David Lillard, Jr.
State Treasurer
10. Ms. Siri Kadire, non-voting ex-officio*
University of Tennessee Health Science Center
11. Ms. Pam Martin*
Sixth Congressional District
12. Dr. Sara Heyburn, non-voting ex-officio
Executive Director, State Board of Education
13. Mr. Justin Wilson
Comptroller
14. Ms. Mintha Roach*
Second Congressional District
15. Mayor A C Wharton, Jr., *Secretary**
Ninth Congressional District

*Denotes Minority

APPENDIX III



RICHARD G. RHODA
Executive Director

STATE OF TENNESSEE
HIGHER EDUCATION COMMISSION
PARKWAY TOWERS, SUITE 1900
NASHVILLE, TENNESSEE 37243-0830
(615) 741-3605
FAX: (615) 741-6230

BILL HASLAM
Governor

TO: Pariece Wilkins, U.S. Department of Education
FROM: Richard G. Rhoda 
SUBJECT: GEAR UP TN and THEC's Non-Discrimination Policy Statement
DATE: July 1, 2011

Through its statewide services, GEAR UP TN ensures access to and participation in the federally-assisted program for all Tennessee students, teachers, and other program beneficiaries regardless of gender, race, national origin, color, disability, age or special need. Using the cohort approach, GEAR UP TN directly serves an entire class of students, ensuring all students and families that are part of the cohort receive services. GEAR UP TN will collect sufficient section 427 statements from each direct-service GEAR UP TN Collaborative school/school system.

THEC and TSAC's commitment to both good government and equitable treatment of our employees and prospective employees requires that we present this policy statement to display our commitment to the fullest. Employees are our most valuable resource. Our policy is equal employment opportunity for all present and prospective employees regardless of race, color, sex, national origin, religion, age, physical or mental disability or veteran status except that veteran's preference will be given as provided by applicable state law. It is our intention to remain in complete compliance with Title VI, Title IX, and ADA regulations. In addition, as required, by state regulations, we continue to maintain an Affirmative Action Plan to help us achieve our goal of equal employment opportunity for all. This includes the development of specific goals,

timetable, and implementation plans for each fiscal year. These policies apply to all personnel actions including, but not limited to, access to facilities, recruiting, hiring, classification, compensation, benefits, promotions, transfers, layoffs, recalls from layoffs and educational, social, and recreational programs of this agency. The Compliance Administrator has overall responsibility for implementation and monitoring of all policies regarding non-discrimination.

APPENDIX IV



STATEMENT OF ASSURANCE OF COMPLIANCE WITH EQUAL OPPORTUNITY LAWS

(hereinafter called the "Signatory")

(Name of Organization, Institution, or Individual)

HEREBY AGREES THAT

it will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 et seq.), Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.), and all Federal regulations adopted to carry out such laws. This assurance is directed to the end that no person in the United States shall, on the ground of race, color, national origin (Title VI), handicap (Section 504), sex (Title IX, in education programs and activities only), or age (Age Discrimination Act) be excluded from participation in, to be denied the benefits of, or be subjected to discrimination under any program or activity of the Signatory receiving Federal financial assistance or other benefits under statutes administered by VA (Department of Veterans Affairs), the ED (Department of Education), or any other Federal agency. This assurance applies whether assistance is given directly to the recipient or indirectly through benefits paid to a student, trainee, or other beneficiary because of enrollment or participation in a program of the Signatory.

The Signatory **HEREBY GIVES ASSURANCE** that it will promptly take measures to effect this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Signatory by VA or ED, this assurance shall obligate the Signatory, or in the case of transfer of such property, any transferee, for the period during which the real property or structure is used for the purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. In all cases, this assurance shall obligate the Signatory for the period during which the Federal financial assistance is extended to any of its programs by VA, ED or any other Federal agency.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining Federal financial assistance, including facilities furnished or payments made under sections 104 and 244(1) of Title 38, U.S.C. Also, sections 1713, 1720, 1720a, 1741-1743, 2408, 5902(a)(2), 8131-8137, 8151-8156 (formerly 613, 620, 620a, 641-643, 1008, 1008, 3402(a)(2), 5031-5037, 5051-5056 respectively) and 38 U.S.C. chapters 30, 31, 32, 35, 36, 82, and 10 U.S.C. chapter 106. Under the terms of an agreement between VA and ED, this assurance also includes Federal financial assistance given by ED through programs administered by that agency. Federal financial assistance is understood to include benefits paid directly to the Signatory and/or benefits paid to a beneficiary contingent upon the beneficiary's enrollment in a program or using services offered by the Signatory.

The Signatory agrees that Federal financial assistance or other benefits will be extended in reliance on the representations and agreements made in this assurance; that VA or ED will withhold financial assistance, facilities, or other benefits to assure compliance with the equal opportunity laws; and that the United States shall have the right to seek judicial enforcement of this assurance.

THIS ASSURANCE is binding on the Signatory, its successors, transferees, and assignees for the period during which assistance is provided. The Signatory assures that all contractors, subcontractors, subgrantees, or others with whom it arranges to provide services or benefits to its students or trainees in connection with the Signatory's programs or services are not discriminating against those students or trainees in violation of the above statutes.

The person whose signature appears below is authorized to sign this assurance.

(Date)

(Mailing address)

(Signature of authorized official)

(Title of authorized official)

APPENDIX V

EEO Classifications
Tennessee Higher Education Commission
June 30, 2015

EEO Code	Position Title	No. of Positions	Ethnic Group Breakdown
01	AC AF ASSOCIATE EX DIRECTOR	1	B
01	HIGHER ED OPERATING OFFICER	1	W
01	PSA ASSOCIATE EX DIRECTOR	1	B
01	THEC-AED FOR FINANCE & ADMIN	1	W
01	THEC-ASST EX DIR PPR	1	W
01	THEC-AST EX DIR ACADEMIC AFF	1*	W - 2
01	THEC-AST EX DIRECTOR P-16 INT	1	W
01	THEC-DIR OF STUDENT INFO SYS	1	W
01	THEC-EXECUTIVE DIRECTOR	1	V
01	THEC-FISC POLICY ANALYSIS DIR	1	W
01	THEC-FISC POLICY RESEARCH DIR	1*	W - 2
01	THEC-GENERAL COUNSEL AED LRA	1	W
01	THEC-HIGHER ED PROGRAM ADMIN	1	V
01	THEC-PSA AST EXEC DIRECTOR	1	W
01	THEC-RESEARCH & STAT AN DIR	1	B
01	THEC-SENIOR POLICY OFFICER	1	W
01	VETERANS EDUC A EX DIRECTOR	1	W
01	VETERANS EDUC DIRECTOR	1	W
	Total EEO Code 01	18	W - 15 B - 3 V - 2
02	ADMIN SERVICES ASSISTANT 3-NE	1	W
02	EDUCATIONAL SPECIALIST 3	3*	W - 3 V - 1
02	HIGHER ED INFO SYS DIRECTOR	1	W
02	LOTTERY SCH ANALYSIS AST DIR	1	W
02	LOTTERY SCH ANALYSIS RES DIR	1	W
02	OUTREACH SPECIALIST	2*	W - 2 B - 1
02	PROGRAMMER/ANALYST 3-NE	1	W
02	PSA TCL EDUCATION SPECIALIST	1	W
02	THEC-AD COLLEGE ACC INITIATIVE	1	W
02	THEC-ADMIN ASSISTANT 4	4	B - 3 A - 1
02	THEC-ADMIN BUDGET ANALYST 3	1	B
02	THEC-COMMUNICATIONS DIRECTOR	1	W
02	THEC- DATA MANAGEMENT SPEC	2	W - 2
02	THEC-DPSA ASSISTANT DIRECTOR	2	W - 1 B - 1
02	THEC-DPSA ASSOCIATE DIRECTOR	1	W
02	THEC-DPSA DIR & MANAGING ATY	1	B

EEO Code	Position Title	No. of Positions	Ethnic Group Breakdown
02	THEC-ED & WORKFORCE ALIGN DIR	1	W
02	THEC EDUCATION & RESEARCH SPEC	2*	W - 1 B - 2 V - 1
02	THEC FISCAL DIRECTOR	1	W
02	THEC-FISCAL MANAGER	1	W
02	THEC-HIGHER ED PROGRAM ANALYST	3	W - 1 B - 1 V - 1
02	THEC-HIGHER ED PROGRAM COOR	1	V
02	THEC-INV OFF & LEAD AUDITOR	1	B
02	THEC - INVESTIGATIONS OFFICER	3	W - 1 B - 2
02	THEC-LEGAL & ADMIN SPECIALIST	1	B
02	THEC-LOT SCHOL & STUDENT FA RD	1	W
02	THEC-POLICY PLNG & RES ANALYST	1	V
02	THEC-PST COMP INIT AST DIR	1	A
02	THEC-REGIONAL COORDINATOR	2	W - 1 B - 1
02	THEC-STUDENT INFO SYS ASSOC D	1	W
02	THEC-STUDENT INFO SYS MGR	1	A
	Total EEO Code 02	45	W - 25 B - 15 A - 3 V - 5
06	EXECUTIVE SECRETARY 2-NE	1	W
	Total EEO Code 06	1	W - 1
	Grand Total	64	W - 41 B - 18 A - 3 V - 5

W = White

B = Black

A = Asian

V = Vacant

* Positions overlapped with two incumbents.

APPENDIX VI

**Racial Diversity Analysis
GEAR UP TN Program**

GEAR UP TN Students Served between July 1, 2014 – June 30, 2015	
Hispanic	
American Indian or Alaska Native	17
Asian	4
Black or African American	29
Native Hawaiian or Pacific Islander	10
Race and/or Ethnicity Unknown	28
Two or More Races	40
White	1658
Not Hispanic	
American Indian or Alaska Native	21
Asian	166
Black or African American	5122
Native Hawaiian or Pacific Islander	9
Race and/or Ethnicity Unknown	1
Two or More Races	170
White	8452
Unknown Ethnicity (Hispanic Unknown)	
Black or African American	3
Race and/or Ethnicity Unknown	34
White	8
Total unique students	15,772

**Improving Teacher Quality 2015
Title VI Compliance Report**

Institution	Total Number of Participants	Projected Minority Participants	Actual Number of Minority Participants	Percentage of Minority Participants	External Consultants	Minority Consultants	Recruitment Plan for Minorities
1. APSU (Grogan)	48	3	6	13%	1	1	yes
2. Belmont (Lunsford)	29	10	7	24%	0	0	yes
3. ETSU (Nivens)	24	0	0	0%	1	1	yes
4. ETSU (Tai)	22	2	0	0%	2	2	yes
5. Lee (Maher)	24	6	5	21%	0	0	yes
6. Lee (West)	29	1	1	3%	0	0	yes
7. Lipscomb (Banes)	27	6	6	22%	6	0	yes
8. Milligan (Howell)	37	1	1	3%	2	0	yes
9. MTSU (Huang)	29	1	1	3%	4	1	yes
10. TTU (Baker)	30	0	0	0%	0	0	yes
11. TTU (Suters)	22	1	1	5%	0	0	yes
12. UoM (Owens)	24	10	13	54%	0	0	yes
13. UTC (McAllister)	36	6	4	11%	0	0	yes
14. UTK (Brown)	15	3	1	7%	0	0	yes
Total	396	50	46	12%	16	5	

APPENDIX VII

2015 Improving Teacher Quality Scoring Rubric

Proposal Program Director: _____

Institution: _____

Project Title: _____

Evaluation Criteria	Maximum Points	Reviewer Score	Comments/Recommendations
<p style="text-align: center;"><u>Program Objectives</u></p> <p>-Is there a concise and clear statement of goals and measurable objectives aligned with the stated priorities of the RFP?</p> <p>-Is the workshop focused on delivering high-quality PD that improves elementary and middle school educators' mathematical content knowledge?</p> <p>-Is the pedagogical focus aligned with the TEAM evaluation model?</p> <p><u>Scoring Range</u></p> <p><i>1 – Proposal states goals but does not connect with priorities of RFP</i></p> <p><i>10 – Proposal states goals and connects with priorities but lacks detail</i></p> <p><i>20 – Proposal provides detailed and clear connections between project goals and the priorities of the RFP; Reading Common Core Standards are clearly linked to the objectives of the project.</i></p>	20		
<p style="text-align: center;"><u>Quality of Partnership</u></p> <p>-Does the proposal include the three mandatory partners? (College of Education, Arts and Sciences, High Need LEA)</p> <p><u>Scoring Range</u></p> <p><i>1 – Partnerships, both internally and with LEAs are not stated or clearly defined, or lack the required members</i></p> <p><i>5 –Partnerships with LEAs and/or business stated but lacks justification for given partnership and explanation of partnership</i></p> <p><i>10 – Partnerships clearly defined and describe and fully in compliance with NCLB requirements; reasons given for LEA partnership are given, LEA partnership is clearly described and LEA certifies it will play an active role in recruiting teachers</i></p>	10		

Evaluation Criteria	Maximum Points	Reviewer Score	Comments/Recommendations
<p style="text-align: center;"><u>Program Plan</u></p> <p>-The focus area is clearly stated.</p> <p>-Are there measurable objectives specifying what teachers will know and be able to do in the classroom as a result of the project?</p> <p>-Research and a rationale are provided to show how the program will affect teachers’ pedagogical content knowledge. Data and analysis accompany why the particular program will effect change.</p> <p><u>Scoring Range</u></p> <p><i>1 – Focus area is stated but omits empirical research and data to back up program objectives</i></p> <p><i>5 – Focus area is stated with limited empirical research</i></p> <p><i>10 – Focus area is stated, linked with program objectives through research, data and thoughtful analysis.</i></p>	30		
<p style="text-align: center;"><u>Evaluation Plan</u></p> <p>-Evaluation tools (pre/post content knowledge assessments) have been developed and included in program proposal.</p> <p>-Program includes their plan for formative assessment to determine the success of the program.</p> <p><u>Scoring Range</u></p> <p><i>1 – Evaluation plan has been partially described but is missing more than one of the following: the plan for delivery of required data, sample of the pre/post content assessment, formative assessment measures, iterative development steps, or alignment of program components to goals and evaluation.</i></p> <p><i>10 – Evaluation plan has been partially described but is missing one of the following: the plan for delivery of required data, sample of the pre/post content assessment, formative assessment measures, iterative development steps or alignment of program components to goals and evaluation.</i></p> <p><i>20 – Questionnaires and evaluation plan are included, fully described, and directly tied into program, measuring specific objectives aligned with the goals of the program.</i></p>	20		
<p style="text-align: center;"><u>Budget</u></p> <p>-Budget requests are detailed and justified throughout the summary. Resources are aligned and appropriate to the needs of the proposed program.</p> <p><u>Scoring Range</u></p>	20		

TITLE VI COMPLIANCE FORM

MINORITY REPRESENTATION

_____ Projected number of minority teacher participants

_____ Actual number of minority teacher participants

_____ Total number of teacher participants

_____ Number of minority external personnel/consultants

_____ Total number of minority external personnel/consultants

MINORITY RECRUITMENT

(Please use additional paper, if necessary.)

What methods were used to obtain external personnel/consultants?

What methods were used to recruit minority participants?

Was there a plan in place to target minority teacher participants?

If the actual number of minority teacher participants was less than the projected number of minority teacher participants, was there a contingency plan in place to recruit more minority teacher participants? If yes, please specify.

Have there been any Title VI related complaints against this project? If yes, please provide a narrative explanation of the complaint.

2015 Improving Teacher Quality Grants			
Institution	Total Number of Participants	Actual Minority Participants	Percentage of Minority Participants
1. APSU (Grogan)	48	6	13%
2. Belmont (Lunsford)	29	7	24%
3. ETSU (Nivens)	24	0	0%
4. ETSU (Tai)	22	0	0%
5. Lee (Maher)	24	5	21%
6. Lee (West)	29	1	3%
7. Lipscomb (Banes)	27	6	22%
8. Milligan (Howell)	37	1	3%
9. MTSU (Huang)	29	1	3%
10. TTU (Baker)	30	0	0%
11. TTU (Suters)	22	1	5%
12. UoM (Owens)	24	13	54%
13. UTC (McAllister)	36	4	11%
14. UTK (Brown)	15	1	7%
Total	396	46	12%

APPENDIX VIII

Discrimination Complaint Form

Note: We are asking for the following information to assist us in processing your complaint. If you need help in completing this form please let us know.

1. Complainant's Name _____
Address _____
City, State and Zip Code _____
Telephone Number (home) () _____
(business) () _____

2. Person discriminated against (if someone other than the complainant)
Name _____
Address _____
City, State and Zip Code _____

3. What is the name and location of the institution or agency that you believe discriminated against you?
Name _____
Address _____
City, State and Zip Code _____
Telephone Number () _____

4. Which of the following best describes the reason you believe the discrimination took place? Was it because of your:
 - a. Race/Color (specify) _____
 - b. National Origin (specify) _____

8. Have you filed this complaint with any other federal, state, or local agency; or with any federal or state court? Yes No

If yes, check all that apply:

Federal agency

Federal court

State agency

State court

Local agency

Please provide information about a contact person at the agency/court where the complaint was filed.

Name _____

Address _____

City, State, and Zip Code _____

Telephone Number () _____

9. Do you intend to file this complaint with another agency? Yes No

If yes, when and where do you plan to file the complaint?

Date _____

Agency _____

Address _____

City, State, and Zip Code _____

Telephone Number () _____

10. Has this complaint been filed with this agency before? Yes No

If yes, when? Date _____

11. Have you filed any other complaints with this agency? Yes No

If yes, when and against whom were they filed?

Date _____

Name _____

Address _____

City, State, and Zip Code _____

Telephone Number () _____

Give a brief description of the other complaint _____

What is the status of the other complaint? _____

12. Please sign below. You may attach any written materials or other information that you think is relevant to your complaint.

Complainant's Signature

Date

**Consent Form for Use
of Personal Information
for Complainant**

Office for Civil Rights Consent Form

Please sign, and date section A or section B:

Print your name: _____

Institution named in complaint: _____

A. I have read the [Notice about Investigatory Uses of Personal Information](#). As a complainant, I understand that in the course of its investigation, OCR may find it necessary to reveal my identity to persons at the institution under investigation. I give my consent. I also understand that under the Freedom of Information Act, OCR may be required to disclose information gathered from me pursuant to this investigation, except in certain instances, such as where disclosure could constitute an unwarranted invasion of my privacy.

(Signature)

(Date)

OR

B. I wish to file this complaint, but I do not give my consent for use of personal information. I have read the Notice about Investigatory Uses of Personal Information and I understand that OCR may have to close this complaint if OCR is unable to proceed with an investigation without releasing my identity.

(Signature)

(Date)

Office for Civil Rights
Notice about Investigatory Uses of Personal Information

To resolve your complaint, OCR may need to collect and analyze personal information such as student records or employment records. No law requires you to give personal information to OCR and no sanctions will be imposed on complainants or other persons who do not cooperate in providing information during the complaint resolution process. However, if OCR is unable to obtain information needed to resolve your complaint, we may have to close your complaint.

The Privacy Act of 1974, 5 U.S.C. § 552a, and the Freedom of Information Act (FOIA), 5 U.S.C. § 552, govern personal information submitted to all Federal agencies, including OCR.

The Privacy Act of 1974 protects individuals from the misuse of personal information held by the Federal government. It applies to records that are kept and can be located by the individual's name, social security number, or other personal identifier. It regulates the collection, maintenance, use and dissemination of certain personal information in the files of Federal agencies.

The information OCR collects is analyzed by authorized personnel within the agency and will be used only for authorized civil rights compliance and enforcement activities. However, in order to resolve a complaint OCR may need to reveal certain information to persons outside the agency to verify facts or gather additional information. Such details could include the age or physical condition of a complainant. Also, OCR may be required to reveal information requested under FOIA (discussed below). OCR will not release information to any other agency or individual except in the one of the 11 instances defined in the Commission's regulation at 34 C.F.R. § 5b.9(b).

OCR does not reveal the name or other identifying information about an individual unless it is necessary for completion of an investigation or for enforcement activities against an institution that violates the laws, or unless such information is required to be disclosed under the FOIA or the Privacy Act. OCR will keep the identity of complainants confidential except to the extent necessary to carry out the purposes of the civil rights laws, or unless disclosure is required under the FOIA, the Privacy Act or otherwise by law.

**SAMPLE LETTER
ACKNOWLEDGING
RECEIPT OF
OFFICIAL COMPLAINT**

Date

**Ms. Joanne Doe
100 Any Street
Anytown, TN 37000**

Dear Ms. Doe:

This is to acknowledge that the Tennessee Higher Education Commission has received your complaint form alleging **(fill in the blank)** in **(Any County Schools)**. The Commission will conduct a preliminary review of the complaint form and make a determination as to whether we will or will not conduct an investigation. You will be notified of the results of this preliminary review.

Thank you for your assistance in this matter. If you have additional information you would like to provide, please send it to Scott Sloan, Tennessee Higher Education Commission, Parkway Towers, Suite 1900, 404 James Robertson Parkway, Nashville, Tennessee, 37243.

Sincerely,

M. Scott Sloan, Esq.
Title VI Coordinator

**SAMPLE LETTER
NOTIFYING COMPLAINANT THAT
THE COMPLAINT WILL BE REFERRED
TO THE FEDERAL COGNIZANT AGENCY**

Date

**Ms. Joanne Doe
100 Any Street
Anytown, TN 37000**

Dear Ms. Doe:

The Tennessee Higher Education Commission has received your Title VI complaint from alleging that the <<**SCHOOL SYSTEM**>> is out of compliance with Title VI of the Civil Rights Act of 1964.

The Commission has been in contact with the United States Department of Education/Office of Civil Rights (USDE/OCR) concerning Title VI compliance in <<**SCHOOL SYSTEM**>>. Because of USDE/OCR's expertise in reviewing these types of complaints, the Commission and the USDE/OCR have tentatively agreed that USDE/OCR will be the lead agency in reviewing complaints involving this school system. Since, on the complaint form, you authorized the forwarding of the complaint to another agency; we will forward your complaint to USDE/OCR. USDE/OCR will contact you if additional information is needed.

We appreciate the interest you have shown in Title VI compliance. Our staff will be available to work with USDE/OCR and the school system to resolve any finding of non-compliance.

Sincerely,

M. Scott Sloan, Esq.
Title VI Coordinator

**SAMPLE LETTER NOTIFYING
COMPLAINANT THAT
THE TENNESSEE HIGHER
EDUCATION COMMISSION
WILL INVESTIGATE
THE COMPLAINT**

Date

Ms. Joanne Doe
100 Any Street
Anytown, TN 37000

Dear Ms. Doe:

The Tennessee Higher Education Commission will investigate the complaint that you recently submitted regarding possible non-compliance with Title VI of the Civil Rights Act of 1964 at <<INSTITUTION >>.

The complaint form you submitted appears to contain all required information the investigator will need to conduct the investigation. However, in the event additional information is needed, the investigator may need to call you at <<(XXX) YYY-ZZZZ>>. If this telephone number is not correct, please notify us within 15 days of the date of this letter.

or

In reviewing the complaint form, we found that the following additional information will be needed:

- 1.
- 2.

Please submit this additional information within 15 days of the date of this letter to me at the address appearing at the top of this letter. Also, our records show that you can be reached by telephone at <<(XXX) YYY-ZZZZ>>. If this contact information is no longer correct, please notify us within 15 days of the date of this letter.

Sincerely,

M. Scott Sloan, Esq.
Title VI Coordinator

**SAMPLE LETTER ANNOUNCING
A COMPLAINT INVESTIGATION**

Date

**Ms. Joanne Doe
100 Any Street
Anytown, TN 37000**

Dear Ms. Doe:

Departmental regulations implementing Title VI of the Civil Rights Act of 1964 (copy enclosed) provide for a prompt investigation whenever a complaint or any other information indicates a possible failure to comply with Title VI or its implementing regulation. A complaint has been filed in this office which indicates a possible failure to comply with Title VI in the operation of the Commission of <<INSTITUTION>>.

Members of our office will conduct an investigation of this matter. Their present schedule will permit them to visit your program during the week of <<<Insert Date>>>. Please advise us promptly if that time is not convenient for you or your staff. You may confirm this time by phoning me at (615) 741-7571.

Please be assured of my appreciation of your cooperation in this important matter.

or

In reviewing the complaint form, we found that the following additional information will be needed:

Sincerely,

M. Scott Sloan, Esq.
Title VI Coordinator

**SAMPLE LETTER NOTIFYING
COMPLAINANT OF
AN INVESTIGATION**

Date

**Ms. Joanne Doe
100 Any Street
Anytown, TN 37000**

Dear Ms. Doe:

The matter referenced in your letter of <<<Insert Date>>> alleging racial discrimination in the operation of _____ Program will be investigated by staff from this office. The investigation has been scheduled for the week of <<<Insert Date>>>. Mr./Ms. _____ has been assigned to investigate the matter. He/she will contact you to establish a convenient time for you to discuss your complaint with him/her.

We appreciate your help in this important matter.

Sincerely,

M. Scott Sloan, Esq.
Title VI Coordinator

**SAMPLE LETTER INFORMING
COMPLAINANT THAT THE
TENNESSEE HIGHER EDUCATION
COMMISSION WILL NOT
INVESTIGATE THE COMPLAINT**

Date

**Ms. Joanne Doe
100 Any Street
Anytown, TN 37000**

Dear Ms. Doe:

This is to inform you that the Tennessee Higher Education Commission will not investigate the complaint that you recently submitted regarding possible non-compliance with Title VI of the Civil Rights Act of 1964 in <<INSTITUTION >>. We will not investigate the complaint because

Thank you for notifying the Tennessee Higher Education Commission of your concerns. You may want to contact the Title VI Coordinator in your local school system, the Tennessee Human Rights Commission or the U.S. Department of Education Office for Civil Rights. These agencies also investigate Title VI complaints.

Sincerely yours,

M. Scott Sloan, Esq.
Title VI Coordinator

**SAMPLE LETTER ADVISING
COMPLAINANT THAT THE
COMPLAINT IS NOT
SUBSTANTIATED.**

Date

**Ms. Joanne Doe
100 Any Street
Anytown, TN 37000**

Dear Ms. Doe:

The matters referenced in your letter-complaint of <<Insert Date>>, alleging racial discrimination in the operation of << Insert Name of Program>> have been investigated by staff from this office.

The results of the investigation did not indicate that the provisions of Title VI of the Civil Rights Act of 1964 had in fact been violated. As you know, Title VI prohibits discrimination based on race, color, or national origin in any programs receiving federal financial assistance.

My staff has analyzed the materials and facts gathered during the course of their investigation of your complaint for evidence of a failure to comply with any of the civil rights laws administered by this office. We did not find evidence that any of those laws have been violated.

We must therefore advise you that your complaint has not been substantiated, and that we are closing this matter in our files.

Thank you for taking the time to contact this office. If we can be of assistance to you in the future, do not hesitate to call us.

Sincerely,

M. Scott Sloan, Esq.
Title VI Coordinator

**SAMPLE LETTER
ANNOUNCING A
COMPLIANCE
REVIEW**

Mr. John Doe
Superintendent of Schools
100 Main Street
Anytown, TN 37000

Dear Mr. Doe:

Departmental regulations implementing Title VI of the Civil Rights Act of 1964 (copy enclosed) provide for a periodic review of the practices of recipients receiving federal assistance, to determine whether they are complying with nondiscrimination requirements for Title VI.

Recipients are selected for compliance reviews on the basis of population and racial character of their locality; existence, size and nature of community populations; date of last compliance review; complaints, etc. Your program, among others in your area, has been selected.

Members of our staff will conduct the review. Their present schedule will permit them to visit your program during the week of _____ - _____. Please advise us promptly by telephone if that time is inconvenient for you or your staff. You may confirm this time, or suggest another, by calling _____ at (615) 555-5555.

I appreciate your cooperation in this important matter.

Sincerely,

M. Scott Sloan, Esq.
Title VI Coordinator

**SAMPLE LETTER
CONFIRMING A
COMPLIANCE
REVIEW**

Mr. John Doe
Superintendent of Schools
100 Main Street
Anytown, TN 37000

Dear Mr. Doe:

This is to confirm the conversation between you and a member of my staff in which it was agreed that staff from this office would conduct an on-site review of the _____ Program to determine its compliance with Title VI of the Civil Rights Act of 1964.

The staff member assigned to conduct the investigation of your <<program>> is <<NAME>>. <<NAME>> and a team of investigators will be in your city <<Day, Date>>. They expect to arrive at your office at 9:30 a.m. on <<Day>>.

In order to facilitate our review, and minimize our on-site staff time, please have available for our visit the following records and/or information as applicable:

1. All records and assurances required to be maintained by your office for compliance with Title VI and its implementing rules and regulations;
2. Racial breakdown of participants in all projects administered by your program;
3. A description of the program's application processing system;
4. A compilation of the program's staff assignments by race, sex, title, and salary and a copy of the program's current personnel policy;
5. A description of grievance procedures now being used by your program.

Investigators may also need access to other records and personnel. I appreciate your making these available to them as required.

Thank you for your cooperation in this important matter.

Sincerely,

M. Scott Sloan, Esq.
Title VI Coordinator

**SAMPLE LETTER
NOTIFYING COMPLAINANT
OF TITLE VI COMPLIANCE
STATUS OF RESPONDENT**

Ms. Juanita Doe
Superintendent of Schools
1234 Main Street
Anytown, TN 37000

Dear Ms. Doe:

The matters referenced in your complaint of <<date>> alleging racial discrimination in the operation of _____ <<Program>> have been investigated by staff from this office.

My staff found several apparent violations of Title VI of the Civil Rights Act of 1964, including those mentioned in your letter. Efforts are underway to correct these deficiencies.

Thank you for calling this important matter to our attention. You were extremely helpful during our review of the program. [If a hearing is requested, the following sentence may be appropriate.] You may be hearing from this office, or from federal authorities, if your services should be needed during the administrative hearing process.

Sincerely,

M. Scott Sloan, Esq.
Title VI Coordinator

**SAMPLE LETTER
NOTIFYING COMPLAINANT
OF THE RESULTS OF THE
INVESTIGATION**

Mrs. John Doe
1234 Main Street
Anytown, TN 37000

Dear Mrs. Doe:

This is to notify you that the Tennessee Higher Education Commission has completed its investigation into the complaint that you submitted regarding possible non-compliance with Title VI of the Civil Rights Act of 1964 in <<INSTITUTION>>. Based on the results of the investigation, this office has concluded that <<INSTITUTION>> did violate the provisions of Title VI of the Civil Rights Act of 1964.

This office is responsible for enforcing Title VI of the Civil Rights Act of 1964 (Title VI), 42 U.S.C. 2000d et seq., and its implementing regulation, 34 C.F.R. Part 100, which prohibit discrimination on the basis of race, color, or national origin in any program or activity receiving Federal financial assistance from the Commission, and therefore, is subject to the requirements under Title VI.

Under the Title VI implementing regulation at 34 C.F.R. § 100.3(a), no person may be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination on the ground of race, color, or national origin under any program to which the regulation applies. Racially based conduct that has such an effect and that consists of different treatment of students on the basis of race by a recipient's agents or employees, acting within the scope of their official duties, violates Title VI.

Because of the finding of non-compliance, <<INSTITUTION>> has been given 30 days to submit a corrective action plan to remedy the non-compliance with Title VI of the Civil Rights Act of 1964.

Thank you again for bringing this matter to our attention. If you need additional information, please contact me at (615) 741-7571.

Sincerely yours,

M. Scott Sloan, Esq.
Title VI Coordinator

APPENDIX IX

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
Alliance for Business and Training	04//15/11	08/13/14	\$776,249	NM	College Access Challenge Grant (CACG) Sub-Grant for the Development of a statewide College Mentor Corps to Member non-profit organizations of the TN College Access and Success Network (TCASN)	Elizabethton, TN	CACG	Federal	SR	O
Ayers Foundation, The	04//15/11	08/13/14	\$945,143	NM	CACG Sub-Grant for the Development of a statewide College Mentor Corps to Member non-profit organizations of the TCASN	Parsons, TN	CACG	Federal	SR	O
Knoxville Chamber of Commerce (The Partnership Initiatives)	04//15/11	08/13/14	\$904,080	NM	CACG Sub-Grant for the Development of a statewide College Mentor Corps to Member non-profit organizations of the TCASN	Knoxville, TN	CACG	Federal	SR	O
Oasis Center, The	04//15/11	08/13/14	\$1,527,661	NM	CACG Sub-Grant for the Development of a statewide College Mentor Corps to Member non-profit organizations of the TCASN	Nashville, NT	CACG	Federal	SR	O
Public Education Foundation	04//15/11	08/13/14	\$1,825,000	NM	CACG Sub-Grant for the Development of a statewide College Mentor Corps to Member non-profit organizations of the TCASN	Chattanooga, TN	CACG	Federal	SR	O
Southwest TN Development District	04//15/11	08/13/14	\$1,540,101	NM	CACG Sub-Grant for the Development of a statewide College Mentor Corps to Member non-profit organizations of the TCASN	Jackson, TN	CACG	Federal	SR	O
TN College Access and Success (TCASN) FY15 Outreach	11/05/14	06/30/16	\$125,000	NM	Expansion of the TCASN to include Implementation of Training Initiatives through the CACG Grant	Knoxville, TN	CACG	Federal	SR	O
XAP Corporation	04/29/11	05/01/10	\$1,196,456	NM	Transcript Services and Web Portal Outreach	Culver City, CA	CACG GUP	Lottery / Federal	V	NC

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
XAP Corporation Amendment One	04/29/11	05/01/11	\$2,392,912	NM	Transcript Services and Web Portal Outreach One Year Extension	Culver City, CA	CACG GUP	Lottery / Federal	V	NC Amend
XAP Corporation Amendment Two	04/29/11	05/01/12	\$3,364,368	NM	Transcript Services and Web Portal Outreach One Year Extension and Rate Reduction	Culver City, CA	CACG GUP	Lottery / Federal	V	NC Amend
XAP Corporation Amendment Three	04/29/11	05/01/13	\$4,289,368	NM	Transcript Services and Web Portal Outreach One Year Extension and Additional Services	Culver City, CA	CACG GUP	Lottery / Federal	V	NC Amend
XAP Corporation Amendment Four	04/29/11	05/01/14	\$5,214,368	NM	Transcript Services and Web Portal Outreach One Year Extension	Culver City, CA	CACG GUP	Lottery / Federal	V	NC Amend
XAP Corporation Amendment Five	04/29/11	10/31/15	\$5,851,868	NM	Transcript Services and Web Portal Outreach Six Month Extension and Conversion to New Vendor	Culver City, CA	CACG GUP	Lottery / Federal	V	NC Amend
TBR Co-Requisite Meetings	03/19/15	04/15/15	\$47,000	NM	Hosting Co-Requisite Remediation Academies through the Completion Innovation Challenge (CIC) Grant and Complete College Amercia (CCA)	Nashville, TN	CIC CCA	Other	SR	O
TBR Remediation Academies	09/01/14	12/31/14	\$81,000	NM	Funded through the CIC Grant by CCA TBR shall Host the Convening of TN faculty for Discussions Regarding Co-Requisite Remediation and Default Guided Pathways	Nashville, TN	CIC CCA	Other	V	O
John Gupton College Mortuary Science	01/16/15	06/30/15	\$24,375	NM	Contract Education (Contract ED) State Grant Allows Students to Enroll in an Eligible Degree Program Offered in Another SREB State at In-State Tuition Rates for Mortuary Science Degree Program	Nashville, TN	Contract ED	State	V	O

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
Maryville College Optometry Program	01/16/15	06/30/15	\$10,300	NM	Contract ED Allows Students to Enroll in an Eligible Degree Program Offered in Another SREB State at In-State Tuition Rates Optometry Degree Program	Maryville, TN	Contract ED	State	V	O
Meharry Conditional Grant Financial Aid Program	09/15/14	06/30/15	\$47,457	NM	Allows Students to Enroll in an Eligible Degree Program Offered in Another SREB State at In-State Tuition Rates Medical Program	Nashville, TN	Contract ED	State	V	O
Meharry Medical and Dental Financial Aid Program	09/15/14	06/30/15	\$1,030,000	NM	Providing Access to Academic Programs at Private Colleges that are Limited or do not Exist at Public Colleges Medical and Dentistry Program	Nashville, TN	Contract ED	State	V	O
Southern College of Optometry	01/16/15	06/30/15	\$418,500	NM	Allows Students to Enroll in an Eligible Degree Program Offered in Another SREB State at In-State Tuition Rates	Memphis, TN	Contract ED	State	V	O
Southern Regional Education Board Minority Doctoral Program and Minority Dissertation	08/15/14	06/30/15	\$225,000	NM	Allows Students to Enroll in an Eligible Degree Program Offered in Another SREB State at In-State Tuition Rates	Atlanta, GA	Contract ED	State	V	O
Vanderbilt University Bridge Nursing	01/16/15	06/30/15	\$16,000	NM	Allows Students to Enroll in an Eligible Degree Program Offered in Another SREB State at In-State Tuition Rates Bidge Nursing Program	Nashville, TN	Contract ED	State	V	O

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
MTSU English Core to College Redesign Team	02/20/15	05/31/15	\$3,000	NM	Funded through the Rockefeller Philanthropy Associates for the Core to College initiative, faculty redesign teams will assess and align the K-12 Common Core State Standards to credit bearing, entry level courses in English and Math to create a more seamless transition from high school to college for Tennessee students.	Murfreesboro, TN	Core to College	Other - Rockefeller Philanthropy Associates	SR	O
NSCC English Core to College Redesign Team	01/23/15	05/31/15	\$3,000	NM	Funded through the Rockefeller Philanthropy Associates for the Core to College initiative, faculty redesign teams will assess and align the K-12 Common Core State Standards to credit bearing, entry level courses in English and Math to create a more seamless transition from high school to college for Tennessee students.	Nashville, TN	Core to College	Other - Rockefeller Philanthropy Associates	SR	O
TTU Math Core to College Redesign Team	01/23/15	05/31/15	\$3,000	NM	Funded through the Rockefeller Philanthropy Associates for the Core to College initiative, faculty redesign teams will assess and align the K-12 Common Core State Standards to credit bearing, entry level courses in English and Math to create a more seamless transition from high school to college for Tennessee students.	Cookeville, TN	Core to College	Other - Rockefeller Philanthropy Associates	SR	O
UT Martin Math Core to College Redesign Team	01/23/15	05/31/15	\$3,000	NM	Funded through the Rockefeller Philanthropy Associates for the Core to College initiative, faculty redesign teams will assess and align the K-12 Common Core State Standards to credit bearing, entry level courses in English and Math to create a more seamless transition from high school to college for Tennessee students.	Martin, TN	Core to College	Other - Rockefeller Philanthropy Associates	SR	O

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
UTC English Core to College Redesign Team	01/23/15	05/31/15	\$3,000	NM	Funded through the Rockefeller Philanthropy Associates for the Core to College initiative, faculty redesign teams will assess and align the K-12 Common Core State Standards to credit bearing, entry level courses in English and Math to create a more seamless transition from high school to college for Tennessee students.	Chattanooga, TN	Core to College	Other - Rockefeller Philanthropy Associates	SR	O
THEC/TDOE - Data Support	11/01/12	10/31/14	\$200,000	NM	Revenue Contract - Data Support and Reporting for CollegeforTN.org	Nashville, TN	Data Support	Revenue	NA	Rev
THEC/TDOE - Data Support Amendment One	11/01/12	10/31/14	\$336,000	NM	Revenue Contract - Data Support and Reporting for CollegeforTN.org	Nashville, TN	Data Support	Revenue	NA	Rev Amendment
Chattanooga State Each One, Reach One	07/15/13	06/30/15	\$120,000	NM	Diversity In Teaching (DiT) Grant Increasing the Number of Qualified Teachers from Underrepresented Groups Committed to Diversity as an Instructional Tool and Entering the Teaching Profession in Grades K-12 through Competitive Matched Funds	Memphis, TN	DiT FY14-15	State	SR	O
Lee University STEPS	08/15/13	06/30/15	\$120,000	NM	DIT Grant Increasing the Number of Qualified Teachers from Underrepresented Groups Committed to Diversity as an Instructional Tool and Entering the Teaching Profession in Grades K-12 through Competitive Matched Funds	Cleveland, TN	DiT FY14-15	State	SR	O
University of TN Chattanooga Each One, Reach One	07/15/13	06/30/15	\$120,000	NM	DIT Grant Increasing the Number of Qualified Teachers from Underrepresented Groups Committed to Diversity as an Instructional Tool and Entering the Teaching Profession in Grades K-12 through Competitive Matched Funds	Chattanooga, TN	DiT FY14-15	State	SR	O

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THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
University of TN DiT Intern	07/15/13	06/30/15	\$120,000	NM		Knoxville, TN	DiT FY14-15	State	SR	O
Middle TN State University	02/15/10	12/31/14	\$1,763,823	NM	Implementing and Evaluating Replication of the UTeach Model of Secondary Teacher Preparation in Math and the Sciences	Nashville, TN	FTTT - UTeach	Federal	SR	O
University of TN	02/15/10	12/31/14	\$1,825,000	NM	Implementing and Evaluating Replication of the UTeach Model of Secondary Teacher Preparation in Math and the Sciences	Knoxville, TN	FTTT - UTeach	Federal	SR	O
Lipscomb University	06/15/12	06/30/14	\$1,199,880	NM	Providing Common Core Professional Development for IHE's and Teacher and Leader Preparation Programs	Nashville, TN	FTTT Common Core	Federal	SR	O
Lipscomb University - Amendment One	06/15/12	06/30/15	\$1,536,149	NM	Amendment One Extension of Term and Additional Funding for the FTTT Common Core Professional Development for IHE's	Nashville, TN	FTTT Common Core	Federal	SR	O
TN College Access & Success Network	07/01/12	12/31/14	\$2,445,201	NM	Expansion of the Tennessee College Access and Success Network through the Development and Implementation of Training Initiatives and a fall 2015 Statewide College Access and Success Conference	Nashville, TN	FY13-14 TCASN	Federal	SR	O
Graduate Memphis	08/01/12	09/30/15	\$32,500	M	Increasing Adult Latino Enrollment in Higher Education through the Graduate Memphis Initiative	Memphis, TN	FY13-16 LSS	Other (Lumina)	SR	N
TN Board of Regent	07/01/13	12/14/14	\$575,000	NM	Governor's Online Innovation Fund UT System for the Provision of Piloting Projects with Online Service Providers for Technology Approaches to Higher Education	Nashville, TN	FY14 Gov Online	State	SR	O
University of TN Knoxville	07/01/13	12/14/14	\$500,000	NM	Governor's Online Innovation Fund UT System for the Provision of Piloting Projects with Online Service Providers for Technology Approaches to Higher Education	Knoxville, TN	FY14 Gov Online	State	SR	O
Lipscomb University	04/01/14	12/31/14	\$271,174	NM	Development of Massive Open Online Course (MOOC)	Nashville, TN	FY14-15 MOOC	State	SR	O

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THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
Lipscomb University		12/31/15	\$571,174	NM	MOOC Amendment One Extending Grant Contract One Year and Additional Funding	Nashville, TN	FY14-15 MOOC	State	SR	O
Public Education Foundation (PEF) Youth Summit	05/05/15	06/30/15	\$33,982	NM	Facilitating the Annual GEAR UP TN Youth Summit	Chattanooga, TN	GEAR UP	Federal	V	O
COBRO	01/15/13	12/31/17	\$466,458	W	GEAR UP TN CACG COMPASS Program Data Management and Evaluation Services	San Diego, CA	GEAR UP TN	Federal	V	N
CoBro Consulting	09/06/14	07/22/19	\$461,220	W	GEAR UP TN Grant External Evaluation	San Diego, CA	GEAR UP TN	Federal	V	C
DA GEAR UP TN	11/10/14	06/15/15	\$40,000	NA	Funding for GEAR UP TN Professional Services	RFP	GEAR UP TN	Federal	NA	DGA
MTSU GEAR UP TN Youth Summit	03/27/15	06/30/15	\$33,120	NM	Providing Facilities and Hosting for the GEAR UP TN Youth Summit	Murfreesboro, TN	GEAR UP TN	Federal	SR	O
NSC Student Tracker Outreach	04/12/15	04/11/18	\$7,500	NM	Student Tracker services for enrollment/academic achievement status for the Office of P-16 Initiatives	Herndon, VA	GEAR UP TN	Federal	V	NC
TN Financial Literacy Commission	08/01/13	07/31/15	\$60,000	NM	Conducting Summits in each Grand Division for Middle School Teachers on Literacy Curriculum	Nashville, TN	GEAR UP TN	Federal	GR	O
Walker and Associates 2013-18	04/29/13	04/28/18	\$1,063,000	WBE	Creation of a Broad Based Public Outreach Campaign to Encourage College Access	Memphis, TN	GEAR UP TN	Federal	V	N
National Center for Higher Education Management Systems (NCHEMS)	04/04/15	07/31/15	\$25,000	NM	Development of the Statewide Master Plan for TN Higher Education 2015-2025	Boulder, CO	Gov Online Innovation	State	V	NC
TBR Degree Compass	01/15/15	06/15/15	\$250,000	NM	Expansion and Implementation of the Degree Compass Program	Nashville, TN	Gov Online Innovation	State	SR	O
TBR MOOC Evaluation FY15	12/08/14	01/15/16	\$500,000	NM	Piloting Program to Evaluate Methods of Delivering Online Course Offerings for the Students of Tennessee	Knoxville, TN	Gov Online Innovation	State	SR	O

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
UTK Center for Business and Economic Research (CBER) TN Promise Projections	12/17/14	03/31/15	\$44,250	NM	Preparation of the TN Promise Scholarship Participation Projections	Knoxville, TN	Gov Online Innovation	State	V	O
UTK MOOC Evaluation FY15	11/15/14	01/15/16	\$500,000	NM	Piloting Program to Evaluate Methods of Delivering Online Course Offerings for the Students of Tennessee	Nashville, TN	Gov Online Innovation	State	SR	O
UT CBER Transfer and Adult Re-Entry Technology	04/15/15	08/31/16	\$1,200,000	NM	Development of Software for the Reverse Transfer Program ,Forward Transfer, and the Adult Learner Portal	Knoxville, TN	Gov Online; CACG; Higher ED Access	State / Federal	V	O
AlumniFinder	07/20/15	08/31/15	\$55,290	NM	Funded through the Governor's Higher Education Access And Quality Fund of the "Drive To 55" Initiative, thee Adult Learner Outreach Project Is part of a Larger Program Aimed at Engaging Adults With Some Prior Enrollment at a TN College or University, but no Degree, to Return to Postsecondary Education	Fort Meyers, FL	Gov Spec Inuit	State	V	C
Chattanooga State Community College - SAILS FY15	07/01/14	06/30/15	\$2,450,000	O	Funded through the Governor's On-Line Innovation Initiatives the Seamless Alignment and Integration of Learning Support (SAILS) Provides Early Remedial Math Instruction to High School Seniors	Chattanooga, TN	Gov Spec Inuit	State	SR	
Roane State Community College	02/18/15	05/31/15	\$1,000	NM	SAILS English Content Development Team	Nashville, TN	Gov Spec Inuit	State	V	O

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
TN Department of Education (TDOE) Core to College Mini Grants	10/14/14	09/30/15	\$159,317	NM	Administration of Eight Core to College Mini-Grants to Promote Sustainability of the P-16 Curriculum Councils Developed to aid K-12 and Postsecondary Sector Alignment to the Common Core State Standards	Nashville, TN	Gov Spec Inuit	State	SR	O
Walters State Community College	02/18/15	05/31/15	\$4,000	NM	SAILS English Content Development Team	Morristown, TN	Gov Spec Inuit	State	V	O
Anderson County School District	07/01/14	06/30/19	\$990,550	NM	Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Clinton, TN	GUP DS FY15-19	Federal	SR	O
Bradley County	07/01/14	06/30/19	\$838,125	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Cleveland, TN	GUP DS FY15-19	Federal	SR	O

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
Campbell County Schools	07/01/14	06/30/19	\$913,125	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Jacksboro, TN	GUP DS FY15-19	Federal	SR	O
Claiborne County	07/01/14	06/30/19	\$738,400	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Tazewell, TN	GUP DS FY15-19	Federal	SR	O
Davidson County School System	07/01/14	06/30/19	\$2,764,740	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Nashville, TN	GUP DS FY15-19	Federal	SR	O
Grainger County	07/01/14	06/30/19	\$580,320	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Rutledge, TN	GUP DS FY15-19	Federal	SR	O

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NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
Hardeman County	07/01/14	06/30/19	\$630,240	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Bolivar, TN	GUP DS FY15-19	Federal	SR	O
Haywood County Schools	07/01/14	06/30/19	\$542,800	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Brownsville, TN	GUP DS FY15-19	Federal	SR	O
Henderson County School System	07/01/14	06/30/19	\$612,500	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Lexington, TN	GUP DS FY15-19	Federal	SR	O
Johnson County School System	07/01/14	12/31/19	\$409,400	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Mountain City, TN	GUP DS FY15-19	Federal	SR	O
Robertson County Schools	07/01/14	06/30/19	\$624,000	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Springfield, TN	GUP DS FY15-19	Federal	SR	O

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THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
Shelby County Schools	07/01/14	06/30/19	\$1,452,200	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Memphis, TN	GUP DS FY15-19	Federal	SR	O
Union County School System	07/01/14	06/30/19	\$517,500	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Maynardville, TN	GUP DS FY15-19	Federal	SR	O
Wayne County	07/01/14	06/30/19	\$397,900	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Waynesboro, TN	GUP DS FY15-19	Federal	SR	O

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THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
McNairy County	07/01/14	12/31/19	\$775,775	NM	GEAR UP TN Direct-Service Site - Providing Direct Services to a Cohort Of Students, the Class of 2018, Beginning in the 7th Grade and Continuing through the Cohort's First Year of Postsecondary Education Selected through a Competitive Matched Grant RFP	Selmer, TN	GUP DS FY15-20	Federal	SR	O
National Council for Community and Education Partnerships (NCCEP) for the College and Career Readiness Evaluation Consortium (CCREC)	01/15/13	12/31/17	\$41,200	NM	Fostering collaboration among member GEAR UP states; demonstrating the impact of GEAR UP across local, state, and national levels of implementation; and building a culture of evidenced-based assessment and decision-making.	Washington, DC	GUP FY13- 18	Federal	SR	O
NCCEP for CCREC Amendment One	01/15/13	12/31/17	\$68,200	NM	Addition of a Data Repository	Washington, DC	GUP FY13- 18	Federal	SR	O
NCCEP for CCREC Amendment Two	01/15/13	12/31/17	\$73,200	NM	Addition of the Data Repository Annual Maintenance	Washington, DC	GUP FY13- 18	Federal	SR	O
Belmont University	04/15/14	12/31/14	\$70,707	NM	Improving Teacher Quality (ITQ) Grant providing Financial Support for Professional Development to Improve Teaching and Learning	Nashville, TN	ITQ FY14-15	Federal	SR	O
Lee University	01/01/14	12/31/14	\$74,660	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Cleveland, TN	ITQ FY14-15	Federal	SR	O
Milligan College	01/15/14	12/31/14	\$62,221	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Milligan, TN	ITQ FY14-15	Federal	SR	O

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THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
TN Technological University (Isbell)	02/15/14	12/31/14	\$69,931	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Cookeville, TN	ITQ FY14-15	Federal	SR	O
TN Technological University (Pennycuff-Trent)	02/15/14	12/31/14	\$75,000	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Cookeville, TN	ITQ FY14-15	Federal	SR	O
TN Technological University (Stepp)	02/15/14	12/31/14	\$74,966	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Cookeville, TN	ITQ FY14-15	Federal	SR	O
University of Memphis	03/31/14	12/31/14	\$75,622	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Memphis, TN	ITQ FY14-15	Federal	SR	O
University of Memphis	03/31/14	12/31/14	\$58,371	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Memphis, TN	ITQ FY14-15	Federal	SR	O
University of TN Chattanooga	01/31/14	12/31/14	\$70,126	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Chattanooga, TN	ITQ FY14-15	Federal	SR	O
University of TN Chattanooga (Burgess)	01/31/14	12/31/14	\$52,688	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Chattanooga, TN	ITQ FY14-15	Federal	SR	O
University of TN Knoxville (Brown)	02/15/14	12/31/14	\$63,952	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Knoxville, TN	ITQ FY14-15	Federal	SR	O
University of TN Knoxville (Wolbers)	04/15/14	12/31/14	\$75,000	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Knoxville, TN	ITQ FY14-15	Federal	SR	O
APSU	01/01/15	12/30/16	\$68,705	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Clarksville, TN	ITQ FY15-16	Federal	SR	O

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
Belmont - Middle School Math	01/01/15	12/30/16	\$37,230	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Nashville, TN	ITQ FY15-16	Federal	SR	O
ETSU - Middle School Math	01/01/15	12/30/16	\$37,497	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Johnson City, TN	ITQ FY15-16	Federal	SR	O
ETSU - Reaching for Excellence	01/01/15	12/30/16	\$37,500	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Johnson City, TN	ITQ FY15-16	Federal	SR	O
Lee University - Elementary Mathematics and Science Connection	01/01/15	12/30/16	\$37,290	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Cleveland, TN	ITQ FY15-16	Federal	SR	O
Lee University - Knowledge through Real-World Problems	01/01/15	12/30/16	\$37,149	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Cleveland, TN	ITQ FY15-16	Federal	SR	O
Lipscomb University - Geometry, Measurement, and Algebraic Thinking	01/01/15	12/30/16	\$37,192	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Nashville, TN	ITQ FY15-16	Federal	SR	O
Milligan College - Putting the Pieces Together	01/01/15	12/30/16	\$31,544	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Milligan, TN	ITQ FY15-16	Federal	SR	O
MTSU - Progressions, Assessment, and Content Knowledge	01/01/15	12/30/16	\$37,075	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Murfreesboro, TN	ITQ FY15-16	Federal	SR	O

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
TTU (Baker) - Talking Sense:	01/01/15	12/30/16	\$37,499	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Cookeville, TN	ITQ FY15-16	Federal	SR	O
TTU (Suters) - Computer Programming & Mathematics	01/01/15	12/30/16	\$37,500	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Cookeville, TN	ITQ FY15-16	Federal	SR	O
UoM - Middle School Math-Problem Solving	01/01/15	12/30/16	\$37,362	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Memphis, TN	ITQ FY15-16	Federal	SR	O
UTC	01/01/15	12/30/16	\$37,489	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Chattanooga, TN	ITQ FY15-16	Federal	SR	O
UTK - Math Literacy for English Language Learners	01/01/15	12/30/16	\$24,600	NM	ITQ Grant Providing Financial Support for Professional Development to Improve Teaching and Learning	Knoxville, TN	ITQ FY15-16	Federal	SR	O
Columbia State Community College	01/22/15	01/20/17	\$135,918	NM	Labor Education Alignment Program (LEAP) MAD About Technology (Mobile Applications Development Technologies)	Columbia, TN	LEAP	State	SR	O
Dyersburg State CC	01/22/15	01/20/17	\$850,000	NM	LEAP CPT (Certified Production Technician) Pathway to Advanced Manufacturing	Dyersburg, TN	LEAP	State	SR	O
Jackson State Community College - Jackson Regional Partnership	01/22/15	01/20/17	\$900,000	NM	LEAP Leap to Success - Learn. Experience. Advance. Partner.	Jackson, TN	LEAP	State	SR	O

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
Nashville State Community College - Nashville Technology Council	01/22/15	01/20/17	\$850,000	NM	LEAP IT Pathway Collaborative	Nashville, TN	LEAP	State	SR	O
Nashville State Community College - North TN Workforce Board (LWIA8)	01/22/15	01/20/17	\$992,037	NM	LEAP Manufacturing and Mechatronics for Soldiers and Students (M2S2)	Nashville, TN	LEAP	State	SR	O
Roane State Community College - East TN Development District	01/22/15	01/20/17	\$970,000	NM	LEAP Advanced Manufacturing and Workforce Center (Phase 2)	Harriman, TN	LEAP	State	SR	O
Southwest TN Community College - Greater Memphis Alliance	01/22/15	01/20/17	\$743,500	NM	LEAP L.E.A.P. Memphis	Memphis, TN	LEAP	State	SR	O
TCAT Athens - Southwest TN Development District	01/22/15	01/20/17	\$946,280	NM	LEAP RAPP (Regional Apprenticeship Preparedness Program)	Athens, TN	LEAP	State	SR	O
TCAT Livingston - Upper Cumberland Human Resource Agency LWIA7	01/22/15	01/20/17	\$684,000	NM	LEAP Advanced Manufacturing/Industrial Maintenance/Mechatronics in the Upper Cumberland	Livingston, TN	LEAP	State	SR	O
TCAT Morristown - Smoky Mountains Area Workforce Board - Local Area 2	01/22/15	01/20/17	\$988,000	NM	LEAP Strengthening the Lakeway Links: Providing a Demand Driven Workforce Supply Chain	Morristown, TN	LEAP	State	SR	O
TCAT Pulaski	01/22/15	01/20/17	\$970,000	NM	LEAP Closing Gaps through Partnerships	Pulaski, TN	LEAP	State	SR	O
TCAT Shelbyville - South Central TN Development District	01/22/15	01/20/17	\$970,000	NM	LEAP Filling Gaps between Industry and Employees with Mfg Technology	Shelbyville, TN	LEAP	State	SR	O
National Student Clearinghouse	07/01/10	06/30/15	\$75,000	NM	Student Tracker Services for THEC and the State Public Higher Education Institutions	Herndon, VA	Lottery	State	V	NC

**APPENDIX B.IX.A.2.
THEC CONTRACTS FY15**

NAME	BEG Date	END Date	Amount	M/NM/ WBE¹	DESCRIPTION OF SERVICES	LOCATION	PROGRAM	FUNDING	SR/V²	C/NC/ O³
Latino Memphis	08/01/12	09/30/15	\$439,776	M	Latino Student Success Grant for Mentoring Program Abriendo Puertas (Opening Doors) and Collaborative	Memphis, TN	LSS FY13-16	Other (Lumina)	SR	O
CAEL (Council for Adult Experiential Learning)	09/09/14	02/28/15	\$55,900	NM	Resources to further expand the Prior Learning Assessment (PLA) Initiative	Chicago, IL	PLA	Ford Foundation	V	NC
CAEL (Council for Adult Experiential Learning)	09/09/14	06/30/15	\$55,900	NM	Amendment One to Extend Contract through 06/30/2015 for the Resources to further PLA Initiative	Chicago, IL	PLA	Ford Foundation	V	NC
Walker and Associates	09/11/14	02/28/15	\$138,300	WBE	Funded through he Ford Foundation Grant Providing Marketing Services to further the PLA Initiative	Memphis, TN	PLA	Other	V	NC
Walker and Associates Amendment One	09/11/14	12/31/15	\$138,300	WBE	Amendment Required to Effectuate a No-cost Term Extension through 12/31/15 due to an Extension to the Ford Foundation Grant	Memphis, TN	PLA	Other	V	NC Amendment
Chattanooga State Community College SAILS English	02/27/15	06/30/15	\$113,000	NM	SAILS English Pilot Providing Early College Remedial Reading and Writing to High School Seniors	Chattanooga, TN	SAILS FY15	Gov Spec Inuit	SR	O
NSC Student Tracker High School Reporting	04/10/15	04/09/18	\$183,975	NM	Student Tracker services for the enrollment and academic achievement status of current and former students for each public high school in Tennessee	Herndon, VA	State	Lottery	V	NC

- 1 M - Minority
NM - Non-Minority
WBE - Woman Business Enterprise
- 2 SR - Subrecipient
V - Vendor
- 3 C - Competitively Procured
NC - Non-competitive Contract
O - Other

APPENDIX X

**GRANT CONTRACT
BETWEEN THE STATE OF TENNESSEE,
STATE AGENCY NAME
AND
GRANTEE NAME**

This Grant Contract, by and between the State of Tennessee, **State Agency Name**, hereinafter referred to as the "State" and **Contractor Legal Entity Name**, hereinafter referred to as the "Grantee," is for the provision of **Scope of Service Caption**, as further defined in the "SCOPE OF SERVICES."

The Grantee is **a/an Individual, For-Profit Corporation, Non-Profit Corporation, Special Purpose Corporation Or Association, Partnership, Joint Venture, Or Limited Liability Company.**

Grantee Place of Incorporation or Organization: **Location**

Grantee Edison Vendor ID # **Number**

A. SCOPE OF SERVICES AND DELIVERABLES:

A.1. The Grantee shall provide all services and deliverables ("Scope") as required, described, and detailed in this Grant Contract.

A.#. **Specify the services & deliverables that the Grantee must provide as well as the technical specifications & delivery requirements that must be met (include sufficient detail to ensure accountability & definitive results). Do NOT include payment terms in the Scope.**

B. TERM OF GRANT CONTRACT:

This Grant Contract shall be effective on **DATE** ("Effective Date") and extend for a period of **number (#) months** after the Effective Date ("Term"). The State shall have no obligation for goods or services provided by the Grantee prior to the Effective Date.

C. PAYMENT TERMS AND CONDITIONS:

C.1. Maximum Liability. In no event shall the maximum liability of the State under this Grant Contract exceed **Written Dollar Amount (\$Number)** ("Maximum Liability"). The Grant Budget, attached and incorporated hereto as Attachment **Reference**, shall constitute the maximum amount due the Grantee under this Grant Contract. The Grant Budget line-items include, but are not limited to, all applicable taxes, fees, overhead, and all other direct and indirect costs incurred or to be incurred by the Grantee.

C.2. Compensation Firm. The Maximum Liability of the State is not subject to escalation for any reason unless amended. The Grant Budget amounts are firm for the Term and are not subject to escalation for any reason unless amended, except as provided in Section C.6.

C.3. Payment Methodology. The Grantee shall be reimbursed for actual, reasonable, and necessary costs based upon the Grant Budget, not to exceed the Maximum Liability established in Section C.1. Upon progress toward the completion of the Scope, as described in Section A of this Grant Contract, the Grantee shall submit invoices prior to any reimbursement of allowable costs.

C.4. Travel Compensation. Reimbursement to the Grantee for travel, meals, or lodging shall be subject to amounts and limitations specified in the "State Comprehensive Travel Regulations," as they are amended from time to time, and shall be contingent upon and limited by the Grant Budget funding for said reimbursement.

C.5. Invoice Requirements. The Grantee shall invoice the State no more often than monthly, with all necessary supporting documentation, and present such to:
State Agency Billing Address

- a. Each invoice shall clearly and accurately detail all of the following required information (calculations must be extended and totaled correctly).
- (1) Invoice/Reference Number (assigned by the Grantee).
 - (2) Invoice Date.
 - (3) Invoice Period (to which the reimbursement request is applicable).
 - (4) Grant Contract Number (assigned by the State).
 - (5) Grantor: **State Agency & Division Name.**
 - (6) Grantor Number (assigned by the Grantee to the above-referenced Grantor).
 - (7) Grantee Name.
 - (8) Grantee Tennessee Edison Registration ID Number Referenced in Preamble of this Grant Contract.
 - (9) Grantee Remittance Address.
 - (10) Grantee Contact for Invoice Questions (name, phone, or fax).
 - (11) Itemization of Reimbursement Requested for the Invoice Period— it must detail, at minimum, all of the following:
 - i. The amount requested by Grant Budget line-item (including any travel expenditure reimbursement requested and for which documentation and receipts, as required by "State Comprehensive Travel Regulations," are attached to the invoice).
 - ii. The amount reimbursed by Grant Budget line-item to date.
 - iii. The total amount reimbursed under the Grant Contract to date.
 - iv. The total amount requested (all line-items) for the Invoice Period.
- b. The Grantee understands and agrees to all of the following.
- (1) An invoice under this Grant Contract shall include only reimbursement requests for actual, reasonable, and necessary expenditures required in the delivery of service described by this Grant Contract and shall be subject to the Grant Budget and any other provision of this Grant Contract relating to allowable reimbursements.
 - (2) An invoice under this Grant Contract shall not include any reimbursement request for future expenditures.
 - (3) An invoice under this Grant Contract shall initiate the timeframe for reimbursement only when the State is in receipt of the invoice, and the invoice meets the minimum requirements of this section C.5.
- C.6. Budget Line-items. Expenditures, reimbursements, and payments under this Grant Contract shall adhere to the Grant Budget. The Grantee may vary from a Grant Budget line-item amount by up to one percent (1%) of the line-item amount, provided that any increase is off-set by an equal reduction of other line-item amount(s) such that the net result of variances shall not increase the total Grant Contract amount detailed by the Grant Budget. Any increase in the Grant Budget, grand total amounts shall require an amendment of this Grant Contract.
- C.7. Disbursement Reconciliation and Close Out. The Grantee shall submit any final invoice and a grant disbursement reconciliation report within sixty (60) days of the Grant Contract end date, in form and substance acceptable to the State.
- a. If total disbursements by the State pursuant to this Grant Contract exceed the amounts permitted by Section C of this Grant Contract, the Grantee shall refund the difference to the State. The Grantee shall submit said refund with the final grant disbursement reconciliation report.
 - b. The State shall not be responsible for the payment of any invoice submitted to the state after the grant disbursement reconciliation report. The State will not deem any Grantee

costs submitted for reimbursement after the grant disbursement reconciliation report to be allowable and reimbursable by the State, and such invoices will NOT be paid.

- c. The Grantee's failure to provide a final grant disbursement reconciliation report to the state as required shall result in the Grantee being deemed ineligible for reimbursement under this Grant Contract, and the Grantee shall be required to refund any and all payments by the state pursuant to this Grant Contract.
 - d. The Grantee must close out its accounting records at the end of the contract period in such a way that reimbursable expenditures and revenue collections are NOT carried forward.
- C.8. Indirect Cost. Should the Grantee request reimbursement for indirect costs, the Grantee must submit to the State a copy of the indirect cost rate approved by the cognizant federal agency or the cognizant state agency, as applicable. The Grantee will be reimbursed for indirect costs in accordance with the approved indirect cost rate and amounts and limitations specified in the attached Grant Budget. Once the Grantee makes an election and treats a given cost as direct or indirect, it must apply that treatment consistently and may not change during the Term. Any changes in the approved indirect cost rate must have prior approval of the cognizant federal agency or the cognizant state agency, as applicable. If the indirect cost rate is provisional during the Term, once the rate becomes final, the Grantee agrees to remit any overpayment of funds to the State, and subject to the availability of funds the State agrees to remit any underpayment to the Grantee.
- C.9. Cost Allocation. If any part of the costs to be reimbursed under this Grant Contract are joint costs involving allocation to more than one program or activity, such costs shall be allocated and reported in accordance with the provisions of Department of Finance and Administration Policy Statement 03 or any amendments or revisions made to this policy statement during the Term.
- C.10. Payment of Invoice. A payment by the State shall not prejudice the State's right to object to or question any reimbursement, invoice, or matter in relation thereto. A payment by the State shall not be construed as acceptance of any part of the work or service provided or as approval of any amount as an allowable cost.
- C.11. Non-allowable Costs. Any amounts payable to the Grantee shall be subject to reduction for amounts included in any invoice or payment that are determined by the State, on the basis of audits or monitoring conducted in accordance with the terms of this Grant Contract, to constitute non-allowable costs.
- C.12. State's Right to Set Off. The State reserves the right to deduct from amounts that are or shall become due and payable to the Grantee under this Grant Contract or any other contract between the Grantee and the State of Tennessee under which the Grantee has a right to receive payment from the State.
- C.13. Prerequisite Documentation. The Grantee shall not invoice the State under this Grant Contract until the State has received the following, properly completed documentation.
- a. The Grantee shall complete, sign, and present to the State an "Authorization Agreement for Automatic Deposit (ACH Credits) Form" provided by the State. By doing so, the Grantee acknowledges and agrees that, once this form is received by the State, all payments to the Grantee under this or any other grant contract will be made by automated clearing house ("ACH").
 - b. The Grantee shall complete, sign, and return to the State the State-provided W-9 form. The taxpayer identification number on the W-9 form must be the same as the Grantee's

Federal Employer Identification Number or Social Security Number referenced in the Grantee's Edison registration information.

D. STANDARD TERMS AND CONDITIONS:

- D.1. Required Approvals. The State is not bound by this Grant Contract until it is signed by the parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this Grant Contract, the officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).
- D.2. Modification and Amendment. This Grant Contract may be modified only by a written amendment signed by all parties and approved by the officials who approved the Grant Contract and, depending upon the specifics of the Grant Contract as amended, any additional officials required by Tennessee laws and regulations (said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).
- D.3. Termination for Convenience. The State may terminate this Grant Contract without cause for any reason. A termination for convenience shall not be a breach of this Grant Contract by the State. The State shall give the Grantee at least thirty (30) days written notice before the effective termination date. The Grantee shall be entitled to compensation for authorized expenditures and satisfactory services completed as of the termination date, but in no event shall the State be liable to the Grantee for compensation for any service that has not been rendered. The final decision as to the amount for which the State is liable shall be determined by the State. The Grantee shall not have any right to any actual general, special, incidental, consequential, or any other damages whatsoever of any description or amount for the State's exercise of its right to terminate for convenience.
- D.4. Termination for Cause. If the Grantee fails to properly perform its obligations under this Grant Contract in a timely or proper manner, or if the Grantee violates any terms of this Grant Contract ("Breach Condition"), the State shall have the right to immediately terminate the Grant Contract and withhold payments in excess of compensation for completed services or provided goods. Notwithstanding the above, the Grantee shall not be relieved of liability to the State for damages sustained by virtue of any Breach Condition and the State may seek other remedies allowed at law or in equity for breach of this Grant Contract.
- D.5. Subcontracting. The Grantee shall not assign this Grant Contract or enter into a subcontract for any of the services performed under this Grant Contract without obtaining the prior written approval of the State. If such subcontracts are approved by the State, each shall contain, at a minimum, sections of this Grant Contract pertaining to "Conflicts of Interest," "Lobbying," "Nondiscrimination," "Public Accountability," "Public Notice," and "Records" (as identified by the section headings). Notwithstanding any use of approved subcontractors, the Grantee shall remain responsible for all work performed.
- D.6. Conflicts of Interest. The Grantee warrants that no part of the total Grant Contract Amount shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the Grantee in connection with any work contemplated or performed relative to this Grant Contract.

The Grantee acknowledges, understands, and agrees that this Grant Contract shall be null and void if the Grantee is, or within the past six months has been, an employee of the State of Tennessee or if the Grantee is an entity in which a controlling interest is held by an individual who is, or within the past six months has been, an employee of the State of Tennessee.

D.7. Lobbying. The Grantee certifies, to the best of its knowledge and belief, that:

- a. No federally appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- b. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this contract, grant, loan, or cooperative agreement, the Grantee shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- c. The Grantee shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into and is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. § 1352.

D.8. Communications and Contacts. All instructions, notices, consents, demands, or other communications required or contemplated by this Grant Contract shall be in writing and shall be made by certified, first class mail, return receipt requested and postage prepaid, by overnight courier service with an asset tracking system, or by email or facsimile transmission with recipient confirmation. All communications, regardless of method of transmission, shall be addressed to the respective party as set out below:

The State:

State Contact Name & Title
State Agency Name
Address
Email Address
Telephone # Number
FAX # Number

The Grantee:

Grantee Contact Name & Title
Grantee Name
Address
Email Address
Telephone # Number
FAX # Number

A change to the above contact information requires written notice to the person designated by the other party to receive notice.

All instructions, notices, consents, demands, or other communications shall be considered effectively given upon receipt or recipient confirmation as may be required.

- D.9. Subject to Funds Availability. This Grant Contract is subject to the appropriation and availability of State or Federal funds. In the event that the funds are not appropriated or are otherwise unavailable, the State reserves the right to terminate this Grant Contract upon written notice to the Grantee. The State's right to terminate this Grant Contract due to lack of funds is not a breach of this Grant Contract by the State. Upon receipt of the written notice, the Grantee shall cease all work associated with the Grant Contract. Should such an event occur, the Grantee shall be entitled to compensation for all satisfactory and authorized services completed as of the termination date. Upon such termination, the Grantee shall have no right to recover from the State any actual, general, special, incidental, consequential, or any other damages whatsoever of any description or amount.
- D.10. Nondiscrimination. The Grantee agrees that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of this Grant Contract or in the employment practices of the Grantee on the grounds of handicap or disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal, Tennessee State constitutional, or statutory law. The Grantee shall, upon request, show proof of such nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.
- D.11. HIPAA Compliance. The State and the Grantee shall comply with obligations under the Health Insurance Portability and Accountability Act of 1996 ("HIPAA"), Health Information Technology for Economic and Clinical Health ("HITECH") Act and any other relevant laws and regulations regarding privacy (collectively the "Privacy Rules"). The obligations set forth in this Section shall survive the termination of this Grant Contract.
- a. The Grantee warrants to the State that it is familiar with the requirements of the Privacy Rules, and will comply with all applicable requirements in the course of this Grant Contract.
 - b. The Grantee warrants that it will cooperate with the State, including cooperation and coordination with State privacy officials and other compliance officers required by the Privacy Rules, in the course of performance of this Grant Contract so that both parties will be in compliance with the Privacy Rules.
 - c. The State and the Grantee will sign documents, including but not limited to business associate agreements, as required by the Privacy Rules and that are reasonably necessary to keep the State and the Grantee in compliance with the Privacy Rules. This provision shall not apply if information received or delivered by the parties under this Grant Contract is NOT "protected health information" as defined by the Privacy Rules, or if the Privacy Rules permit the parties to receive or deliver the information without entering into a business associate agreement or signing another document.
 - d. The Grantee will indemnify the State and hold it harmless for any violation by the Grantee or its subcontractors of the Privacy Rules. This includes the costs of responding to a breach of protected health information, the costs of responding to a government enforcement action related to the breach, and any fines, penalties, or damages paid by the State because of the violation.
- D.12. Public Accountability. If the Grantee is subject to Tenn. Code Ann. § 8-4-401 *et seq.*, or if this Grant Contract involves the provision of services to citizens by the Grantee on behalf of the State, the Grantee agrees to establish a system through which recipients of services may present grievances about the operation of the service program. The Grantee shall also display in a prominent place, located near the passageway through which the public enters in order to receive Grant supported services, a sign at least eleven inches (11") in height and seventeen inches (17") in width stating:

NOTICE: THIS AGENCY IS A RECIPIENT OF TAXPAYER FUNDING. IF YOU OBSERVE AN AGENCY DIRECTOR OR EMPLOYEE ENGAGING IN ANY ACTIVITY WHICH YOU CONSIDER TO BE ILLEGAL, IMPROPER, OR WASTEFUL, PLEASE CALL THE STATE COMPTROLLER'S TOLL-FREE HOTLINE: 1-800-232-5454.

The sign shall be on the form prescribed by the Comptroller of the Treasury. The Grantor State Agency shall obtain copies of the sign from the Comptroller of the Treasury, and upon request from the Grantee, provide Grantee with any necessary signs.

- D.13. Public Notice. All notices, informational pamphlets, press releases, research reports, signs, and similar public notices prepared and released by the Grantee in relation to this Grant Contract shall include the statement, "This project is funded under a Grant Contract with the State of Tennessee." All notices by the Grantee in relation to this Grant Contract shall be approved by the State.
- D.14. Licensure. The Grantee and its employees and all sub-grantees shall be licensed pursuant to all applicable federal, state, and local laws, ordinances, rules, and regulations and shall upon request provide proof of all licenses.
- D.15. Records. The Grantee and any approved subcontractor shall maintain documentation for all charges under this Grant Contract. The books, records, and documents of the Grantee and any approved subcontractor, insofar as they relate to work performed or money received under this Grant Contract, shall be maintained for a period of five (5) full years from the date of the final payment and shall be subject to audit at any reasonable time and upon reasonable notice by the Grantor State Agency, the Comptroller of the Treasury, or their duly appointed representatives.

The records shall be maintained in accordance with Financial Accounting Standards Board (FASB) Accounting Standards Codification, Public Company Accounting Oversight Board (PCAOB) Accounting Standards Codification, or Governmental Accounting Standards Board (GASB) Accounting Standards Codification, as applicable, and any related AICPA Industry Audit and Accounting guides.

In addition, documentation of grant applications, budgets, reports, awards, and expenditures will be maintained in accordance with U.S. Office of Management and Budget's *Uniform Administrative Requirements, Audit Requirements, and Cost Principles for Federal Awards*.

The Grantee shall also comply with any recordkeeping and reporting requirements prescribed by the Tennessee Comptroller of the Treasury.

The Grantee shall establish a system of internal controls that utilize the COSO Internal Control - Integrated Framework model as the basic foundation for the internal control system. The Grantee shall incorporate any additional Comptroller of the Treasury directives into its internal control system.

Any other required records or reports which are not contemplated in the above standards shall follow the format designated by the head of the Grantor State Agency, the Central Procurement Office, or the Commissioner of Finance and Administration of the State of Tennessee.

- D.16. Monitoring. The Grantee's activities conducted and records maintained pursuant to this Grant Contract shall be subject to monitoring and evaluation by the State, the Comptroller of the Treasury, or their duly appointed representatives.
- D.17. Progress Reports. The Grantee shall submit brief, periodic, progress reports to the State as requested.
- D.18. Annual and Final Reports. The Grantee shall submit, within three (3) months of the conclusion of each year of the Term, an annual report. For grant contracts with a term of less than one (1) year,

the Grantee shall submit a final report within three (3) months of the conclusion of the Term. For grant contracts with multiyear terms, the final report will take the place of the annual report for the final year of the Term. The Grantee shall submit annual and final reports to the Grantor State Agency and the Department of Finance and Administration (“F&A”). Send electronic copies of annual and final reports to F&A at fa.audit@tn.gov. At minimum, annual and final reports shall include: (a) the Grantee’s name; (b) the Grant Contract’s Edison identification number, Term, and total amount; (c) a narrative section that describes the program’s goals, outcomes, successes and setbacks, whether the Grantee used benchmarks or indicators to determine progress, and whether any proposed activities were not completed; and (d) other relevant details requested by the Grantor State Agency. Annual and final report documents to be completed by the Grantee shall appear on the Grantor State Agency’s website or as an attachment to the Grant Contract.

- D.19. Audit Report. For purposes of this Section, pass-through entity means a non-federal entity that provides a subaward to a subrecipient to carry out part of a federal program.

The Grantee shall provide audited financial statements to the Tennessee Comptroller of the Treasury (“Comptroller”) if during the Grantee’s fiscal year, the Grantee: (1) expends seven hundred fifty thousand dollars (\$750,000) or more in direct and indirect federal financial assistance and the State is a pass-through entity; (2) expends seven hundred fifty thousand dollars (\$750,000) or more in state funds from the State; or (3) expends seven hundred fifty thousand dollars (\$750,000) or more in federal financial assistance and state funds from the State, and the State is a pass-through entity. At least ninety (90) days before the end of its fiscal year, the Grantee shall complete Attachment [reference the Notice of Audit Report document] to notify the State whether or not Grantee is subject to an audit. The Grantee should submit only one, completed document during the Grantee’s fiscal year. Any Grantee that is subject to an audit and so indicates on Attachment [reference the Notice of Audit Report document] shall complete Attachment [reference the Parent Child Information document]. If the Grantee is subject to an audit, Grantee shall obtain the Comptroller’s approval before engaging a licensed, independent public accountant to perform the audit. The Grantee may contact the Comptroller for assistance identifying auditors.

All audits shall be performed in accordance with the Comptroller’s requirements, as posted on its web site. When a federal single audit is required, the audit shall be performed in accordance with U.S. Office of Management and Budget’s *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*.

A copy of the audit report shall be provided to the Comptroller by the licensed, independent public accountant. Audit reports shall be made available to the public.

The audit contract between the Grantee and the Auditor shall be on a contract form prescribed by the Comptroller. The Grantee shall be responsible for payment of fees for an audit prepared by a licensed, independent public accountant. Payment of the audit fees by the Grantee shall be subject to the provision relating to such fees contained within this Grant Contract. The Grantee shall be responsible for reimbursing the Comptroller for any costs of an audit prepared by the Comptroller.

- D.20. Procurement. If other terms of this Grant Contract allow reimbursement for the cost of goods, materials, supplies, equipment, and/or contracted services, such procurement(s) shall be made on a competitive basis, including the use of competitive bidding procedures, where practical. The Grantee shall maintain documentation for the basis of each procurement for which reimbursement is paid pursuant to this Grant Contract. In each instance where it is determined that use of a competitive procurement method is not practical, supporting documentation shall include a written justification for the decision and for use of a non-competitive procurement. If the Grantee is a subrecipient, the Grantee shall comply with 2 C.F.R. §§ 200.318—300.326 when procuring property and services under a federal award..

The Grantee shall obtain prior approval from the State before purchasing any equipment under this Grant Contract.

- D.21. Strict Performance. Failure by any party to this Grant Contract to insist in any one or more cases upon the strict performance of any of the terms, covenants, conditions, or provisions of this agreement shall not be construed as a waiver or relinquishment of any such term, covenant, condition, or provision. No term or condition of this Grant Contract shall be held to be waived, modified, or deleted except by a written amendment signed by the parties hereto.
- D.22. Independent Contractor. The parties shall not act as employees, partners, joint venturers, or associates of one another in the performance of this Grant Contract. The parties acknowledge that they are independent contracting entities and that nothing in this Grant Contract shall be construed to create a principal/agent relationship or to allow either to exercise control or direction over the manner or method by which the other transacts its business affairs or provides its usual services. The employees or agents of one party shall not be deemed or construed to be the employees or agents of the other party for any purpose whatsoever.

The Grantee, being an independent contractor and not an employee of the State, agrees to carry adequate public liability and other appropriate forms of insurance, including adequate public liability and other appropriate forms of insurance on the Grantee's employees, and to pay all applicable taxes incident to this Grant Contract.

- D.23. State Liability. The State shall have no liability except as specifically provided in this Grant Contract.
- D.24. Force Majeure. "Force Majeure Event" means fire, flood, earthquake, elements of nature or acts of God, wars, riots, civil disorders, rebellions or revolutions, acts of terrorism or any other similar cause beyond the reasonable control of the Party except to the extent that the non-performing Party is at fault in failing to prevent or causing the default or delay, and provided that the default or delay cannot reasonably be circumvented by the non-performing Party through the use of alternate sources, workaround plans or other means. A strike, lockout or labor dispute shall not excuse either Party from its obligations under this Grant Contract. Except as set forth in this Section, any failure or delay by a Party in the performance of its obligations under this Grant Contract arising from a Force Majeure Event is not a default under this Grant Contract or grounds for termination. The non-performing Party will be excused from performing those obligations directly affected by the Force Majeure Event, and only for as long as the Force Majeure Event continues, provided that the Party continues to use diligent, good faith efforts to resume performance without delay. The occurrence of a Force Majeure Event affecting Grantee's representatives, suppliers, subcontractors, customers or business apart from this Grant Contract is not a Force Majeure Event under this Grant Contract. Grantee will promptly notify the State of any delay caused by a Force Majeure Event (to be confirmed in a written notice to the State within one (1) day of the inception of the delay) that a Force Majeure Event has occurred, and will describe in reasonable detail the nature of the Force Majeure Event. If any Force Majeure Event results in a delay in Grantee's performance longer than forty-eight (48) hours, the State may, upon notice to Grantee: (a) cease payment of the fees until Grantee resumes performance of the affected obligations; or (b) immediately terminate this Grant Contract or any purchase order, in whole or in part, without further payment except for fees then due and payable. Grantee will not increase its charges under this Grant Contract or charge the State any fees other than those provided for in this Grant Contract as the result of a Force Majeure Event.
- D.25. Tennessee Department of Revenue Registration. The Grantee shall be registered with the Department of Revenue for the collection of Tennessee sales and use tax. This registration requirement is a material requirement of this Grant Contract.
- D.26. Charges to Service Recipients Prohibited. The Grantee shall not collect any amount in the form of fees or reimbursements from the recipients of any service provided pursuant to this Grant Contract.

- D.27. No Acquisition of Equipment or Motor Vehicles. This Grant Contract does not involve the acquisition and disposition of equipment or motor vehicles acquired with funds provided under this Grant Contract.
- D.28. State and Federal Compliance. The Grantee shall comply with all applicable state and federal laws and regulations in the performance of this Grant Contract.
- D.29. Governing Law. This Grant Contract shall be governed by and construed in accordance with the laws of the State of Tennessee. The Grantee agrees that it will be subject to the exclusive jurisdiction of the courts of the State of Tennessee in actions that may arise under this Grant Contract. The Grantee acknowledges and agrees that any rights or claims against the State of Tennessee or its employees hereunder, and any remedies arising there from, shall be subject to and limited to those rights and remedies, if any, available under Tenn. Code Ann. §§ 9-8-101 through 9-8-407.
- D.30. Completeness. This Grant Contract is complete and contains the entire understanding between the parties relating to the subject matter contained herein, including all the terms and conditions of the parties' agreement. This Grant Contract supersedes any and all prior understandings, representations, negotiations, and agreements between the parties relating hereto, whether written or oral.
- D.31. Severability. If any terms and conditions of this Grant Contract are held to be invalid or unenforceable as a matter of law, the other terms and conditions hereof shall not be affected thereby and shall remain in full force and effect. To this end, the terms and conditions of this Grant Contract are declared severable.
- D.32. Headings. Section headings are for reference purposes only and shall not be construed as part of this Grant Contract.

E. SPECIAL TERMS AND CONDITIONS:

- E.1. Conflicting Terms and Conditions. Should any of these special terms and conditions conflict with any other terms and conditions of this Grant Contract, the special terms and conditions shall be subordinate to the Grant Contract's other terms and conditions.

IN WITNESS WHEREOF,

GRANTEE LEGAL ENTITY NAME:

GRANTEE SIGNATURE

DATE

GRANTOR STATE AGENCY NAME:

NAME & TITLE

DATE

ATTACHMENT REFERENCE

GRANT BUDGET				
Additional Identification Information As Necessary				
The grant budget line-item amounts below shall be applicable only to expense incurred during the following				
Applicable Period: BEGIN: DATE END: DATE				
POLICY 03 Object Line-item Reference	EXPENSE OBJECT LINE-ITEM CATEGORY ¹	GRANT CONTRACT	GRANTEE PARTICIPATION	TOTAL PROJECT
1. 2	Salaries, Benefits & Taxes	0.00	0.00	0.00
4, 15	Professional Fee, Grant & Award ²	0.00	0.00	0.00
5, 6, 7, 8, 9, 10	Supplies, Telephone, Postage & Shipping, Occupancy, Equipment Rental & Maintenance, Printing & Publications	0.00	0.00	0.00
11, 12	Travel, Conferences & Meetings	0.00	0.00	0.00
13	Interest ²	0.00	0.00	0.00
14	Insurance	0.00	0.00	0.00
16	Specific Assistance To Individuals	0.00	0.00	0.00
17	Depreciation ²	0.00	0.00	0.00
18	Other Non-Personnel ²	0.00	0.00	0.00
20	Capital Purchase ²	0.00	0.00	0.00
22	Indirect Cost	0.00	0.00	0.00
24	In-Kind Expense	0.00	0.00	0.00
25	GRAND TOTAL	0.00	0.00	0.00

¹ Each expense object line-item shall be defined by the Department of Finance and Administration Policy 03, *Uniform Reporting Requirements and Cost Allocation Plans for Subrecipients of Federal and State Grant Monies, Appendix A.* (posted on the Internet at: <http://www.state.tn.us/finance/act/documents/policy3.pdf>).

² Applicable detail follows this page if line-item is funded.

ATTACHMENT REFERENCE

GRANT BUDGET LINE-ITEM DETAIL:

PROFESSIONAL FEE, GRANT & AWARD	AMOUNT
Specific, Descriptive, Detail (Repeat Row As Necessary)	Amount
TOTAL	Amount

INTEREST	AMOUNT
Specific, Descriptive, Detail (Repeat Row As Necessary)	Amount
TOTAL	Amount

DEPRECIATION	AMOUNT
Specific, Descriptive, Detail (Repeat Row As Necessary)	Amount
TOTAL	Amount

OTHER NON-PERSONNEL	AMOUNT
Specific, Descriptive, Detail (Repeat Row As Necessary)	Amount
TOTAL	Amount

CAPITAL PURCHASE	AMOUNT
Specific, Descriptive, Detail (Repeat Row As Necessary)	Amount
TOTAL	Amount

ATTACHMENT REFERENCE

Notice of Audit Report

Check one of the two boxes below and complete the remainder of this document as instructed. Send completed documents as a PDF file to cpo.auditnotice@tn.gov. **The Grantee should submit only one, completed “Notice of Audit Report” document to the State during the Grantee’s fiscal year.**

- Grantee Legal Entity Name** is subject to an audit for fiscal year #.
- Grantee Legal Entity Name** is not subject to an audit for fiscal year #.

Any Grantee that is subject to an audit must complete the information below.

Grantee’s Edison Vendor ID Number:

Type of funds expended	Estimated amount of funds expended by end of Grantee’s fiscal year
Federal pass-through funds	
a. Funds passed through the State of Tennessee	a.
b. Funds passed through any other entity	b.
Funds received directly from the federal government	
Non-federal funds received directly from the State of Tennessee	

Auditor’s name:

Auditor’s address:

Auditor’s phone number:

Auditor’s email:

Parent Child Information

Send completed documents as a PDF file to cpo.auditnotice@tn.gov. **The Grantee should submit only one, completed "Parent Child Information" document to the State during the Grantee's fiscal year if the Grantee indicates it is subject to an audit on the "Notice of Audit Report" document.**

"Parent" means an entity whose IRS filing contains the information of at least one other entity.

"Child" means an entity whose information is contained in another entity's IRS filing.

Grantee's Edison Vendor ID number:

Is **Grantee Legal Entity Name** a parent? Yes No

If yes, provide the name and Edison Vendor ID number, if applicable, of any child entities.

Is **Grantee Legal Entity Name** a child? Yes No

If yes, complete the fields below.

Parent entity's name: _____

Parent entity's tax identification number: _____

Note: If the parent entity's tax identification number is a social security number, this form must be submitted via US mail to:

Central Procurement Office, Grants Program Manager
3rd Floor, WRS Tennessee Tower
312 Rosa L Parks Avenue
Nashville, TN 37243

Parent entity's contact information

Name of primary contact person: _____

Address: _____

Phone number: _____

Email address: _____

Parent entity's Edison Vendor ID number, if applicable: _____

APPENDIX XI

Activity	Last	First Name	Job Title	ID	Start Date	Confirmation	Status	Short Name
HE-TitleVI-2015	Barcroft	Mike	PRG/AT 3-N	00108432	5/8/2015	1674644	COMP	Title VI W
HE-TitleVI-2015	Brown	Herbert	HE-HE P AN	00408961	5/8/2015	1674668	COMP	Title VI W
HE-TitleVI-2015	Carter	Lovella	EX SEC 2-N	00100182	5/8/2015	1674635	COMP	Title VI W
HE-TitleVI-2015	Collett	Ann	HE-INTAUD	00154193	5/8/2015	1674577	COMP	Title VI W
HE-TitleVI-2015	Collins	Crystal	THEC-FPAD	00163240	5/8/2015	1674663	COMP	Title VI W
HE-TitleVI-2015	Crittenden	James	THEC DPSAA	00143942	5/8/2015	1674647	COMP	Title VI W
HE-TitleVI-2015	Cullum	James	HE-FIS MGR	00154170	5/8/2015	1674691	COMP	Title VI W
HE-TitleVI-2015	Dandridge Johnson	Betty	AC AF AED	00127658	5/8/2015	1674666	COMP	Title VI W
HE-TitleVI-2015	Derrick	Katharine	HE-COM DR	00400065	5/8/2015	1674690	COMP	Title VI W
HE-TitleVI-2015	Dickson Wiley	Corsina	HE-A B A 3	00101021	5/8/2015	1674661	COMP	Title VI W
HE-TitleVI-2015	Douglas	Susan	HE-AA 4	00152981	5/8/2015	1674659	COMP	Title VI W
HE-TitleVI-2015	Feroze	Ahmed	HE-AA 4	00118696	5/8/2015	1674658	COMP	Title VI W
HE-TitleVI-2015	Freeman	Matthew	HE-HE P AN	00386769	5/8/2015	1674689	COMP	Title VI W
HE-TitleVI-2015	Gardner	Deborah	V EDU D	00117661	5/8/2015	1674631	COMP	Title VI W
HE-TitleVI-2015	Garvin	Richard	HE-ED & RS	00438888	5/8/2015	1674638	COMP	Title VI W
HE-TitleVI-2015	Gregg	Duane	RGL CR	00406638	5/8/2015	1674688	COMP	Title VI W
HE-TitleVI-2015	Harpool	Victoria	HE-AEDAA	00398654	5/8/2015	1674665	COMP	Title VI W
HE-TitleVI-2015	Hensley	Patricia	HE-FIS DR	00103278	5/8/2015	1674657	COMP	Title VI W
HE-TitleVI-2015	Higley	Otho	HE-OPEROF	00146143	5/8/2015	1674656	COMP	Title VI W
HE-TitleVI-2015	House	Emily	HE-LSSFARD	00101029	5/8/2015	1674680	COMP	Title VI W
HE-TitleVI-2015	King	Heather	HIGH EDISD	00155512	5/8/2015	1674660	COMP	Title VI W
HE-TitleVI-2015	Laphen	Mary	OUTREACH S	00412417	5/8/2015	1674684	COMP	Title VI W
HE-TitleVI-2015	Martin	Kimberly	LSA AST DR	00407895	5/8/2015	1674676	COMP	Title VI W
HE-TitleVI-2015	Mazumdar	Anamika	THEC-SISMG	00393662	5/8/2015	1674679	COMP	Title VI W
HE-TitleVI-2015	Morrison	Thomas	V EDU A ED	00122447	5/8/2015	1674630	COMP	Title VI W
HE-TitleVI-2015	Padgett	Rosie	HE-AA 4	00108446	5/8/2015	1674670	COMP	Title VI W
HE-TitleVI-2015	Purvis	Robert	EDUC SP 3	00104236	5/8/2015	1674632	COMP	Title VI W
HE-TitleVI-2015	Qualls	Carolyn	HE-L&A SP	00114287	5/8/2015	1674641	COMP	Title VI W
HE-TitleVI-2015	Rainey	Maryann	HE-PCIAD	00431970	5/8/2015	1674693	COMP	Title VI W
HE-TitleVI-2015	Sloan	Matthew	HE-GCALR	00137695	5/8/2015	1674669	COMP	Title VI W
HE-TitleVI-2015	Vaughan	Lindsey	THEC DPACD	00347713	5/8/2015	1674642	COMP	Title VI W
HE-TitleVI-2015	Walker	Blake	HE-D MG SP	00389635	5/8/2015	1674678	COMP	Title VI W
HE-TitleVI-2015	Warren	Teresa	PSA T ED S	00145201	5/8/2015	1674653	COMP	Title VI W
HE-TitleVI-2015	Watts	Katherine	OUTREACH S	00396713	5/8/2015	1674686	COMP	Title VI W
HE-TitleVI-2015	Wiley	Eboni	HE-IO	00138930	5/8/2015	1674652	COMP	Title VI W
HE-TitleVI-2015	Witter	Wayne	THEC ERS	00368350	5/8/2015	1674650	COMP	Title VI W
HE-TitleVI-2015	Bellard Chase	Stephanie	PSA A ED	00106234	5/8/2015	1674637	COMP	Title VI W
HE-TitleVI-2015	Bodie	Leigh Ann	THEC-ADCAI	00365280	5/8/2015	1674687	COMP	Title VI W
HE-TitleVI-2015	Brice	Erica	THEC ERS	00382830	5/8/2015	1674649	COMP	Title VI W
HE-TitleVI-2015	Cockerham	Peggy	HE-IO	00389056	5/8/2015	1674636	COMP	Title VI W
HE-TitleVI-2015	Cunningham	Ronald	HE-IO&LA	00142064	5/8/2015	1674651	COMP	Title VI W
HE-TitleVI-2015	Deaton	Steven	HE-AEDFA	00120265	5/8/2015	1674655	COMP	Title VI W
HE-TitleVI-2015	Deupree	Mary	EDUC SP 3	00411233	5/8/2015	1674694	COMP	Title VI W
HE-TitleVI-2015	Dunn	Melinda	ASA 3-N	00130617	5/8/2015	1674697	COMP	Title VI W
HE-TitleVI-2015	Evora	Karina	GRAD A-N	00449824	5/8/2015	1674682	COMP	Title VI W
HE-TitleVI-2015	Gandara	Denisa	EDUC SP 3	00411221	5/8/2015	1674695	COMP	Title VI W
HE-TitleVI-2015	Gentile	Steven	THEC-FPRD	00418694	5/8/2015	1674662	COMP	Title VI W
HE-TitleVI-2015	Gibson	Jessica	THEC PPR	00114181	5/8/2015	1674674	COMP	Title VI W
HE-TitleVI-2015	Gorbunov	Alexander	LSA R DIR	00363867	5/8/2015	1674673	COMP	Title VI W
HE-TitleVI-2015	Grant	James	THEC-AEDP	00110286	5/8/2015	1674683	COMP	Title VI W
HE-TitleVI-2015	Hall	Shateara	GRAD A-N	00439754	5/8/2015	1674675	COMP	Title VI W
HE-TitleVI-2015	Hawkins	James	THEC PPR	00336849	5/8/2015	1674681	COMP	Title VI W

HE-TitleVI-2015	Jennings	Shauna	HE-IO	00388870	5/8/2015	1674639	COMP	Title VI W
HE-TitleVI-2015	Johnston	Curtis	THEC EWADR	00420420	5/8/2015	1674672	COMP	Title VI W
HE-TitleVI-2015	Klar	Alfred	EDUC SP 3	00397608	5/8/2015	1674633	COMP	Title VI W
HE-TitleVI-2015	Kouadio	Diby	HE-R&SA	00163791	5/8/2015	1674648	COMP	Title VI W
HE-TitleVI-2015	Lamere	Samantha	HE-HE P AN	00437235	5/8/2015	1674692	COMP	Title VI W
HE-TitleVI-2015	Lennartz	Courtney	GRAD A-N	00436376	5/8/2015	1674667	COMP	Title VI W
HE-TitleVI-2015	Ness	Erik	HE-HE PA	00411089	5/8/2015	1674696	COMP	Title VI W
HE-TitleVI-2015	Phillips	Henry	THEC DPACD	00407989	5/8/2015	1674646	COMP	Title VI W
HE-TitleVI-2015	Robertson	Paul	HE-HE P AN	00357146	5/8/2015	1674664	COMP	Title VI W
HE-TitleVI-2015	Stevenson	Melissa	HE-AA 4	00109091	5/8/2015	1674654	COMP	Title VI W
HE-TitleVI-2015	Todd	Latonya	HE-DPSADMA	00121685	5/8/2015	1674643	COMP	Title VI W
HE-TitleVI-2015	Wendell Wright	David	THEC-SPO	00157585	5/8/2015	1674671	COMP	Title VI W
HE-TitleVI-2015	Woodruff	Julie	HE-PSAEXDR	00161912	5/8/2015	1674645	COMP	Title VI W
HE-TitleVI-2015	Dufresne	Randall	IRSS 2*	00444987	5/8/2015	1674578	COMP	Title VI W

Title VI Compliance Training
Tennessee Student Assistance Corporation
Tennessee Higher Education Commission

Purpose of training

This training is provided to ensure that all management and staff are aware of the provisions of Title VI of the Civil Rights Act of 1964, and the minimum requirements to be in compliance with its rules and regulations.

What is Title VI?

Title VI of the Civil Rights Act of 1964 (42 U.S. Code § 2000d) states, in part:

No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

Civil Rights

Civil Rights are enforceable rights or privileges guaranteed by the U.S. Constitution. For example, the 14th Amendment guarantees the rights of due process and equal protection, while the 15th Amendment provides for the right to vote regardless of race or color. The violation of these and other fundamental rights may give rise to a cause of action for injury.

Discrimination occurs when an individual's civil rights are denied or interfered with because of their membership in a particular group or class.

Disparate treatment discrimination vs. Disparate impact discrimination

- Disparate treatment is the practice of intentionally dealing differently with persons because of their race, sex, national origin, age, or disability. A claim of disparate treatment must show that the defendant acted with intent or motive to discriminate.
- Disparate impact is the adverse effect of a practice that is not intended to discriminate but nevertheless results in discrimination against persons because of their race, sex, national origin, age, or disability and is not justified by business necessity.

Overview of Civil Rights in the United States

- 1954 – Brown v. the Board of Education of Topeka, Kansas: The U.S. Supreme Court Rules that segregation in public schools is unconstitutional.
- 1955-56 – Montgomery Bus Boycott: Rosa Parks refuses to give up her seat at the front of the “colored section” of a bus to a white passenger, defying a southern custom of the time. In response to her arrest the Montgomery black community launches a bus boycott, which results in the buses becoming desegregated Dec. 21, 1956.
- 1957 – Little Rock Arkansas Central High School: Nine black students are blocked from entering formerly all-white Central High School upon the orders of Governor. President Eisenhower sends federal troops to intervene on behalf of the students, who become known as the “Little Rock Nine.”

- 1961 “Freedom Rides” organized by the Congress of Racial Equality (CORE) to expose illegal segregation practices on Interstate bus or train travel.
- 1962 United Farm Workers Union established to for protest working conditions and civil rights for Mexican Americans
- 1963 – Martin Luther King delivers his famous “I Have a Dream” speech in Washington D.C.
- 1964 – The 24th Amendment is passed, abolishing the poll tax, which had been instituted in 11 southern states after Reconstruction to make it difficult for poor blacks to vote.
- 1964 – President Johnson signs the Civil Rights Act of 1964. The Act prohibits discrimination of all kinds based on race, color, religion, or national origin.

For Title VI to Apply:

- The program or agency must be located within the United States.
- The program or agency must provide a service.
- The program or agency must receive direct (recipient) or indirect (sub-recipient) federal funding or assistance. (Federal financial assistance includes, but is not limited to block/research grants, student financial aid, training, use of equipment.)

What constitutes a program or activity?

- A department, agency or other instrumentality of a state or local government, or
- The entity of such a state or local government that distributes assistance and each department or agency to which assistance is extended.

Tennessee’s Title VI Law

In 1993, the State of Tennessee became the first state to pass legislation for the enforcement of Title VI compliance in all of its departments, programs, agencies.

The Tennessee Human Rights Commission is an independent state agency charged with preventing and eradicating discrimination based on race, color, religion, national origin, gender, disability, and age.

Tennessee Code Annotated § 4-21-904

“It is a discriminatory practice for any state agency receiving federal funds making it subject to Title VI of the Civil Rights Act of 1964, or for any person receiving such federal funds from a state agency, to exclude a person from participation in, deny benefits to a person, or to subject a person to discrimination under any program or activity receiving such funds, on the basis of race, color, or national origin.”

Tennessee Attorney General’s Opinion No. 92.47

Question: Are state agencies, local government entities, private and non-profit corporations that receive direct or indirect federal assistance subject to Title VI of the Civil Rights Act of 1964 and the Civil Rights Restoration Act of 1987?

Opinion: Yes. State and local agencies or corporations which receive federal financial assistance ARE subject to the restrictions of Title VI of the Civil Rights Act of 1964 and the Civil Rights Restoration Act of 1987.

Sub-recipients are also required to comply with Title VI of the Civil Rights Act of 1964, when federal funds are passed from a recipient to a sub-recipient.

Prohibited Practices Under Title VI

- Denying any individual services, opportunities, or other benefits for which that individual is otherwise qualified
- Providing any service or benefit in a different manner from that which is provided to others in a program because of race, color, or national origin
- Segregating service recipients solely because of race, color, or national origin
- Restricting access to program services or benefits because of race, color, or national origin
- Adopting methods of administration which would limit participation by any group of recipients or subject them to discrimination
- Addressing an individual in a manner that denotes inferiority because of race, color, or national origin
- Title VI does not apply to Employment, except where the purpose of the federal assistance is to provide employment

Key to Title VI Compliance

Ensure that service recipients receive equal treatment, equal access, equal rights, and equal opportunities without regard to their race, color, or national origin, including Limited English Proficiency (LEP).

Limited English Proficient (LEP)

Individuals who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English.

These individuals may be entitled to language assistance with respect to a particular type or service, benefit, or encounter.

LEP Requirements

Recipients and sub-recipients of federal assistance are required to take reasonable steps to ensure meaningful access to their programs and activities by LEP persons. Four factors that should be considered:

1. The number or proportion of LEP persons eligible to be served or likely to be encountered by the program or grantee;
2. The frequency with which LEP individuals come in contact with the program;
3. The nature and importance of the program, activity, or service provided by the program to people's lives; and
4. The resources available to the grantee/recipient or agency, and costs.

LEP Policy

TSAC / THEC will take reasonable steps to ensure that persons with Limited English Proficiency have meaningful access and an equal opportunity to participate in our services, activities, programs and other benefits. Language assistance will be provided through the best means available to TSAC / THEC, including use of competent bilingual staff, staff interpreters, formal arrangements with organizations providing interpretation, or translation services or technology and telephonic interpretation services. TSAC / THEC will regularly review the implementation of this policy and these procedures and update as necessary.

Non-Discrimination Policy Statement

TSAC's / THEC's commitment to both good government and equitable treatment of our employees and prospective employees requires that we present this policy statement to display our commitment to the fullest. Employees are our most valuable resource. Our policy is equal employment opportunity for all present and prospective employees regardless of race, color, sex, national origin, religion, age, physical or mental disability, or veteran status except that veteran's preference will be given as provided by applicable state law. It is our intention to remain in complete compliance with Title VI, Title IX, and ADA regulations. In addition, as required by state regulations, we continue to maintain an Affirmative Action Plan to help us achieve our goal of equal employment opportunity for all. This includes the development of specific goals, timetables, and implementation plans for each fiscal year. These policies apply to all personnel actions including, but not limited to, access to facilities, recruiting, hiring, classification, compensation, benefits, promotions, transfers, layoffs, recalls from layoffs and educational, social, and recreational programs of this agency. The Compliance Administrator has overall responsibility for implementation and monitoring of all policies regarding non-discrimination. Please refer any questions or concerns to supervisors, the Compliance Administrator, or the Human Resources Director. You may also contact the Executive Director. We expect full cooperation of all management, supervisors, and other employees with these non-discrimination policies.

To report a Title VI violation or complaint, please contact:

Title VI Coordinator
Darolyn Porter
404 James Robertson Parkway
Suite 1510, Parkway Towers
Nashville, TN 37243
1-800-342-1663
1-615-253-7472
darolyn.porter@tn.gov

or

TSAC/THEC Human Resources Director
Laura Stewart
404 James Robertson Parkway
Suite 1900, Parkway Towers
Nashville, TN 37243
1-615-532-8251
laura.stewart@tn.gov

Questions (bolded are correct answers):

1. Compliance under Title VI of the Civil Rights Act does not pertain to discrimination based on:
 - Race
 - Color
 - **Gender**
 - National origin

2. Disparate treatment discrimination is where the discriminatory practice is found to be based on intent.
 - **True**
 - False

3. Disparate impact discrimination can take place where the behavior results in a discriminatory impact to persons based on race even though no such discrimination is intended.
 - **True**
 - False

4. The Civil Rights Act of 1964 was signed by which President?
 - John Kennedy
 - Woodrow Wilson
 - **Lyndon Johnson**
 - Abraham Lincoln

5. For Title VI to apply to a state agency, the agency must be:
 - Providing services to individuals in poverty
 - A 501(c)(3) / non-profit
 - A direct recipient of federal funding
 - **Either a direct or indirect recipient of federal funding**

6. Which of the following is NOT an example of a prohibited practice under Title VI:
 - Denying any individual services for which he/she is qualified

- **Denying employment to a qualified individual who belongs to a protected class under the Civil Rights Act**
- Administering a program which limits participation by any group of recipients or subjects them to discrimination
- Addressing an individual in a manner that denotes inferiority because of race, color, or national origin.

7. Under a Limited English Proficient (LEP) policy agencies that are direct recipients of federal funding must take steps to ensure that all non-English speaking persons receive the same access to program benefits.

- True
- **False**

APPENDIX XII

2015 Diversity in Teaching Advisory Committee

Gloria R. Gammell, Ed.D.
University of Tennessee

Patrice Watson (DOE)*
Tennessee Department of Education

Patrick L. Meldrim
TN. Independent Colleges & Univ. Association

Latonya Todd (THEC)*
Tennessee Higher Education Commission

Kim Martin
Tennessee Higher Education Commission

Deanna Morris-Stacey, M.Ed.
Tennessee Board of Regents

*Denotes Minority

2015 Improving Teacher Quality Advisory Committee

Wendy Blackmore
Tncollegeaccess

Kate Derrick
Tennessee Higher Education Commission

Scott Eddins
Tennessee State Board of Education

Gloria Gammell
University of Tennessee

Victoria Harpool
Tennessee Higher Education Commission

Karen Babbs Hollett
Tennessee Department of Education

Emily House
Tennessee Higher Education Commission

India Lane
University of Tennessee

Kenyatta Lovett*
Tennessee Board of Regents

Patrick L. Meldrim
Tennessee Independent Colleges and Universities Association

Deanna Morris-Stacey
Tennessee Board of Regents

Latonya Todd*
Tennessee Higher Education Commission

Patrice Watson*
Tennessee Department of Education

Brad Windley
Citizen Representative

**Denotes Minority*

COMMITTEE ON POSTSECONDARY EDUCATIONAL INSTITUTIONS
August 11, 2015

1. Ms. Denise Bentley*
Statewide Coordinator, Tennessee Youth Court Program at Tennessee Bar Association
2. Ms. Vicki Burch
President/Owner, West Tennessee Business College
3. Mr. Miles Burdine
President and CEO, Kingsport Chamber of Commerce
- 4-5. Dr. Russ Deaton
Interim Executive Director, Tennessee Higher Education Commission
Interim Executive Director, Tennessee Student Assistant Corporation
6. Mr. Bill Faour
Director/Owner, Chattanooga College Medical, Dental and Technical Careers
7. Mr. Larry Griffin
President, Mid-South Christian College
8. Mr. Gaylon Hall
Director Emeritus, William R. Moore College of Technology
9. Commissioner John A. Keys*
Former Commissioner of Veteran Affairs, State of Tennessee
10. Mrs. Lethia Swett Mann*
Vice President Loan Administration, Nashville Minority Business Development Loan Fund, Inc.
11. Dr. Kittie Myatt
Chair of Psychology Department, Argosy University – Nashville
12. Mr. Steve South
President/Owner, South College
13. Dr. Earlie Steele*
Former Assistant Professor and Supervisor of Special Education for Student Teachers,
Fisk University

*Denotes Minority

DATE: November 19, 2015

SUBJECT: 2016 Commission Meeting Schedule

ACTION RECOMMENDED: Information

BACKGROUND INFORMATION:

Wednesday, January 27, 2016	1:00 p.m. Worksession
Thursday, January 28, 2016	9:00 a.m. Winter Quarterly Meeting and Joint Meeting with the State Board of Education
Wednesday, April 20, 2016	1:00 p.m. Worksession
Thursday, April 21, 2016	9:00 a.m. Spring Quarterly Meeting
Wednesday, July 20, 2016	1:00 p.m. Worksession
Thursday, July 21, 2016	9:00 a.m. Summer Quarterly Meeting
Wednesday, November 16, 2016	1:00 p.m. Worksession
Thursday, November 17, 2016	9:00 a.m. Fall Quarterly Meeting

The meetings will be held in the Commission's board room.