

MEETING OF THE



TENNESSEE HIGHER EDUCATION COMMISSION

Fall Quarterly Meeting
18th Floor, Parkway Towers
November 15, 2012

AGENDA
TENNESSEE HIGHER EDUCATION COMMISSION
Fall Quarterly Meeting
Commission Boardroom, Parkway Towers
November 15, 2012, 1:00 p.m. CST

Adoption of Agenda

Approval of Minutes, July 26, 2012 Meeting

Chairman's Report

Executive Director's Report

"The Earning Power of Graduates from Tennessee's Colleges and Universities," by Mark Schneider, Vice President, American Institutes for Research

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. 2013-14 Operating State Appropriation Recommendations
- C. 2013-14 Student Fee Recommendations
- D. 2013-14 Capital Projects Recommendations
- E. 2013 Improving Teacher Quality Grant Awards

II. Information Items

- A. Title VI Implementation Plan Update and Compliance Report
- B. 2012 Articulation & Transfer Report and Special Analysis of Common General Education Core Curriculum
- C. GEAR UP TN/ College Access Challenge Grant Status Report
- D. Report on Effectiveness of Teacher Training Programs
- E. Race to the Top Implementation Status
- F. Schedule of 2013 Commission Meetings

MINUTES
TENNESSEE HIGHER EDUCATION COMMISSION
July 26, 2012, 1:00 p.m. CDT

The meeting was called to order by Chairman Robert White at 1:00 p.m.
Commission Members present:

Mr. Charles Bone	Mr. Adam Jarvis
Mr. Evan Cope	Mr. Jon Kinsey
Mr. Greg Frye	Mr. David Lillard
Mr. Tre Hargett	Mr. Robert White
Ms. Sharon Hayes	Mr. Justin Wilson
Mr. Greg Isaacs	

Adoption of Agenda

Mr. White welcomed all and thanked them for their attendance. Mr. White then called for a motion to adopt the agenda with one change: moving all action items first to maintain a quorum due to a schedule conflict for the constitutional officers. Mr. Justin Wilson made a motion to approve the agenda with the change. Mr. Greg Isaacs seconded the motion; the motion was duly adopted.

Action Items

Approval of New Academic Degree Programs

Ms. Betty Dandridge Johnson, Assistant Executive Director, Academic Affairs, was recognized to present the new programs. Ms. Dandridge Johnson provided a brief overview of the programs, noting the extensive review at the worksession earlier in the day. There being no questions, Mr. David Lillard made a motion to approve the following three new academic programs: Bachelor of Integrated Studies at UTC, Doctorate in Occupational Therapy at UTC, and Ed.D in Assessment, Learning, and School Improvement at MTSU. Mr. Jon Kinsey seconded the motion; the motion was duly adopted.

Temporary Authorization of New Institutions, and Approval of New Programs Under the Postsecondary Authorization Act

Dr. Stephanie Bellard-Chase, Assistant Executive Director for Postsecondary School Authorization, presented the recommendations of staff and the Postsecondary Education Authorization Advisory Committee to grant temporary authorization to proposed new institutions and new programs. A listing of the institutions and programs is included as Attachment A to the official copy of the minutes. A motion was made by Mr. Wilson to adopt the recommendations as presented. Mr. Charles Bone seconded the motion; the motion was duly adopted.

Dr. Bellard-Chase then briefly updated the Commission on Rule Chapter 1540-01-02, Authorization and Regulation of Postsecondary Education Institutions

and Their Agents, that were brought forth and approved at the April 2012 meeting and noted that the Attorney General had approved them on July 19, 2012.

July 1 2012-13 Operating Budgets

Dr. Russ Deaton, Associate Executive Director of Fiscal Policy & Administration was recognized. Dr. Deaton stated that a detailed presentation was provided to the Commission at the worksession earlier in the day. A motion was made by Mr. Greg Isaacs to adopt the 2012-13 operating budget recommendations as presented. Ms. Sharon Hayes seconded the motion; the motion was duly adopted.

University of Tennessee, Chattanooga Master Plan

Dr. Russ Deaton, Associate Executive Director of Fiscal Policy & Administration, was recognized to present the UTC master plan. He stated that a detailed presentation was provided to the Commission at the worksession earlier in the day. He noted that the master plan addresses the long term needs of the campus with respect to academic facilities, parking, circulation, and visual improvements. Additionally Dr. Deaton indicated that the THEC Space Planning Guidelines were utilized to identify and project needs for campus space. Mr. Jon Kinsey made a motion to adopt the UTC Master Plan. Mr. Isaacs seconded the motion; the motion was duly adopted.

Academic Common Market Policy

Ms. Penny Shelton, Research and Planning Analyst, was recognized to present the Academic Common Market Policy. Ms. Shelton stated that currently, there is no comprehensive document outlining the policies and procedures surrounding student ACM certification or the program nomination process. Ms. Shelton noted the policy provides clear directions for each facet of the program in one location and is intended to clear up gray areas and offer consistency in the program's administration. She stated that changes in current practice are: defining primary residency proof; adding an appellate process for denied certifications; adding deadlines for each semester of certification as well as recertification; and clarifying protocol on incomplete applications. Mr. Lillard made a motion to adopt the Policy as presented. Mr. Kinsey seconded the motion; the motion was duly adopted.

Election of 2012-13 Officers

Mr. Charles Bone was recognized to present the nomination recommendations for the 2012-13 officers. Mr. Bone made a motion to approve the following recommended slate of officers: Mr. Robert White, Chair; Mr. Cato Johnson, vice chair; Mr. Evan Cope, vice chair; and Mayor AC Wharton, secretary. Ms. Hayes seconded the motion; the motion was duly adopted.

New Academic Policy: A5.0 Dual Admissions

Dr. Rhoda was recognized to present the new academic policy. He reviewed the Tennessee Code Annotated §49-7-202, which was amended by Public Chapter 3, Acts of 2010 (1st Extraordinary Session) requiring that "the commission, in consultation with the board of regents and the University of Tennessee board of

trustees, shall develop policies under which any person who satisfies the admissions requirements of any two-year institutions governed by the board of regents and any four-year institution governed by the board of regents or the University of Tennessee board of trustees may be admitted to both such institutions.”

He noted that while Commission staff worked closely with TBR and UT academic staff to develop a protocol for developing dual admissions agreements and policies, a formal policy has not been adopted. Dr. Rhoda also noted that in a recent audit of the Commission, UT, and TBR on the status of implementation of the Complete College Tennessee Act, the Comptroller’s Division of State Audit determined that the Commission had not complied with the intent of the legislation and this policy is being brought to address that finding.

He stated that the policy is straightforward and provides a template as a guideline for campuses and noted that currently there are twenty agreements in place between community colleges and universities. He also stated that it now places THEC in full compliance of the Act Mr. Lillard made a motion to approve the new academic policy on dual admissions. Mr. Hargett seconded the motion; the motion was duly adopted.

Approval of Minutes, April 26, 2012, Meeting

Mr. White called for a motion to approve the minutes of the April 26, 2012, Commission meeting. Mr. Lillard made a motion to approve the minutes as presented. Mr. Hargett seconded the motion; the motion was duly adopted.

Chairman’s Report

Mr. White began his report by introducing the newest THEC members: Mr. Evan Cope, representing the 4th Congressional district from Murfreesboro, and Mr. Adam Jarvis, a student member from East Tennessee State University; both expressed their appreciation for the appointment and stated they look forward to serving on the Commission.

Mr. White commented on the July 10 meeting of the higher education boards. He commended Governor Haslam for convening the UT board of Trustees, Board of Regents, THEC and TSAC boards, and representatives of the Business Roundtable and private higher education to discuss the challenges being faced in higher education across the nation in terms of containing costs while increasing student success and meeting economic and community development needs. Mr. White also thanked the THEC staff for the role they played in planning the meeting and expressed his appreciation for the Governor’s direct involvement and interest in higher education.

He then commented on the productive work session earlier in the day and noted the excellent presentations and good discussion on the items presented. In closing, Mr. White discussed the new college savings plan approved by the board of the Baccalaureate Education System Trust (BEST) program for Tennessee and recognized State Treasurer David Lillard to provide further information. Mr. Lillard stated that the launch date for the TN Stars program is

set for September 18, 2012, noting the fees for this program will be low and competitive. He stated that more details will be provided in the near future.

Executive Director's Report/Tennessee Student Assistance Corporation

Dr. Rhoda began his report by thanking the officers for their willingness to serve. He then introduced new staff: Crystal Collins in the Fiscal division and Victoria Harpool in the Race to the Top division. Dr. Rhoda then commented on the second year of the CCTA Implementation and thanked staff for the hard work. He also commented on the meeting of system and campus internal auditors to keep them engaged in the process of the CCTA. He discussed the work in best practices as it relates to reverse transfer and thanked the UT/TBR staff for embracing and moving forward with that initiative. Dr. Rhoda then commented on the positive impact that the Lumina foundation has on Tennessee higher education, Adult learners being a target of the CCTA, and the prior learning assessment. In closing he discussed the Top to bottom review of TSAC. He noted the executive committee meeting on July 24, and the development of a strategic plan to increase attainment and a program to help reduce student debt. He then commented on incorporating the new college savings plan with other TSAC programs and college access initiatives and GEAR UP programs.

Systems' Reports

University of Tennessee

Dr. Joe DiPietro, President of the University of Tennessee, was recognized to present his report. Dr. DiPietro began his report by commenting on the UT board meeting noting key areas of discussion such as the new tuition structure at UTK and the new Take Fifteen/Graduate in Four program. He also discussed incentives for early registration, the strategic plan and its five key goals, and the upcoming board retreat to focus on the future of higher education. Dr. DiPietro then commented on the impact of industry and technology on higher education, salary adjustments, and the UT Chattanooga chancellor search.

Tennessee Board of Regents

Mr. John Morgan, Chancellor of the Tennessee Board of Regents, was recognized to present his report. He began by noting personnel changes within the system and introduced Dr. Phil Oldham, the new president of Tennessee Tech coming from the UT system and announcing Dr. Paula Short's relocation to the University of Houston and noted that Dr. Kay Clark has stepped in as interim vice chancellor for academic affairs. Mr. Morgan then briefed the Commission on the president searches; Roane State Community College, the first search under the new provisions of law to keep certain information confidential until a group of finalists are named and made public to attract a bigger pool of candidates; the search for Tennessee State University stating that a committee will be named in August, noting that the search firm Greenwood Asher has assisted in the process.

Mr. Morgan then commented on the grading issue and the review process at Tennessee State University, noting that no evidence has been identified to support the allegations of inappropriate grading procedures and provided information on the math pilot course which instructors are asked to review and

grade students on their performance in the course. A senate committee has been appointed and will meet on August 13 for the review of the allegations.

In closing, Mr. Morgan noted the groundbreaking ceremonies at several institutions and the extended use of mobile technology to expand to system mobilization to increase student engagement and success.

Information Items

Tennessee Education Lottery Scholarship Annual Report

Dr. Thomas Sanford, Director of Research, was recognized to provide the report. Dr. Sanford presented an overview of the annual legislative report, which details the postsecondary outcomes of scholarship recipients from the program's inception (Fall 2004) through Fall 2011, by student demographic and academic characteristics. He stated that this year's report releases for the first time ever information relative to student employment of lottery scholarship recipient and confirms the widely-held impression about student employment - that many of scholarship recipients obtained a job to help pay for college.

First to the Top Update

Ms. Katrina Miller, Director of THEC First to the Top, was recognized. Ms. Miller provided an update on current First to the Top activities including the Year Two Review with the United States Department of Education and progress made towards implementation on nine programs that total \$23M. She then noted that a recent audit of the programs had just concluded without any findings, noting that all programs were meeting their goals. Ms. Miller then briefly discussed the Common Core math training program for teachers.

GEAR UP/College Access Challenge Grant, and Latino Student Success Grant Status Report

Mr. Troy Grant, THEC Director of College Access Initiatives, was recognized to provide the status report. He began by introducing new staff, Matt Freeman, Kathryn Watts, and Kate Derrick. Mr. Grant then provided an update on GEAR UP initiatives designed to promote student achievement and enhance awareness of the need to expand access to post-secondary education statewide, beginning with the Latino Student Success Grant. He noted that with the development of collaborative partnerships with Memphis-area organizations, the project aims to achieve Latino student success through three initiatives: an intensive mentoring program designed to facilitate the transition between high school and community college, and community college and four-year institutions; support to ensure maximization of student financial aid opportunities; and a bilingual marketing and information campaign designed to expand college access in the Latino community.

Mr. Grant also updated the Commission on the current activities of the Tennessee College Access Success Network and the recent award of \$500,000 serving 22,200 students. He then discussed the College Access Challenge Grant and the annual performance report of that grant program. In closing he discussed GEAR UP program review, selection process, proposals, and timeline of the awards.

In closing, Dr. Rhoda reviewed the Mayoral convening to discuss the efforts by city mayors and the grant from the Lumina Foundation to improve education in the Latino communities.

Fall Quarterly Meeting

Dr. Rhoda advised the Commission that the next meeting will be Thursday, November 15, 2012, in the THEC board room.

There being no further business, the meeting was adjourned at 2:40 p.m.

Approved:

Robert White
Chair

DATE: November 15, 2012

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 met on October 25, 2012 and endorsed staff recommendations for Temporary Authorization of these institutions.

**A. Jones International University Centennial, CO
9697 East Mineral Avenue, Centennial, Colorado, 80112**

Corporate Structure:	For-Profit-Corporation
Accreditation:	Higher Learning Commission (HLC)
Title IV Funding:	Yes

Jones International University is seeking approval for forty new programs. The programs will be offered in a distance learning format. The institution is recruitment only and all classes are available on-line.

1. Program: Business Administration
 Credential Awarded: Doctorate of Business Administration
 Length of Program: 72 Semester Credit Hours (36 Months Full-Time)
 (60 Months Part-Time)

2. Program: Business Communication – Entrepreneurship
 Credential Awarded: Masters of Arts
 Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
 (48 Months Part-Time)

3. Program: Business Communication – Leadership and
 Influence
 Credential Awarded: Masters of Arts
 Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
 (48 Months Part-Time)

4. Program: Business Communication – Business
Communication-Leading the Customer-Driven
Organization
Credential Awarded: Masters of Arts
Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
(48 Months Part-Time)
5. Program: Business Communication – Project Management
Credential Awarded: Masters of Arts
Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
(48 Months Part-Time)
6. Program: Business Administration – Accounting
Credential Awarded: Masters of Business Administration
Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
(48 Months Part-Time)
7. Program: Business Administration – Entrepreneurship
Credential Awarded: Masters of Business Administration
Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
(48 Months Part-Time)
8. Program: Business Administration – Finance
Credential Awarded: Masters of Business Administration
Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
(48 Months Part-Time)
9. Program: Business Administration – Financial Analysis
Credential Awarded: Masters of Business Administration
Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
(48 Months Part-Time)
10. Program: Business Administration – Forensic Accounting
Credential Awarded: Masters of Business Administration
Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
(48 Months Part-Time)
11. Program: Business Administration – General Studies
Credential Awarded: Masters of Business Administration
Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
(48 Months Part-Time)
12. Program: Business Administration – Global Enterprise
Management
Credential Awarded: Masters of Business Administration
Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
(48 Months Part-Time)

13. Program: Business Administration – Health Care Management
 Credential Awarded: Masters of Business Administration
 Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
 (48 Months Part-Time)
14. Program: Business Administration – Information Security Management-Cyber Security
 Credential Awarded: Masters of Business Administration
 Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
 (48 Months Part-Time)
15. Program: Business Administration – Information Technology Management
 Credential Awarded: Masters of Business Administration
 Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
 (48 Months Part-Time)
16. Program: Business Administration – Leading the Customer-Driven Organization
 Credential Awarded: Masters of Business Administration
 Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
 (48 Months Part-Time)
17. Program: Business Administration – Negotiation and Conflict Management
 Credential Awarded: Masters of Business Administration
 Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
 (48 Months Part-Time)
18. Program: Business Administration – Project Management
 Credential Awarded: Masters of Business Administration
 Length of Program: 36 Semester Credit Hours (24 Months Full-Time)
 (48 Months Part-Time)
19. Program: Business Communication – Communication Management
 Credential Awarded: Bachelor of Arts
 Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
 (80 Months Part-Time)
20. Program: Business Communication – Entrepreneurship
 Credential Awarded: Bachelor of Arts
 Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
 (80 Months Part-Time)
21. Program: Business Communication – Leadership and Influence
 Credential Awarded: Bachelor of Arts
 Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
 (80 Months Part-Time)

22. Program: Business Communication – Leading the Customer
Driven Organization
Credential Awarded: Bachelor of Arts
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
23. Program: Business Communication – Project Management
Credential Awarded: Bachelor of Arts
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
24. Program: Business Communication – Sales and Marketing
Credential Awarded: Bachelor of Arts
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
25. Program: Business Administration – Accounting
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
26. Program: Business Administration – Customer Care
Management
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
27. Program: Business Administration – Entrepreneurship
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
28. Program: Business Administration – Finance
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
29. Program: Business Administration – Generalist
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
30. Program: Business Administration – Global Enterprise
Management
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
31. Program: Business Administration – Health Care Management
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)

32. Program: Business Administration – Information Security
Management-Cyber Security
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
33. Program: Business Administration – Information Technology
Management
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
34. Program: Business Administration – Leadership and
Influence
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
35. Program: Business Administration – Leading the Customer
Driven Organization
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
36. Program: Business Administration – Negotiation and Conflict
Management
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
37. Program: Business Administration – Project Management
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
38. Program: Business Administration – Sales and Marketing
Management
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
39. Program: Business Administration – Technology Service
Management
Credential Awarded: Bachelor of Business Administration
Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
(80 Months Part-Time)
40. Program: Business Administration
Credential Awarded: Associates of Arts in Business Administration
Length of Program: 60 Semester Credit Hours (20 Months Full-Time)
(40 Months Part-Time)

**B. Liberty Tax Service – Collegedale
9408 Apison Pike, Suite 154, Ooltewah, TN 37363**

Ooltewah, TN

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

Liberty Tax Service is seeking approval for two new programs. The programs will be offered in a residential format. Instruction will be provided by faculty from their authorized site in Ooltewah, Tennessee.

1. Program: Basic Income Tax Course
Credential Awarded: Certificate
Length of Program: 60 Contact Hours (2.5 Months)
2. Program: Rapid Tax Class
Credential Awarded: Certificate
Length of Program: 30 Contact Hours (1 Week)

**C. Liberty Tax Service – Crossville
94 Woodmere Mall, Crossville, TN 38555**

Crossville, TN

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

Liberty Tax Service is seeking approval for two new programs. The programs will be offered in a residential format. Instruction will be provided by faculty from their authorized site in Crossville, Tennessee.

1. Program: Basic Income Tax Course
Credential Awarded: Certificate
Length of Program: 60 Contact Hours (2.5 Months)
2. Program: Rapid Tax Class
Credential Awarded: Certificate
Length of Program: 30 Contact Hours (1 Week)

**D. Liberty Tax Service – Red Bank
3501 Dayton Boulevard, Suite B, Red Bank, TN 37415**

Red Bank, TN

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

Liberty Tax Service is seeking approval for two new programs. The programs will be offered in a residential format. Instruction will be provided by faculty from their authorized site in Red Bank, Tennessee.

1. Program: Basic Income Tax Course
Credential Awarded: Certificate
Length of Program: 60 Contact Hours (2.5 Months)

2. Program: Rapid Tax Class
Credential Awarded: Certificate
Length of Program: 30 Contact Hours (1 Week)

DATE: November 15, 2012

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 25, 2012 and affirmed staff recommendations for approval.

A. Argosy University – Phoenix (On-line) Phoenix, AZ

Corporate Structure:	C-Corporation
Authorization Date:	April 26, 2007
Accreditation:	Western Association of Schools and Colleges (WASC)
Title IV Funding:	Yes
Highest Credential Offered:	Doctorate Degree

Argosy University – Phoenix (On-line) is seeking authorization for five new programs. The programs will be offered in a distance learning format. This institution is recruitment only and all classes are available on-line.

1. Program: Higher and Postsecondary Education/Student Affairs
 Credential Awarded: Doctor of Education
 Length of Program: 60 Semester Credit Hours (30 Months)
2. Program: Higher and Postsecondary Education/Teaching And Learning
 Credential Awarded: Doctor of Education
 Length of Program: 60 Semester Credit Hours (30 Months)
3. Program: Sports-Exercise Psychology
 Credential Awarded: Master of Arts
 Length of Program: 30 Semester Credit Hours (12 Months)
4. Program: Psychology/Child and Adolescent Studies
 Credential Awarded: Bachelor of Arts
 Length of Program: 120 Semester Credit Hours (48 Months)

- 5. Program: Healthcare Administration
 Credential Awarded: Bachelor of Science
 Length of Program: 120 Semester Credit Hours (48 Months)

B. Argosy University – Nashville Nashville, TN

- Corporate Structure: C–Corporation
- Authorization Date: August 26, 2011
- Accreditation: Western Association of Schools and Colleges (WASC)
- Title IV Funding: Yes
- Highest Credential Offered: Doctorate Degree

Argosy University – Nashville is seeking authorization for one new program. The program will be offered in a blended format. Instruction will be provided by faculty from their authorized site in Nashville, Tennessee, as well as on-line.

- 1. Program: Psychology/Child and Adolescent Studies
 Credential Awarded: Bachelor of Arts
 Length of Program: 120 Semester Credit Hours (40 Months Full-Time)
 (80 Months Part-Time)

C. Ashford University Clinton, IA

- Corporate Structure: C–Corporation
- Authorization Date: January 26, 2006
- Accreditation: Higher Learning Commission
- Title IV Funding: Yes
- Highest Credential Offered: Master Degree

Ashford University is seeking authorization for four new programs. The programs will be offered in a distance learning format. This institution is recruitment only and all classes are available on-line.

- 1. Program: Education/Library and Media
 Credential Awarded: Master of Arts
 Length of Program: 36 Semester Credit Hours (18 Months)
- 2. Program: Education/Family and Community Services
 Credential Awarded: Master of Arts
 Length of Program: 36 Semester Credit Hours (18 Months)
- 3. Program: Education/Mathematics Instruction
 Credential Awarded: Master of Arts
 Length of Program: 36 Semester Credit Hours (18 Months)
- 4. Program: Education/Reading and Literacy
 Credential Awarded: Master of Arts
 Length of Program: 36 Semester Credit Hours (18 Months)

5. Program: Library Science and Media
 Credential Awarded: Bachelor of Arts
 Length of Program: 120 Semester Credit Hours (48 Months)

D. Belhaven University

Jackson, MS

- Corporate Structure: Not-For-Profit Corporation
 Authorization Date: January 26, 2012
 Accreditation: Southern Association of Colleges and Schools,
 Commission on Colleges (SACSCOC)
 Title IV Funding: Yes
 Highest Credential Offered: Masters Degree

Belhaven University – Jackson is seeking authorization for two new programs. The programs will be offered in a distance learning format. The institution is recruitment only and all classes are available on-line.

1. Program: Elementary Education
 Credential Awarded: Master of Education
 Length of Program: 33 Semester Credit Hours (22 Months Full-Time)
 (44 Months Part-Time)
2. Program: Secondary Education
 Credential Awarded: Master of Education
 Length of Program: 33 Semester Credit Hours (22 Months Full-Time)
 (44 Months Part-Time)

E. Huntington College of Health Sciences

Knoxville, TN

- Corporate Structure: S-Corporation
 Authorization Date: May 19, 1995
 Accreditation: Distance Education and Training Council (DETC)
 Title IV Funding: No
 Highest Credential Offered: Doctorate Degree

Huntington College of Health Sciences is seeking authorization for two new programs. The program will be offered in a distance learning format. The institution is recruitment only and all classes are available on-line.

1. Program: Integrative Healthcare in Clinical Nutrition
 Credential Awarded: Doctor of Health Science
 Length of Program: 61 Semester Credit Hours (36 Months)
2. Program: Integrative Healthcare in Personalized
 Concentration
 Credential Awarded: Doctor of Health Sciences
 Length of Program: 61 Semester Credit Hours (26 Months)

F. Kaplan University

Chicago, IL

Corporate Structure:	C-Corporation
Authorization Date:	November 19, 2009
Accreditation:	Higher Learning Commission (HLC)
Title IV Funding:	Yes
Highest Credential Offered:	Masters Degree

Kaplan University is seeking authorization for one new program. The program will be offered in a distance learning format. The institution is recruitment only, and all classes are available on-line.

- | | | |
|---------------------|----------------------------------|--|
| 1. Program: | Education/Educational Leadership | |
| Credential Awarded: | Master of Science | |
| Length of Program: | 54 Quarter Credit Hours | (15 Months Full-Time)
(30 Months Part-Time) |

G. SAE Institute of Technology

Nashville, TN

Corporate Structure:	C-Corporation
Authorization Date:	November 10, 2011
Accreditation:	Accrediting Commission of Career Schools and Colleges (ACCSC)
Title IV Funding:	Yes
Highest Credential Offered:	Associate Degree

- | | | |
|---------------------|--------------------------|-------------|
| 1. Program: | General Education | |
| Credential Awarded: | None | |
| Length of Program: | 19 Semester Credit Hours | (16 Months) |

Completion of the General Education Courses is necessary for students to receive an Associate Degree from SAE Institute of Technology – Nashville.

H. South College – Lonas Drive

Knoxville, TN

Corporate Structure:	S-Corporation
Authorization Date:	July 27, 2006
Accreditation:	Southern Association of Colleges and Schools, Commission on Colleges (SACSCOC)
Title IV Funding:	Yes
Highest Credential Offered:	Masters Degree

South College is seeking authorization for two new programs. The programs will be offered in a blended format. Instruction will be provided by faculty from their authorized site on Lonas Drive in Knoxville, Tennessee as well as on-line.

- | | |
|-------------|-------------------------------|
| 1. Program: | Diagnostic Medical Sonography |
|-------------|-------------------------------|

Credential Awarded:
Length of Program:

Associate of Science
125 Quarter Credit Hours

(27 Months Full-Time)
(33 Months Part-Time)

South College is seeking accreditation from the Joint Review Committee on Education in Diagnostic Medical Sonography (JRCDMS). The JRCDMS accreditation process does not begin until the first class of enrolled students begin to take clinical courses. The accreditation process will take approximately 12-18 months and will include a site visit. Accreditation from JRCDMS is required in order for graduates to sit for the American Registry for Diagnostic Medical Sonography certification. If the accreditation is not granted, the students will be taught out at another institution with a Diagnostic Medical Sonography Program or South College will refund all monies paid by the students.

- 2. Program: Professional Brewing Science
- Credential Awarded: Certificate
- Length of Program: 48 Quarter Credit Hours (9 Months Full-Time)
(12 Months Part-Time)

I. The Art Institute of Tennessee Nashville, TN

- Corporate Structure: C-Corporation
- Authorization Date: July 27, 2006
- Accreditation: Southern Association of Colleges and Schools,
Commission on Colleges (SACSCOC)
- Title IV Funding: Yes
- Highest Credential Offered: Bachelors Degree

The Art Institute - Nashville is seeking authorization for one new program. The program will be offered in a residential format. Instruction will be provided by faculty from their authorized site in Nashville, Tennessee.

- 1. Program: Designing for Tablets: Digital Publishing
- Credential Awarded: Bachelors of Fine Arts
- Length of Program: 180 Quarter Credit Hours (33 Months Full-Time)
(66 Months Part-Time)

J. Tulsa Welding School Jacksonville, FL

- Corporate Structure: C-Corporation
- Accreditation: Accrediting Commission for Career Schools and
Colleges (ACCSC)
- Title IV Funding: Yes
- Highest Credential Offered: Diploma

Tulsa Welding School, Inc. is seeking approval for three new programs. The programs will be offered in a residential format. This institution is recruitment only and all instruction will be provided by faculty from their authorized site in Jacksonville, Florida.

1. Program: Electro-Mechanical Technologies
 Credential Awarded: Diploma
 Length of Program: 45.5 Semester Credit Hours (9 Months - Day Classes)
 (13 Months - Night Classes)
2. Program: Electronic Systems Technician
 Credential Awarded: Diploma
 Length of Program: 46 Semester Credit Hours (9 months)
3. Program: Shipfitting and Steel Fabrication
 Credential Awarded: Diploma
 Length of Program: 41.5 Semester Credit Hours (8.5 months)

K. University of Phoenix – Chattanooga Chattanooga, TN

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

University of Phoenix – Chattanooga is seeking authorization offer four new programs. The programs will be offered in a residential format. Instruction will be provided by faculty from their authorized site in Chattanooga, Tennessee.

1. Program: Justice and Security Administration/Global and
 Homeland Security
 Credential Awarded: Master of Science
 Length of Program: 49 Semester Credit Hours (19 Months)
2. Program: Justice and Security Administration/Law
 Enforcement Organizations
 Credential Awarded: Master of Science
 Length of Program: 49 Semester Credit Hours (19 Months)
3. Program: Criminal Justice Administration/Cyber Crimes
 Credential Awarded: Bachelor of Science
 Length of Program: 120 Semester Credit Hours (50 Months)
4. Program: Criminal Justice Administration/Security
 Credential Awarded: Bachelor of Science
 Length of Program: 120 Semester Credit Hours (50 Months)

L. University of Phoenix – Memphis Memphis, TN

Corporate Structure: For-Profit Corporation
 Authorization Date: July 17, 2002
 Accreditation: Higher Learning Commission (HLC)
 Title IV Funding: Yes

Highest Credential Offered: Doctoral Degree
 University of Phoenix – Memphis is seeking authorization offer four new programs. The programs will be offered in a residential format. Instruction will be provided by faculty from their authorized site in Memphis, Tennessee.

1. Program: Justice and Security Administration/Global and Homeland Security
 Credential Awarded: Master of Science
 Length of Program: 49 Semester Credit Hours (19 Months)
2. Program: Justice and Security Administration/Law Enforcement Organizations
 Credential Awarded: Master of Science
 Length of Program: 49 Semester Credit Hours (19 Months)
3. Program: Criminal Justice Administration/Cyber Crimes
 Credential Awarded: Bachelor of Science
 Length of Program: 120 Semester Credit Hours (50 Months)
4. Program: Criminal Justice Administration/Security
 Credential Awarded: Bachelor of Science
 Length of Program: 120 Semester Credit Hours (50 Months)

M. University of Phoenix – Nashville Nashville, TN

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

University of Phoenix – Nashville is seeking authorization offer four new programs. The programs will be offered in a residential format. Instruction will be provided by faculty from their authorized site in Nashville, Tennessee.

1. Program: Justice and Security Administration/Global and Homeland Security
 Credential Awarded: Master of Science
 Length of Program: 49 Semester Credit Hours (19 Months)
2. Program: Justice and Security Administration/Law Enforcement Organizations
 Credential Awarded: Master of Science
 Length of Program: 49 Semester Credit Hours (19 Months)
3. Program: Criminal Justice Administration/Cyber Crimes
 Credential Awarded: Bachelor of Science
 Length of Program: 120 Semester Credit Hours (50 Months)

4. Program: Criminal Justice Administration/Security
 Credential Awarded: Bachelor of Science
 Length of Program: 120 Semester Credit Hours (50 Months)

N. University of Phoenix – On-line Phoenix, AZ

- Corporate Structure: For-Profit Corporation
 Authorization Date: November 15, 2001
 Accreditation: Higher Learning Commission (HLC)
 Title IV Funding: Yes
 Highest Credential Offered: Doctoral Degree

University of Phoenix – On-line is seeking authorization offer four new programs. The programs will be offered in a distance learning format. The institution is recruitment only and all classes are available on-line.

1. Program: Justice and Security Administration/Global and Homeland Security
 Credential Awarded: Master of Science
 Length of Program: 49 Semester Credit Hours (19 Months)
2. Program: Justice and Security Administration/Law Enforcement Organizations
 Credential Awarded: Master of Science
 Length of Program: 49 Semester Credit Hours (19 Months)
3. Program: Criminal Justice Administration/Cyber Crimes
 Credential Awarded: Bachelor of Science
 Length of Program: 120 Semester Credit Hours (50 Months)
4. Program: Criminal Justice Administration/Security
 Credential Awarded: Bachelor of Science
 Length of Program: 120 Semester Credit Hours (50 Months)

O. University of Southern California Los Angeles, CA

- Corporate Structure: Not-For-Profit Corporation
 Authorization Date: November 1, 2010
 Accreditation: Higher Learning Commission (HLC)
 Title IV Funding: Yes
 Highest Credential Offered: Masters Degree

University of Southern California is seeking authorization for four new programs. The programs will be offered in a distance learning format. The institution is recruitment only and all classes are available on-line.

- | | | | |
|----|---|---|--|
| 1. | Program:
Credential Awarded:
Length of Program: | Special Education Credential
Educational Specialist Credential in Mild/Moderate Disabilities
15 Semester Credit Hours | (8 Months Full-Time)
(16 Months Part-Time) |
| 2. | Program:
Credential Awarded:
Length of Program: | Gifted Education
Graduate Certificate
12-13 Semester Credit Hours | (6 Months Full-Time)
(12 Months Part-Time) |
| 3. | Program:
Credential Awarded:
Length of Program: | Advance Instruction
Master of Education
32 Semester Credit Hours | (13 Months Full-Time)
(18 Months Part-Time) |
| 4. | Program:
Credential Awarded:
Length of Program: | Teaching English as a Second Language
Master of Arts
30 Semester Credit Hours | (12 Months Full-Time)
(24 Months Part-Time) |

P. Victory University

Memphis, TN

Corporate Structure:	Limited Liability Corporation (LLC)
Authorization Date:	April 29, 2010
Accreditation:	Southern Association of Colleges and Schools, Commission on Colleges (SACSCOC)
Title IV Funding:	Masters of Arts in Education: YES Graduate Certificate in Social Media: NO
Highest Credential Offered:	Masters Degree

Victory University is seeking authorization for two new programs. The programs will be offered in a blended learning format. Instruction will be provided by faculty from their authorized site in Memphis, Tennessee as well as on-line.

- | | | | |
|----|---|--|--|
| 1. | Program:
Credential Awarded:
Length of Program: | Education
Master of Arts
36 Semester Credit Hours | (12 Months Full-Time)
(24 Months Part-Time) |
| 2. | Program:
Credential Awarded:
Length of Program: | Social Media
Graduate Certificate
12 Semester Credit Hours | (8 Months Full-Time)
(16 Months Part-Time) |

Q. Western Governors University

Salt Lake City, UT

Corporate Structure: Not-For-Profit Corporation
Authorization Date: April 29, 2010
Accreditation: Northwest Commission on Colleges and Universities
Title IV Funding: Yes
Highest Credential Offered: Master Degree

Western Governor's University is seeking authorization to offer two new programs. The programs will be offered in a distance learning format. The institution is recruitment only and all classes are available on-line.

1. Program: Curriculum and Instruction
Credential Awarded: Master of Science
Length of Program: 30 Competency Unites (24 Months)

2. Program: Information Technology Network Management
Credential Awarded: Master of Science
Length of Program: 33 Competency Unites (24 Months)

DATE: November 15, 2012

SUBJECT: 2013-14 Operating State Appropriation Recommendations

ACTION RECOMMENDED: Approval

BACKGROUND INFORMATION

Based on the outcomes-based funding formula, the following recommendations for operating state appropriations are presented in the attachments for consideration. Fiscal year 2013-14 is the final year of a three year phase-in of the outcomes-based formula as well as a three year phase-out of the hold harmless provision. Of significance, removing the hold harmless provision results in state appropriations distributed through the formula that are allocated on a pro-rata basis across universities, community colleges and technology centers.

Also of note is a reminder that 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 Complete College Tennessee Act (CCTA). The CCTA transferred responsibility for determining individual community college allocations to the Tennessee Board of Regents (TBR). Outcomes-based formula recommendations for the individual community colleges are presented for informational purposes only.

RECOMMENDATION SUMMARY

Institutions made significant improvement in many outcomes in 2011-12, the most recent year of data that is utilized for the 2013-14 budget cycle. In part, this increase in productivity is a function of the enrollment surge that occurred in the aftermath of the recent economic downturn. Higher enrollments, though not a factor themselves in state appropriations, have begun to translate into productivity increases as students subsequently trigger outcomes, such as degree completion.

An increase of \$35.5 million in state appropriations would be required to fund the aggregate increase in outcomes, including the institutional mission weights, across all universities and community colleges. This distribution, along with an equivalent increase in funding for non-formula units and program initiatives totaling \$14.1 million, is included in the THEC staff recommendation for 2013-14 operating funds, as detailed in Attachment II.

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). Currently the program funds 28,800 students with \$53.5 million across public, private and proprietary institutions in Tennessee. In September, the TSAC Board recommended that funding increase by \$33.6 million, which would fund 20 percent of the estimated 90,000 students that are eligible for the award, based on income, 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 a significant advancement in college affordability for Tennesseans.

Second, the Public Agenda for Tennessee Higher Education (or, the master plan) identifies workforce and economic development as a primary goal. Critical to that effort is the infrastructure necessary to train and educate students, providing the backbone of the Tennessee business and industry workforce. Community colleges and TTCs are at the forefront of workforce training and development, where up-to-date equipment is a crucial need. Based upon the recommendation of the Tennessee Board of Regents, THEC staff recommend \$15.7 million in non-recurring funds for major equipment across community colleges and TTCs, representing the first of a two-year investment. This funding would help address over sixty existing workforce programs at community colleges by updating equipment and expanding programs into additional areas, while also providing seed money for up to 20 new workforce programs across Tennessee that address current and emerging employer workforce training needs. This funding would also allow the TTCs to address 26 specific high demand programs that are offered across the state, providing upgrades or replacement equipment in order to meet specific industry needs of employers.

Finally, THEC staff is recommending a non-recurring \$1 million for a Higher Education Innovation Fund to be administered by THEC. External funders play a critical role in the current policy environment in Tennessee. However, relying solely on these sources for pursuing innovative programs and approaches is a lengthy process that requires a constant search for the right fit between the policy direction Tennessee desires and the intentions of funding agencies. The establishment of a Higher Education Innovation Fund would allow the state to internally develop and manage initiatives that impact educational attainment and workforce development.

In sum, these improvements - \$35.5 million to fund outcome growth, \$14.1 million for other institutional operating costs across "non-formula units", \$33.6 million for TSAA funding, \$15.7 million for equipment and \$1 million for a Higher Education Innovation Fund – total \$99.9 million or an increase

of 8.9 percent. The improvement in recurring funds, without including the non-recurring recommendations, is \$83.2 million or 7.4 percent.

Finally, the Department of Finance & Administration has requested that state agencies prepare the 2013-14 budget with a five percent reduction in state appropriations. Financial aid funding provided by the Tennessee Student Assistance Corporation, primarily through the need-based grant award, is exempted from the reductions. For higher education this would result in a reduction in state appropriations of \$53.6 million. This distribution is detailed in Attachment III.

ATTACHMENT I State Appropriations History

Academic Formula Units	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13*
TBR Universities						
Austin Peay	\$36,196,500	\$32,935,800	\$27,228,700	\$25,570,600	\$26,107,600	\$28,537,600
East Tennessee	63,070,900	57,792,100	48,353,800	45,582,600	44,000,700	45,772,200
Middle Tennessee	100,775,700	91,965,400	76,102,500	71,318,700	73,423,800	77,193,600
Tennessee State	42,553,700	38,448,300	30,371,100	28,554,800	29,335,100	30,810,900
Tennessee Tech	49,204,400	45,198,900	38,341,600	35,853,000	35,086,300	37,288,600
University of Memphis	123,224,900	113,093,400	97,397,500	91,785,400	85,464,300	87,346,700
Subtotal	\$415,026,100	\$379,433,900	\$317,795,200	\$298,665,100	\$293,417,800	\$306,949,600
Community Colleges						
Chattanooga	\$24,993,200	\$23,667,300	\$21,297,300	\$20,086,100	\$19,970,200	\$21,987,700
Cleveland	10,830,700	10,271,300	9,408,300	9,062,000	8,421,200	8,796,200
Columbia	14,015,400	13,246,700	12,025,200	11,439,800	11,121,800	11,502,000
Dyersburg	7,581,500	7,190,000	6,506,300	6,168,000	6,484,500	6,933,700
Jackson	13,096,600	12,393,900	11,104,800	10,479,000	10,518,500	11,070,900
Motlow	10,910,000	10,302,500	9,159,600	8,591,400	9,662,900	10,277,000
Nashville	16,285,700	15,375,500	13,429,500	12,677,800	13,794,900	14,465,300
Northeast	13,156,400	12,442,600	11,051,400	10,605,000	11,924,900	12,796,300
Pellissippi	21,961,000	20,741,200	18,242,100	17,199,100	18,692,600	20,609,200
Roane	19,061,900	18,044,100	16,437,400	15,684,300	14,750,900	15,148,700
Southwest	40,042,000	37,845,200	34,396,200	32,436,900	28,648,100	27,734,500
Volunteer	19,159,800	18,134,900	16,269,400	15,389,800	15,281,400	15,610,600
Walters	19,355,100	18,347,900	16,578,900	16,032,000	15,745,100	17,048,300
Subtotal	\$230,449,300	\$218,003,100	\$195,906,400	\$185,851,200	\$185,017,000	\$193,980,400
UT Universities						
UT Chattanooga	\$46,033,200	\$42,102,800	\$35,886,300	\$33,463,400	\$33,294,400	\$34,601,800
UT Knoxville	195,397,500	178,669,100	152,036,100	143,699,500	144,150,000	153,343,900
UT Martin	33,231,400	30,386,700	25,683,900	24,047,300	23,636,300	24,609,100
Subtotal	\$274,662,100	\$251,158,600	\$213,606,300	\$201,210,200	\$201,080,700	\$212,554,800
Total Colleges and Universities	\$920,137,500	\$848,595,600	\$727,307,900	\$685,726,500	\$679,515,500	\$713,484,800
Technology Centers	\$53,607,000	\$50,825,800	\$47,842,700	\$46,263,500	\$52,260,300	\$53,848,800
Total Academic Formula Units	\$973,744,500	\$899,421,400	\$775,150,600	\$731,990,000	\$731,775,800	\$767,333,600

Note: All years of appropriations are recurring funds only.

*Community college detail is THEC's estimate. The 2012-13 budget allocates funds only to the Community College system.

ATTACHMENT I

State Appropriations History

Specialized Units	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
Medical Education						
ETSU College of Medicine	\$29,028,900	\$27,619,200	\$26,297,600	\$25,377,900	\$25,859,200	\$27,321,000
ETSU Family Practice	5,677,800	5,408,600	5,333,500	5,150,800	5,322,000	5,731,700
UT College of Medicine	49,340,900	46,573,700	44,057,000	42,524,700	42,820,200	44,883,300
UT Family Practice	10,161,400	9,654,000	9,487,500	9,187,200	9,313,200	9,870,100
UT Memphis	71,168,300	68,934,900	64,637,400	62,105,000	63,089,600	66,869,800
UT College of Vet Medicine	16,631,600	15,799,600	14,718,500	14,160,600	14,416,600	15,385,200
Subtotal	\$182,008,900	\$173,990,000	\$164,531,500	\$158,506,200	\$160,820,800	\$170,061,100
Research and Public Service						
UT Agriculture Experiment Station	\$25,094,000	\$23,841,500	\$23,377,800	\$22,812,000	\$23,111,900	\$24,342,600
UT Agriculture Extension Service	30,095,000	28,694,300	28,143,100	27,416,300	27,825,100	29,431,800
TSU McMinnville Center	531,200	503,100	521,500	527,900	527,300	543,300
TSU Institute of Ag. and Environmental Research	2,173,000	2,055,700	2,109,800	2,156,200	2,145,000	2,208,900
TSU Cooperative Education	1,927,000	1,823,000	2,371,700	2,918,300	2,918,200	3,010,500
TSU McIntire-Stennis Forestry Research	-	-	185,400	171,900	170,600	174,100
UT Space Institute	8,282,000	7,821,000	7,465,900	7,212,500	7,276,600	7,603,400
UT Institute for Public Service	4,980,000	4,806,500	4,705,100	4,312,800	4,341,200	4,541,300
UT County Technical Assistance Service	1,605,300	1,519,600	1,491,700	1,482,500	1,521,800	1,646,200
UT Municipal Technical Advisory Service	2,743,100	2,601,900	2,556,500	2,499,300	2,554,300	2,732,200
Subtotal	\$77,430,600	\$73,666,600	\$72,928,500	\$71,509,700	\$72,392,000	\$76,234,300
Other Specialized Units						
UT University-Wide Administration	\$4,564,500	\$4,399,600	\$4,353,700	\$4,143,800	\$4,209,000	\$4,440,900
TN Board of Regents Administration	4,871,700	4,517,100	4,429,300	4,407,400	4,563,400	4,881,800
TN Student Assistance Corporation	49,836,900	48,712,900	48,589,500	48,567,100	48,579,200	55,205,400
Tennessee Student Assistance Awards	47,108,500	46,162,500	46,162,500	46,162,500	46,162,500	52,762,500
Tennessee Students Assistance Corporation	1,537,400	1,359,400	1,236,000	1,213,600	1,225,700	1,251,900
Loan/Scholarships Program	1,191,000	1,191,000	1,191,000	1,191,000	1,191,000	1,191,000
TN Higher Education Commission	2,381,500	2,207,300	2,186,500	2,160,300	2,224,500	2,292,100
TN Foreign Language Institute	372,200	369,000	349,100	338,100	352,800	378,600
Contract Education	2,542,700	2,490,700	2,289,700	2,217,000	2,198,200	2,178,400
Subtotal	\$64,569,500	\$62,696,600	\$62,197,800	\$61,833,700	\$62,127,100	\$69,377,200
Total Specialized Units	\$324,009,000	\$310,353,200	\$299,657,800	\$291,849,600	\$295,339,900	\$315,672,600
Total Formula and Specialized Units	\$1,297,753,500	\$1,209,774,600	\$1,074,808,400	\$1,023,839,600	\$1,027,115,700	\$1,083,006,200
Program Initiatives						
Campus Centers of Excellence	\$19,635,500	\$18,774,500	\$17,717,700	\$17,238,700	\$17,328,000	\$17,538,300
Campus Centers of Emphasis	1,429,600	1,344,900	1,269,200	1,240,700	1,247,600	1,265,900
Academic Scholars Program	401,800	401,800	401,800	401,800	401,800	401,800
UT Access and Diversity Initiative	6,448,900	6,181,900	5,833,900	5,648,700	5,600,600	5,550,100
TBR Access and Diversity Initiative	11,391,100	10,543,000	10,313,200	9,977,400	9,892,900	9,803,700
THEC Grants	2,715,900	2,581,800	2,436,500	2,359,200	2,339,200	2,318,100
Research Initiatives - UT	6,500,000	6,231,000	5,880,300	5,693,700	5,645,200	5,594,300
Subtotal	\$48,522,800	\$46,058,900	\$43,852,600	\$42,560,200	\$42,455,300	\$42,472,200
Total Operating	\$1,346,276,300	\$1,255,833,500	\$1,118,661,000	\$1,066,399,800	\$1,069,571,000	\$1,125,478,400

Note: All years of appropriations are recurring funds only.

ATTACHMENT II
2013-14 State Appropriations Distribution Recommendation

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

	2012-13 Appropriation ¹	2013-14 Formula Calculation	Breakdown of 2013-14 Recurring Changes			Recurring Change	Recurring Appropriation ²	Percent Change	Percent Funded
			Phase Out of Hold Harmless	Outcomes Formula Adjustments	Share of New Funding				
Academic Formula Units									
TBR Universities									
Austin Peay	\$28,537,600	\$53,302,000	\$1,043,500	\$1,215,400	\$1,416,800	\$3,675,700	\$32,213,300	12.9%	60.4%
East Tennessee	45,772,200	78,204,000	(1,034,800)	446,900	2,078,600	1,490,700	47,262,900	3.3%	60.4%
Middle Tennessee	77,193,600	130,572,500	(123,600)	(1,628,500)	3,470,600	1,718,500	78,912,100	2.2%	60.4%
Tennessee State	30,810,900	52,459,300	(261,700)	(239,500)	1,394,300	893,100	31,704,000	2.9%	60.4%
Tennessee Tech	37,288,600	63,891,900	301,200	(674,700)	1,698,200	1,324,700	38,613,300	3.6%	60.4%
University of Memphis	87,346,700	143,309,000	(2,311,800)	(2,234,600)	3,809,100	(737,300)	86,609,400	-0.8%	60.4%
Subtotal	\$306,949,600	\$521,738,700	(\$2,387,200)	(\$3,115,000)	\$13,867,600	\$8,365,400	\$315,315,000	2.7%	60.4%
Community Colleges									
Chattanooga	\$21,987,700	\$43,232,000	\$954,800	\$2,035,900	\$1,149,000	\$4,139,700	\$26,127,400	18.8%	60.4%
Cleveland	8,796,200	14,750,000	24,500	(298,500)	392,000	118,000	8,914,200	1.3%	60.4%
Columbia	11,502,000	20,347,700	(19,600)	274,000	540,800	795,200	12,297,200	6.9%	60.4%
Dyersburg	6,933,700	11,811,000	120,500	(230,100)	313,900	204,300	7,138,000	2.9%	60.4%
Jackson	11,070,900	19,001,000	83,600	(176,200)	505,000	412,400	11,483,300	3.7%	60.4%
Motlow	10,277,000	17,819,000	295,100	(276,700)	473,600	492,000	10,769,000	4.8%	60.4%
Nashville	14,465,300	25,696,000	(51,400)	432,600	683,000	1,064,200	15,529,500	7.4%	60.4%
Northeast	12,796,300	21,792,000	235,400	(440,800)	579,200	373,800	13,170,100	2.9%	60.4%
Pellissippi	20,609,200	36,636,000	915,700	(357,500)	973,700	1,531,900	22,141,100	7.4%	60.4%
Roane	15,148,700	26,773,000	(196,400)	516,500	711,600	1,031,700	16,180,400	6.8%	60.4%
Southwest	27,734,500	41,205,000	(2,126,500)	(1,800,600)	1,095,200	(2,831,900)	24,902,600	-10.2%	60.4%
Volunteer	15,610,600	25,909,000	(511,100)	(129,900)	688,600	47,600	15,658,200	0.3%	60.4%
Walters	17,048,300	32,192,000	552,500	998,900	855,700	2,407,100	19,455,400	14.1%	60.4%
Community College Subtotal ³	\$193,980,400	\$337,163,700	\$277,100	\$547,600	\$8,961,300	\$9,786,000	\$203,766,400	5.0%	60.4%
UT Universities									
UT Chattanooga	\$34,601,800	\$58,138,000	(\$593,500)	(\$417,600)	\$1,545,300	\$534,200	\$35,136,000	1.5%	60.4%
UT Knoxville	153,343,900	277,364,000	3,116,000	3,793,600	7,372,600	14,282,200	167,626,100	9.3%	60.4%
UT Martin ⁴	24,609,100	40,309,000	(511,000)	(808,600)	1,271,400	(48,200)	24,560,900	-0.2%	60.9%
Subtotal	\$212,554,800	\$375,811,000	\$2,011,500	\$2,567,400	\$10,189,300	\$14,768,200	\$227,323,000	6.9%	60.5%
Total Colleges and Universities	\$713,484,800	\$1,234,713,400	(\$98,600)	\$0	\$33,018,200	\$32,919,600	\$746,404,400	4.6%	60.5%
Technology Centers	\$53,848,800	\$93,371,000	\$98,600	\$0	\$2,481,800	\$2,580,400	\$56,429,200	4.8%	60.4%
Total Academic Formula Units	\$767,333,600	\$1,328,084,400	\$0	\$0	\$35,500,000	\$35,500,000	\$802,833,600	4.6%	60.5%

1-Recurring

2-Includes new outcome data, additional higher education appropriations of \$35.5M, the third of a three year phase-in of the outcomes model, and the third of a three year phase-out of the Hold Harmless policy.

3-THEC's community college recommendation is only for the sector as a whole. Institutional detail displayed here is for informational purposes only.

4-UTM's state appropriation includes \$200K for the Parsons Center, which is not to be distributed through the funding formula, per the 2012-13 appropriations bill.

ATTACHMENT II
2013-14 State Appropriations Distribution Recommendation

	A	B	C = B - A	D = B / A
Specialized Units	2012-13 Appropriation ¹	2013-14 Appropriation ¹	Total Change	Percent Change
Medical Education				
ETSU College of Medicine	\$27,321,000	\$28,584,982	\$1,263,982	4.6%
ETSU Family Practice	5,731,700	5,996,900	265,200	4.6%
UT College of Medicine	44,883,300	46,959,786	2,076,486	4.6%
UT Family Practice	9,870,100	10,326,700	456,600	4.6%
UT Memphis	66,869,800	69,963,500	3,093,700	4.6%
UT College of Vet Medicine	15,385,200	16,097,000	711,800	4.6%
Subtotal	\$170,061,100	\$177,928,867	\$7,867,767	4.6%
Research and Public Service				
UT Agriculture Experiment Station	\$24,342,600	\$25,468,800	\$1,126,200	4.6%
UT Agriculture Extension Service	29,431,800	30,793,400	1,361,600	4.6%
TSU McMinnville Center	543,300	568,400	25,100	4.6%
TSU Institute of Ag. and Environmental Research	2,208,900	2,311,100	102,200	4.6%
TSU Cooperative Education	3,010,500	3,149,800	139,300	4.6%
TSU McIntire-Stennis Forestry Research	174,100	182,200	8,100	4.7%
UT Space Institute	7,603,400	7,955,200	351,800	4.6%
UT Institute for Public Service	4,541,300	4,751,400	210,100	4.6%
UT County Technical Assistance Service	1,646,200	1,722,400	76,200	4.6%
UT Municipal Technical Advisory Service	2,732,200	2,858,600	126,400	4.6%
Subtotal	\$76,234,300	\$79,761,300	\$3,527,000	4.6%
Other Specialized Units				
UT University-Wide Administration	\$4,440,900	\$4,646,400	\$205,500	4.6%
TN Board of Regents Administration	4,881,800	5,107,700	225,900	4.6%
TN Student Assistance Corporation	55,205,400	88,918,400	33,713,000	61.1%
Tennessee Student Assistance Awards	52,762,500	86,362,500	33,600,000	63.7%
Tennessee Students Assistance Corporation Loan/Scholarships Program	1,251,900	1,309,800	57,900	4.6%
	1,191,000	1,246,100	55,100	4.6%
TN Higher Education Commission	2,292,100	2,398,100	106,000	4.6%
TN Foreign Language Institute	378,600	396,100	17,500	4.6%
Contract Education	2,178,400	2,279,200	100,800	4.6%
Subtotal	\$69,377,200	103,745,900	\$34,368,700	49.5%
Total Specialized Units	\$315,672,600	\$361,436,067	\$45,763,467	14.5%
Total Formula and Specialized Units	\$1,083,006,200	\$1,164,269,667	\$81,263,467	7.5%
Program Initiatives				
Campus Centers of Excellence	\$17,538,300	\$18,349,700	\$811,400	4.6%
Campus Centers of Emphasis	1,265,900	1,324,500	58,600	4.6%
Academic Scholars Program	401,800	420,400	18,600	4.6%
UT Access and Diversity Initiative	5,550,100	5,806,900	256,800	4.6%
TBR Access and Diversity Initiative	9,803,700	10,257,300	453,600	4.6%
THEC Grants	2,318,100	2,425,300	107,200	4.6%
Research Initiatives - UT	5,594,300	5,853,100	258,800	4.6%
Equipment Replenishment Program ²	-	15,700,000	15,700,000	NA
Higher Education Innovation Fund ³	-	1,000,000	1,000,000	NA
Subtotal	\$42,472,200	\$44,437,200	\$1,965,000	4.6%
Total Recurring	\$1,125,478,400	\$1,208,706,867	\$83,228,467	7.4%
Total with Non-Recurring Request	\$1,125,478,400	\$1,225,406,867	\$99,928,467	8.9%

1-Recurring

2-Non-recurring funds to be used for TTC (\$8.2M) and Community College (\$7.5M) equipment replenishment program. An equivalent amount will be considered in 2014-15.

3-Non-recurring

ATTACHMENT III
2013-14 State Appropriations Distribution With a 5% Reduction

	A	B	C	D	E	F = C + D + E	G = F + A	H = F / A	I = G / B
			Breakdown of 2013-14 Recurring Changes						
	2012-13 Appropriation ¹	2013-14 Formula Calculation	Phase Out of Hold Harmless	Outcomes Formula Adjustments	5% Reduction to Higher Educ.	Recurring Change	Recurring Appropriation ²	Percent Change	Percent Funded
TBR Universities									
Austin Peay	\$28,537,600	\$53,302,000	\$1,043,500	\$1,215,400	(\$1,796,700)	\$462,200	\$28,999,800	1.6%	54.4%
East Tennessee	45,772,200	78,204,000	(1,034,800)	446,900	(2,636,100)	(3,224,000)	42,548,200	-7.0%	54.4%
Middle Tennessee	77,193,600	130,572,500	(123,600)	(1,628,500)	(4,401,300)	(6,153,400)	71,040,200	-8.0%	54.4%
Tennessee State	30,810,900	52,459,300	(261,700)	(239,500)	(1,768,300)	(2,269,500)	28,541,400	-7.4%	54.4%
Tennessee Tech	37,288,600	63,891,900	301,200	(674,700)	(2,153,600)	(2,527,100)	34,761,500	-6.8%	54.4%
University of Memphis	87,346,700	143,309,000	(2,311,800)	(2,234,600)	(4,830,600)	(9,377,000)	77,969,700	-10.7%	54.4%
Subtotal	\$306,949,600	\$521,738,700	(\$2,387,200)	(\$3,115,000)	(\$17,586,600)	(\$23,088,800)	\$283,860,800	-7.5%	54.4%
Community Colleges									
Chattanooga	\$21,987,700	\$43,232,000	\$954,800	\$2,035,900	(\$1,457,300)	\$1,533,400	\$23,521,100	7.0%	54.4%
Cleveland	8,796,200	14,750,000	24,500	(298,500)	(497,200)	(771,200)	8,025,000	-8.8%	54.4%
Columbia	11,502,000	20,347,700	(19,600)	274,000	(685,900)	(431,500)	11,070,500	-3.8%	54.4%
Dyersburg	6,933,700	11,811,000	120,500	(230,100)	(398,100)	(507,700)	6,426,000	-7.3%	54.4%
Jackson	11,070,900	19,001,000	83,600	(176,200)	(640,500)	(733,100)	10,337,800	-6.6%	54.4%
Motlow	10,277,000	17,819,000	295,100	(276,700)	(600,700)	(582,300)	9,694,700	-5.7%	54.4%
Nashville	14,465,300	25,696,000	(51,400)	432,600	(866,200)	(485,000)	13,980,300	-3.4%	54.4%
Northeast	12,796,300	21,792,000	235,400	(440,800)	(734,600)	(940,000)	11,856,300	-7.3%	54.4%
Pellissippi	20,609,200	36,636,000	915,700	(357,500)	(1,235,000)	(676,800)	19,932,400	-3.3%	54.4%
Roane	15,148,700	26,773,000	(196,400)	516,500	(902,500)	(582,400)	14,566,300	-3.8%	54.4%
Southwest	27,734,500	41,205,000	(2,126,500)	(1,800,600)	(1,388,900)	(5,316,000)	22,418,500	-19.2%	54.4%
Volunteer	15,610,600	25,909,000	(511,100)	(129,900)	(873,400)	(1,514,400)	14,096,200	-9.7%	54.4%
Walters	17,048,300	32,192,000	552,500	998,900	(1,085,100)	466,300	17,514,600	2.7%	54.4%
Community College Subtotal ³	\$193,980,400	\$337,163,700	\$277,100	\$547,600	(\$11,365,400)	(\$10,540,700)	\$183,439,700	-5.4%	54.4%
UT Universities									
UT Chattanooga	\$34,601,800	\$58,138,000	(\$593,500)	(\$417,600)	(\$1,959,700)	(\$2,970,800)	\$31,631,000	-8.6%	54.4%
UT Knoxville	153,343,900	277,364,000	3,116,000	3,793,600	(9,349,600)	(2,440,000)	150,903,900	-1.6%	54.4%
UT Martin ⁴	24,609,100	40,309,000	(511,000)	(808,600)	(1,158,700)	(2,478,300)	22,130,800	-10.1%	54.9%
Subtotal	\$212,554,800	\$375,811,000	\$2,011,500	\$2,567,400	(\$12,468,000)	(\$7,889,100)	\$204,665,700	-3.7%	54.5%
Total Colleges and Universities	\$713,484,800	\$1,234,713,400	(\$98,600)	\$0	(\$41,420,000)	(\$41,518,600)	\$671,966,200	-5.8%	54.4%
Technology Centers	\$53,848,800	\$93,371,000	\$98,600	\$0	(\$3,147,000)	(\$3,048,400)	\$50,800,400	-5.7%	54.4%
Total Academic Formula Units	\$767,333,600	\$1,328,084,400	\$0	\$0	(\$44,567,000)	(\$44,567,000)	\$722,766,600	-5.8%	54.4%

1-Recurring

2-Includes new outcome data, statewide higher education reductions of 5%, the third of a three year phase-in of the outcomes model, and the third of a three year phase-out of the Hold Harmless policy.

3-THC's community college distribution is only for the sector as a whole. Institutional detail displayed here is for informational purposes only.

4-UTM's state appropriation includes \$200K for Parsons Center, which is not to be distributed through the funding formula, per the 12-13 appropriations bill.

ATTACHMENT III
2013-14 State Appropriations Distribution With a 5% Reduction

	A	B	C = B - A	D = B / A
	2012-13 Appropriation ¹	2013-14 Appropriation ¹	Difference	Percent Change
Specialized Units				
Medical Education				
ETSU College of Medicine	\$27,321,000	\$26,496,200	(\$824,800)	-3.0%
ETSU Family Practice	5,731,700	5,599,700	(132,000)	-2.3%
UT College of Medicine	44,883,300	43,314,700	(1,568,600)	-3.5%
UT Family Practice	9,870,100	9,642,800	(227,300)	-2.3%
UT Memphis	66,869,800	64,353,400	(2,516,400)	-3.8%
UT College of Vet Medicine	15,385,200	14,785,100	(600,100)	-3.9%
Subtotal	\$170,061,100	\$164,191,900	(\$5,869,200)	-3.5%
Research and Public Service				
UT Agriculture Experiment Station	\$24,342,600	\$23,782,100	(\$560,500)	-2.3%
UT Agriculture Extension Service	29,431,800	28,754,100	(677,700)	-2.3%
TSU McMinnville Center	543,300	530,800	(12,500)	-2.3%
TSU Institute of Ag. and Environmental Research	2,208,900	2,158,000	(50,900)	-2.3%
TSU Cooperative Education	3,010,500	2,941,200	(69,300)	-2.3%
TSU McIntire-Stennis Forestry Research	174,100	170,100	(4,000)	-2.3%
UT Space Institute	7,603,400	7,387,700	(215,700)	-2.8%
UT Institute for Public Service	4,541,300	4,436,700	(104,600)	-2.3%
UT County Technical Assistance Service	1,646,200	1,608,300	(37,900)	-2.3%
UT Municipal Technical Advisory Service	2,732,200	2,669,300	(62,900)	-2.3%
Subtotal	\$76,234,300	\$74,438,300	(\$1,796,000)	-2.4%
Other Specialized Units				
UT University-Wide Administration	\$4,440,900	\$4,338,600	(\$102,300)	-2.3%
TN Board of Regents Administration	4,881,800	4,769,400	(112,400)	-2.3%
TN Student Assistance Corporation	55,205,400	55,176,600	(28,800)	-0.1%
Tennessee Student Assistance Awards	52,762,500	52,762,500	-	0.0%
Tennessee Students Assistance Corporation Loan/Scholarships Program	1,251,900	1,223,100	(28,800)	-2.3%
	1,191,000	1,191,000	-	0.0%
TN Higher Education Commission	2,292,100	2,239,300	(52,800)	-2.3%
TN Foreign Language Institute	378,600	369,900	(8,700)	-2.3%
Contract Education	2,178,400	2,128,200	(50,200)	-2.3%
Subtotal	\$69,377,200	\$69,022,000	(\$355,200)	-0.5%
Total Specialized Units	\$315,672,600	\$307,652,200	(\$8,020,400)	-2.5%
Total Formula and Specialized Units	\$1,083,006,200	\$1,030,418,800	(\$52,587,400)	-4.9%
Program Initiatives				
Campus Centers of Excellence	\$17,538,300	\$17,134,500	(\$403,800)	-2.3%
Campus Centers of Emphasis	1,265,900	1,236,800	(29,100)	-2.3%
Academic Scholars Program	401,800	401,800	-	0.0%
UT Access and Diversity Initiative	5,550,100	5,422,300	(127,800)	-2.3%
TBR Access and Diversity Initiative	9,803,700	9,578,000	(225,700)	-2.3%
THEC Grants	2,318,100	2,264,700	(53,400)	-2.3%
Research Initiatives - UT	5,594,300	5,465,500	(128,800)	-2.3%
Subtotal	\$42,472,200	\$41,503,600	(\$968,600)	-2.3%
Total	\$1,125,478,400	\$1,071,922,400	(\$53,556,000)	-4.8%

1-Recurring

NOTE: TSAA Awards, Loan/Scholarship Program, and Academic Scholars Program are exempt from 2013-14 reductions per F&A budget instructions.

ATTACHMENT IV
Changes in Formula Outcomes

Community Colleges

Outcomes	2012-13	2013-14	Change	
Students Accumulating 12 hrs	33,292	30,595	(2,697)	-8.1%
Students Accumulating 24 hrs	23,889	22,545	(1,344)	-5.6%
Students Accumulating 36 hrs	18,264	17,734	(530)	-2.9%
Dual Enrollment	10,702	11,957	1,255	11.7%
Associates	7,382	8,312	930	12.6%
Certificates 1-2 Year	625	676	51	8.1%
Certificates <1 Year	1,096	1,220	124	11.3%
Job Placements	3,482	3,757	276	7.9%
Remedial & Developmental Success	21,521	23,560	2,039	9.5%
Student Transfers	5,432	5,767	336	6.2%
Workforce Training (Contact Hours)	580,470	729,085	148,615	25.6%
Awards per 100 FTE	13.53	14.25	0.72	5.3%
Adults Accumulating 12 hrs	10,188	9,260	(928)	-9.1%
Adults Accumulating 24 hrs	8,489	8,084	(405)	-4.8%
Adults Accumulating 36 hrs	7,254	7,198	(56)	-0.8%
Adult Associates	4,167	4,657	490	11.8%
Adult 1-2 Year Certificates	411	443	33	8.0%
Adult <1yr Certificates	714	801	87	12.2%
Low-income Accumulating 12 hrs	21,671	19,283	(2,388)	-11.0%
Low-income Accumulating 24 hrs	15,614	14,578	(1,036)	-6.6%
Low-income Accumulating 36 hrs	11,842	11,501	(341)	-2.9%
Low-income Associates	3,970	5,148	1,179	29.7%
Low-income 1-2 Year Certificates	311	354	43	13.9%
Low-income <1yr Certificates	557	636	79	14.2%

Universities

Outcomes	2012-13	2013-14	Change	
Students Accumulating 24 hrs	19,949	19,148	(800)	-4.0%
Students Accumulating 48 hrs	18,773	18,307	(466)	-2.5%
Students Accumulating 72 hrs	19,713	19,367	(345)	-1.8%
Bachelors and Associates	18,656	19,365	708	3.8%
Masters / Ed Specialists	5,793	5,892	99	1.7%
Doctoral / Law Degree	968	1,015	47	4.8%
Research and Service	\$ 315,862,178	\$ 320,173,511	\$ 4,311,333	1.4%
Student Transfers	2,919	3,240	321	11.0%
Degrees per 100 FTE	17.78	18.05	0.27	1.5%
Six-Year Graduation Rate	50.78	50.92	0.14	0.3%
Adults Accumulating 24 hrs	1,374	1,269	(105)	-7.6%
Adults Accumulating 48 hrs	1,869	1,777	(91)	-4.9%
Adults Accumulating 72 hrs	2,947	2,901	(46)	-1.6%
Adults Bachelors and Associates	6,522	6,707	185	2.8%
Low-income Accumulating 24 hrs	9,565	8,894	(670)	-7.0%
Low-income Accumulating 48 hrs	8,746	8,460	(285)	-3.3%
Low-income Accumulating 72 hrs	9,255	9,056	(199)	-2.1%
Low-income Bachelors and Associates	7,685	8,901	1,217	15.8%

**ATTACHMENT V
Percent Funded Comparison**

	2010-11	2011-12	2012-13	2013-14		Percent Funded
	Percent Funded	Percent Funded	Percent Funded	Formula Calculation	Appropriation ¹	
Academic Formula Units						
Austin Peay	54.1%	57.1%	55.9%	\$ 53,302,000	\$ 32,213,300	60.4%
East Tennessee	58.2%	59.6%	59.3%	78,204,000	47,262,900	60.4%
Middle Tennessee	52.4%	58.5%	58.0%	130,572,500	78,912,100	60.4%
Tennessee State	52.8%	58.7%	58.5%	52,459,300	31,704,000	60.4%
Tennessee Tech	56.7%	58.3%	57.5%	63,891,900	38,613,300	60.4%
University of Memphis	61.5%	60.3%	59.5%	143,309,000	86,609,400	60.4%
Subtotal TBR Universities	56.6%	59.0%	58.4%	\$ 521,738,700	\$ 315,315,000	60.4%
Chattanooga	61.6%	58.6%	55.5%	\$ 43,232,000	\$ 26,127,400	60.4%
Cleveland	66.1%	59.5%	57.8%	14,750,000	8,914,200	60.4%
Columbia	62.6%	58.5%	58.1%	20,347,700	12,297,200	60.4%
Dyersburg	55.1%	57.2%	57.0%	11,811,000	7,138,000	60.4%
Jackson	59.5%	57.4%	57.5%	19,001,000	11,483,300	60.4%
Motlow	50.7%	54.6%	56.3%	17,819,000	10,769,000	60.4%
Nashville	52.8%	54.9%	58.2%	25,696,000	15,529,500	60.4%
Northeast	48.7%	55.9%	56.9%	21,792,000	13,170,100	60.4%
Pellissippi	52.6%	56.0%	55.5%	36,636,000	22,141,100	60.4%
Roane	65.4%	61.2%	58.7%	26,773,000	16,180,400	60.4%
Southwest	72.1%	65.9%	62.8%	41,205,000	24,902,600	60.4%
Volunteer	60.6%	59.3%	59.9%	25,909,000	15,658,200	60.4%
Walters	60.5%	58.5%	56.1%	32,192,000	19,455,400	60.4%
Subtotal Community Colleges	60.0%	58.8%	57.9%	\$ 337,163,700	\$ 203,766,400	60.4%
UT Chattanooga	55.6%	58.7%	59.0%	\$ 58,138,000	\$ 35,136,000	60.4%
UT Knoxville	54.9%	58.0%	56.8%	277,364,000	167,626,100	60.4%
UT Martin	57.3%	60.5%	59.2%	40,309,000	24,560,900	60.9%
Subtotal UT Universities	55.3%	58.4%	57.4%	\$ 375,811,000	\$ 227,323,000	60.5%
Total Colleges and Universities	57.1%	58.8%	58.0%	\$ 1,234,713,400	\$ 746,404,400	60.5%
Technology Centers	52.8%	54.2%	57.6%	\$ 93,371,000	\$ 56,429,200	60.4%
Total Academic Formula Units	56.8%	58.4%	57.9%	\$ 1,328,084,400	\$ 802,833,600	60.5%

2012-13 Percent Funded	
Overall	57.9%
Minimum	55.5% CHSCC & PSCC
Maximum	62.8% STCC
Range	7.3%

2011-12 Percent Funded	
Overall	58.4%
Minimum	54.2% TTCs
Maximum	65.9% STCC
Range	11.7%

2010-11 Percent Funded	
Overall	56.8%
Minimum	48.7% NESCC
Maximum	72.1% STCC
Range	23.5%

1- Recurring; accounts for recommended \$35.5M in additional funding for formula units

ATTACHMENT VI
2013-14 Total Formula Revenue Analysis

Academic Formula Units	State Appropriation Recommendation ¹	Maintenance Fees ²	Out-of-State Tuition ²	Total Revenue	Total Formula Revenue Need	Difference (Short)	Percent Funded
Austin Peay	\$ 32,213,300	\$ 60,264,500	\$ 3,370,400	\$ 95,848,200	\$ 98,163,000	\$ (2,314,800)	97.6%
East Tennessee	47,262,900	86,137,400	11,665,800	145,066,100	150,979,000	(5,912,900)	96.1%
Middle Tennessee	78,912,100	149,279,900	14,335,500	242,527,500	241,246,500	1,281,000	100.5%
Tennessee State	31,704,000	52,078,900	19,080,000	102,862,900	103,510,300	(647,400)	99.4%
Tennessee Tech	38,613,300	62,791,700	7,936,800	109,341,800	118,493,900	(9,152,100)	92.3%
University of Memphis	86,609,400	150,411,500	10,938,600	247,959,500	272,766,000	(24,806,500)	90.9%
Subtotal TBR Universities	\$ 315,315,000	\$ 560,963,900	\$ 67,327,100	\$ 943,606,000	\$ 985,158,700	\$ (41,552,700)	95.8%
Chattanooga	\$ 26,127,400	\$ 29,355,000	\$ 741,600	\$ 56,224,000	\$ 65,075,000	\$ (8,851,000)	86.4%
Cleveland	8,914,200	10,117,000	198,400	19,229,600	22,179,000	(2,949,400)	86.7%
Columbia	12,297,200	13,471,100	408,500	26,176,800	30,589,700	(4,412,900)	85.6%
Dyersburg	7,138,000	8,960,400	113,800	16,212,200	17,741,000	(1,528,800)	91.4%
Jackson	11,483,300	13,643,800	120,000	25,247,100	28,533,000	(3,285,900)	88.5%
Motlow	10,769,000	12,113,900	231,200	23,114,100	26,795,000	(3,680,900)	86.3%
Nashville	15,529,500	21,527,000	721,000	37,777,500	38,706,000	(928,500)	97.6%
Northeast	13,170,100	17,646,100	55,300	30,871,500	32,703,000	(1,831,500)	94.4%
Pellissippi	22,141,100	30,658,000	1,230,900	54,030,000	55,234,000	(1,204,000)	97.8%
Roane	16,180,400	17,620,500	434,000	34,234,900	40,211,000	(5,976,100)	85.1%
Southwest	24,902,600	36,590,300	1,434,800	62,927,700	61,983,000	944,700	101.5%
Volunteer	15,658,200	20,916,200	441,400	37,015,800	38,987,000	(1,971,200)	94.9%
Walters	19,455,400	19,754,700	448,200	39,658,300	48,444,000	(8,785,700)	81.9%
Subtotal Community Colleges	\$ 203,766,400	\$ 252,374,000	\$ 6,579,100	\$ 462,719,500	\$ 507,180,700	\$ (44,461,200)	91.2%
UT Chattanooga	\$ 35,136,000	\$ 64,395,000	\$ 6,766,000	\$ 106,297,000	\$ 108,767,000	\$ (2,470,000)	97.7%
UT Knoxville	167,626,100	227,179,800	37,711,900	432,517,800	523,647,000	(91,129,200)	82.6%
UT Martin	24,560,900	47,720,700	4,521,400	76,803,000	75,064,000	1,739,000	102.3%
Subtotal UT Universities	\$ 227,323,000	\$ 339,295,500	\$ 48,999,300	\$ 615,617,800	\$ 707,478,000	\$ (91,860,200)	87.0%
Technology Centers	\$ 56,429,200	\$ 26,241,500	\$ -	\$ 82,670,700	\$ 116,721,000	\$ (34,050,300)	70.8%
Total Academic Formula Units	\$ 802,833,600	\$1,178,874,900	\$ 122,905,500	\$2,104,614,000	\$ 2,316,538,400	\$ (211,924,400)	90.9%

1- Recurring; accounts for recommended \$35.5M in additional funding for formula units

2- Assumes 6% tuition increases at universities, 3% tuition increases at CCs and TTCs, and 0% enrollment increases for all of higher ed for 2013-14.

ATTACHMENT VI
2012-13 Total Formula Revenue Analysis

Academic Formula Units	Legislative Appropriation¹	Maintenance Fees²	Out-of-State Tuition²	Total Revenue	Total Formula Revenue Need	Difference (Short)	Percent Funded
Austin Peay	\$ 28,537,600	\$ 56,853,300	\$ 3,179,600	\$ 88,570,500	\$ 93,818,000	\$ (5,247,500)	94.4%
East Tennessee	45,772,200	81,261,700	11,005,500	138,039,400	148,038,000	(9,998,600)	93.2%
Middle Tennessee	77,193,600	140,830,100	13,524,100	231,547,800	244,983,500	(13,435,700)	94.5%
Tennessee State	30,810,900	49,131,000	18,000,000	97,941,900	103,314,300	(5,372,400)	94.8%
Tennessee Tech	37,288,600	59,237,500	7,487,500	104,013,600	119,739,900	(15,726,300)	86.9%
University of Memphis	87,346,700	141,897,700	10,319,400	239,563,800	277,916,000	(38,352,200)	86.2%
Subtotal TBR Universities	\$ 306,949,600	\$ 529,211,300	\$ 63,516,100	\$ 899,677,000	\$ 987,809,700	\$ (88,132,700)	91.1%
Chattanooga	\$ 21,987,700	\$ 28,500,000	\$ 720,000	\$ 51,207,700	\$ 59,548,000	\$ (8,340,300)	86.0%
Cleveland	8,796,200	9,822,300	192,600	18,811,100	22,899,000	(4,087,900)	82.1%
Columbia	11,502,000	13,078,700	396,600	24,977,300	29,758,700	(4,781,400)	83.9%
Dyersburg	6,933,700	8,699,400	110,500	15,743,600	18,282,000	(2,538,400)	86.1%
Jackson	11,070,900	13,246,400	116,500	24,433,800	28,895,000	(4,461,200)	84.6%
Motlow	10,277,000	11,761,100	224,500	22,262,600	27,449,000	(5,186,400)	81.1%
Nashville	14,465,300	20,900,000	700,000	36,065,300	37,440,000	(1,374,700)	96.3%
Northeast	12,796,300	17,132,200	53,700	29,982,200	33,748,000	(3,765,800)	88.8%
Pellissippi	20,609,200	29,765,000	1,195,000	51,569,200	56,043,000	(4,473,800)	92.0%
Roane	15,148,700	17,107,300	421,400	32,677,400	38,738,000	(6,060,600)	84.4%
Southwest	27,734,500	35,524,600	1,393,000	64,652,100	66,559,000	(1,906,900)	97.1%
Volunteer	15,610,600	20,307,000	428,500	36,346,100	39,195,000	(2,848,900)	92.7%
Walters	17,048,300	19,179,300	435,100	36,662,700	45,666,000	(9,003,300)	80.3%
Subtotal Community Colleges	\$ 193,980,400	\$ 245,023,300	\$ 6,387,400	\$ 445,391,100	\$ 504,220,700	\$ (58,829,600)	88.3%
UT Chattanooga	\$ 34,601,800	\$ 60,750,000	\$ 6,383,000	\$ 101,734,800	\$ 109,524,000	\$ (7,789,200)	92.9%
UT Knoxville	153,343,900	214,320,600	35,577,300	403,241,800	509,562,000	(106,320,200)	79.1%
UT Martin	24,609,100	45,019,500	4,265,500	73,894,100	76,776,000	(2,881,900)	96.2%
Subtotal UT Universities	\$ 212,554,800	\$ 320,090,100	\$ 46,225,800	\$ 578,870,700	\$ 695,862,000	\$ (116,991,300)	83.2%
Technology Centers	\$ 53,848,800	\$ 25,477,200	\$ -	\$ 79,326,000	\$ 116,957,000	(37,631,000)	67.8%
Total Academic Formula Units	\$ 767,333,600	\$ 1,119,801,900	\$ 116,129,300	\$ 2,003,264,800	\$ 2,304,849,400	\$ (301,584,600)	86.9%

1- Recurring

2- Preliminary estimate of 2012-13 fee revenue from UT and TBR proposed 2012-13 operating budgets.

DATE: November 15, 2012

SUBJECT: 2013-14 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 inform the tuition recommendation including affordability and financial aid, the income profile of students attending Tennessee public institutions, and institutional revenues and cost inflation.

These recommendations are particularly informed by an analysis of the income profile of Tennessee students. One of the clearest measures of ability to pay is the income data of students and families as measured by the Federal government’s Free Application for Federal Student Aid, or FAFSA, which calculates a family’s Expected Family Contribution (EFC). This measure is a proxy for a student’s ability to pay for college and is the basis for awarding need-based financial aid such as the Federal Pell grant and the Tennessee Student Assistance Award (TSAA).

Student EFC data was available for analysis for 75 percent of public university and community college students in 2011. Of those students, 62 percent had an EFC low enough to qualify for the Pell grant and, by definition, the TSAA. In 2007, just over half or 52 percent of public university and community college students were eligible for the Pell grant. Furthermore, in 2011, 84 percent of community college adult students age 25 and up qualified for the Pell grant. In total, across public universities and community colleges, the population of low-income students, using Pell grant eligibility as the measure, increased from 62,800 in 2007 to 101,700 in 2011. More background information will be presented at the Commission meeting work session.

RECOMMENDATION SUMMARY

The THEC staff recommendations are maintenance fee increases of up to six percent at universities and up to three percent at community colleges and technology centers. These recommendation ranges are a companion piece to the recommended state appropriations increase of \$35.5 million. It is also recommended that UT and TBR further implement differential tuition rates, which might consider program, cost, student level, institution or other factors.

ATTACHMENT I
2013-14 Total Tuition and Mandatory Fees Recommendation

THEC Recommendation Summary

Universities	Up to 6% Maintenance Fee Increase
CCs	Up to 3% Maintenance Fee Increase
TTCs	Up to 3% Maintenance Fee Increase

Maintenance and Mandatory Fees History

	2007-08	2011-12	2012-13	1 Yr. Change	5 Yr. Change
APSU	\$5,238	\$6,690	\$6,918	3.4%	32.1%
ETSU	4,887	6,529	6,997	7.2%	43.2%
MTSU	5,278	7,018	7,492	6.8%	41.9%
TSU	4,856	6,346	6,702	5.6%	38.0%
TTU	4,980	6,698	6,948	3.7%	39.5%
UM	5,802	7,696	8,234	7.0%	41.9%
UTC	5,062	6,718	7,212	7.3%	42.5%
UTK	5,932	8,396	9,092	8.3%	53.3%
UTM	5,005	6,718	7,081	5.4%	41.5%
CC Avg	2,628	3,532	3,686	4.4%	40.3%
TTCs	2,168	2,975	3,146	5.7%	45.1%

2013-14 Projected Tuition and Fee Levels

	2012-13		2013-14 Tuition Scenarios¹		
	Maintenance Fee	Mandatory Fees	0.0%	3.0%	6.0%
APSU	\$5,694	\$1,224	\$6,918	\$7,089	\$7,260
ETSU	5,922	1,075	6,997	7,175	7,352
MTSU	5,898	1,594	7,492	7,669	7,846
TSU	5,772	930	6,702	6,875	7,048
TTU	5,748	1,200	6,948	7,120	7,293
UM	6,978	1,256	8,234	8,443	8,653
UTC	5,722	1,490	7,212	7,384	7,555
UTK	7,802	1,290	9,092	9,326	9,560
UTM	5,978	1,103	7,081	7,260	7,440

	2012-13		2013-14 Tuition Scenarios¹		
	Maintenance Fee	Mandatory Fees	0.0%	1.5%	3.0%
CC Avg	\$3,402	\$284	\$3,686	\$3,737	\$3,788
TTCs	2,946	200	3,146	3,190	3,234

1- Percent increase applied to maintenance fee, with no increases to mandatory fees.

Mandatory Fees Only History

	2007-08	2011-12	2012-13	1 Yr. Change	5 Yr. Change
APSU	\$1,180	\$1,224	\$1,224	0.0%	3.7%
ETSU	829	1,063	1,075	1.1%	29.7%
MTSU	1,220	1,498	1,594	6.4%	30.7%
TSU	798	880	930	5.7%	16.5%
TTU	922	1,178	1,200	1.9%	30.2%
UM	1,150	1,246	1,256	0.8%	9.2%
UTC	1,090	1,320	1,490	12.9%	36.7%
UTK	812	1,172	1,290	10.1%	58.9%
UTM	855	1,078	1,103	2.3%	29.0%
CC Avg	264	280	284	1.4%	7.6%
TTCs	200	200	200	0.0%	0.0%

ATTACHMENT II

2013-14 Tuition Model Analysis Scenarios

The following scenarios utilize the THEC Tuition Model to estimate the tuition increase required to maintain the 2012-13 estimated total revenue per FTE. The scenarios assume zero percent enrollment growth and a three percent increase in cost inflation. This analysis is presented for information and is meant to provide guidance on the tuition recommendation analysis.

Average Increase Needed With a \$35.5M (4.6%) Increase in State Appropriations

Model Assumptions	Universities	CCs	TTCs
Fixed Costs	3.0%	3.0%	3.0%
Enrollment	0.0%	0.0%	0.0%
State Appropriations	4.5%	5.0%	4.8%
Average Tuition Rate Increase	2.5%	1.4%	-0.8%

Average Increase Needed With No Increase in State Appropriations

Model Assumptions	Universities	CCs	TTCs
Fixed Costs	3.0%	3.0%	3.0%
Enrollment	0.0%	0.0%	0.0%
State Appropriations	0.0%	0.0%	0.0%
Average Tuition Rate Increase	4.5%	5.2%	9.3%

Average Increase Needed With a \$44.6M (5.8%) Reduction in Appropriations

Model Assumptions	Universities	CCs	TTCs
Fixed Costs	3.0%	3.0%	3.0%
Enrollment	0.0%	0.0%	0.0%
State Appropriations	-6.0%	-5.4%	-5.7%
Average Tuition Rate Increase	7.9%	9.3%	21.3%

DATE: November 15, 2012

SUBJECT: 2013-14 Capital Project Recommendations

ACTION RECOMMENDED: Approval

BACKGROUND INFORMATION

The structure of THEC’s capital projects recommendations changed beginning with the 2012-13 budget cycle. After consultations with UT, TBR and the Governor’s office, several key changes were made to the capital process. These include the addition of a matching requirement for all capital outlay projects as well as advance full project planning that is funded by the institutional match rather than state funds. These changes are incorporated into the 2013-14 recommendations.

RECOMMENDATION SUMMARY

Capital Outlay

The capital outlay recommendation for 2013-14 totals \$289.1 million. As shown in Attachment I, this includes two projects for the University of Tennessee totaling \$135.9 million, or 47 percent of the total, and five projects for the Tennessee Board of Regents totaling \$153.2 million, or 53 percent of the total. All capital outlay projects include an institutional matching component applicable to the first \$75 million of a project. THEC intends that UT and TBR have flexibility to craft the specific parameters of the matching component.

Matching funds will largely consist of private gifts, grants, institutional matching funds, student fees and other sources. However, the goal of the matching component is to leverage private and external funding to the greatest extent possible with the intent that private gifts and grants be the first source of match for each project. Institutions and systems should make every effort to maximize private gifts and grants, while minimizing the use of student fees.

In 2012-13, higher education received \$204.8 million to fund the top three projects from THEC’s 2012-13 capital outlay recommendations, which was the largest investment in capital outlay since 2007-08.

Capital Maintenance

The 2013-14 recommendation for capital maintenance for the Tennessee Board of Regents and the University of Tennessee systems is \$104.8

million. As shown in Attachment IV, this includes 11 projects for the University of Tennessee totaling \$44.3 million, or 42 percent of the total, and 58 projects for the Tennessee Board of Regents totaling \$60.6 million, or 58 percent of the total.

In 2012-13, higher education received \$71.4 million to fund 55 capital maintenance projects which was the largest investment in capital maintenance projects since 2004-05.

Disclosure of Revenue-Funded Projects

Projects of this nature are funded through institutional funds, Tennessee State School Bond Authority, auxiliary funds, or sources other than state appropriations. For 2013-14, there are 58 revenue-funded projects totaling \$306.9 million for both the Tennessee Board of Regents and the University of Tennessee systems. As shown in Attachment V, the listing includes 18 projects totaling \$170.2 million for the University of Tennessee, and 39 projects totaling \$136.7 million for the Tennessee Board of Regents.

ATTACHMENT I

THEC 2013-14 Capital Projects Recommendation

THEC Priority	Capital Outlay		Total Project Cost	2013-14 Project Cost ¹	Match	Total Match Funds ²	State Funds Request	
1	UT	UTHSC	Classroom and Laboratory Renovations	\$68,500,000	\$68,500,000	10%	\$6,850,000	\$61,650,000
2	TBR	Nashville	New Academic and Support Building	\$20,430,000	\$20,430,000	10%	\$2,043,000	\$18,387,000
3	TBR	Northeast	Technical Education Complex	\$36,320,000	\$35,205,000	10%	\$3,520,500	\$31,684,500
4	TBR	UM	Community Health Facility	\$60,000,000	\$58,850,000	25%	\$14,712,500	\$44,137,500
5	UT	UTK	Science Laboratory Facility (13th & Cumberland)	\$93,000,000	\$93,000,000	25%	\$18,750,000	\$74,250,000
6	TBR	Volunteer	Humanities Building	\$29,280,000	\$29,280,000	10%	\$2,928,000	\$26,352,000
7	TBR	Columbia	Williamson County Center Relocation	\$36,230,000	\$36,230,000	10%	\$3,623,000	\$32,607,000
TBR Total				\$182,260,000	\$179,995,000		\$26,827,000	\$153,168,000
UT Total				\$161,500,000	\$161,500,000		\$25,600,000	\$135,900,000

Capital Outlay Full Planning			Total Project Cost	Total Match Funds ²	Match	Institutional Planning Funds	State Funds Request
TBR	TTCs	Chattanooga, Jackson, Paris, and Shelbyville Additions	\$17,940,000	\$897,000	5%	\$800,000	\$0
TBR	APSU	Trahern Building Addition and Renovation	\$20,260,000	\$5,065,000	25%	\$1,000,000	\$0
TBR	Jackson	Health Sciences Building	\$16,580,000	\$1,658,000	10%	\$1,000,000	\$0
TBR	ETSU	Fine Arts Classroom Building	\$37,820,000	\$9,455,000	25%	\$1,500,000	\$0
TBR	TSU	Library Addition and Renovation	\$16,580,000	\$4,145,000	25%	\$1,000,000	\$0
TBR	TTU	New Chemistry Building and Infrastructure	\$81,750,000	\$18,750,000	25%	\$4,000,000	\$0
UT	UTK	Life Sciences and Laboratory Facility (Walters)	\$100,000,000	\$18,750,000	25%	\$3,000,000	\$0
TBR Total			\$190,930,000	\$39,970,000		\$9,300,000	\$0
UT Total			\$100,000,000	\$18,750,000		\$3,000,000	\$0

Capital Maintenance	Total	Projects	State Funds Request
TBR Total	\$60,560,000	58	\$60,560,000
UT Total	\$44,250,000	11	\$44,250,000

Total	Total	Projects	Total Match Funds ²	State Funds Request
Total Capital Outlay	\$343,760,000	7	\$52,427,000	\$289,068,000
Total Capital Outlay Full Planning	\$290,930,000	7	\$12,300,000	\$0
Total Capital Maintenance	\$104,810,000	69	\$0	\$104,810,000
Total Capital Investment	\$739,500,000	83	\$64,727,000	\$393,878,000

1- 2013-14 Project Cost is lower than Total Project Cost when an institution receives funding from state appropriations or other sources in the years prior to the 2012-13 match requirement. The match component is based on the 2013-14 Project Cost.

2- Match is required only on the first \$75 million of capital outlay projects. May include match funds expended in previous years.

ATTACHMENT II
THEC 2013-14 Capital Outlay Projects Recommendation

THEC Priority	System Priority	Institution	Project Name	A	B	C = A - B	D	E = C*D	F	G = E - F	H = C - E
				Total Project Cost	Previous Years Funding ¹	2013-14 Project Cost	Match Percentage	Total Match Funds ²	Previous Years Match Funds ³	2013-14 Match Funds	State Appropriation Request
1	1	UTHSC	Classroom & Laboratory Renovations	\$68,500,000	\$0	\$68,500,000	10%	\$6,850,000	\$2,000,000	\$4,850,000	\$61,650,000
2	1	Nashville	New Academic and Support Building	\$20,430,000	\$0	\$20,430,000	10%	\$2,043,000	\$1,100,000	\$943,000	\$18,387,000
3	2	Northeast	Technical Education Complex	\$36,320,000	\$1,115,000	\$35,205,000	10%	\$3,520,500	\$810,000	\$2,710,500	\$31,684,500
4	3	UM	Community Health Facility	\$60,000,000	\$1,150,000	\$58,850,000	25%	\$14,712,500	\$2,100,000	\$12,612,500	\$44,137,500
5	2	UTK	Science Laboratory Facility	\$93,000,000	\$0	\$93,000,000	25%	\$18,750,000	\$3,000,000	\$15,750,000	\$74,250,000
6	4	Volunteer	Humanities Building	\$29,280,000	\$0	\$29,280,000	10%	\$2,928,000	\$1,500,000	\$1,428,000	\$26,352,000
7	5	Columbia	Williamson County Center Relocation	\$36,230,000	\$0	\$36,230,000	10%	\$3,623,000	\$1,800,000	\$1,823,000	\$32,607,000
TBR Total for 2013-14				\$182,260,000	\$2,265,000	\$179,995,000	10%-25%	\$26,827,000	\$7,310,000	\$19,517,000	\$153,168,000
UT Total for 2013-14				\$161,500,000	\$0	\$161,500,000	10%-25%	\$25,600,000	\$5,000,000	\$20,600,000	\$135,900,000
TOTAL CAPITAL OUTLAY PROJECTS FOR 2013-14				\$343,760,000	\$2,265,000	\$341,495,000	10%-25%	\$52,427,000	\$12,310,000	\$40,117,000	\$289,068,000

1- Funding from sources (state appropriations, grants, etc.) received before the match requirement was enacted in 2012-13.

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

3- Institutional funding expended in 2012-13 for project planning.

How to read this table: As an example, Northeast State Community College Technical Education Complex has an estimated Total Project Cost (A) of \$36.32 million. The institution received funding from state appropriations in 2007-08 totaling \$1.115 million. Since these funds were received before the implementation of the match requirement in 2012-13, these funds are considered Previous Years Funding (B) toward the project and are subtracted from Total Project Cost (A) to get the 2013-14 Project Cost (C). For this project, the 2013-14 Project Cost (C) is \$35.205 million.

Next, the Total Match Funds (E) are calculated by multiplying the Match Percentage (D) by the 2013-14 Project Cost (C). For this project, the Total Match Funds are \$3,520,500, which is \$35.205 million multiplied by 10 percent.

These Total Match Funds (E) are then split into two categories. Previous Years Match Funds (F) are simply funds expended in previous fiscal years. Most often, these are institutional funds used for planning of projects before they are brought forward for full implementation. 2013-14 Match Funds (G) are simply the Total Match Funds (E) less any Previous Years Match Funds (F), and represent the balance of the total match for the project. In this example, Northeast State Community College allocated \$810,000 toward Previous Years Match Funds (F). Therefore, the 2013-14 Match Funds (G) equal the balance of the Total Match Funds (E) of \$3,520,500 less the Previous Years Match Funds (F) of \$810,000, resulting in a balance for 2013-14 Match Funds (G) of \$2,710,500.

Finally, the State Appropriation Request (H) is determined by subtracting the Total Match Funds (E) from the 2013-14 Project Cost (C). Here, Northeast State Community College is requesting State Appropriations (H) of \$31,684,500, which is the 2013-14 Project Cost (C) of \$35.205 million less the Total Match Funds (E) of \$3,520,500.

ATTACHMENT III
THEC 2013-14 Capital Outlay Projects Descriptions

THEC Priority	System Priority	System	Institution	Project Name	Total Project Cost	State Request	Project Description
1	1	UT	UTHSC	Classroom and Laboratory Renovations	\$68,500,000	\$61,650,000	This project will renovate the Crowe, Nash, and Mooney Building complex. Building systems and internal circulation corridors for these facilities are interconnected and some what operationally interdependent. Crowe and Mooney will be renovated to house administrative offices and research laboratories in Nash and Nash Annex will be renovated. In FY 2012-13, \$2M was approved for the Planning of this project.
2	1	TBR	Nashville	New Academic and Support Building	\$20,430,000	\$18,387,000	Construct a multi-purpose classroom and lab building to include offices, classrooms, labs, gymnasium, workout facility, and lockers. Also, a 20,000 sf basement will be used for storage. Programs supported by this building: Fine Arts, Music, PhysEd, Police Science, general academic courses.
3	2	TBR	Northeast	Technical Education Complex	\$36,320,000	\$31,684,500	Provide adequate classrooms, class labs, faculty offices, and storage for technical education programs and new allied health programs. Demolish three existing technology shop and lab buildings. Programs supported by this building: Automotive, Maintenance, Welding, Electricity, Refrigeration, Robotics, EMT/Trauma and Allied Health.
4	3	TBR	UM	Community Health Facility	\$60,000,000	\$44,137,500	This project will construct a replacement facility for the School of Audiology and Speech Pathology and the Lowenburg School of Nursing. The existing facilities are over 40 years old. Severe problems with deferred maintenance and modernization indicate a replacement facility is the only feasible alternative to provide adequate permanent space.
5	2	UT	UTK	Science Laboratory Facility (13th & Cumberland)	\$93,000,000	\$74,250,000	This project will provide a new, approximately 222,000 GSF, multidisciplinary science laboratory facility at Cumberland Ave. and 13th St. This facility will house research and teaching laboratories, associated support services, faculty and departmental offices, and a vivarium. Project includes acquisition of three contiguous land parcels. In FY 2012-13, \$3M was approved for Planning of this project.
6	4	TBR	Volunteer	Humanities Building	\$29,280,000	\$26,352,000	This project will construct a new 76,425 square foot Humanities Building with classrooms, studios, laboratories, and faculty and administrative office space, in support of the College's university-parallel, general education, developmental studies, and career programs. Will also expand related facilities in the Maintenance Building and in the I.T. section of the "W" building.
7	5	TBR	Columbia	Williamson County Center Relocation	\$36,230,000	\$32,607,000	This project will allow the institution to acquire suitable land and construct a facility to meet the objective of providing educational programs to serve 2,600 Head Count and 2,000 FTE. Currently, enrollment exceeds capacity and current facility design is incorrect for current use. Any renovation costs to rectify these issues would exceed replacement costs. Land base for the institution is insufficient for any building or parking expansion now or in the future.

ATTACHMENT IV

THEC 2013-14 Capital Maintenance Projects Recommendation

Tennessee Board of Regents		Total
TTC Crump & Ripley	Interior and Exterior Updates	\$350,000
TSU	Various Roof Repair/Replacements	\$1,250,000
MTSU	Murphy Center Roof Replacement	\$2,720,000
Chattanooga	Energy Plant and Omniplex Roof Replacement	\$630,000
Statewide	TTC Roof Replacements	\$1,590,000
Jackson	McWherter Roof and Envelope Repairs Phase I	\$500,000
ETSU	Several Building Elevator Updates	\$1,350,000
Walters	College Center Assembly Hall HVAC Corrections	\$550,000
Cleveland	Various Buildings HVAC Updates	\$400,000
ETSU CoM	Building 2 Water System Replacement	\$500,000
APSU	Campus Electrical Updates	\$1,450,000
Pellissippi	HVAC Updates	\$500,000
UM	Academic Buildings HVAC Corrections	\$6,000,000
Columbia	Warf Building HVAC Updates Phase I	\$490,000
Northeast	Gray Campus Code and HVAC Updates	\$250,000
Volunteer	Mattox Building HVAC Updates Phase I	\$500,000
Motlow	Underground Waterlines Replacement Phase I	\$360,000
Dyersburg	Glover Building HVAC Updates	\$310,000
Southwest	Union Campus Mechanical Systems Updates	\$1,240,000
Roane	Several Buildings HVAC Corrections	\$540,000
TTC Jackson & Paris	Fire Alarm and Security Systems Updates	\$300,000
Statewide	TTC Chiller Replacements	\$1,390,000
TTU	Several Buildings Upgrades A	\$3,160,000
UM	Building Code and Safety Updates Phase I	\$1,000,000
ETSU	Several Buildings Lighting Replacements	\$1,500,000
MTSU	Central Plant Cooling Tower Replacement	\$810,000
TSU	Utility Tunnel Stabilization	\$1,500,000
Roane	Cumberland County Roof Replacement	\$400,000
Jackson	McWherter Roof and Envelope Repairs Phase II	\$720,000
MTSU	Absorption Chiller/Tower Replacement	\$1,100,000
Cleveland	Various Buildings HVAC Updates	\$400,000
Walters	Campus wide Mechanical Updates	\$750,000
APSU	Browning Building Mechanical Updates	\$1,300,000
Chattanooga	Campus Electrical Updates	\$750,000
MTSU	Jones Hall Plumbing Updates	\$1,080,000
ETSU CoM	Buildings Sprinkler System Updates	\$690,000
Volunteer	Mattox Building HVAC Updates Phase I	\$400,000
MTSU	Several Buildings Electrical Updates	\$1,080,000
Motlow	Underground Waterlines Replacement Phase II	\$350,000
TTU	Campus Steam Line Replacement	\$3,090,000
Dyersburg	Glover/Eller Buildings Mechanical Updates Phase I	\$310,000
Southwest	Mechanical Systems Modernization	\$1,240,000
Columbia	Warf Building HVAC Updates Phase II	\$610,000

Tennessee Board of Regents (continued)		Total
UM	Building Code and Safety Updates Phase II	\$3,000,000
Pellissippi	Division Street Codes and Repairs	\$500,000
TTC Shelbyville	Parking Lot Repavement	\$150,000
UM	Several Building Envelope Repairs	\$3,000,000
TTC Hartsville	Campus Parking and Lighting Updates	\$350,000
TSU	Life Safety/ADA Updates	\$1,000,000
MTSU	Murphy Center Ceiling Replacement	\$800,000
ETSU	Memorial Center Interior Updates	\$2,500,000
Northeast	Faculty Building Glass Replacement	\$190,000
ETSU	Accessibility and Code Corrections	\$2,000,000
TTC Dickson	ADA Accessibility Corrections	\$160,000
TTC Hartsville	Accessibility and Code Corrections	\$240,000
TTC Pulaski	Life Safety/ADA Updates	\$360,000
Pellissippi	Fire Code Corrections	\$210,000
TTU	Various Buildings Roof Replacements	\$690,000
TBR 2013-14 Total		\$60,560,000

University of Tennessee		Total
UTC	Central Energy System Expansion	\$8,700,000
UTM	Building Envelope Upgrade	\$2,350,000
UTK	Cumberland Avenue Steam Line Replacement	\$6,000,000
UTHSC	General Education Building Improvements	\$5,000,000
UTIA	Roof & Mechanical System Maintenance - West TN REC/Milan	\$3,100,000
UTM	Upgrade Steam Lines	\$4,000,000
UTC	Electrical Distribution System Expansion	\$3,200,000
UTK	Chiller Systems Improvements	\$5,000,000
UTM	Earth and Planetary Sciences Lab Improvements	\$3,150,000
UTIA	REC Greenhouse Improvements	\$1,250,000
UTC	Building Exterior Repairs	\$2,500,000
UT 2013-14 Total		\$44,250,000

	Projects	Total
TBR	58	\$60,560,000
UT	11	\$44,250,000
Total	69	\$104,810,000

ATTACHMENT V
THEC Disclosure of Revenue-Funded Capital Projects 2013-14

TENNESSEE BOARD OF REGENTS

Institution	Project	Funding Source	Project Cost	New						
				Sq.Ft.	TSSBA	Gifts	Grants	Auxiliary	Operating	
APSU	AP Bowl Renovation	Plant Funds Non-Auxiliary	\$1,500,000	0	\$0	\$0	\$0	\$0	\$0	\$1,500,000
APSU	Baseball Field Lighting Replacement	Plant Funds Non-Auxiliary	\$600,000	0	\$0	\$0	\$0	\$0	\$0	\$600,000
APSU	Farm Building Replacement	Plant Funds Non-Auxiliary	\$280,000	0	\$0	\$0	\$0	\$0	\$0	\$280,000
APSU	Intermodal Transportation Facility	Federal Grant	\$19,000,000	0	\$0	\$0	\$19,000,000	\$0	\$0	\$0
APSU	Shasteen Storage Building	Plant Funds Non-Auxiliary	\$140,000	7,500	\$0	\$0	\$0	\$0	\$0	\$140,000
APSU	Strawberry Alley Renovation	Plant Funds Non-Auxiliary	\$1,300,000	0	\$0	\$0	\$0	\$0	\$0	\$1,300,000
ETSU	Baseball Stadium Upgrades	Gifts	\$4,500,000	12,000	\$0	\$4,500,000	\$0	\$0	\$0	\$0
ETSU	Campus Green Space	Plant Funds Non-Auxiliary	\$1,000,000	0	\$0	\$0	\$0	\$0	\$0	\$1,000,000
ETSU	DP Culp Center Renovation	Plant Funds - Auxiliary - Student Fees	\$3,500,000	0	\$0	\$0	\$0	\$0	\$3,500,000	\$0
ETSU	Indoor Tennis Complex Construction	Plant Funds - Athletics & Gifts	\$2,000,000	60,000	\$0	\$1,985,000	\$0	\$0	\$0	\$15,000
ETSU	Post Office Renovation	Plant Funds Non-Auxiliary	\$600,000	0	\$0	\$0	\$0	\$0	\$0	\$600,000
ETSU	Stone Hall Renovations	Plant Funds Non-Auxiliary	\$3,500,000	0	\$0	\$0	\$0	\$0	\$0	\$3,500,000
TSU	Parking Lot Gate and Control Improvements	Plant Funds Non-Auxiliary	\$300,000	1,000	\$0	\$0	\$0	\$0	\$0	\$300,000
TTU	Fitness Center Fire Alarm System Update	Plant Funds - Auxiliary - Student Fees	\$150,000	0	\$0	\$0	\$0	\$0	\$150,000	\$0
TTU	Steam Plant Boiler Conversion	Plant Funds & Federal Grant	\$1,850,000	0	\$0	\$0	\$250,000	\$0	\$0	\$1,600,000
UM	Annex Facility Completion	Gifts	\$400,000	0	\$0	\$400,000	\$0	\$0	\$0	\$0
UM	Mynders Hall Fire Alarm Replacement	Plant Funds - Auxiliary - Housing	\$300,000	0	\$0	\$0	\$0	\$0	\$300,000	\$0
UM	Wilder Tower Renovations	Plant Funds Non-Auxiliary	\$500,000	0	\$0	\$0	\$0	\$0	\$0	\$500,000
Motlow	Powers Auditorium Renovations	Gifts	\$650,000	0	\$0	\$650,000	\$0	\$0	\$0	\$0
Northeast	Campus Paving Replacement	Plant Funds Non-Auxiliary	\$180,000	0	\$0	\$0	\$0	\$0	\$0	\$180,000
Pellissippi	Division Street Expansion	Plant Funds Non-Auxiliary	\$2,000,000	0	\$0	\$0	\$0	\$0	\$0	\$2,000,000
Pellissippi	Division Street Renovations	Plant Funds (Reserves)	\$650,000	0	\$0	\$0	\$0	\$0	\$0	\$650,000
Roane	Baseball and Softball Field Improvements	Plant Funds Non-Auxiliary	\$500,000	0	\$0	\$0	\$0	\$0	\$0	\$500,000
Roane	Security/Surveillance System Update	Plant Funds Non-Auxiliary	\$500,000	0	\$0	\$0	\$0	\$0	\$0	\$500,000
Volunteer	Campus Mechanical Upgrades	Plant Funds Non-Auxiliary	\$2,400,000	0	\$0	\$0	\$0	\$0	\$0	\$2,400,000
Volunteer	Duffer Plaza Site Improvements	Plant Funds Non-Auxiliary	\$600,000	0	\$0	\$0	\$0	\$0	\$0	\$600,000
Volunteer	Loop Road Extension	Plant Funds Non-Auxiliary	\$3,000,000	0	\$0	\$0	\$0	\$0	\$0	\$3,000,000
Volunteer	New Maintenance Equipment Building	Plant Funds Non-Auxiliary	\$120,000	2,400	\$0	\$0	\$0	\$0	\$0	\$120,000
Volunteer	New Robertson County Academic Building	Gifts and Plant Funds	\$3,650,000	10,000	\$0	\$1,650,000	\$0	\$0	\$0	\$2,000,000
Volunteer	Paving, Parking, and Traffic Improvements	Plant Funds Non-Auxiliary	\$2,200,000	0	\$0	\$0	\$0	\$0	\$0	\$2,200,000
Volunteer	Wood Campus Center Cafeteria Renovations	Plant Funds Non-Auxiliary	\$3,000,000	0	\$0	\$0	\$0	\$0	\$0	\$3,000,000
Walters	Campus Entrance Corrections	Plant Funds Non-Auxiliary	\$730,000	0	\$0	\$0	\$0	\$0	\$0	\$730,000
TTC Nashville	Parking Lot Repairs	Plant Funds (Renewals and Replacement Funds)	\$110,000	0	\$0	\$0	\$0	\$0	\$0	\$110,000
Projects proposed for TSSBA funding										
Statewide	Energy Savings Initiatives	TSSBA (energy savings)	\$25,000,000	0	\$25,000,000	\$0	\$0	\$0	\$0	\$0
APSU	Sevier Hall HVAC Replacement	TSSBA (rent)	\$1,800,000	0	\$1,800,000	\$0	\$0	\$0	\$0	\$0
ETSU	Campus Housing Renovations	TSSBA (rent)	\$3,310,000	0	\$3,310,000	\$0	\$0	\$0	\$0	\$0
ETSU CoM	Johnson City Family Medicine Facility Construction	TSSBA (Clinic) & Auxiliary (Fam. Med. R&R)	\$7,750,000	20,000	\$7,725,000	\$0	\$0	\$25,000	\$0	\$0
UM	Energy Conservation	TSSBA (energy savings)	\$15,000,000	0	\$15,000,000	\$0	\$0	\$0	\$0	\$0
UM	Norriswood Parking Garage Construction	TSSBA (parking) & Aux (food services)	\$22,100,000	300,000	\$20,500,000	\$0	\$0	\$1,600,000	\$0	\$0
Capital Outlay Match Funds¹										
UM	Community Health Facility	Plant Funds Non-Auxiliary	\$14,712,500	176,572	\$0	\$0	\$0	\$0	\$0	\$14,712,500
39 Projects	TOTAL TBR DISCLOSED PROJECTS		\$136,670,000	412,900	\$73,335,000	\$9,185,000	\$19,250,000	\$5,575,000		\$29,325,000

1- Project costs represent the remaining 2013-14 match funds associated with the recommended capital outlay project found in Attachment I. These funds are being disclosed in the event that they are brought forward to the TSSBA for consideration.

ATTACHMENT V
THEC Disclosure of Revenue-Funded Capital Projects 2013-14

UNIVERSITY OF TENNESSEE

Institution	Project	Funding Source	Project Cost	New		TSSBA	Gifts	Grants	Auxiliary	Operating
				Sq.Ft.						
UTC	Dining Services Improvements	Plant Funds - Auxiliary - Food Service	\$1,500,000	0		\$0	\$0	\$0	\$1,500,000	\$0
UTC	Arena Renovations	Plant Funds - Non-Auxiliary; Gifts	\$3,100,000	0		\$0	\$1,500,000	\$0	\$0	\$1,600,000
UTC	Portable Buildings	Plant Funds - Non-Auxiliary	\$1,200,000	0		\$0	\$0	\$0	\$0	\$1,200,000
UTK	Campus Beautification Projects	Plant Funds - Non-Auxiliary	\$2,000,000	0		\$0	\$0	\$0	\$0	\$2,000,000
UTK	Environmental Initiatives	Plant Funds - Non-Auxiliary	\$1,500,000	0		\$0	\$0	\$0	\$0	\$1,500,000
UTK	Renovations for Governor's Chair	Plant Funds - Non-Auxiliary	\$5,000,000	0		\$0	\$0	\$0	\$0	\$5,000,000
UTK	Laboratories Renovation and Upgrades	Plant Funds - Non-Auxiliary	\$6,000,000	0		\$0	\$0	\$0	\$0	\$6,000,000
UTK	Dining Services Improvements	Plant Funds - Auxiliary - Dining Service	\$600,000	0		\$0	\$0	\$0	\$600,000	\$0
UTK	Parking Garage and Lot Repairs	Plant Funds - Auxiliary - Parking	\$1,500,000	0		\$0	\$0	\$0	\$1,500,000	\$0
UTK	Deferred Maintenance	Plant Funds - Non-Auxiliary	\$11,000,000	0		\$0	\$0	\$0	\$0	\$11,000,000
UTK	Classroom Upgrades	Plant Funds - Non-Auxiliary	\$5,000,000	0		\$0	\$0	\$0	\$0	\$5,000,000
UTK	Cumberland Avenue Space Renovations	Plant Funds - Auxiliary - Bookstore & Dining Serv	\$2,500,000	0		\$0	\$0	\$0	\$2,500,000	\$0
UTM	Dining Services Improvements	Plant Funds - Auxiliary - Food Service	\$2,000,000	0		\$0	\$0	\$0	\$2,000,000	\$0
Projects proposed for TSSBA funding										
UTC	West Campus Parking Garage/Housing Complex	TSSBA	\$77,500,000	0		\$77,500,000	\$0	\$0	\$0	\$0
UTHSC	Cancer Research Building - Completion of 4th Floor	TSSBA	\$4,800,000	0		\$4,800,000	\$0	\$0	\$0	\$0
UTHSC	Pharmacy Building - Completion of 6th Floor	TSSBA	\$5,000,000	0		\$5,000,000	\$0	\$0	\$0	\$0
UTK	Student Recreation Renovations/Improvements	Plant Funds - Auxiliary (Student Fees); TSSBA	\$30,000,000	0		\$25,000,000	\$0	\$0	\$5,000,000	\$0
UTK	Joint Institutes for Advanced Materials Sciences Phase II	Plant Funds - Non-Auxiliary; TSSBA	\$10,000,000	0		\$5,000,000	\$0	\$0	\$0	\$5,000,000
Capital Outlay Match Funds¹										
UTK	Science Laboratory Facility (13th & Cumberland)	Plant Funds - Non-Auxiliary	\$15,750,000	222,000		\$0	\$0	\$0	\$0	\$15,750,000
19 Projects	TOTAL UT DISCLOSED PROJECTS		\$170,200,000	-		\$117,300,000	\$1,500,000	\$0	\$13,100,000	\$38,300,000
58 Projects	TOTAL TBR & UT DISCLOSED PROJECTS		\$306,870,000	412,900		\$190,635,000	\$10,685,000	\$19,250,000	\$18,675,000	\$67,625,000

1- Project costs represent the remaining 2013-14 match funds associated with the recommended capital outlay project found in Attachment I. These funds are being disclosed in the event that they are brought forward to the TSSBA for consideration.

ATTACHMENT VI
THEC Five-Year Plan for Capital Projects - Out Years
2014-15 through 2017-18

		A	B	C	D = (A*B) - C	E = A - C - D
		Total	Target	Full Planning	Match Funds	State Funds
TBR Capital Outlay Out Years		Project Cost	Match	Funds¹	Less Planning²	Request
TTCs	Chattanooga, Jackson, Paris, and Shelbyville Additions	\$17,940,000	5%	\$800,000	\$97,000	\$17,043,000
APSU	Trahern Building Addition and Renovation	\$20,260,000	25%	\$1,000,000	\$4,065,000	\$15,195,000
Jackson	Health Sciences Building	\$16,580,000	10%	\$1,000,000	\$658,000	\$14,922,000
ETSU	Fine Arts Classroom Building	\$37,820,000	25%	\$1,500,000	\$7,955,000	\$28,365,000
TSU	Library Addition and Renovation	\$16,580,000	25%	\$1,000,000	\$3,145,000	\$12,435,000
TTU	New Chemistry Building and Infrastructure	\$81,750,000	25%	\$4,000,000	\$14,750,000	\$63,000,000
ETSU	Lamb Hall Renovation	\$21,050,000	25%	TBD from Match	\$5,262,500	\$15,787,500
UM	Biochemistry and Biology Facility	\$33,800,000	25%	TBD from Match	\$7,037,500	\$24,712,500
MTSU	Academic Classroom Building	\$28,500,000	25%	TBD from Match	\$7,125,000	\$21,375,000
Statewide	Community Colleges Additions and Renovations	\$28,650,000	10%	TBD from Match	\$2,865,000	\$25,785,000
Statewide	TTCs Additions and Renovations	\$12,700,000	5%	TBD from Match	\$635,000	\$12,065,000
Statewide	Un-prioritized Projects	\$33,000,000				\$33,000,000
Statewide	Un-prioritized Projects	\$150,000,000				\$150,000,000
Statewide	Un-prioritized Projects	\$150,000,000				\$150,000,000
TBR Total		\$648,630,000		TBD from Match	\$53,595,000	\$583,685,000

		Total	Target	Full Planning	Match Funds	State Funds
UT Capital Outlay Out Years		Total	Match	Funds¹	Less Planning²	Request
UTK	Academic and Instruction Support Facility (Melrose)	\$80,925,000	25%	\$3,000,000	\$15,750,000	\$62,175,000
UTM	Fine Arts Renovation and Addition Phase II	\$13,800,000	25%	\$500,000	\$2,950,000	\$10,350,000
UTC	Life Sciences Laboratory Building	\$59,500,000	25%	\$3,000,000	\$11,875,000	\$44,625,000
UTIA	Energy and Environmental Science Building	\$45,450,000	10%	\$2,000,000	\$2,545,000	\$40,905,000
UTK	Life Sciences and Laboratory Facility (Walters)	\$100,000,000	25%	\$3,000,000	\$15,750,000	\$81,250,000
UTIA	Interdisciplinary Residential and Education Greenhouses	\$4,000,000	10%	TBD from Match	\$400,000	\$3,600,000
UTK	Classroom and Laboratory Facility (Harris)	\$30,000,000	25%	TBD from Match	\$7,500,000	\$22,500,000
UTC	Academic Classroom Renovations	\$31,500,000	25%	TBD from Match	\$7,875,000	\$23,625,000
UTM	Classroom and Laboratory Renovation and Addition	\$45,500,000	25%	TBD from Match	\$11,375,000	\$34,125,000
UTC	Health Sciences Building	\$49,100,000	25%	TBD from Match	\$12,275,000	\$36,825,000
UTK	Nursing Building Renovation and Addition	\$45,000,000	25%	TBD from Match	\$11,250,000	\$33,750,000
UTHSC	Academic and Laboratory Facilities Improvements	\$20,000,000	10%	TBD from Match	\$2,000,000	\$18,000,000
UTK	Engineering Services Facility	\$35,000,000	25%	TBD from Match	\$8,750,000	\$26,250,000
UTIA	West Tennessee 4-H Center	\$36,030,000	10%	TBD from Match	\$3,603,000	\$32,427,000
UTHSC	Pauline Building System	\$20,000,000	10%	TBD from Match	\$2,000,000	\$18,000,000
UT Total		\$615,805,000		TBD from Match	\$115,898,000	\$488,407,000

		Total	Target	Full Planning	Match Funds	State Funds
Capital Maintenance Out Years		Total	Match	Funds¹	Less Planning²	Request
TBR Total		\$305,835,000	NA	\$0	\$0	\$305,835,000
UT Total		\$0	NA	\$0	\$0	\$0

		Total	Target	Institution Funds		State Funds
Total Out Years		Total	Match	Full Planning	Match Funds	State Funds
				Funds¹	Less Planning²	Request
Total Capital Outlay Out Years 2014-15 through 2017-18		\$1,264,435,000	5%-25%	TBD from Match	\$169,493,000	\$1,072,092,000
Total Capital Maintenance Out Years 2014-15 through 2017-18		\$305,835,000	NA	\$0	\$0	\$305,835,000
Total Capital Investment 2014-15 through 2017-18		\$1,570,270,000	NA	TBD from Match	\$169,493,000	\$1,377,927,000

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 & Instruction Support Facility, the UTM Fine Arts building, the UTC Life Sciences Lab and the UTIA Science building expended planning funds in 2012-13. The UTK Life Sciences Building and all TBR projects with identified planning funds will expend these funds in 2013-14.

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 2014-15 through 2017-18

Tennessee Board of Regents			Total
2014-15	UM	Various Roof Replacements	\$4,100,000
2014-15	TTC Knoxville	Campus Roof Replacement Phase II	\$410,000
2014-15	TTC Memphis	Administration and Education Buildings Roof Replacements	\$520,000
2014-15	Cleveland	Various Buildings HVAC Updates	\$400,000
2014-15	Chattanooga	Cooling Tower Replacement	\$500,000
2014-15	TSU	Tunnel Utility Piping Updates	\$2,500,000
2014-15	APSU	Claxton Building HVAC Corrections	\$1,250,000
2014-15	TTU	Craft Center Sewage Treatment Plant Replacement	\$320,000
2014-15	APSU	Central Fire Monitoring Update	\$140,000
2014-15	Walters	Greeneville Campus Mechanical Corrections	\$750,000
2014-15	MTSU	Domestic Water/Sewer Systems Updates	\$510,000
2014-15	ETSU	Campus Wide Water Line Repairs	\$2,200,000
2014-15	TTU	Roaden University Center Electrical Updates A	\$700,000
2014-15	Roane	Security/Surveillance System Update	\$540,000
2014-15	Volunteer	Campus HVAC Updates	\$500,000
2014-15	MTSU	Peck Hall HVAC Update	\$930,000
2014-15	MTSU	Campus Stormwater Plan	\$590,000
2014-15	MTSU	Several Buildings Exterior Repairs	\$1,100,000
2014-15	MTSU	Murphy Center Exterior Door Repair	\$680,000
2014-15	Pellissippi	Campus Paving Repairs	\$500,000
2014-15	UM	Several Building Envelope Repairs	\$3,000,000
2014-15	TTC McMinnville	Campus Restrooms Updates	\$430,000
2014-15	Roane	Technology Building Roof Replacement	\$200,000
2014-15	Jackson	Science Building Roof Replacement	\$390,000
2014-15	Chattanooga	CETAS Modifications and Updates Phase I	\$850,000
2014-15	Motlow	Underground Waterlines Replacement Phase III	\$350,000
2014-15	Dyersburg	Glover/Eller Buildings Mechanical Updates Phase II	\$310,000
2014-15	APSU	Music Mass Communications HVAC Replace Phase I	\$1,180,000
2014-15	TTC Hohenwald	HVAC System Updates	\$100,000
2014-15	Columbia	Mechanical Repair & Replacement	\$2,200,000
2015-16	Walters	Chiller and Cooling Tower Replacement	\$750,000
2015-16	Columbia	Warf Building HVAC Updates Phase III	\$600,000
2015-16	UM	Campus Electrical Update	\$4,500,000
2015-16	Southwest	Macon Academic Building Envelope Corrections	\$1,240,000
2015-16	MTSU	Campus Sidewalk Repairs	\$350,000
2015-16	TSU	Entrance Colonnade Repairs	\$2,500,000
2015-16	TTU	Several Buildings Upgrades B	\$1,550,000
2015-16	UM	Building Code and Safety Updates B	\$4,000,000
2015-16	UM	Various Buildings Asbestos Abatement	\$1,000,000
2015-16	Columbia	Several Buildings Roof Replacement	\$290,000
2015-16	Roane	Oak Ridge Campus Roof Replacement	\$1,140,000
2015-16	Roane	O'Brien Building Roof Replacement	\$360,000
2015-16	TTC Harriman	HVAC System Replacement Phase II	\$360,000
2015-16	APSU	Music Mass Communication HVAC Replace Phase II	\$1,180,000
2015-16	ETSU	Electrical Repair & Replacement	\$2,500,000

Tennessee Board of Regents (continued)			Total
2015-16	Columbia	Powerhouse System Repairs	\$250,000
2015-16	ETSU	Several Buildings Systems Repair	\$1,000,000
2015-16	TTU	Roaden University Center Electrical Updates B	\$3,160,000
2015-16	Dyersburg	Glover/Eller Buildings Mechanical Updates Phase III	\$310,000
2015-16	TTC Ripley	HVAC Updates	\$250,000
2015-16	TTC Chattanooga	Shop HVAC Updates	\$320,000
2015-16	TSU	Several Buildings HVAC Updates	\$1,750,000
2015-16	APSU	Campus Fire Alarm Modernization Phase I	\$1,050,000
2015-16	Walters	Humanities Corrections	\$1,000,000
2015-16	UM	Academic Facilities HVAC Replacement	\$5,500,000
2015-16	Dyersburg	Gymnasium Mechanical Updates	\$180,000
2015-16	APSU	Campus Fire Alarm Modernization Phase II	\$1,050,000
2015-16	TSU	Campus Plumbing Updates	\$2,000,000
2016-17	TTU	Derryberry Hall Systems Replacement A	\$3,160,000
2016-17	TTC Covington	Electrical Updates	\$120,000
2016-17	TTC Hartsville	Campus HVAC Updates	\$560,000
2016-17	UM	Several Buildings HVAC System Updates	\$4,550,000
2016-17	APSU	Dunn Center HVAC Updates	\$1,500,000
2016-17	TTC Hartsville	Electrical Updates	\$810,000
2016-17	TTU	Health and P.E. Building Mechanical Replacement A	\$3,100,000
2016-17	Cleveland	Career Education Building Updates	\$2,200,000
2016-17	TSU	Campus Wide Elevator Replacements	\$4,500,000
2016-17	APSU	Dunn Center HVAC Updates	\$1,500,000
2016-17	Cleveland	High Voltage Updates	\$330,000
2016-17	Roane	Dunbar Building Elevator Replacement	\$440,000
2016-17	TTU	Roaden University Center Electrical Updates C	\$3,160,000
2016-17	TTU	Derryberry Hall Systems Replacement B	\$3,160,000
2016-17	TSU	Underground Utility Updates	\$2,500,000
2016-17	TTU	Health and P.E. Building Mechanical Replacement B	\$3,100,000
2016-17	TSU	Electrical Distribution Updates	\$2,500,000
2016-17	TTU	Roaden University Center Electrical Updates D	\$2,440,000
2016-17	TSU	Campus Center Updates	\$2,500,000
2016-17	Motlow	Marcum Building HVAC Modernization	\$100,000
2016-17	TTU	Several Buildings Waterproof and Exterior Repairs A	\$3,130,000
2017-18	TSU	IT Infrastructure Upgrades	\$2,500,000
2017-18	TTU	Several Buildings Waterproof and Exterior Repairs B	\$2,700,000
2017-18	Motlow	Central Power Plant Boiler Modernization	\$1,020,000
2017-18	Motlow	Center Power Plant Motor Replacements	\$200,000
2017-18	Motlow	McMinnville Campus Geothermal Modernization	\$730,000
2017-18	Motlow	Fayetteville Campus Geothermal Modernization	\$610,000
2017-18	TTC Morristown	Parking Lot Repairs	\$100,000
2017-18	TTC Ripley	Campus Parking Lot Updates	\$130,000
2017-18	TTC Jackson	Campus Wide Repaving	\$260,000
2017-18	TTC Paris	Resurface Parking Lots	\$260,000
2017-18	TSU	Campus Window Replacements	\$1,500,000

ATTACHMENT VII

THEC Five-Year Plan for Capital Maintenance Projects - Out Years 2014-15 through 2017-18

Tennessee Board of Regents (continued)			Total
2017-18	TTC Chattanooga	Courtyard Repairs	\$380,000
2017-18	TTC Knoxville	Campus Maintenance Repairs	\$100,000
2017-18	TTC Memphis	Door and Hardware Replacement	\$100,000
2017-18	TTC Covington	Door and Hardware Replacement	\$160,000
2017-18	TTC Hartsville	Exterior and Interior Updates	\$920,000
2017-18	Motlow	Several Buildings Exterior Repairs	\$1,040,000
2017-18	TSU	Access Control and Locking Updates	\$3,000,000
2017-18	Roane	Campus Wide Paving	\$460,000
2017-18	Motlow	Parking and Roadway Repaving	\$990,000
2017-18	TSU	McMinnville Campus Roof and Envelope Repairs	\$2,500,000
2017-18	TTC Shelbyville	Floor Refurbishments	\$170,000
2017-18	TTC Covington	Restroom Updates	\$190,000
2017-18	Chattanooga	CETAS Modifications and Updates Phase II	\$1,080,000
2017-18	TTC Paris	Restroom Updates	\$50,000
2017-18	TTC Morristown	Restroom Updates	\$100,000
2017-18	TTC Dickson	Restroom Repairs	\$130,000
2017-18	Columbia	Several Buildings Restroom Updates	\$320,000
2017-18	TTC Paris	Automatic Door Installations	\$30,000
2017-18	TTC Ripley	Campus Flooring Updates	\$150,000
2017-18	TTC Chattanooga	Auto Body Shop Interior Corrections	\$350,000
2017-18	Chattanooga	CETAS Modifications and Updates Phase III	\$1,070,000
2017-18	UM	Wilder Tower Updates	\$4,900,000
2017-18	Columbia	Gymnasium Updates	\$300,000
2017-18	Motlow	Several Buildings Interior Repairs	\$570,000
TBR Out Years Total		114 Projects	\$142,720,000

ATTACHMENT VII

THEC Five-Year Plan for Capital Maintenance Projects - Out Years 2014-15 through 2017-18

University of Tennessee			Total
2014-15	UTIA	REC Roof Replacement	\$1,000,000
2014-15	UTK	UTSI - Building Improvements	\$3,000,000
2014-15	UTIA	Ridley 4-H Improvements	\$3,830,000
2014-15	UTC	Elevator Upgrades	\$2,600,000
2014-15	UTK	Science Engineering System Improvements	\$9,000,000
2014-15	UTHSC	Hyman Building System	\$6,000,000
2014-15	UTK	Electrical Distribution Improvements	\$3,500,000
2014-15	UTC	Brock Hall Improvements	\$3,900,000
2014-15	UTM	Sociology Building HVAC Upgrade	\$2,800,000
2014-15	UTC	Doctor's Building Improvements	\$5,700,000
2015-16	UTHSC	SAC Auditorium Upgrades	\$5,000,000
2015-16	UTIA	REC - Paving and Fencing Improvements	\$2,226,000
2015-16	UTK	Dabney Buehler and System Upgrades	\$2,000,000
2015-16	UTM	Earth and Planetary Science Building HVAC Phase I	\$4,165,000
2015-16	UTC	Cadek Hall Improvements	\$1,800,000
2015-16	UTHSC	Replace Washers and Sterilizers	\$1,000,000
2015-16	UTIA	Reinstate Handling Facilities and Equipment and Chemical Stor	\$1,331,000
2015-16	UTK	HVAC Control System Consolidation	\$6,000,000
2015-16	UTM	Paul Meek Library HVAC Control Improvement	\$2,920,000
2015-16	UTC	Guerry Center Improvements	\$1,950,000
2015-16	UTHSC	Upgrade Restroom Campus Wide	\$2,500,000
2015-16	UTIA	Blount Farm Improvements	\$2,115,000
2015-16	UTK	Andy Holt Tower Improvements	\$6,000,000
2015-16	UTM	Clement Hall HVAC and Electrical Improvements	\$2,974,000
2015-16	UTC	MacLellan Gymnasium Improvements	\$1,900,000
2015-16	UTHSC	Hyman Building HVAC and Lighting Improvements	\$3,000,000
2015-16	UTIA	REC Livestock Housing Improvements	\$1,113,000
2015-16	UTK	Electrical Distribution Improvements	\$14,000,000
2015-16	UTM	Hall Moody HVAC Upgrades	\$4,864,000
2015-16	UTC	Pfeiffer Hall Improvements	\$2,250,000
2015-16	UTHSC	General Education Building Improvements	\$3,500,000
2015-16	UTIA	REC Livestock Waste Handling Improvements	\$668,000
2016-17	UTK	High Pressure Chiller Replacement	\$3,000,000
2016-17	UTM	McCombs Building HVAC Upgrades	\$3,550,000
2016-17	UTC	Patten and Danforth Chapel Improvements	\$2,250,000
2016-17	UTHSC	Link Building HVAC Improvements	\$2,000,000
2016-17	UTIA	REC Food Storage and Feeding System Improvements	\$779,000
2016-17	UTK	Communications & Student Services Bldgs. System Improve.	\$12,000,000
2016-17	UTM	Elam Center HVAC Upgrades Phase II	\$3,545,000

University of Tennessee (continued)			Total
2016-17	UTC	McKenzie Arena Improvements	\$6,800,000
2016-17	UTIA	REC and 4-H Center Residences Improvements	\$1,224,000
2016-17	UTK	Steam Distribution System Improvements	\$6,000,000
2016-17	UTM	West TN AG Pavilion and Staling Facility HVAC Improvements	\$2,697,000
2016-17	UTC	Roof Replacements	\$2,500,000
2016-17	UTIA	REC Shop and Equipment Storage Improvements	\$1,224,000
2016-17	UTK	Elevator Upgrades	\$6,000,000
2016-17	UTM	Agriculture Teaching Facilities Upgrades	\$2,141,000
2016-17	UTC	Hunter Hall Improvements	\$1,900,000
2016-17	UTIA	REC Utility Improvements	\$334,000
2016-17	UTK	Fire Safety Upgrades	\$15,000,000
2016-17	UTM	Upgrade Electrical System Campus Wide	\$2,200,000
2016-17	UTC	Roof Replacements	\$1,800,000
2016-17	UTIA	REC Officers and Headquarters Improvements	\$1,113,000
2016-17	UTK	Utility and Energy Conservation Measures	\$10,000,000
2017-18	UTC	ADA/Safety Improvements	\$500,000
2017-18	UTIA	York 4-H Center Improvements	\$3,772,000
2017-18	UTK	Window Replacements	\$5,000,000
2017-18	UTC	Restroom Upgrades	\$500,000
2017-18	UTK	Sidewalk Repairs and Upgrades	\$2,000,000
2017-18	UTC	Carpet Replacement	\$400,000
2017-18	UTK	Water Distribution System Upgrades	\$6,000,000
2017-18	UTK	Storm Sewer Improvements	\$5,000,000
2017-18	UTK	HVAC Controls and System Upgrades	\$6,000,000
2017-18	UTK	Lighting Upgrades	\$5,000,000
2017-18	UTK	Flooring Replacements	\$5,000,000
2017-18	UTK	Asbestos Removal	\$5,000,000
2017-18	UTK	Roof Repairs and Replacement	\$6,000,000
2017-18	UTK	Masonry and Structural Repair	\$6,000,000
2017-18	UTK	Dunford Hall System Upgrades	\$6,000,000
2017-18	UTK	McClung Museum System Upgrades	\$3,000,000
2017-18	UTK	Conference Center Building System Upgrade	\$6,000,000
2017-18	UTK	HPER System Upgrades	\$8,000,000
2017-18	UTK	Nielsen Physics System Upgrade	\$6,000,000
2017-18	UTK	Steam Distribution System Improvements Phase II	\$12,000,000
2017-18	UTK	Pasqua Nuclear Engineering System Upgrade	\$6,000,000
UT Out Years Total			75 Projects
			\$305,835,000

Projects	Total
114 TBR Total Capital Maintenance Projects Out Years	\$142,720,000

ATTACHMENT VIII

THEC Five-Year Capital Plan 2013-14 through 2017-18

2013-14 (See Detailed Summary in Attachment I)

	Total Project		Match	Total	State Funds
	Cost	Projects	Percentage	Match Funds ¹	Request
Capital Maintenance					
TBR	\$60,560,000	58		\$0	\$60,560,000
UT	\$44,250,000	11		\$0	\$44,250,000
Total	\$104,810,000	69		\$0	\$104,810,000
Capital Outlay					
TBR	\$182,260,000	5	10%-25%	\$26,827,000	\$153,168,000
UT	\$161,500,000	2	10%-25%	\$25,600,000	\$135,900,000
Total	\$343,760,000	7		\$52,427,000	\$289,068,000
Full Planning					
TBR	\$9,300,000	6		\$9,300,000	\$0
UT	\$3,000,000	1		\$3,000,000	\$0
Total	\$12,300,000	7		\$12,300,000	\$0
Total Capital Investment	\$460,870,000	83		\$64,727,000	\$393,878,000

2014-15

	Total Project		Match	Total	State Funds
	Cost	Projects	Percentage	Match Funds ¹	Request
Capital Maintenance					
TBR	\$28,150,000	30		\$0	\$28,150,000
UT	\$28,930,000	7		\$0	\$28,930,000
Total	\$57,080,000	37		\$0	\$57,080,000
Capital Outlay					
TBR	\$190,930,000	6	5%-25%	\$39,970,000	\$150,960,000
UT	\$199,675,000	4	10%-25%	\$41,620,000	\$158,055,000
Total	\$390,605,000	10		\$81,590,000	\$309,015,000
Full Planning					
TBR	\$5,235,000			\$5,235,000	\$0
UT	TBD from Match			TBD	\$0
Total	TBD from Match			TBD	\$0
Total Capital Investment	\$452,920,000	47		\$86,825,000	\$366,095,000

2015-16

	Total Project		Match	Total	State Funds
	Cost	Projects	Percentage	Match Funds ¹	Request
Capital Maintenance					
TBR	\$40,140,000	28		\$0	\$40,140,000
UT	\$79,258,000	22		\$0	\$79,258,000
Total	\$119,398,000	50		\$0	\$119,398,000
Capital Outlay					
TBR	\$157,700,000	6	5%-25%	\$22,925,000	\$132,725,000
UT	\$111,000,000	4	10%-25%	\$27,150,000	\$83,850,000
Total	\$268,700,000	10		\$50,075,000	\$216,575,000
Full Planning					
TBR	TBD from Match			TBD	\$0
UT	TBD from Match			TBD	\$0
Total	\$0			\$0	\$0
Total Capital Investment	\$388,098,000	60		\$50,075,000	\$335,973,000

2016-17

	Total Project		Match	Total	State Funds
	Cost	Projects	Percentage	Match Funds ¹	Request
Capital Maintenance					
TBR	\$45,360,000	21		\$0	\$45,360,000
UT	\$65,238,000	19		\$0	\$65,238,000
Total	\$110,598,000	40		\$0	\$110,598,000
Capital Outlay					
TBR	\$150,000,000	10	5%-25%	TBD	\$150,000,000
UT	\$114,100,000	3	10%-25%	\$25,525,000	\$88,575,000
Total	\$264,100,000	13		\$25,525,000	\$238,575,000
Full Planning					
TBR	TBD from Match			TBD	\$0
UT	TBD from Match			TBD	\$0
Total	\$0			\$0	\$0
Total Capital Investment	\$374,698,000	53		\$25,525,000	\$349,173,000

2017-18

	Total Project		Match	Total	State Funds
	Cost	Projects	Percentage	Match Funds ¹	Request
Capital Maintenance					
TBR	\$29,070,000	35		\$0	\$29,070,000
UT	\$92,085,000	21		\$0	\$92,085,000
Total	\$121,155,000	56		\$0	\$121,155,000
Capital Outlay					
TBR	\$150,000,000	10	5%-25%	TBD	\$150,000,000
UT	\$91,030,000	3	10%-25%	\$14,353,000	\$76,677,000
Total	\$241,030,000	13		\$14,353,000	\$226,677,000
Full Planning					
TBR	TBD from Match			TBD	\$0
UT	TBD from Match			TBD	\$0
Total	\$0			\$0	\$0
Total Capital Investment	\$362,185,000	69		\$14,353,000	\$347,832,000

Five-Year Total

	Total Project		Match	Total	State Funds
	Cost	Projects	Percentage	Match Funds ¹	Request
Capital Maintenance					
TBR	\$203,280,000	172		\$0	\$203,280,000
UT	\$309,761,000	80		\$0	\$309,761,000
Total	\$513,041,000	252		\$0	\$513,041,000
Capital Outlay					
TBR	\$830,890,000	37	5%-25%	\$89,722,000	\$741,168,000
UT	\$677,305,000	16	10%-25%	\$134,248,000	\$543,057,000
Total	\$1,508,195,000	53		\$223,970,000	\$1,284,225,000
Full Planning					
TBR	\$14,535,000	6		\$14,535,000	\$0
UT	\$3,000,000	1		\$3,000,000	\$0
Total	\$17,535,000	7		\$17,535,000	\$0
Total Capital Investment	\$2,038,771,000	312		\$241,505,000	\$1,797,266,000

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

DATE: November 15, 2012

SUBJECT: 2013 Improving Teacher Quality Grant Awards

ACTION RECOMMENDED: Approval

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 training for in-service K-12 teachers.

In accordance with the state's adoption of the Common Core Standards in English/Language Arts and Mathematics, THEC and the Tennessee Department of Education jointly developed the Request for Proposals which focused on providing high quality professional development in Grades 9-12 Mathematics.

Institutions prepared proposals to demonstrate their ability to provide a residential summer workshop, along with sustained activities throughout the school year, to Grades 9-12 Mathematics teachers. Proposals were allowed a maximum funding level of \$75,000. Projects will be funded for the period January 1, 2013 to December 31, 2013.

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 and funding levels recommended by the Advisory Committee.

OTHER SUPPORTING DOCUMENTS AVAILABLE: 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
2013 Improving Teacher Quality
Advisory Committee

Emily Carter
*Statewide Collaborative on Reforming
Education*

Kathryn Meyer
*Tennessee Higher Education
Commission*

Scott Eddins
Tennessee State Board of Education

David Sevier
Tennessee State Board of Education

Terrance Gibson
Tennessee Education Association

Vanita Sherrill-Lyell
Volunteer State Community College

Linda Jordan
Tennessee Department of Education

DeAnna Stacey
Tennessee Board of Regents

India Lane
University of Tennessee

Tarol Wells
Memphis City Schools

Patrick Meldrim
TICUA

Brad Windley
Citizen Representative

Attachment B
Improving Teacher Quality
2013 Recommended Projects

PUBLIC FOUR-YEAR INSTITUTIONS

East Tennessee State University - Dr. Chi-Che Tai
Reaching for Excellence In High School Algebra

Middle Tennessee State University - Dr. Angela Barlow
Teaching Algebra and More

Tennessee State University - Dr. Janetta Jackson
Mathematics Academy for Teachers

Tennessee Technological University - Dr. Holly Anthony
Modeling High School Mathematics

University of Memphis - Dr. DeAnna Owens
Common Core in the Algebra Classroom

University of Memphis - Dr. Kristina Whicker
Strengthening Mid-Level Math Skills in Mid-South High Schools

University of Tennessee-Chattanooga - Dr. Lauren Ingraham
*Using Reading and Writing to Reinforce Common Core State Standards in
9-12 Math and English*

PRIVATE FOUR-YEAR INSTITUTIONS

Lee University - Dr. Lori West
Mathematics in Biotechnology

Milligan College - Dr. Lyn Howell
Teaching Math Matters

Attachment C
Improving Teacher Quality
Proposal Review Process

On August 3, 2012, a memo from Dr. Rhoda and the Request for Proposals (RFP) for the Improving Teacher Quality Grants was distributed to college and university chancellors, presidents, deans, and faculty. A contact at each of the 41 teacher preparation institutions was sent the RFP.

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, the grant timeline, the evaluation rubric, and all appropriate forms to be completed for proposals. A Notice of Intent to Submit was due via email by September 3, 2012 and completed grant proposals were due to THEC on October 15, 2012 by 4:30 p.m. central.

THEC staff distributed the grant proposals to advisory committee members for review prior to the advisory committee meeting on November 6, 2012. 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 large committee could pose questions about the grant proposal, make recommendations or amendments, and discuss the level of funding the proposal should receive. The committee then funded the proposals in scored-order, with necessary geographical requirements taken into account.

Agenda Item: II.A.

DATE: November 15, 2012

SUBJECT: Title VI Implementation Plan Update and Compliance Report

ACTION RECOMMENDED: Information

BACKGROUND INFORMATION: Tennessee Code Annotated §§ 4-21-203 and 4-21-901 requires each state agency that receives federal funds was required 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.

Staff will provide an overview of the Commission's Title VI Plan Update and Compliance report and its key provisions that was filed with the Tennessee Human Rights Commission on September 30, 2012.



TENNESSEE HIGHER EDUCATION COMMISSION



FY2012 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 various and diverse constituency groups. The Commission currently . . .

- recommends a budget for a statewide system that is a two billion dollar enterprise;
- is engaged in master planning with a central focus on increasing educational attainment, sharpening 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. For a more detailed listing of the Commission's duties and responsibilities is included as an appendix to this report (*Appendix 1*).

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/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 the responsibility of ensuring compliance with Title VI as well as other programs to prevent discrimination of any type seriously. 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 July 1, 2011 to June 30, 2012. 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 persons 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/office supply room, as well as through occasional training opportunities regarding Title VI. This is also included in all RFP documents that are issued by this office. Successful project directors must attend a project directors meeting where compliance with Title VI 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.

The Commission has not been asked or required to sign any non-discrimination assurances by any of the federal funding sources.

FEDERAL PROGRAMS AND ACTIVITIES

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

College Access Challenge Grant (CACG)

In August 2011, the U.S. Department of Education awarded Tennessee a College Access Challenge Grant (CACG) totaling \$2,758,796. 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.

In the last academic year, nearly 60,000 students created accounts on CollegeforTN.org. Using CACG funds, THEC staff provided professional development and information to over 1,074 counselors, educators, college access professionals, and higher education administrators on the use of CollegeforTN.org resources. The six College Mentor Corps partner organizations established partnerships with 11 Tennessee higher education institutions to create mentor-based programs with 71 high-need, low-performing high schools in the community colleges' service areas serving over 6,500 students.

GEAR UP Tennessee

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 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; 3) Increase GEAR UP students' and their families' knowledge of postsecondary education options, preparation, and financing.

No funds were expended in FY 2011-2012.

Improving Teacher Quality Grant Program

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 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. The program, beginning in FY 2011-2012, limited to projects aiding Mathematics and English to coincide with the State Board of Education's emphasis on common core standards.

There were 10 projects funded for FY 2011-2012 totaling \$716,116. 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)

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. According to the terms of the grant, higher education will be involved in shaping the education reforms being enacted but will also be directly responsible as programmatic and fiscal manager for numerous programs. Tennessee's Race to the Top framework names THEC as directing and managing several projects with a total fiscal impact in excess of \$20 million over the term of the grant. Specifically for FY 2010-2011, THEC awarded a contract to Vanderbilt University for the purpose of evaluating the effectiveness of all the state's reform initiatives under the First to the Top. Deliverables include evaluation of the field test of teacher evaluation and overseeing the evaluation of STEM initiatives and reporting findings. Allocation under the contract for FY 2011-2012 was \$1,440,701.

Additionally, \$1,100,000 was allocated in FY 2011-2012 under a contract with SAS Institute Inc., to develop and implement training modules on the use of the Tennessee Value-Added Assessment System (TVASS) that can be utilized by teacher preparation programs. The purpose is to develop curriculum materials to enable teacher preparation programs to train pre-service teachers on the use of TVASS results to modify and improve classroom instruction.

During FY 2012-2013, \$1,440,701 will be allocated under the terms of the contract with Vanderbilt and \$1,033,000 will be allocated under a contract with SAS Institute Inc., to develop and implement training modules on the use of the Tennessee Value-Added Assessment System (TVASS) that can be utilized by teacher preparation programs. The purpose is to develop curriculum materials to enable teacher preparation programs to train pre-service teachers on the use of TVASS results to modify and improve classroom instruction.

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

Veterans Affairs regulations require that all participants (schools, business, etc.) sign an acknowledgement of and agree to 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 III*). 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 dropped from the veterans program. During the FY 2011-2012, 297 institutions and 57 apprenticeship on-the-job training programs were 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 2011-2012 was \$337,800, with a like amount anticipated for the current fiscal year.

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

Total Funding FY 2011-2012: \$6,353,413 (Actual).

Total Funding FY 2012-2013: \$8,000,000 (Anticipated).

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 Will Burns, Associate Executive Director for Legal and Regulatory Affairs who reports directly to the Executive Director. Mr. Burns can be contacted at (615) 741-7571 or via e-mail at will.burns@tn.gov.

As the Title VI coordinator, Mr. Burns is charged with developing the Commission's Title VI implementation plan and plan updates and provides overall direction and leadership to the Commission's Title VI compliance activities, including professional development. There have been no Title VI complaints filed with the Commission in FY 2011-2012. If any complaints were filed, Mr. Burns would investigate and respond to such complaints and consult with appropriate staff.

DATA COLLECTION AND ANALYSIS

Commission Staff

The Commission staff is charged with the day to day operation of the responsibilities. The staff is made up of a diverse racial mix. Specifically, of the 53 employees, 15 are African-American, 35 are white, two are Asian and there is one who would be classified as "other". There are 10 vacant positions. This can be further broken down by EEO category:

- EEO 1: 3 African-Americans; 17 Caucasians; 1 Asian; 1 Other; 4 Vacancies.
- EEO 2: 10 African-Americans; 17 Caucasians; 1 Asian; 6 Vacancies.
- EEO 6: 2 African-American; 1 Caucasian.

(Appendix IV)

The 53 filled positions are broken down as follows:

- 15 African-Americans (28 percent);
- 35 Caucasians (66 percent);
- 2 Asian (3 percent);
- 1 Other (2 percent).

An organizational chart of the Commission staff is also included as part of Appendix IV. The Commission addresses Title VI compliance as an agenda item on 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.

College Access Challenge Grant (CACG)

CACG served 6,890 high school and community college students in FY 2011-2012. The racial breakdown is as follows:

Ethnicity	Number of CACG Students	Percentage of Total
American Indian or Alaska Native	12	<.01
Asian	46	<.01
Black or African American	1,498	.22
Hispanic or Latino	145	.02
White	4,647	.67
Native Hawaiian or Other Pacific Islander	7	<.01
Race/Ethnicity Unknown	510	.07
Two or more races	25	<.01
Total	6,890	

GEAR UP Tennessee

The prior GEAR UP TN grant expired in August 2011 and there were no funds dispersed during FY 2011-2012. Under the new GEAR UP grant we will be tracking recipients in the same manner as the CACG grant above beginning FY 2012-2013.

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 2011-2012 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 Black 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. A breakdown on the number of minority participants for each project is provided below. The total of all participants was 224, of which 26, or 11 percent, were minority participants.

Improving Teacher Quality Grants 2011-12				
Institution	Project Director	Minority Participants	Total Participants	Percentage
University of Memphis	Alistair Windsor	3	22	.14
East Tennessee State University	Chih-Che Tai	0	25	.00
Volunteer State Community College	James H. Roberson	0	30	.00
Lee University	Lori West	2	29	.07
University of Tennessee, Chattanooga	Meg Kiessling	6	29	.21
Tennessee Technological University	Holly Anthony	0	23	.00
University of Tennessee, Knoxville	Kim Wolbers	3	36	.08
University of Memphis	M. Boudreaux	12	30	.40
Middle Tennessee State University	Phil Waldrop	3	38	.08
Tennessee Technological University	A. Baker	0	12	.00
Total		26	224	.12

There is a predetermined rubric that is used to evaluate the various RFPs. (*Attachment V*)

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

Title VI Complaints

There were no Title VI complaints or lawsuits filed against THEC during FY 2011-2012.

DEFINITIONS

Assurance - A written statement or contractual agreement signed by the agency head in which a recipient agrees to administer federally assisted programs 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 and the state and a sub recipient that provides for corrective action to be taken 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 programs 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 LEA - an LEA:

- (A) (i) that serves not fewer than 10,000 children from families with incomes below the poverty line; or
- (ii) 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) (i) 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

(ii) for which there is a high percentage of teachers with emergency, provisional, or temporary certification or licensing.

Minority - A person or groups of persons differing from others in some characteristics and 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, political subdivision of any state, or instrumentality of any state or political subdivision, any public or private agency, institution, or organization, or other entity, or any individual, in any state, to whom Federal financial assistance is extended, directly or through another recipient, for any program, including any successor, assign, or transferee thereof, but such term does not include any ultimate beneficiary under any such program.

Request for Proposals ó 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)

As reflected in the description of the various federal programs administered by the Commission, in only a few do the benefits flow to individuals or entities. Specifically, only GEAR UP, College Challenge Access Grants and Improving Teacher Quality Grants funding impact individuals.

During FY 2011-2012 there were no requests nor was there any observed need to provide LEP services.

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.

GEAR UP Tennessee

Because the GEAR UP program will provide direct services that are individualized to the students' needs, should a GEAR UP student require services to address their LEP needs the Commission works with the subgrantee/county school system in which the student is enrolled to meet such needs. For instance, should a student not perform well in a classroom setting due to language barriers we work to provide him/her opportunities to take needed courses online through the e4TN academic system.

College Access Challenge Grants (CACG)

As is the case with the GEAR UP program, CACG will provide direct services that are individualized to the students' needs. Therefore, in the event a CACG student requires services to address their LEP needs the Commission will work with the subgrantee/county school system in which the student is enrolled to meet such needs in the same manner as described above relative to GEAR UP.

Improving Teacher Quality Grants

Improving Teacher Quality Grants are awarded to higher education on 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 the funds may include individuals in need of LEP accommodations. Therefore, THEC is sensitive to that possibility and will work with the recipients of our funds to ensure that as they further distribute the funds that each maintains a sensitivity level to ensure that persons with LEP have meaningful access and an equal opportunity to participate in our services, activities, programs and other benefits. 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 a language identification card (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 and **after** the LEP person has understood 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 for translation into frequently-encountered languages to the TFLI. 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 PROCEDURE

The Tennessee Higher Education Commission has adopted the following complaint procedures. All form letters used to communicate the status of a complaint investigation are included in Appendix VI. In addition, the Commission will utilize standard forms developed by the Tennessee Human Rights Commission related to the investigation itself (e.g. Investigation Commencement Form, Title VI Investigative Plan, 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 to determine whether it will investigate an allegation of noncompliance with Title VI, the complainant must complete the Commission's Discrimination Complaint Form or provide the information requested on the complaint form, and Consent Form for Use of Personal Information for Complainant. 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 person filing the complaint 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 or dates that the event or events the person filing the complaint believe were discriminatory.

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/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, 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 another appropriate entity.

- While the Higher Education 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 or not 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 matters of interdepartmental issues.
- 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 investigator 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/her right to file a complaint with other applicable governmental entities if dissatisfied with the resolution of the complaint by the Commission.

COMPLIANCE REVIEW

- 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.
- There are currently no pending applications for financial assistance from any federal or state department or agency.
- The Commission had a total of 79 contracts/grant contracts in effect in FY 2011-2012, which includes amendments to existing contracts/grant contracts. A list of these is found in Appendix IX. Of this number, only three are fee for services contracts. All others are either grant contracts issued pursuant to statute or through a competitive RFP process.
- 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 language found in paragraph D.8. in Appendix VIII for compliance with all other contractors/subrecipients.

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 will make numerous site visits each year to the GEAR UP recipients once those are determined.

Improving Teacher Quality Grant Program

Pre-Award Review

The Director for Academic Affairs 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 2011-2012 committee included three African-Americans out of a total of 20 reviewers. (*Appendix VII*).

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;
- Site visits to second year grant programs, if (a) specifically requested by the Project Director or Principal Investigator or sponsoring agency and/or (b) a Title VI complaint was filed against the grant program during year one;
- Site visit will be made to all grant programs in their third year to the extent that they can be scheduled around visits to first year programs;
- Other site visits on an as needed basis with specific interest in any ITQ project in an odd year funding;
- 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 V*).
- 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 2011-2012.

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 project's final disbursement of grant funds.

Two examples of how discrimination might occur follow:

- 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 of that group.

Veterans Education

Supervisory visits are conducted by the SAA during FY 2011-2012 at each of the institutions participating in the Veterans Education program. These visits include records audits 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.

MINORITY REPRESENTATION

Among the various contractors/subrecipients, there were no minority contractors/subrecipients.

As noted above, 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) that at least one (1) of the appointive members shall be a member of the principal racial minority in the state. Three of the 15 Commission members (20 percent) are African-American: Mr. Cato Johnson; Mr. A C Wharton, Mayor of Shelby County; and Mr. Robert White. Mr. White serves as chairman of the Commission.

The General Assembly created the Committee on Postsecondary Educational Institutions to assist the Commission staff with the oversight of the proprietary and many 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 (*Appendix VII*). Dr. Rhoda currently serves as the Executive Director of both the Tennessee Higher Education Commission and the Tennessee Student Assistance Corporation, but for the purposes of conducting business is considered as one vote. Of the 12 persons serving as committee members, four are from a racial and 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
- Director for Academic Affairs (THEC).

The selection committee responsible for the current grant awards included three African-Americans out of a total of 20 committee members (*Appendix VII*).

The Teacher Diversity Grant Advisory Committee determines which entities will receive the grants under this program, The committee that reviewed and recommender awards for FY 2011-2012 included three African-Americans out of a total of seven committee members (*Appendix VII*).

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	Number of Minority Members	Percent of Total
Committee on Postsecondary Educational Institutions	13	4	31%
Improving Teacher Quality Grant Program Selection Committee	20	3	15%
Teacher Diversity Grant Advisory Committee	7	3	43%
Total	40	10	25%

PUBLIC NOTICE AND OUTREACH

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

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

Specifically, note the following relative to the Improving Teacher Quality Grant, GEAR UP and College Access Challenge Grant:

i) Nondiscrimination policy: Throughout the 2011 project period, monitoring was conducted by THEC staff to ensure compliance with all aspects of the contractual terms. Per Section D.8. of the contract, grantees were required to furnish to applicants and employees notices of non-discrimination.

ii) Programs and services: Information regarding programs and services that were provided by the each of the three programs occurred 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.

iii) Complaint procedures- the public was informed via the Request for Proposal and/or other communications that Title VI of the Civil Rights Act of 1964 required that federally assisted programs be free of discrimination, and provided contact information for the THEC Title VI Coordinator in the event that a citizen felt that were discriminated against. In addition, grantees were 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.

iv) Minority participation on planning boards and advisory committee - THEC maintains records of minority participation on the ITQ Advisory Committee that are available for public review. There are no other planning boards or advisory committees affiliated with this program, nor are there any planning boards or advisory committees associated with the GEAR UP or CACG programs.

PROCEDURE FOR NONCOMPLIANCE

The Commission has adopted the following policies and procedures which will be followed when, through complaint investigations or compliance reviews, 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.
- The sub-grantee 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.

STATEMENT OF ASSURANCES

For entities that enter into grants and contracts with the Commission (*Appendix VIII*), the following assurance statement is included in the grant contract document:

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 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 the grant contract with this language is a precondition to receiving funds. If the entity does not sign, funds will not be released. Additionally, successful project directors for an Improving Teacher Quality Grant are required to sign a statement of assurance that they will fully comply with the provisions of Title VI in the administration of its grant.

PUBLIC NOTIFICATION

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 are 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.

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.

The Request for Proposals (RFP) is the method of informing potential grant recipients of available federal and state funding. They are disseminated to public and private higher education institutions as well as non-profit organizations, if applicable. The Commission makes special effort to provide notice to African-Americans and other racial and ethnic minorities of all program activities, as well as to institutions whose primary focus is to reach racial and ethnic minorities.

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.

Posters/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.

ADDITIONAL COMPLIANCE MEASURES

The Commission works with the U.S. Department of Education, Department of Labor, and the Veterans Administration to implement the various programs pursuant to the respective department's regulations and in developing policy guidelines for federal programs.

The Commission utilizes the Department of Education's guidelines in selecting proposals from institutions of higher education and non-profit organizations for use in the Improving Teacher Quality Grant Program. Also annual meetings are held in Washington, D.C. for state agency for higher education (SAHE) coordinators to receive technical assistance from Department of Education personnel and to query with colleagues from other states about their experiences implementing the program.

In the Veterans Education Division compliance surveys of all federal regulations are conducted by the U.S. Department of Veterans Affairs. In the event the U.S. Department of Veterans Affairs finds an institution to be in non-compliance, the Tennessee Higher Education Commission completes a follow-up investigation of the matter. The Commission's Veterans Education office works closely with personnel in both the Nashville and St. Louis offices of the Department of Veterans Affairs to ensure compliance in all aspects of the work. Additionally, there are professional and educational meetings held twice a year where state officials receive technical assistance from the Department of Veterans Affairs that are regularly attended by staff.

To ensure compliance with Title VI of the Civil Rights Act at the student level, GEAR UP TN tracks demographic information on students served with project funds. Overall participation by ethnicity is monitored to ensure appropriate services are delivered.

GEAR UP TN staff hires is also tracked to ensure equal opportunity and compliance with Title VI.

COMPLIANCE/NONCOMPLIANCE REPORTING

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.

Currently, the Commission submits its Title VI report only to the Tennessee Human Rights Commission. 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.

TITLE VI TRAINING PLAN

Mr. Burns 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.

Mr. Burns attended the Title VI Compliance meeting on July 12, 2012, as well as Marcie Mills who serves as paralegal for both the Commission and the Tennessee Student Assistance Corporation.

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.

Commission staff were advised that access to the mandatory training module was available on June 19, 2012, for each staff member to take as time permitted, but no later than June 29, 2012. Through Edison, it was verified that 100 percent of the Commission staff completed the module as of June 29. It is anticipated that the FY 2012-2013 training will take place next spring or summer.

In addition to the training received by Title VI coordinator, the Commission provides mandatory workshops for grant project directors, which was attended by all Improving Teacher Quality Grant project directors in 2012. Training for FY 2012-2013 recipients will take place in January 2013.

Additionally, the Commission's Title VI Implementation Plan is an agenda item each year at the November meeting of the Commission. At that time, information similar to what was covered 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 10, 2011, meeting of the Commission and will be included at the November 15, 2012, meeting.

PUBLIC NOTICE AND OUTREACH

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 are 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.

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.

The Request for Proposals (RFP) is the method of informing potential grant recipients of available federal and state funding. They are disseminated to public and private higher education institutions as well as non-profit organizations, if applicable. The Commission makes special effort to provide notice to African-Americans and other racial and ethnic minorities of all program activities, as well as to institutions whose primary focus is to reach racial and ethnic minorities.

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 2010-2011, all Improving Teacher Quality Grant project directors attended this workshop.

Posters/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 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/Divisions/LRA/TitleVI/TitleVI.html>>.

EVALUATION PROCEDURES OF TITLE VI IMPLEMENTATION

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 and corrective action will be taken.

Further mechanisms to ensure compliance will be considered also. 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.

Henceforth, 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 rectification of all complaints.

Timeline

THECø 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.

THECø Title VI Coordinator shall contact the THRC in October to discuss training objectives.

THECø Title VI Coordinator shall immediately review Statement 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. Richard G. Rhoda, Executive Director.

The person designated as the Title VI Coordinator is Will Burns, 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 will take effect on July 1, 2012 through June 30, 2013.

Richard G. Rhoda, Executive Director

Will Burns, Title VI Coordinator

APPENDIX I

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)(10)

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 2011 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. 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)
13. 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))
14. 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., 47-7-401, -402 and -404

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.

Teacher Diversity 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.

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 \$2,758,796. 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 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; 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. The chosen areas of study are: mathematics, science, social studies, English/language arts, foreign languages and related arts. 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 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 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 the fastest Latino population 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 1, 2012

APPENDIX II

TENNESSEE HIGHER EDUCATION COMMISSION MEMBERS
June 30, 2012

1. Ms. Sue Atkinson
Fifth Congressional District
2. Mr. Charles Bone
Sixth Congressional District
3. Mr. Greg Frey, non-voting student member
UT Martin
4. Mr. Tre Hargett
Secretary of State
5. Ms. Sharon Hayes
Eighth Congressional District
6. Mr. Greg Isaacs
Second Congressional District
7. Mr. Cato Johnson*
Seventh Congressional District
8. Mr. Jon Kinsey
Third Congressional District
9. Mr. David Lillard, Jr.
State Treasurer
10. Mr. Charles Mann
Fourth Congressional District
11. Mr. Gary Nixon, non-voting ex-officio
Executive Director, State Board of Education
12. Mr. Zach Walden, voting student member
East Tennessee State University
13. Mr. Justin Wilson
Comptroller
14. Mr. A C Wharton, Jr.*
Ninth Congressional District
15. Mr. Robert White*
First Congressional District

*Denotes Minority

APPENDIX III

**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)

(Signature of authorized official)

(Title of authorized official)

(Mailing address)

APPENDIX IV

EEO Classifications
Tennessee Higher Education Commission
June 30, 2012

EEO Code	Position Title	No. of Positions	Ethnic Group Breakdown
01	AC AF ASSOCIATE EX DIRECTOR	1	V
01	ASSOCIATE EX DIRECTOR-PPR	1	W
01	DATA MANAGEMENT SPECIALIST	2	W-2
01	FISC AFFAIRS A EX DIRECTOR	1	W
01	FISCAL ANALYSIS DIRECTOR	1	W
01	FISCAL DIRECTOR 3	1	W
01	L&R AFFAIRS ASSOC EX DIRECTOR	1	W
01	P-16 INIT ASSOC EX DIRECTOR	1	V
01	POLICY PLNG & RES A EX DIR	1	B
01	PSA ASSISTANT EX DIRECTOR	1	B
01	REGIONAL COORDINATOR	2	V-2
01	SENIOR POLICY OFFICER	1	W
01	THEC-EXECUTIVE DIRECTOR	1	W
01	THEC-FIS POL&ADM ASSOC EX DIR	1	W
01	THEC-HIGHER ED PROGRAM ADMIN	3	W-2 O-1
01	THEC-INFO SY DR	1	W
01	THEC-REG AFF&COMPLAINT RES DIR	1	W
01	THEC-REGULATORY AFFAIRS A DIR	1	W
01	THEC-RESEARCH & STAT AN DIR	1	B
01	THEC-STUDENT INFO SYS MGR	1	A
01	VETERANS EDUC A EX DIRECTOR	1	W
01	VETERANS EDUC DIRECTOR	1	W
	Total EEO Code 01	26	W - 17 B - 3 A - 1 O - 1 V - 4
02	ADMIN SERVICES ASSISTANT 3-NE	3	W-1 B-1 A-1
02	EDUCATIONAL SPECIALIST 3	3	W-2* B-1 V-1
02	FISCAL POLICY & FAC ANA A DIR	1	W
02	HE ADMIN & FISC SERVICES DIR	1	V
02	INVESTIGATIONS OFFICER	1	B
02	LOTTERY SCH ANALYSIS RES DIR	1	W
02	OUTREACH SPECIALIST	1	V
02	PSA ASSISTANT DIRECTOR	1	W
02	PSA DIRECTOR	1	B

EEO Classifications
Tennessee Higher Education Commission
June 30, 2012

EEO Code	Position Title	No. of Positions	Ethnic Group Breakdown
02	PSA TCL EDUCATION SPECIALIST	1	W
02	THEC - INVESTIGATIONS OFFICER	2	W-1 B-1
02	THEC-AD COLLEGE ACC INITIATIVE	1	W
02	THEC-ADMIN ASSISTANT 4	1	B
02	THEC-ADMIN BUDGET ANALYST 3	1	B
02	THEC-COMMUNICATIONS DIRECTOR	1	V
02	THEC-D COLLEGE ACC INITIATIVE	1	W
02	THEC-FISCAL MANAGER	1	W
02	THEC-HIGHER ED PROGRAM ANALYST	1	W-2*
02	THEC-HIGHER ED PROGRAM ASST DR	1	V
02	THEC-HIGHER ED PROGRAM COOR	1	W
02	THEC-INFO TECH ASST DIRECTOR	1	W
02	THEC-INV OFF & LEAD AUDITOR	1	B
02	THEC-LEGAL & ADMIN SPECIALIST	1	B
02	THEC-LOT SCHOL & STUDENT FA RD	1	W
02	THEC-POLICY PLNG & RES ANALYST	1	W
02	THEC-RESEARCH ANALYST	2	B-1 V-1
	Total EEO Code 02	32	W - 17 B - 10 A - 1 V - 6
06	EXECUTIVE SECRETARY 2-NE	1	W
06	EXECUTIVE SECRETARY 3-NE	1	B
06	GRADUATE ASSISTANT-NE	1	B
	Total EEO Code 06	3	W - 1 B - 2
	Grand Total	61	W - 35 B - 15 A - 2 O - 1 V - 10

W = White

B = Black

A = Asian

O = Other

V = Vacant

* Positions overlapped with two incumbents.

Organizational Chart

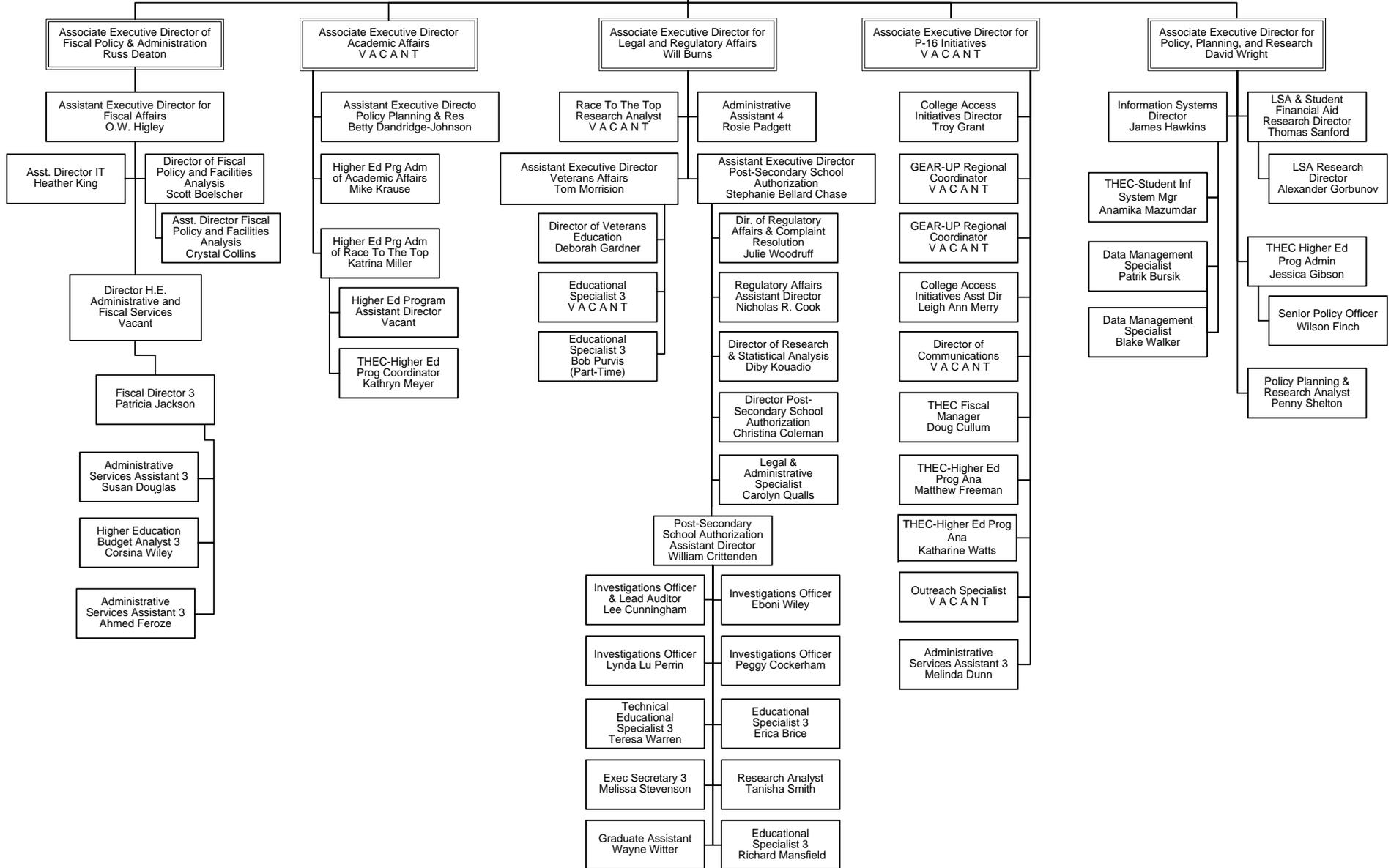


As of June 30, 2012

Tennessee Higher Education Commission

Executive Director
Richard Rhoda

Executive Secretary 2
Lovella Carter



2012 Improving Teacher Quality RFP Scoring Rubric

Reviewer: _____

Proposal Project Director: _____

Institution: _____

Evaluation Criteria	Points Possible	Reviewer Score	Comments/Recommendations
<p>Goals & Objectives- Is there a concise and clear statement of goals and measurable objectives aligned with the stated priorities of the RFP?</p> <ul style="list-style-type: none"> • Is the workshop focused on delivering high-quality PD to K-12 teachers to increase content knowledge and instructional skill in the Common Core Standards? • Does the proposal specifically address which Common Core Standards are focused on in the project? • <p>1 Proposal states goals but does not connect with priorities of RFP</p> <p>10 Proposal states goals and connects with priorities but lacks detail</p> <p>20 Proposal provides detailed and clear connections between project goals and the priorities of the RFP; Common Core Standards are clearly linked to the objectives of the project.</p>	20		
<p>Partnerships –</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		

<p>Program Plan - 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><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>Evaluation Evaluation tools (pre/post content knowledge assessments) have been developed and included in program proposal. Program includes their own plan for formative assessment to determine the success of the program pilot and iterative development as needed.</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>Budget Summary Budget requests are detailed and justified throughout the summary. Resources are aligned and appropriate to the needs of the proposed program.</p> <p><i>1 – Budget is incomplete and/or unreasonable given the scope of the proposal.</i></p> <p><i>10 – Budget lacks sufficient detail but expenditures seem to be reasonable given the scope of the proposal.</i></p> <p><i>20 – Budget is complete with sufficient justifications and detail listed for each line item.</i></p>	20		

Total Score: _____ (out of 100)

Reviewer Signature: _____

Date: _____

**TITLE VI COMPLIANCE REVIEW SURVEY OF THE
IMPROVING TEACHER QUALITY PROFESSIONAL DEVELOPMENT
PROJECT DIRECTORS**

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.

	Chih-Che Tai	2	0	1	1	Y
Volunteer State Community College	James H. Roberson	0	0	0	0	Y
Lee University	Lori West	2	2	1	0	Y
University of Tennessee, Chattanooga	Meg Kiessling	3	6	2	0	Y
Tennessee Technological University	Holly Anthony	0	0	3	0	Y
University of Tennessee, Knoxville	Kim Wolbers	3	3	17	2	Y
University of Memphis	M. Boudreaux	15	12	4	1	Y
Middle Tennessee State University	Phil Waldrop	4	3	1	0	Y
Tennessee Technological University	A. Baker	0	0	0	0	Y

APPENDIX VI

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 Will Burns, Tennessee Higher Education Commission, Parkway Towers, Suite 1900, 404 James Robertson Parkway, Nashville, Tennessee, 37243.

Sincerely,

Will Burns
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,

Will Burns
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 days of the date of this letter.

Sincerely,

Will Burns
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) 741-7572.

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,

Will Burns
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,

Will Burns
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,

Will Burns
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,

Will Burns
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,

Will Burns
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,

Will Burns
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 you services should be needed during the administrative hearing process.

Sincerely,

Will Burns
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) 741-7572.

Sincerely yours,

Will Burns
Title VI Coordinator

APPENDIX VII

DIVERSITY IN TEACHING ADVISORY COMMITTEE
June 2011

1. **Art Fuller***
State Board of Education
2. **Patrick Meldrim**
Tennessee Independent Colleges & Univ. Association
3. **Terrance Gibson***
Tennessee Education Association
4. **Kay Clark**
Tennessee Board of Regents
5. **Katie High**
University of Tennessee
6. **Vanita Lytle-Sherril***
Volunteer State Community College
7. **Wesley Hall**
Tennessee Higher Education Commission

*Denotes Minority

COMMITTEE ON POSTSECONDARY EDUCATIONAL INSTITUTIONS
June 30, 2012

1. Denise Bentley*
Attorney, Metro Board of Education
2. Vicki Burch
President, West Tennessee Business College
3. Mr. Miles Burdine
Representative of the public interest having no association or relationship with such institutions.
4. Bill Faour
Director/Owner, Electronic Computer Programming College
5. Larry Griffin
President, Mid-South Christian College
6. Gaylon Hall
Director Emeritus, William R. Moore College of Technology
7. Former Commissioner John A. Keys*
Commissioner of Veteran Affairs, State of Tennessee
8. Mrs. Lethia Swett Mann*
Serves as a representative of a community based organization that has an interest in postsecondary occupational education.
9. Dr. Kittie Myatt
Chair of Psychology Department, Argosy University ó Nashville
10. Dr. Richard Rhoda
Executive Director, Tennessee Higher Education Commission
11. Dr. Richard Rhoda
Executive Director, Tennessee Student Assistant Corporation
12. Steve South
President/Owner, South College
13. Dr. Earlie Steele*
Representative of the public interest having no association or relationship with such institutions.

*Denotes Minority

**IMPROVING TEACHER QUALITY GRANTS
ADVISORY COMMITTEE
2012**

Kathy Butler

Sumner County Schools

Connie Casha

Tennessee Department of Education

Kay Clark

Tennessee Board of Regents

Nicki Fields

Tennessee Education Association

Art Fuller*

Tennessee State Board of Education

Jessica Gibson

Tennessee Higher Education
Commission

Marianne Gilbert

Williamson County Schools

Wesley Hall

THEC

Fred Heifner

Cumberland University

India Lane

University of Tennessee

Linda Jordan

Tennessee Department of Education

Catherine Loss

Vanderbilt University

Patrick Meldrim

TICUA

Katrina Miller

THEC

Sally Millsap

MTeach

Barry Olhausen

Tennessee Department of Education

David Sevier

Tennessee State Board of Education

Venita Lytle-Sherrill*

Volunteer State Community College

Tarol Wells*

Memphis City Schools

Brad Windley

Citizen Representative

*- Minority member

APPENDIX VIII

**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."

Grantee Edison Vendor ID # **Number**

A. SCOPE OF SERVICES:

A.1. The Grantee shall provide all service and deliverables as required, described, and detailed herein and shall meet all service and delivery timelines as specified by this Grant Contract.

A.#. **Specify the services & deliverables that the contractor 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 of Service.**

B. CONTRACT PERIOD:

This Grant Contract shall be effective for the period beginning **Date**, and ending on **Date**. The Grantee hereby acknowledges and affirms that the State shall have no obligation for Grantee services or expenditures that were not completed within this specified contract period.

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)**. The Grant Budget, attached and incorporated hereto as Attachment **Reference**, shall constitute the maximum amount due the Grantee for all service and Grantee obligations hereunder. 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 duration of the Grant Contract 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 work, 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, and/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 and 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 the section C, payment terms and conditions 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 cost, the Grantee must submit to the State a copy of the indirect cost rate approved by the cognizant federal agency and the State. The Grantee will be reimbursed for indirect cost in accordance with the approved indirect cost rate to 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 contract period. Any changes in the approved indirect cost rate must have prior approval of the cognizant federal agency and the State. If the indirect cost rate is provisional during the period of this agreement, 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 contract period.
- 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. Unallowable Costs. Any amounts payable to the Grantee shall be subject to reduction for amounts included in any invoice or payment theretofore made, which are determined by the State, on the basis of audits or monitoring conducted in accordance with the terms of this Grant Contract, not to constitute allowable costs.
- C.12. Deductions. Pursuant to *Tennessee Code Annotated*, Section 9-4-604, the State may not issue warrants for payments to persons who are in default to the State until such arrearages are paid. If applicable to the Grantee, the Grantee agrees that, should such an arrearage exist during the term of this Grant Contract, the State shall have the right to deduct from payments due and owing to the Grantee any and all amounts as are necessary to satisfy the arrearage. Should a dispute arise concerning payments due and owing to the Grantee under this Grant, the State reserves the right to withhold said disputed amounts pending final resolution of the dispute.

D. STANDARD TERMS AND CONDITIONS:

- D.1. Required Approvals. The State is not bound by this Grant Contract until it is signed by the contract parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this contract, 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.2. Modification and Amendment. Except as specifically provided herein, this Grant Contract may be modified only by a written amendment signed by all parties hereto and approved by both the officials who approved the base contract and, depending upon the specifics of the 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. Said termination shall not be deemed a breach of 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 which has not been rendered. The final decision as to the amount, for which the State is liable, shall be determined by the State. Should the State exercise this provision, the Grantee shall not have any right to any actual general, special, incidental, consequential, or any other damages whatsoever of any description or amount.
- 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, the State shall have the right to immediately terminate the Grant Contract and withhold payments in excess of fair compensation for completed services. Any liability of the Grantee to the State and third parties for any claims, losses, or costs arising out of or related to acts performed by the Grantee under this agreement shall be governed by the Tennessee Claims Commission Act, *Tennessee Code Annotated*, Section 9-8-301, *et seq.*
- 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 contract pertaining to " lobbying, + "Nondiscrimination, " Public Accountability, + Public Notice, + and Records" (as identified by the section headings). Notwithstanding any use of approved subcontractors, the Grantee shall be the prime contractor and shall be responsible for all work performed.
- D.6. 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 Form to Report Lobbying," 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 section 1352, title 31, *U.S. Code*.

- D.7. 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.
- D.8. Public Accountability. If the Grantee is subject to *Tennessee Code Annotated*, Title 8, Chapter 4, Part 4, 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, and the Grantee shall 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 twelve inches (12") in height and eighteen inches (18") 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
- D.9. Public Notice. All notices, informational pamphlets, press releases, research reports, signs, and similar public notices prepared and released by the Grantee shall include the statement, "This project is funded under an agreement with the State of Tennessee." Any such notices by the Grantee shall be approved by the State.
- D.10. 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.11. Records. The Grantee (and any approved subcontractor) shall maintain documentation for all charges under this 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 Contract, shall be maintained for a period of three (3) 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 state agency, the Comptroller of the Treasury, or duly appointed representatives. The records of not-for-profit entities shall be maintained in accordance with the *Accounting and Financial Reporting for Not-for-Profit Recipients of Grant Funds in Tennessee*, published by the Tennessee Comptroller of the Treasury and found at <http://www.comptroller1.state.tn.us/ma/finreptmanual.asp>. The records for local governments shall be maintained in accordance with the *Internal Control and Compliance Manual for Tennessee Municipalities*, published by the Tennessee Comptroller of the Treasury and found at <http://www.comptroller1.state.tn.us/ma/citymanual.asp> and in accordance with GFOA's publication, *Governmental Accounting, Auditing and Financial Reporting*.
- D.12. Prevailing Wage Rates. All grants and contracts for construction, erection, or demolition or to install goods or materials that involve the expenditure of any funds derived from the State require compliance with the prevailing wage laws as provided in *Tennessee Code Annotated*, Section 12-4-401 *et seq.*

- D.13. 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.14. Progress Reports. The Grantee shall submit brief, periodic, progress reports to the State as requested.
- D.15. 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 such decision and non-competitive procurement. Further, and notwithstanding the foregoing, if such reimbursement is to be made with funds derived wholly or partially from federal sources, the determination of cost shall be governed by and reimbursement shall be subject to the Grantee's compliance with applicable federal procurement requirements.

The Grantee shall obtain prior approval from the State before purchasing any equipment under this Grant Contract.

- D.16. 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.17. Independent Contractor. The parties hereto, in the performance of this Grant Contract, shall not act as employees, partners, joint venturers, or associates of one another. It is expressly acknowledged by the parties hereto that such parties 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.
- D.18. State Liability. The State shall have no liability except as specifically provided in this Grant Contract.
- D.19. Force Majeure. The obligations of the parties to this Grant Contract are subject to prevention by causes beyond the parties' control that could not be avoided by the exercise of due care including, but not limited to, natural disasters, riots, wars, epidemics, or any other similar cause.
- D.20. 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.21. 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.22. 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, these special terms and conditions shall control.
- E.2. 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. Any such communications, regardless of method of transmission, shall be addressed to the respective party at the appropriate mailing address, facsimile number, or EMAIL address as set forth below or to that of such other party or address, as may be hereafter specified by written notice.

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

All instructions, notices, consents, demands, or other communications shall be considered effectively given upon receipt or recipient confirmation as may be required.

- E.3. Subject to Funds Availability. The Grant Contract is subject to the appropriation and availability of State and/or Federal funds. In the event that the funds are not appropriated or are otherwise unavailable, the State reserves the right to terminate the Grant Contract upon written notice to the Grantee. Said termination shall not be deemed a breach of 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.
- E.4. 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.
- E.5. No Equipment Acquisition. This Grant Contract does not involve the acquisition and disposition of equipment acquired with funds provided under this Grant Contract.

Add ALL Necessary or Contingently Required Special Terms & Conditions

IN WITNESS WHEREOF,

GRANTEE LEGAL ENTITY NAME:

GRANTEE SIGNATURE

DATE

PRINTED NAME AND TITLE OF GRANTEE SIGNATORY (above)

GRANTOR STATE AGENCY NAME:

NAME & TITLE

DATE

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.

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

APPENDIX IX

Appendix IX - Grant and Contracts

	RFS Number	Contractor name	PROGRAM	Funding	BEG Date	END Date
MY01	33201-01412	TTU - PCK (Anthony)	RTTT STEM	Federal	08/15/11	12/31/12
MY02	33201-01512	Lipscomb University - Boyd	RTTT STEM	Federal	08/15/11	12/31/12
MY03	33201-01612	ETSU Reaching for Excellence (Tai)	RTTT STEM	Federal	08/15/11	12/31/12
MY04	33201-01712	ETSU MICH (Rhoton)	RTTT STEM	Federal	08/15/11	12/31/12
MY05	33201-01812	APSU Momentum (Assad)	RTTT STEM	Federal	08/15/11	12/31/12
MY06	33201-01912	MTSU EMPOWER (Winters)	RTTT STEM	Federal	08/15/11	12/31/12
MY07	33201-02012	TTU Transforming Matter and Classrooms (Rust)	RTTT STEM	Federal	08/15/11	12/31/12
MY08	33201-02112	TTU Numeracy and Multiple Representation (Baker)	RTTT STEM	Federal	08/15/11	12/31/12
MY09	33201-02212	TTU Embedding Inquiry & Technology (Gore)	RTTT STEM	Federal	08/15/11	12/31/12
MY10	33201-02312	UTC TELMU (Wigal)	RTTT STEM	Federal	08/15/11	12/31/12
MY11	33201-02412	UTC Numeracy, Representation & STEM (McAllister)	RTTT STEM	Federal	08/15/11	12/31/12
MY12	33201-02911	Oasis Center TCASN Amendment One	RTTT	Federal	07/01/11	12/31/12
MY13	33201-03312	East TN State University - Tai	ITQG	Federal	01/01/12	12/31/12
MY14	33201-03412	Lee University - West	ITQG	Federal	01/01/12	12/31/12
MY15	33201-03512	Middle TN State University - Waldrop	ITQG	Federal	01/01/12	12/31/12
MY16	33201-03612	TN Technological University - Anthony	ITQG	Federal	01/01/12	12/31/12
MY17	33201-03712	TN Technological University - Collins	ITQG	Federal	01/01/12	12/31/12
MY18	33201-03812	University of Memphis - Boudreaux	ITQG	Federal	01/01/12	12/31/12
MY19	33201-03912	University of Memphis - Windsor	ITQG	Federal	01/01/12	12/31/12
MY20	33201-04012	UTC - Kiessling	ITQG	Federal	01/01/12	12/31/12
MY21	33201-04112	UTK - Wolbers	ITQG	Federal	01/01/12	12/31/12
MY22	33201-04212	Volunteer State Comm College - Roberson	ITQG	Federal	01/01/12	12/31/12
MY24	33201-42108	Walker and Associates-Amendment 1	CACG	Federal	4/29/08	4/28/13
	33201-42108	Walker and Associates-Amendment 2	CACG	Federal	4/29/08	4/28/13
MY30	33201-00211	Vanderbilt University-TN CRED	RTTT	Federal	8/1/10	6/14/14
MY31	33201-01311	University of Tennessee Chattanooga	RTTT	Federal	7/1/10	6/30/14
MY32	33201-01411	University of Memphis	RTTT	Federal	7/1/10	6/30/14
MY33	33201-00112	SAS Institute, Inc.	RTTT	Federal	11/08/11	06/30/14
MY34	33201-03011	Alliance for Business and Training	CACG	Federal	04/15/11	8/13/14
MY35	33201-03111	Ayers Foundation, The	CACG	Federal	04/15/11	8/13/14
MY36	33201-03211	Knoxville Chamber of Commerce	CACG	Federal	04/15/11	8/13/14
MY37	33201-03311	Oasis Center, The	CACG	Federal	04/15/11	8/13/14
MY38	33201-03411	Public Education Foundation	CACG	Federal	04/15/11	8/13/14
MY39	33201-03511	Southwest Tennessee Development District	CACG	Federal	04/15/11	8/13/14
MY40	33201-03110	Middle TN State University	UTeach	Federal	02/15/10	12/31/14
MY41	33201-03410	University of Tennessee	UTeach	Federal	02/15/10	12/31/14
MY43	33201-00913	ETSU - SEE (Geiken)	FTTT STEM	Federal	05/15/12	12/31/13
MY44	33201-01013	ETSU - Integrating Hands-On STEM (Keith)	FTTT STEM	Federal	05/15/12	12/31/13
MY45	33201-01113	ETSU - Incorporating Active Learning (McDowell)	FTTT STEM	Federal	05/15/12	12/31/13
MY46	33201-01213	ETSU - PCMI (Rhoton)	FTTT STEM	Federal	05/15/12	12/31/13
MY47	33201-01313	Lipscomb University - Making Math Matter (Wells)	FTTT STEM	Federal	05/15/12	12/31/13
MY48	33201-01413	Lipscomb University - Functions of Algebra (Nelson)	FTTT STEM	Federal	05/15/12	12/31/13
MY49	33201-01513	Lipscomb University - Integrating STEM (Hutchinson)	FTTT STEM	Federal	05/15/12	12/31/13
MY50	33201-01613	MTSU - StaRT (Strayer)	FTTT STEM	Federal	05/15/12	12/31/13
MY51	33201-01713	MTSU - Project U C Stem (Kimmins)	FTTT STEM	Federal	05/15/12	12/31/13
MY52	33201-01813	MTSU - Designing the Future (Fidan)	FTTT STEM	Federal	05/15/12	12/31/13
MY53	33201-01913	TTU - STEM Around Us (Pardue)	FTTT STEM	Federal	05/15/12	12/31/13
MY54	33201-02013	TTU - From Earth to Space (Suters)	FTTT STEM	Federal	05/15/12	12/31/13
MY55	33201-02113	TTU - Shaping Early STEM Learning (Baker)	FTTT STEM	Federal	05/15/12	12/31/13
MY56	33201-02213	UTC - Learning Science thru Writing (Ingraham)	FTTT STEM	Federal	05/15/12	12/31/13
MY57	33201-02313	UTM - SIMS-TA (Cox)	FTTT STEM	Federal	05/15/12	12/31/13
MY58	33201-02413	UoM - Prof Dev 5-8 (Franceschetti)	FTTT STEM	Federal	05/15/12	12/31/13
MY59	33201-02513	UoM - mMIND (Grant)	FTTT STEM	Federal	05/15/12	12/31/13
MY60	33201-02613	UoM - Water, Water, Everywhere (Powell)	FTTT STEM	Federal	05/15/12	12/31/13
MY61	33201-02713	TN College Access and Success Network (TCASN)	FTTT TCASN	Federal	07/01/12	06/30/14
MY62	33201-02813	Lipscomb University Common Core PD for IHE's	FTTT	Federal	06/15/12	06/30/14
32	33201-03113	DA to Vendor Less than \$1,000 - Completion Innovation Challenge Grant	CIC	Federal	08/20/12	06/30/13
33	33201-03213	DA to Vendor Less than \$1,000 - Making Opportunity Affordable	MOA	Federal	08/20/12	06/30/13
34	33201-03313	DA to Vendor Less than \$1,000 - GEAR UP TN	GEAR UP TN	Federal	09/19/12	06/30/12
MY42	33201-00111	National Student Clearinghouse	MOA	Grant	7/1/10	6/30/15
	33201-03310	XAP Corporation-Amendment Two	CACG	Lottery/Federal	05/01/11	4/30/12
MY27	33201-01511	Dyersburg State Community College	Adult St Initiative	Lumina Grant	10/1/10	11/30/13
MY28	Amendment #1	Dyersburg State Community College	Adult St Initiative	Lumina Grant	10/1/10	11/30/13
MY29	33201-01611	Middle Tennessee State University	Adult St Initiative	Lumina Grant	11/1/10	11/30/13
MY26	33201-05110	Tennessee Business Roundtable	MOA	MOA	5/15/10	11/30/13
MY23	33201-03112	Austin Peay State University	CACG (CCA)	Other (Gates)	10/21/11	04/19/13
MY63	33201-02913	Latino Memphis	LSS	Other (Lumina)	08/01/12	09/30/15
MY64	33201-03013	Graduate Memphis	LSS	Other (Lumina)	08/01/12	09/30/15
MY25	33201-00911	SREB-Doctoral Scholars	Contract Ed	State	8/10/10	6/30/13
1	33201-00113	John Gupton College Mortuary Science	Contract ED	State	07/01/12	06/30/13
2	33201-00213	Maryville College Sign Language Interpretation	Contract ED	State	07/01/12	06/30/13
3	33201-00313	Meharry Medical College Conditional Grant	Contract ED	State	07/01/12	06/30/13
4	33201-00413	Meharry Medical College Family Practice	Contract ED	State	07/01/12	06/30/13
5	33201-00513	Meharry Medical College Preventative Medicine	Contract ED	State	07/01/12	06/30/13
6	33201-00613	Vanderbilt University Bridge Nursing	Contract ED	State	07/01/12	06/30/13
7	33201-00713	SREB Programs Medicine, Dentistry, and Optometry	Contract ED	State	07/01/12	06/30/13
8	33201-00813	SREB Minority Doctoral Scholars	Contract ED	State	07/01/12	06/30/13
29	33201-00911	SREB Doctoral Scholars - Amendment One	Contract Ed	State	08/10/10	06/30/13

DATE: November 15, 2012

SUBJECT: Fall 2012 Articulation and Transfer Report and General Education Transcript Study

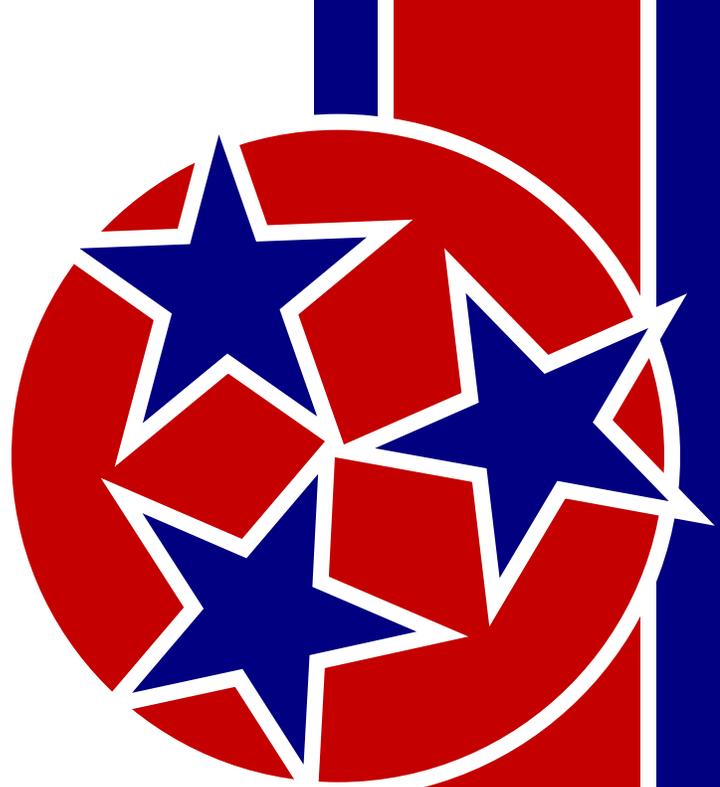
ACTION RECOMMENDED: Information

BACKGROUND INFORMATION: Staff will present the annual report on articulation and transfer, submitted to the General Assembly in October 2012 pursuant to T.C.A. §49-7-202(f). Staff will also report on the investigation of the impacts of completing general education requirements on transfer student success.

The 2012 Articulation and Transfer report will present an update on the development of Tennessee Transfer Pathways, provide a snapshot of Tennessee student transfer activity in fall 2011, and examine student migration from Tennessee Technology Centers in fall 2011.

The analyses conducted for the Articulation and Transfer report show that (a) student transfer activity in Tennessee is robust and multidirectional, (b) transfer students have lower degree efficiency than non-transfer students, and (c) the majority of students migrating from Tennessee Technology Centers are returning or readmitted students, not true transfer students.

The General Education Transcript Study was conducted in conjunction with the Articulation and Transfer report in 2011-2012 and was made possible through the voluntary participation of five TBR universities. This research examined the effects of completing general education requirements by the time of transfer on transfer student college success in the university. The study finds that pre-transfer completion of the general education core, in whole or in part, increases the probability of graduation, decreases time to degree, and increases college GPA.



Annual Report on Articulation and Transfer

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October 1, 2012

**Tennessee Higher Education Commission
404 James Robertson Parkway, Suite 1900 | Nashville, TN 34243**

TENNESSEE HIGHER EDUCATION COMMISSION

2012 – 2013 COMMISSION MEMBERS

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I. Overview

The annual Articulation and Transfer report fulfills a statutory requirement of the Tennessee Higher Education Commission (THEC) to evaluate the progress of articulation and transfer policy implementation and transfer student activity.

The 2012 Articulation and Transfer report presents an update on the implementation status of the *Complete College Tennessee Act* of 2010 regarding the creation of a statewide university parallel track program, provides a snapshot of Tennessee student transfer activity in fall 2011, and for the first time examines institutional migration patterns and student characteristics of enrollees of Tennessee Technology Centers (TTC) moving into the state's public colleges and universities.

Definitions

In this report, a **transfer student** is a person who enrolled as an undergraduate at the receiving institution for the first time (that is, was not a returning or readmitted student) and brought in credits received at another postsecondary institution. In contrast to past reports, we count as transfer students individuals returning to higher education with degrees at the baccalaureate level or above.

A **TTC transfer** is a student who was enrolled in a public Tennessee institution in fall 2011 and who had taken classes at a Tennessee Technology Center in summer or spring of 2011. No assumption of transferred credits is made with these students.

Tennessee Transfer Pathways

To meet the requirements of the CCTA, the Tennessee Board of Regents (TBR), University of Tennessee (UT), and THEC developed a comprehensive array of transfer pathways among the state's community colleges and public universities. These pathways provide seamless transfer for community college students to any public university in Tennessee in the fields of study covered. Forty-nine transfer pathways have been developed across 28 disciplines. The increasingly popular *Tennessee Transfer Pathways* website (www.tntransferpathway.org) provides essential information for students concerning the mechanics of the transfer process, a curriculum for each pathway, progress worksheets for students, and links to relevant information.

Student Transfer and Migration Activity

The student population in Tennessee is quite mobile. During the fall 2011 semester, more than seven percent of the undergraduate student body transferred into Tennessee public institutions or member institutions of the Tennessee Independent Colleges and Universities Association (TICUA). Most transfers take place within Tennessee (almost 61 percent), and a plurality of students transferring from out-of-state institutions are returning Tennessee residents (almost 48 percent of out-of-state transfers). Transfer activity within the public sector is multidirectional but is mostly vertical, among community colleges and universities. Although quite similar to their non-transfer counterparts, transfer students include more adults (35.8 percent compared to 29.3 percent). About 35 percent of students transfer with more than 60 credit hours, and most of these do so without an associate's degree. Individuals

migrating into public college and universities from Tennessee Technology Centers are similar to traditional transfer students but include mostly returning and readmitted students and first time college students; the majority of these TTC transfers (76 percent) change their major at transfer.

Protecting Personally Identifiable Information

Throughout this report, THEC seeks to comply with *Family Educational Rights and Privacy Act* (FERPA) requirements to protect students' personally identifiable information by suppressing individual cells containing ten observations or fewer. As a result, the totals reported in some tables may not equal the real total due to omission of suppressed values. All such cases are identified with a special note under the respective table, with the unsuppressed total for the entire table reported separately.

Acknowledgments

This report is made possible through the constant effort of the Tennessee Board of Regents and University of Tennessee systems and their member institutions to provide quality data on their student populations. Tennessee public institutions submit data to the Student Information System (SIS), which is operated and managed by THEC.

For the third year, the THEC acknowledges the unremitting effort of the TICUA and its member institutions to provide data on transfer students for this report. This collaboration has made possible a statewide snapshot of student transfer activity.

The THEC is deeply appreciative of the TBR universities' voluntary participation in the General Education Transcript Study of Transfer Students—summarized in the Executive Summary—and expresses gratitude to their research and data personnel for providing data and guidance on the study.

II. Executive Summary

Statewide Student Transfer Activity

- In fall 2011, the public sector of Tennessee higher education received 3.6 times more transfer students from both outside and within the sector than TICUA member institutions and experienced much more internal transfer activity than TICUA (Figure 1; Table 3).
- More than half (52.5 percent) of fall 2011 transfer students moved from Tennessee public institutions (Figure 1; Table 3).
- Most transfers (60.9 percent) take place within Tennessee higher education, whereas about 35 percent of transfer students move in from other states (Figure 1; Figure 2).
- Almost 48 percent of students transferring from out-of-state institutions are returning Tennessee residents (Figure 2).
- Half of out-of-state students transfer from just seven states: Mississippi, Kentucky, Alabama, Georgia, Virginia, Florida, and California (Figure 3).

Trends and Demographics

- Transfer students have constituted a steady percentage of the overall public undergraduate enrollment in Tennessee over time: on average, 7.6 percent for the past six years (Figure 4).
- Transfer students are similar to native students in terms of their demographic and academic characteristics; at the same time, as a group, they include more adult students (Figure 5).

Public Sector Transfers

- In comparison to community colleges, state public universities receive more students from other Tennessee public institutions both in terms of counts and percentages of the total number of in-transfers for each sector. Although the number of transfers from out-of-state institutions into community colleges is lower than for universities, it represents a higher percentage of transfers for the two-year institutions (Figure 6).
- Almost 57 percent of transfers into the public sector are from other Tennessee public institutions (Figure 1; Figure 7).
- Transfer activity within the public sector is multidirectional; however, the majority of transfers is vertical, among community colleges and universities (73 percent), rather than horizontal (27 percent). The direction and relative shares of transfers among Tennessee public institutions have been consistent for the past several years (Figure 7; Table 4).
- Transfers from community colleges to public universities account for about half of all transfer activity within Tennessee public higher education. The share of community college transfers into public universities has remained stable over time (Figure 7; Table 4).

- In fall 2011, almost 23 percent of internal public-sector transfers moved from a university into a community college. This percentage is consistent with the previous years. Less than two percent of these students were still simultaneously enrolled in universities (Figure 7; Table 4).

Transfer Activity by Institution

- On average, Tennessee public universities have a higher proportion of transfer students than community colleges (Figure 8; Table 3; Appendix A).
- In fall 2011, institutions with the greatest percentage of transfer students were East Tennessee State University, Austin Peay State University, University of Memphis, and Middle Tennessee State University (Table 5).
- The share of transfer students, measured as a percent of public undergraduate enrollment, has been consistent across institutions and systems over time (Table 5).
- In fall 2011, the top transfer sending institutions, measured as a percent of all public out-transfers, were Middle Tennessee State University, Southwest State, Nashville State, and Pellissippi State (Table 6).
- In fall 2011, the top transfer receiving institutions, measured as a percent of all public in-transfers, were Middle Tennessee State University, University of Memphis, East Tennessee State University, University of Tennessee at Knoxville, and Tennessee Technological University (Table 6).

Academic Characteristics of Transfer Students

- Forty-six percent of all public transfer students major in just three broad areas: *Liberal Arts and Sciences*, *Health Professions and Related Services*, and *Business, Management and Administrative Services* (Figure 10).
- About 15 percent of public transfer students transfer before they earn 12 credits and over 54 percent before they earn 50 credits hours (Figure 11).
- Although students transfer with various numbers of credits, over 35 percent of them transfer with more than 60 hours; most of these do so without earning an associate's degree (Figure 11).
- For students who transfer with more than 60 credits but without a degree, the most popular major at a new institution is *Health Profession and Related Services* (Figure 12).

Student Migration from Tennessee Technology Centers

- In fall 2011, Tennessee Technology Centers sent 809 students to the state's public colleges and universities (Table 7).
- The top TTC-transfer sending institutions were Tennessee Technology Centers at Chattanooga, Murfreesboro, Nashville, Knoxville, Pulaski, and Livingston. These institutions accounted for almost 52 percent of all TTC transfers in fall 2011 (Table 7).

- The top TTC transfers receiving institutions were Chattanooga State Community College, Roane State Community College, Volunteer State Community College, and Columbia State Community College (Table 8).
- Students migrating from Tennessee Technology Centers are similar to traditional public transfers in terms of their demographic characteristics, with more adult and fewer male students (Figure 13).
- In relation to their transfer institutions, most of TTC transfers are returning or readmitted students as well as first-time college students (Table 9).
- After transfer, about 73 percent of TTC transfers choose one of the following four majors: *Health Professions and Related Services* (33.4 percent); *Liberal Arts and Sciences* (26.7 percent); *Business, Management and Administrative Services* (6.9 percent); and *Personal Improvement and Leisure Programs* (6.3 percent).
- About 76 percent of TTC transfers change their broad major fields after transferring into a college or university (Table 10).

Summary of Findings of Related Analyses

Analysis of Degree Completers at Tennessee Public Universities:

- Among 2010-11 baccalaureate completers, 53.4 percent had changed schools at least once during their academic career (had ever been transfer students).
- Among 2010-11 baccalaureate completers, 48.6 percent previously enrolled at any two-year institutions and 45.3 percent previously attended a Tennessee community college.

The Study of Impacts of Pre-Transfer General Education Completion:

In general, students who complete the general education core are quite different from students who do not complete the core in terms of their background and educational experiences. However, when we compare students who are similar in terms of their background and educational experiences, we find the following:

- Pre-transfer completion of the common general education requirements, in whole or in part, has a large statistically significant effect on the probability of graduation, time to a bachelor's degree, and college GPA.
- Completion of the entire general education core is predicted to:
 - increase the probability of graduation by about 22 percentage points;
 - increase the *relative risk* of graduation by about two times (in other words, it reduces time to a bachelor's degree for GenEd core completers); and
 - increase the cumulative college GPA by about 0.3 points.
- Completion of each of the individual general education clusters also has a statistically significant effect on the outcomes of interest.
- The clusters' effects vary considerably, with the *Mathematics* and *Communications* components exerting the greatest impact and the *Humanities* cluster having the lowest impact on the outcomes.

III. Tennessee Transfer Pathway Update

Background

A central focus of the *Complete College Tennessee Act* (CCTA) of 2010 was to improve the transferability and articulation of college credit between the community college and university sectors of higher education. Specifically, the CCTA directed the Tennessee Higher Education Commission (THEC), in cooperation with the University of Tennessee (UT) and the Tennessee Board of Regents (TBR), to ensure that 60 hours of instruction can be fully transferred from community colleges and applied toward the requirements for a bachelor's degree at state universities.

The CCTA mandated a fall 2011 implementation date for universal transfer of a 41 hour general education core and 19 hours of pre-major instruction, which was successfully met.

The process for building these pathways was an 18-month collaborative effort that included broad engagement of faculty, data-driven selection of pathways, development of distinct institutional mission statements, and a cooperative effort between THEC, TBR and UT.

Current Status of the Tennessee Transfer Pathways

The joint effort between TBR and UT to develop a comprehensive array of transfer pathways was completed in May 2011. In total, 46 pathways were developed across 28 disciplines. Two pathways in psychology and one in business were completed previously under the auspices of Public Chapter 863, Acts of 2008. Thus, 49 transfer pathways now exist. These pathways provide seamless transfer for community college students to any public university in Tennessee in the fields of study covered.

Transcript and Student Records Revisions

Transcripts of community college students who complete the transfer pathways clearly state that the record involves a transfer pathway and denote the specific Area of Emphasis completed (history, psychology, accounting, etc.). Further, through the use of distinct program codes, tracking of both student headcount and completion rates are being collected and reported. Common course numbering is established for all transfer pathways.

Tennessee Transfer Pathways Website

One of the primary methods of communicating information regarding the transfer pathways to students is through the Tennessee Transfer Pathways website (www.tntransferpathway.org). The two systems collaborated to develop this site as a comprehensive, one-stop reference point for students, faculty, advisors, and administrators. The website provides essential information for students concerning the mechanics of the transfer process, a curriculum for each pathway, progress worksheets for students, and links to relevant information.

This site has seen tremendous success in its first year of operation. Since its launch in August 2011, the website has seen 77,659 visits, for an average of 205 visits daily. Traffic analysis of the site, categorized by transfer pathway and institution, is presented in **Table 1** and **2**.

Table 1. Frequently Visited Transfer Pathway Sites,
www.tntransferpathway.org

Ranking	Academic Pathway
1	Business Administration
2	Pre-Nursing
3	Accounting
4	Psychology
5	Pre-Health (Dental, Medicine, Vet, etc.)

Table 2. Frequently Visited Transfer Pathway Institutions,
www.tntransferpathway.org

Ranking	Institution
1	Volunteer State Community College
2	Middle Tennessee State University
3	Chattanooga State Community College
4	University of Tennessee-Knoxville
5	Pellissippi State Community College

Future Activity

The systems, in collaboration with THEC, will continue to monitor the health and productivity of the transfer process. There will be new focus on exploring the *Reverse Transfer* process, which allows students that have accrued the appropriate amount of credit after transfer to a public university to also receive an associate's degree from their originating community college.

Additionally, THEC will continue to convene and lead the *Prior Learning Assessment Taskforce*. This taskforce, funded by a competitive grant award by the Bill and Melinda Gates Foundation and Complete College America, has developed a broad statewide team to consider how non-traditional forms of credit that many students accrue during their career may be evaluated for academic credit. During the course of its operation, the taskforce collaboratively developed standards for evaluation of Prior Learning Assessment, focused on consistency, accessibility, and quality.

IV. Tennessee Transfer Student Profile: Fall 2011

This section examines patterns in Tennessee student transfers in fall 2011 and, when appropriate, trends over time. The analysis of student transfer activity is conducted and presented at the following levels: (1) statewide transfer activity, (2) transfers within public higher education, (3) transfers by sending and receiving institutions, and (4) select academic characteristics of transfer students.

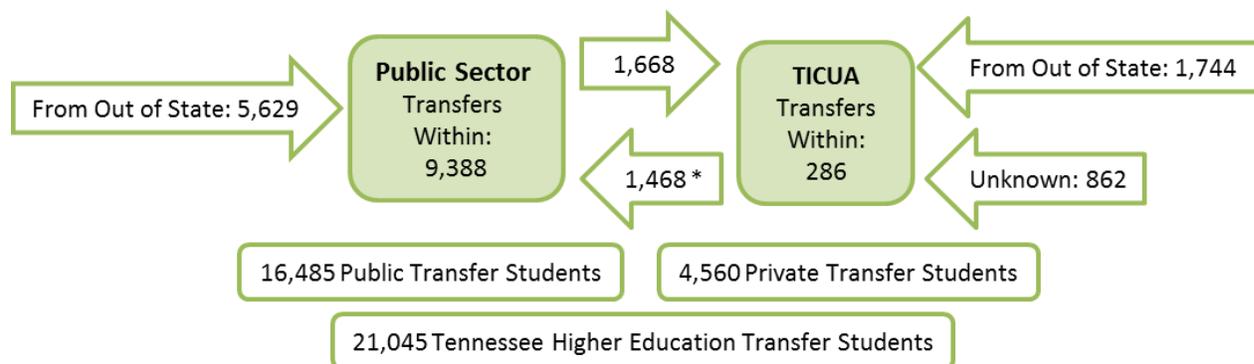
This section also compares various characteristics of transfer and non-transfer students. In this report, the terms “non-transfer students” and “native students” are used interchangeably. However, these terms apply to students’ status just in fall 2011; these students may have been transfer students in preceding terms or may be transfer students in subsequent semesters.

A. Statewide Student Transfer Activity

Patterns in Student Transfer Activity

In fall 2011, 21,045 students transferred into a Tennessee public or TICUA member institution of higher education, representing 7.7 percent of all undergraduate enrollees in both sectors (**Figure 1**).

Figure 1. Student Transfer Patterns, Fall 2011



* Includes transfers from TICUA and other in-state independent institutions.

- The majority of students (60.9 percent or 12,810 students) moved within Tennessee higher education from one state public or private nonprofit institution to another.
- Thirty-five percent (7,373 students) transferred from out-of-state institutions.
- The remaining 4.1 percent of students transferred to TICUA institutions from unknown locations (862 students).

Commensurate proportions of out-of-state students moved into the public sector (34.1 percent) and TICUA institutions (38.2 percent). In sharp contrast, within-sector transfers accounted for 56.9 percent (9,388 students of 16,485 transfers) of the public institution total, but only 6.3 percent (286 students of 4,560 transfers) of TICUA transfers were from within private institutions. This indicates that more internal transfer activity takes place within the public sector compared to transfers among TICUA member institutions.

Student Transfer Activity by Sector of Origin

In fall 2011, the public sector received 16,485 transfer students (78.3 percent of the total), while TICUA institutions received 4,560 transfers (21.7 percent). A majority of students (11,056 or 52.5 percent) came from Tennessee public institutions; out-of-state institutions sent 7,373 students (35 percent); and 1,754 students (8.3 percent) transferred from Tennessee’s independent sector (**Table 3**).

Table 3. Student Transfer Activity by Sector of Origin, Fall 2011

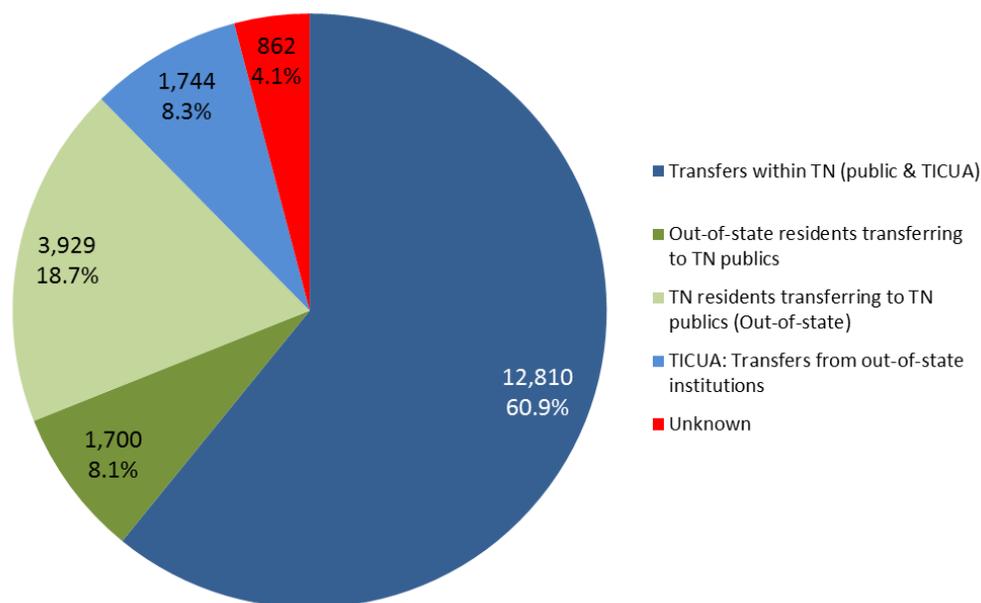
RECEIVING SECTOR	TRANSFERS BY SECTOR OF ORIGIN				Total Transfers	Overall Enrollment
	Tennessee Public	Tennessee Independent	Out-of-State	Unknown		
Public University Total	6,042	781	3,211		10,034	119,780
Community College Total	3,346	687	2,418		6,451	96,777
PUBLIC HIGHER ED. TOTAL	9,388	1,468	5,629		16,485	216,557
TICUA TOTAL	1,668	286	1,744	862	4,560	56,828
GRAND TOTAL	11,056	1,754	7,373	862	21,045	273,385

See **Appendix A** and **Appendix B** for a detailed table of fall 2011 enrollment and transfer activity by sector and by institution.

Out-of-state Student Transfer Activity

The following caveats should be considered when interpreting the data on out-of-state transfers. First, for different graphs on public institutions, this report relies on either the resident status of transfer students or on the state of the previous institution. Due to the data structure at TICUA, the report uses only the state of the prior institution when examining the private sector. Second, out-of-state students are not homogeneous. These students comprise two large groups: residents of other states and Tennessee residents transferring from out-of-state colleges and universities to institutions in their home state. These two groups of transfer students, out-of-state residents and returning Tennessee residents, are reported separately (**Figure 2**).

Figure 2. Transfers by Originating Location (In-State vs. Out-of-State), Fall 2011



As Figure 2 shows, Tennessee residents transferring into the state’s public and private institutions accounted for 60.9 percent of all fall 2011 transfers into Tennessee higher education. The general group of out-of-state students accounted for 39.1 percent of all transfers and included the following categories: transfers into TICUA institutions (8.3 percent from out-of-state institutions and 4.1 percent from unknown locations), transfers by residents of other states (8.1 percent), and transfers of Tennessee residents returning to their home state (18.7 percent).

It is remarkable that for public transfers the group of returning Tennessee residents is 2.3 times larger than the group of “true” out-of-state students and constitutes almost 48 percent of all out-of-state transfers. From a policy perspective, this observation is critical because it may allow for better understanding of reasons for student transfer. One may suppose that Tennessee students return due to a combination of financial, academic, convenience, and personal considerations. Such a large number of returning residents suggests that, in the long run, Tennessee may be losing fewer students to other states than the data on high-school graduate out-migration would suggest. Availability of lottery scholarships could be a major factor in making a decision to transfer to a home state’s public institution.¹ **Figure 3** shows the state of origin for out-of-state transfers.

Figure 3. Transfers into Tennessee Public and TICUA Institutions by State of Origin, Fall 2011



¹ Tennessee residents, who were eligible for Tennessee Education Lottery Scholarships (TELS) upon completion of high school requirements, but who enrolled in a regionally accredited out-of-state postsecondary institution after high school graduation, may transfer to an eligible Tennessee postsecondary institution and receive a TELS award.

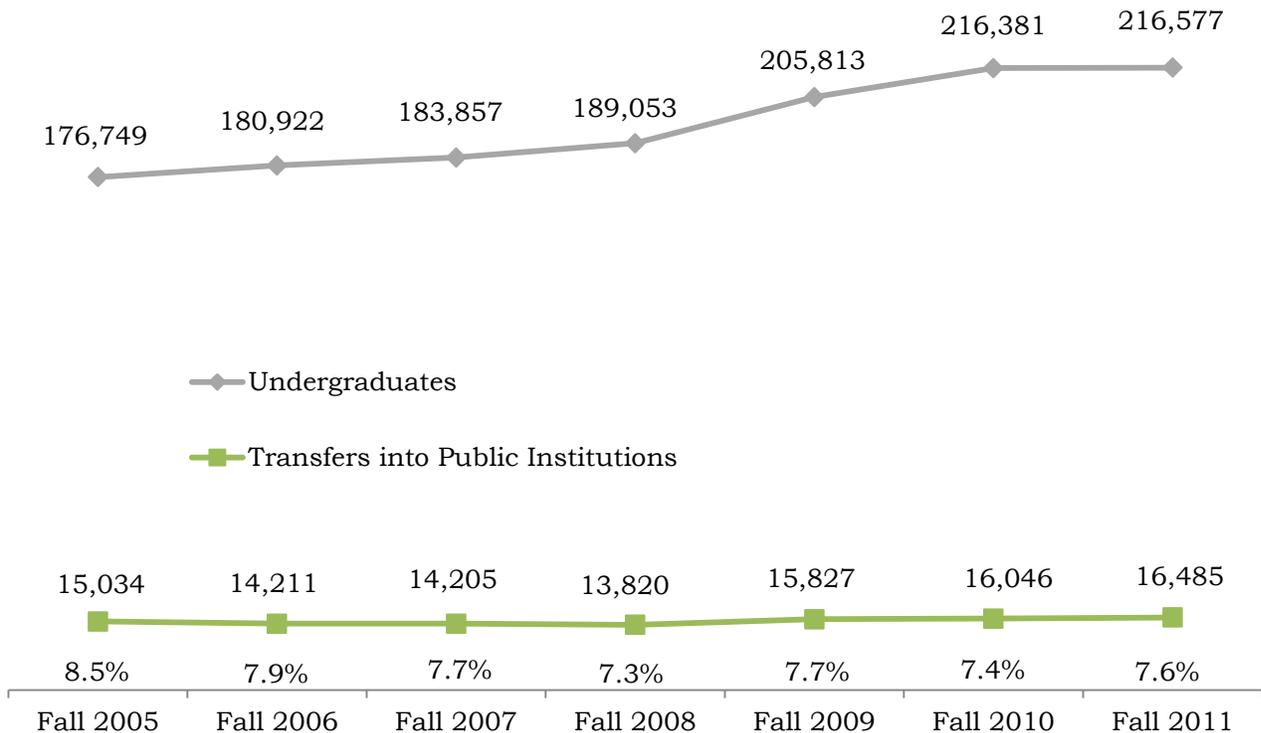
Figure 3 shows the state of origin for transfer students based on the location of their sending institution. To capture a holistic picture of out-of-state transfers, this year’s report examines transfers into the public sector and TICUA institutions together. As the figure shows, states differ greatly in the number of students they send to Tennessee. In fall 2011, seven states with the highest number of transfer students sent to Tennessee (the category “More than 300 students”) accounted for exactly 50 percent of out-of-state transfers. This group of prolific states included five neighboring states: Mississippi (9.8 percent), Kentucky (7.2 percent), Alabama (7.1 percent), Georgia (7 percent), and Virginia (6.8 percent). It also included two traditionally big providers of transfer students: Florida and California (6 percent each).

B. Transfer Activity in Public Higher Education

Trends in Public Transfer Enrollment

In fall 2011, transfer students constituted 7.6 percent of the undergraduate enrollment in Tennessee public education. This figure is consistent with transfer enrollment in previous years. Undergraduate enrollment in state public institutions has grown steadily and, from fall 2005 to fall 2011, increased by 22.5 percent. However, over the same period, the proportion of transfer enrollment remained stable, decreasing by less than one percentage point. In absolute figures, it translates to transfer student growth of 1,451 students (**Figure 4**).

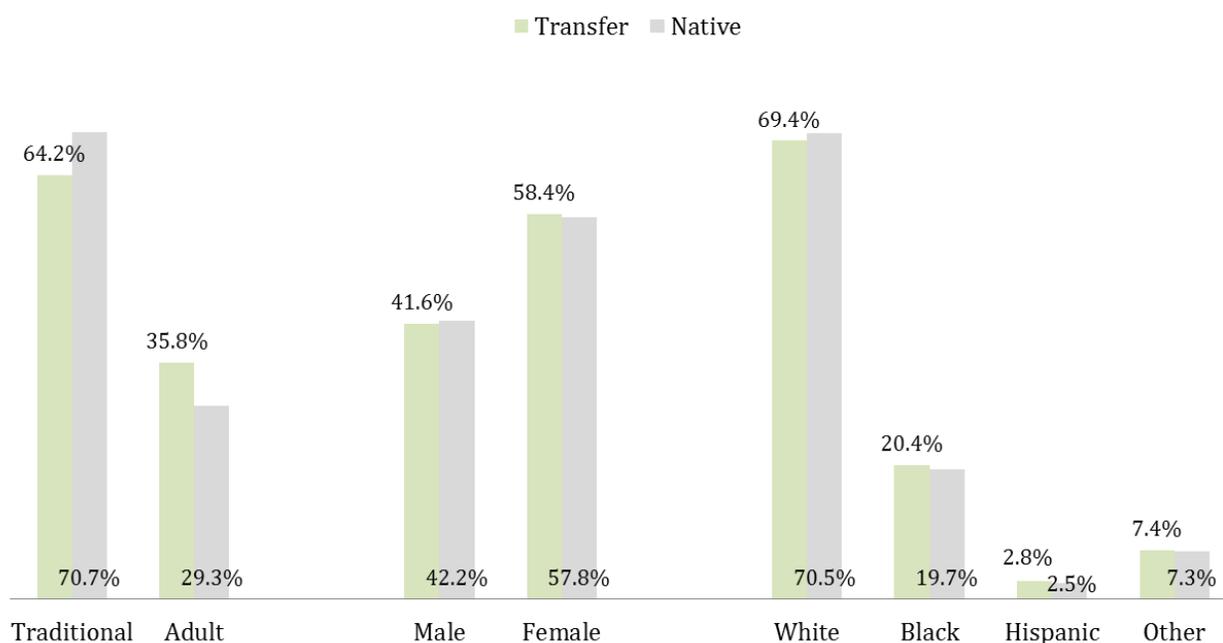
Figure 4. Transfer and Total Undergraduate Headcount, Public Institutions, Fall 2006-2011



Public Transfer Student Demographics

Transfer students are very similar to non-transfer students in terms of their demographic and academic characteristics (**Figure 5**). The only noticeable difference between these groups is age. There are more native students among traditional-age undergraduates and more transfer students among adults. In this report, adult students are defined as 25 years old or older. The comparison of transfer and native students by gender, race, cumulative GPA, and credit hours does not indicate any substantive differences between these groups.

Figure 5. Transfer and Native Student Demographics, Fall 2011

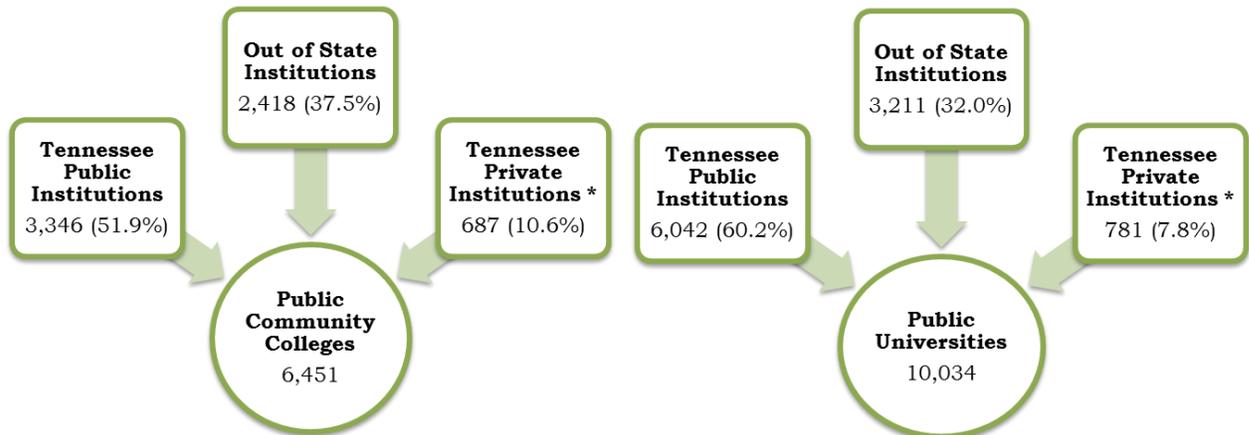


Public Transfer Activity

Public higher education institutions in Tennessee receive transfer students from three main sources: other public colleges and universities in the state, private not-for-profit institutions in Tennessee, and out-of-state institutions. Based on the definition of transfer students in the Executive Summary, this section omits from analysis students migrating from Tennessee Technology Centers (TTC) and for-profit institutions. TTC transfers are examined in Section V of this report.

For purposes of this analysis, transfers into the public sector have two destinations: community colleges and universities (**Figure 6**). The comparative analysis shows that the relative size of each source of transfer students for these two sectors is different. Most of the transfer students into community colleges come from other public institutions in the state (51.9 percent) and out-of-state institutions (37.5 percent). The independent sector provides 10.6 percent of all transfers into community colleges. In contrast, the universities rely more heavily on other Tennessee public institutions (60.2 percent of transfers into universities) and less heavily on out-of-state institutions (32 percent of their transfers). Tennessee private institutions supply 7.8 percent of transfers into public universities.

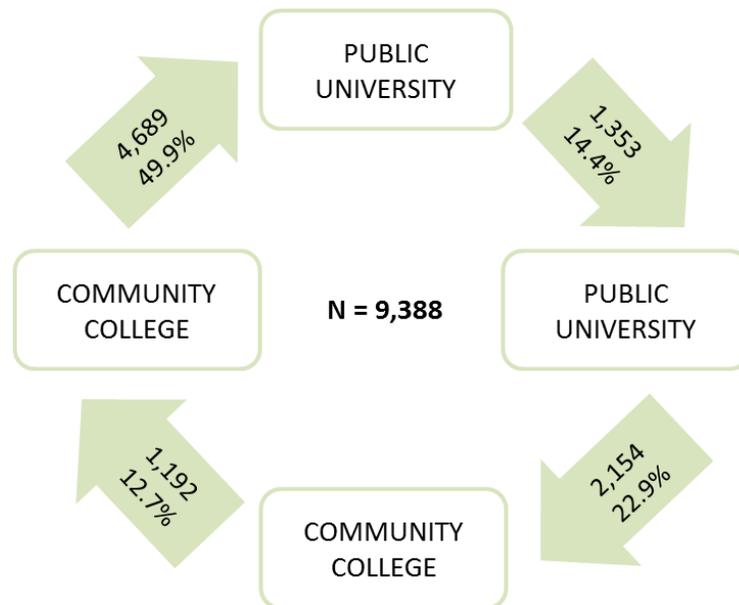
Figure 6. Transfers into Public Institutions, Fall 2011



* Includes TICUA, non-TICUA, and private for-profit institutions.

Transfer activity within the public sector is multidirectional, with noticeable patterns (**Figure 7**). In fall 2011, almost 57 percent (9,388 students) of all transfers into the public sector took place among public institutions. Most of transfer activity is vertical: 49.9 percent of students moved from community colleges into public universities, and 22.9 percent transferred from universities to community colleges. The horizontal transfer activity is comparatively less pronounced but is still sizeable: 14.4 percent of students moved among public universities, and 12.7 percent transferred from one community college to another.

Figure 7. Public Transfer Activity, Fall 2011



The observed patterns are consistent with previous reports released from fall 2007 to fall 2011 (**Table 4**). One may conclude that transfers among Tennessee public institutions have maintained the same relative size and direction for the past several years.

Table 4. Fall Semester Transfer Activity within Tennessee Public Sector, Fall 2007-Fall 2011

	Fall 2007	Fall 2008	Fall 2009	Fall 2010	Fall 2011
VERTICAL TRANSFERS					
from community colleges to universities	49.8%	50.2%	48.2%	50.3%	49.9%
from universities to community colleges	22.8%	23.4%	23.9%	22.2%	22.9%
HORIZONTAL TRANSFERS					
among community colleges	11.9%	10.7%	12.7%	12.4%	12.7%
among universities	15.4%	15.6%	15.1%	15.1%	14.4%
PUBLIC TRANSFERS TOTAL	7,868	7,804	8,645	9,008	9,388

It is remarkable that the number of students transferring from universities into community colleges has been sizeable over time: for the past five years it has never fallen below 22 percent of all transfers within the public sector. In fall 2011, only 43 students (less than two percent of the total 2,154 transfers) were still simultaneously enrolled in universities.

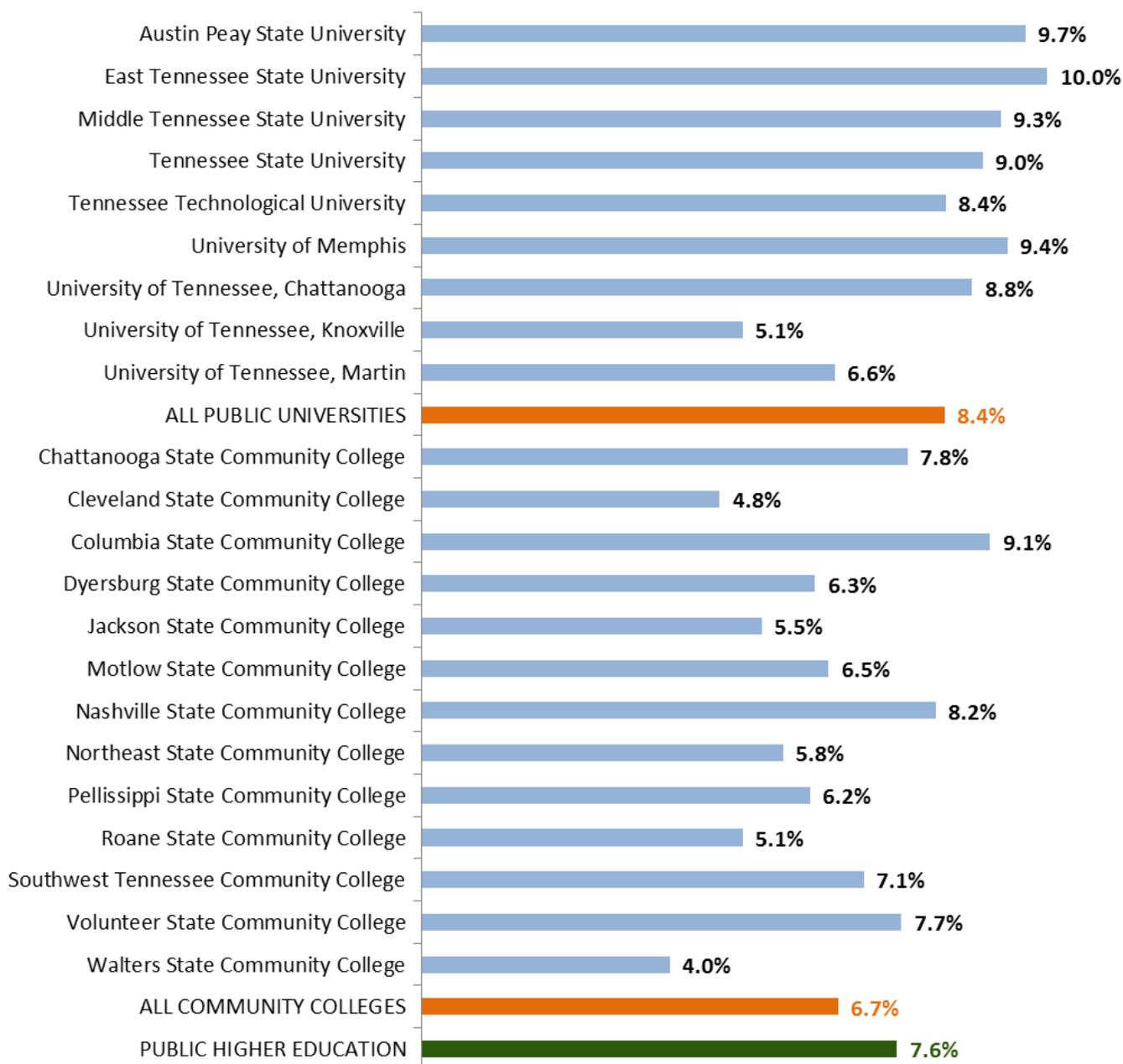
C. Student Transfer Activity by Institution

Transfer Students as a Percent of Undergraduate Enrollment

Figure 8 presents incoming transfer students as a percentage of undergraduate enrollment by institution and sector. The total undergraduate enrollment in Tennessee public institutions in fall 2011 was 216,557 students. Consistent with previous reports, 7.6 percent of these (16,485 individuals) were transfer students. Of 96,777 students enrolled in community colleges, 6.7 percent (6,451 students) were transfers. The percent of enrollees that had moved into the university sector was higher, at 8.4 percent (10,034 students).

All six TBR universities were at or above the average percentage for public universities. For the University of Tennessee, the Chattanooga campus was above the university average; the campuses in Knoxville and Martin had percentages below the average for universities and the entire public sector (7.6 percent). For community colleges, five institutions enrolled transfer students at a higher proportion than the average for the sector (6.7 percent), and eight colleges were below this sector-wide average. East Tennessee State University, Austin Peay State University, University of Memphis, and Middle Tennessee State University had the largest populations of transfers, ranging from 9.3 percent to 10 percent of public undergraduate enrollment. Walters State enrolled the smallest percentage of transfer students (4 percent).

Figure 8. Transfer Students as a Percent of Undergraduate Enrollment, Fall 2011



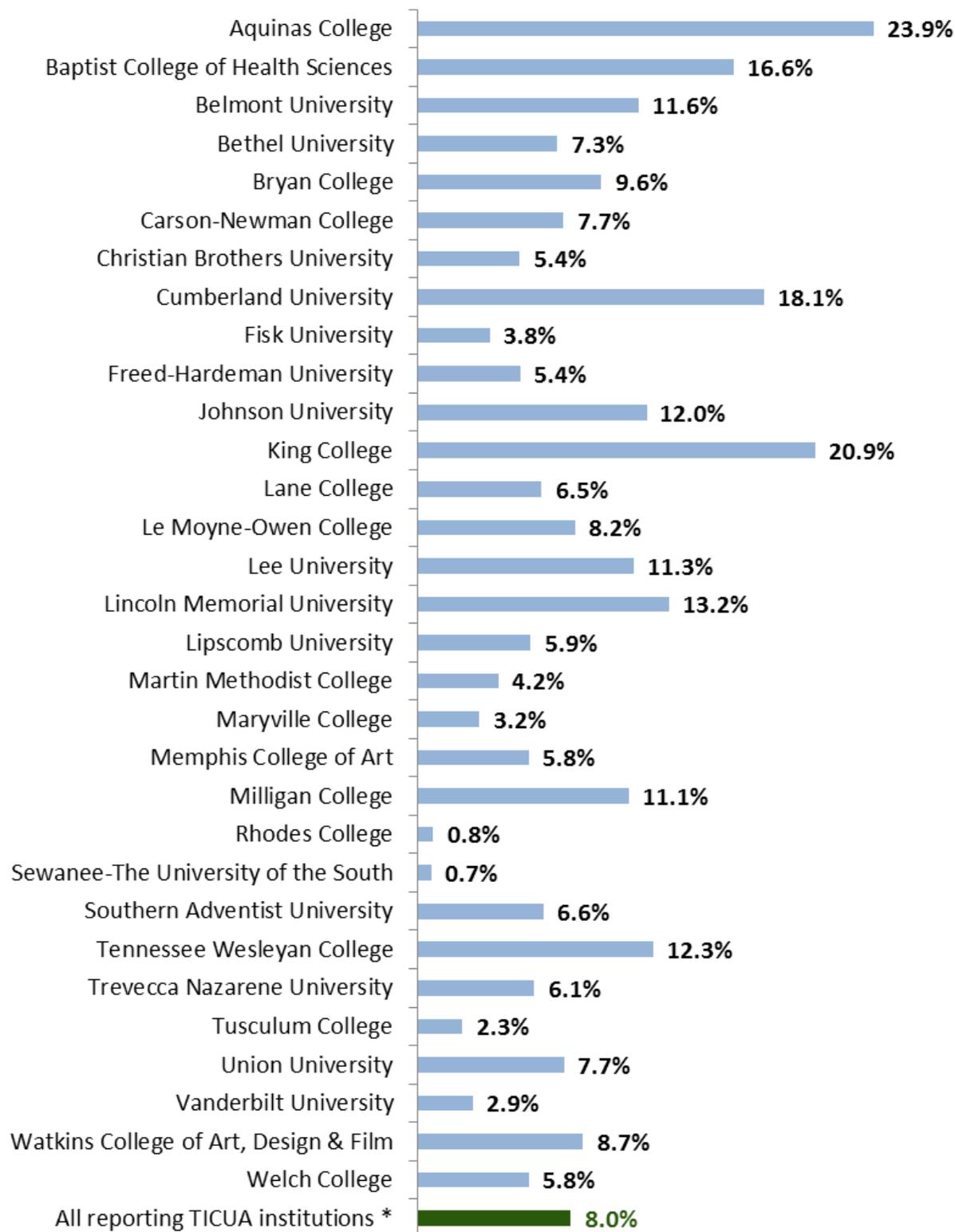
The share of transfer students measured as a percent of public undergraduate enrollment has been consistent across institutions and systems over time (**Table 5**). For universities, the TBR system traditionally has a greater percentage of transfers than the University of Tennessee System. Public universities, on average, have more transfer students than community colleges. It bears remembering that various Articulation and Transfer reports have used an evolving definition of a transfer student; using slightly different criteria for selecting “true” transfer students in different years affected the reported number and the share of transfer students.

Table 5. Transfers as a Percent of Undergraduate Enrollment, Fall 2006-Fall 2011

Institution	Fall 2006	Fall 2007	Fall 2008	Fall 2009	Fall 2010	Fall 2011
Austin Peay State University	10.8%	12.1%	7.7%	9.6%	9.1%	9.7%
East Tennessee State University	9.8%	9.8%	7.5%	8.4%	8.8%	10.0%
Middle Tennessee State University	9.6%	9.3%	8.2%	8.4%	9.4%	9.3%
Tennessee State University	9.0%	8.7%	6.1%	6.4%	8.0%	9.0%
Tennessee Technological University	12.1%	9.5%	6.7%	6.9%	8.0%	8.4%
University of Memphis	8.4%	7.8%	6.0%	6.7%	8.9%	9.4%
TBR system	9.7%	9.3%	7.1%	7.8%	8.9%	9.3%
University of Tennessee, Chattanooga	8.6%	8.0%	6.8%	6.6%	9.5%	8.8%
University of Tennessee, Knoxville	5.6%	5.4%	4.4%	4.4%	5.6%	5.2%
University of Tennessee, Martin	6.0%	5.2%	6.5%	6.1%	6.4%	6.6%
UT System	6.4%	5.9%	5.3%	5.2%	6.7%	6.4%
All Public Universities	8.6%	8.2%	6.5%	6.9%	8.2%	8.4%
Chattanooga State Community College	7.9%	7.9%	6.6%	7.1%	6.8%	7.8%
Cleveland State Community College	5.7%	5.7%	6.1%	5.8%	5.6%	4.8%
Columbia State Community College	9.6%	9.6%	8.0%	7.7%	9.5%	9.1%
Dyersburg State Community College	5.6%	5.6%	6.0%	6.9%	5.9%	6.3%
Jackson State Community College	5.8%	5.8%	5.4%	6.3%	5.8%	5.5%
Motlow State Community College	7.8%	7.8%	8.3%	8.2%	6.5%	6.5%
Nashville State Community College	8.3%	8.3%	7.9%	8.4%	7.1%	8.2%
Northeast State Community College	6.8%	6.8%	6.4%	6.9%	6.7%	5.8%
Pellissippi State Community College	7.0%	7.0%	6.2%	7.6%	7.0%	6.2%
Roane State Community College	6.7%	6.7%	6.1%	5.4%	5.1%	5.1%
Southwest Tennessee Community College	6.4%	6.4%	6.8%	6.7%	6.4%	7.1%
Volunteer State Community College	8.5%	8.5%	6.6%	7.4%	7.2%	7.7%
Walters State Community College	4.2%	4.2%	4.7%	4.8%	4.1%	4.0%
All Community Colleges	7.0%	7.0%	6.6%	7.0%	6.5%	6.7%
Public Higher Education	7.7%	7.6%	6.5%	6.9%	7.4%	7.6%

Figure 9 presents transfer students as a percent of undergraduate enrollment for the TICUA member institutions. For TICUA, the sector-wide percentage of transfer students of eight percent was higher than for public institutions (7.6 percent). In contrast to public institutions, the differences among TICUA institutions were larger. Aquinas College enrolled the largest percentage of transfer students at 23.9 percent, while The University of the South had the lowest proportion at 0.7 percent (11 students). Ten TICUA institutions had transfer enrollment of more than ten percent. Seven institutions had transfer enrollment of less than five percent.

Figure 9. Transfer Students as a Percent of TICUA Undergraduate Enrollment, Fall 2011



Top Sending and Receiving Public Institutions

Table 6 presents each institution's share of transfer-in and transfer-out students statewide. Middle Tennessee State University received a considerably larger portion of transfers (14.9 percent of all transfers received by public institutions) than the other institutions. The other top receiving institutions were the University of Memphis (10 percent), East Tennessee State University (8.6 percent), Tennessee Technological University (7.3 percent), and University of Tennessee at Knoxville (7.3 percent). Middle Tennessee State University was also the top sending institution (accounting by itself for 7.9 percent of all transfers sent by public institutions), followed by Southwest State Community College (7.2 percent), Nashville State Community College (6.9 percent), and Pellissippi State Community College (6.6 percent).

See **Appendix C** and **Appendix D** for a detailed count of transfer activity among all public institutions, showing the sending and receiving partners for each institution.

Table 6. Each Institution's Share of Total Public Transfer Activity, Fall 2011

PUBLIC INSTITUTION	SENT *	RECEIVED *
Austin Peay State University	2.1%	3.3%
East Tennessee State University	4.0%	8.6%
Middle Tennessee State University	7.9%	14.9%
Tennessee State University	2.5%	4.0%
Tennessee Technological University	3.3%	7.3%
University of Memphis	4.3%	10.0%
TBR SYSTEM	24.1%	48.1%
University of Tennessee, Chattanooga	5.2%	5.7%
University of Tennessee, Knoxville	5.5%	7.3%
University of Tennessee, Martin	2.5%	3.3%
UT SYSTEM	13.3%	16.3%
Chattanooga State Community College	4.5%	4.4%
Cleveland State Community College	2.5%	0.8%
Columbia State Community College	4.4%	2.6%
Dyersburg State Community College	2.4%	1.6%
Jackson State Community College	3.2%	1.5%
Motlow State Community College	5.4%	2.1%
Nashville State Community College	6.9%	4.4%
Northeast State Community College	3.6%	2.1%
Pellissippi State Community College	6.6%	4.4%
Roane State Community College	5.0%	2.2%
Southwest Tennessee Community College	7.2%	4.7%
Volunteer State Community College	6.3%	3.7%
Walters State Community College	4.7%	1.2%
COMMUNITY COLLEGES	62.6%	35.6%
PUBLIC HIGHER EDUCATION	100%	100%

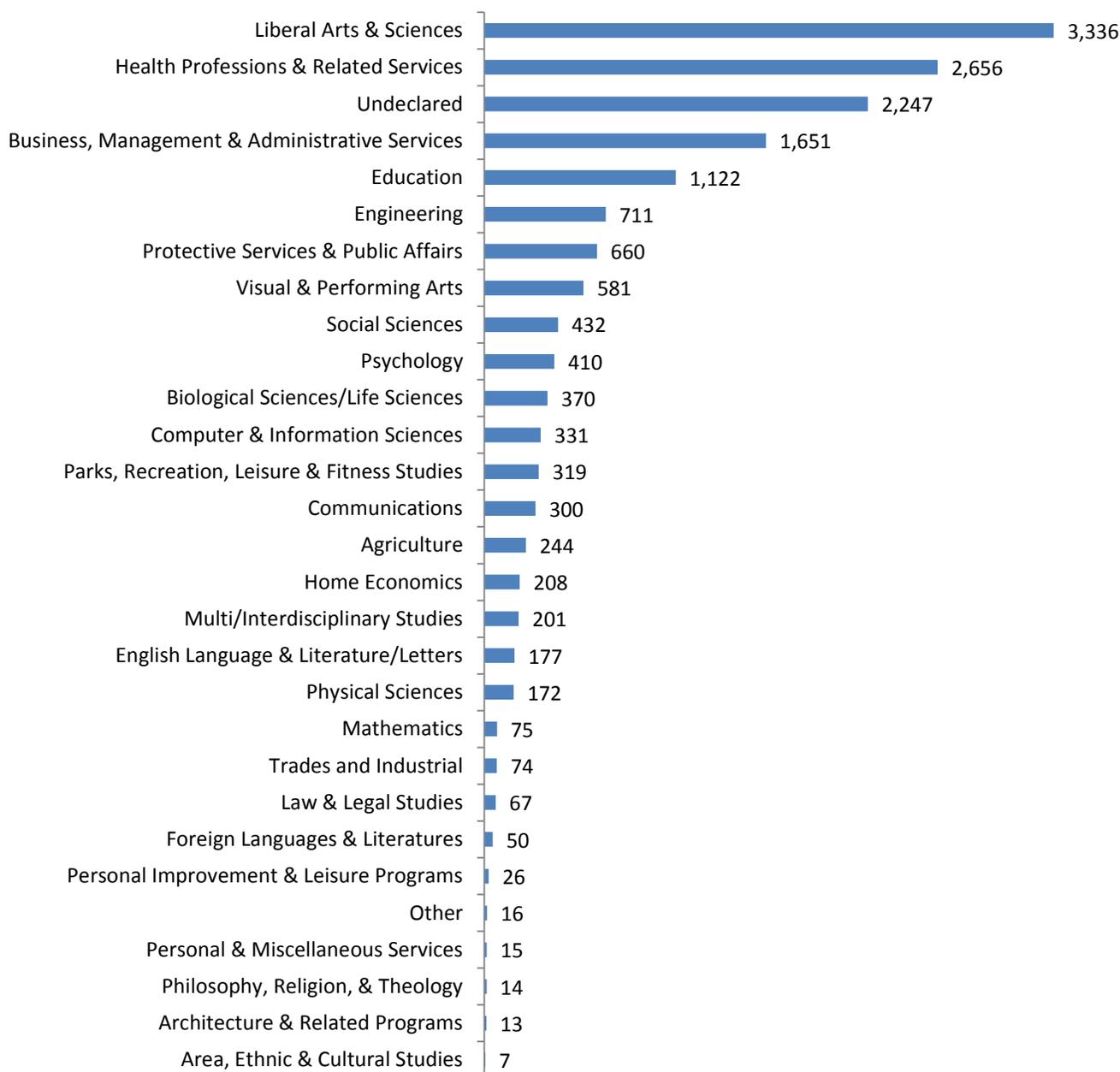
* Percent of the total transfers by category

D. Academic Characteristics of Transfer Students

Academic Major at Transfer

A few academic program choices were dominant among transfer students in fall 2011. Three broad areas, *Liberal Arts and Sciences*, *Health Professions and Related Services*, and *Business, Management and Administrative Services*, were chosen by nearly half (46.3 percent) of all transfers into the public sector. Additionally, nearly 14 percent transferred with an unknown major, while the remaining 40 percent of transfer students chose from 25 other fields of study (**Figure 10**).

Figure 10. Academic Major at Transfer, Transfer Students, Fall 2011



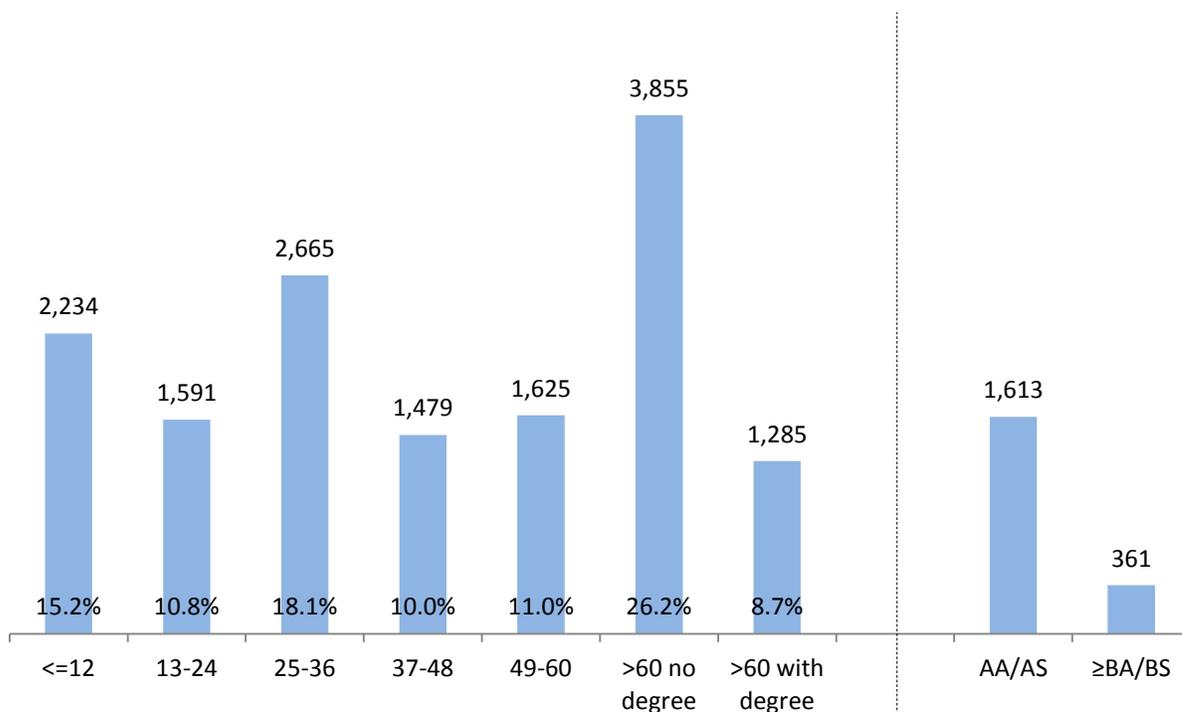
Credit Hours and Degrees at Transfer

Students transfer in the public sector at various points in their academic careers. In fall 2011, about 15 percent of public students transferred before they earned 12 credit hours and over 54 percent before they earned 50 credits. Consistent with previous reports is the finding that 3,855 students (26.2 percent of students with reported credits) had accumulated more than 60 hours without earning an associate’s degree. Another 1,285 students (8.7 percent of students with reported credits) transferred with more than 60 credit hours after obtaining a degree (**Figure 11**).

Only 9.8 percent of public transfers (1,613 students) arrived with an associate’s degree. Another small group of transfers (361 students) already had a degree at the baccalaureate level or higher, accounting for 2.2 percent of fall 2011 public transfers. The total number of degree holders (1,974 students) exceeds the number of undergraduates who transfer with more than 60 hours and with a degree (1,285 students). This happens because institutions do not always report all past credits and prior awards include degrees earned over the entire academic career. As a result, 689 students with previously earned degrees are included in various credit categories below 60 credits.

See **Appendix E** for a credit-hour description of fall 2011 transfer students for each public institution.

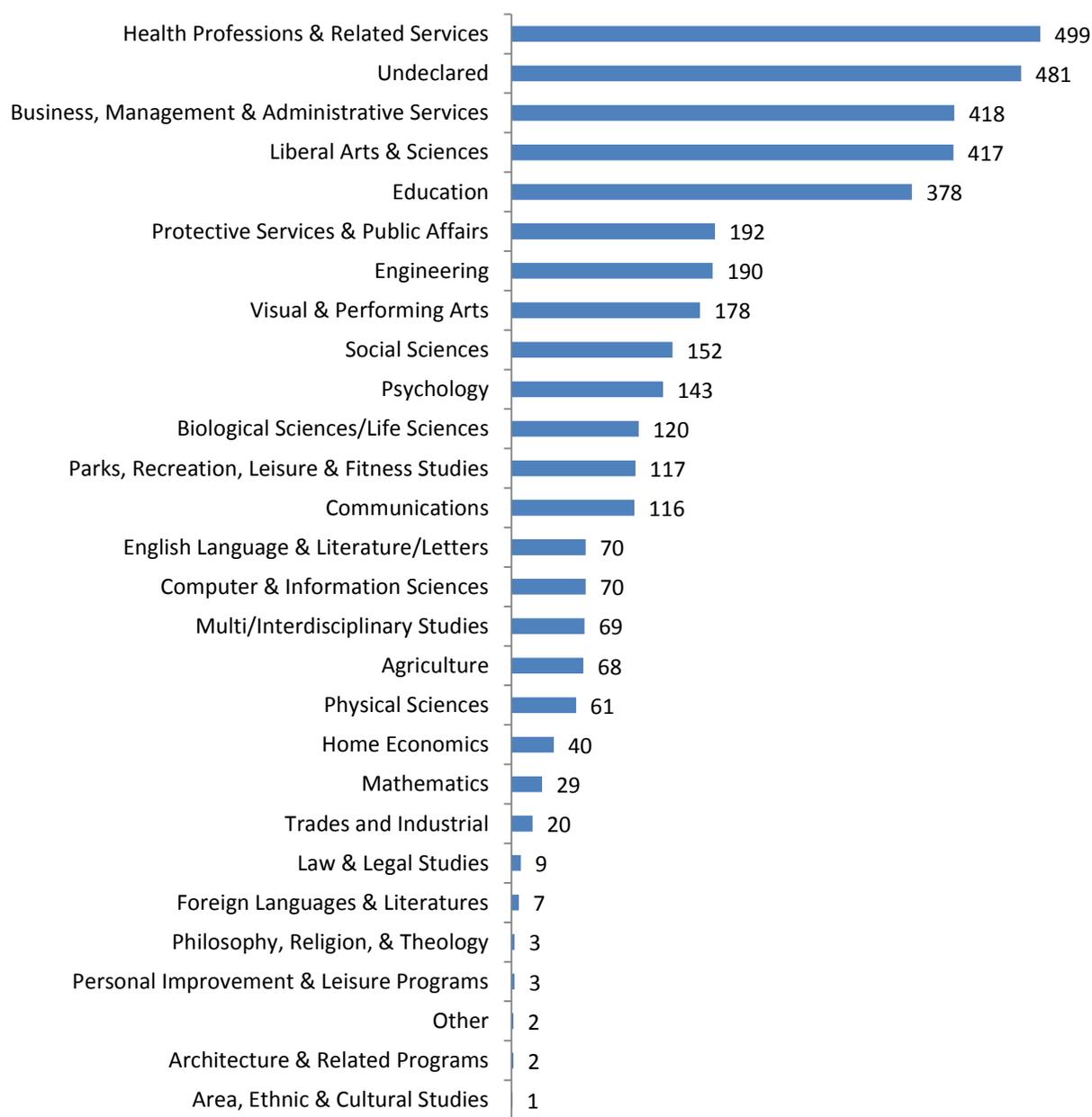
Figure 11. Credit Hours and Degrees at Transfer, Fall 2011



Graph and percentage exclude 1,751 students with missing data on credits or reported credits above 130

Figure 12 presents academic majors selected by students who transferred with more than 60 credits but without an associate's degree earned prior to transferring. Comparison of Figure 10 and Figure 12 shows that these students predominantly chose the same four broad academic fields as the majority of all transfer students; however, the order of major preferences was different. *Liberal Arts and Sciences*, the most popular field among all transfer students, occupies only the fourth position among students with many pre-transfer credits but no prior degree. For this group of students, *Health Professions and Related Services* becomes the most popular choice.

Figure 12. Academic Major at Transfer with More than 60 Credits and No Prior Degree, Fall 2011



V. Student Migration from Tennessee Technology Centers

This section examines institutional migration patterns and demographic and academic characteristics of Tennessee Technology Centers (TTC) transfers. In fall 2011, 809 students migrated from TTCs into the state's public colleges and universities.

The Articulation and Transfer Report has traditionally excluded TTC transfers. As emphasized in last year's report, given the recent emphasis on improving articulation between TTCs and community colleges, student migration between TTCs and Tennessee public colleges and universities warrants examination. Following on that suggestion, for the first time this report examines migration patterns and characteristics of this group of students.

Students analyzed in this section do not meet the traditional definition of transfer students, as specified in the Executive Summary. First, most of them return to their community college or university and thus are not first-time-at-institution students. Such students are classified as returning students (individuals who were enrolled at the institution in the preceding semester) or readmitted students (individuals returning to that institution after a gap in their attendance). Second, many former TTC enrollees do not transfer credit hours from a TTC to a community college or university.

To differentiate TTC students from the general transfer population, this report refers to them as **TTC transfers**. For the purposes of this analysis, TTC transfers include students who were enrolled in a public Tennessee institution in fall 2011 and who had taken classes at a Tennessee Technology Center in summer or spring of 2011. To be sure, this broad definition includes returning and readmitted students as well as students who had been simultaneously enrolled in a TTC and some other institution. Moreover, this definition does not use transferred credits as the basis for identifying TTC transfers.

Institutional Migration Patterns of TTC Transfers

Because this section examines just within-public sector student migration, the institutional transfer patterns are limited to one type of "departure institution"—Tennessee Technology Centers and two types of "destinations"—community colleges or public universities.

Table 7 presents the institutional migration patterns of TTC transfers by sending technology center and receiving sector. In fall 2011, Tennessee community colleges received 613 migrant students from 27 Tennessee Technology Centers while public state universities received 196 students from 24 technology centers.

Table 7. Migration of TTC Transfers into Tennessee Public Institutions, Fall 2011

SENDING INSTITUTION	COMMUNITY COLLEGES	PUBLIC UNIVERSITIES
Tennessee Technology Center at ATHENS	*	0
Tennessee Technology Center at CHATTANOOGA	80	*
Tennessee Technology Center at COVINGTON	*	*
Tennessee Technology Center at CROSSVILLE	22	*
Tennessee Technology Center at CRUMP	*	*
Tennessee Technology Center at DICKSON	*	*
Tennessee Technology Center at ELIZABETHTON	24	12
Tennessee Technology Center at HARRIMAN	11	0
Tennessee Technology Center at HARTSVILLE	18	*
Tennessee Technology Center at HOHENWALD	15	*
Tennessee Technology Center at JACKSBORO	*	0
Tennessee Technology Center at JACKSON	34	*
Tennessee Technology Center at KNOXVILLE	67	*
Tennessee Technology Center at LIVINGSTON	42	14
Tennessee Technology Center at MCKENZIE	*	*
Tennessee Technology Center at MCMINNVILLE	12	*
Tennessee Technology Center at MEMPHIS	14	*
Tennessee Technology Center at MORRISTOWN	19	*
Tennessee Technology Center at MURFREESBORO	47	29
Tennessee Technology Center at NASHVILLE	34	41
Tennessee Technology Center at NEWBERN	17	15
Tennessee Technology Center at ONEIDA	24	*
Tennessee Technology Center at PARIS	*	*
Tennessee Technology Center at PULASKI	41	17
Tennessee Technology Center at RIPLEY	18	*
Tennessee Technology Center at SHELBYVILLE	28	*
Tennessee Technology Center at WHITEVILLE	11	*
TOTAL (SUPPRESSED)	578	128
TOTAL (UNSUPPRESSED)	613	196

* To comply with FERPA requirements, cells containing 10 observations or fewer are suppressed.

TOTAL (SUPPRESSED) does not include the values of the suppressed cells.

Data suppression makes it impossible to directly retrieve data described in the narrative from this table.

Six Tennessee Technology Centers (Chattanooga, Murfreesboro, Nashville, Knoxville, Pulaski, and Livingston) sent to the public sector more than 50 students each for a total of 420 students, accounting for almost 52 percent of all TTC transfers. In contrast, six other technology centers (at Jacksboro, Athens, Covington, Crump, Paris, and McKenzie) sent 10 or fewer students each for a total of 4.6 percent of all TTC transfers. The average number of TTC transfers for all technology centers is 30 students, with the per-institution number ranging from three to over 80 students. Because of data suppression, these numbers are not directly retrievable from Table 7.

Table 8 shows the receiving public institutions that accepted TTC transfers in fall 2011. Among universities, Middle Tennessee State University received the most TTC transfers: 59 students. Tennessee State University and Tennessee Technological University followed with 29 and 26 TTC transfers respectively. At the other end, University of Tennessee at Knoxville accepted fewer than 10 TTC transfers. The average number of TTC transfers for universities is 21 students.

Table 8. Migration of TTC Transfers by Receiving Institution, Fall 2011

RECEIVING INSTITUTION	TTC TRANSFERS
Austin Peay State University	12 students
East Tennessee State University	17 students
Middle Tennessee State University	59 students
Tennessee State University	29 students
Tennessee Technological University	26 students
University of Memphis	12 students
University of Tennessee, Chattanooga	11 students
University of Tennessee, Knoxville	< 10 students *
University of Tennessee, Martin	24 students
Chattanooga State	85 students
Cleveland State	12 students
Columbia State	63 students
Dyersburg State	43 students
Jackson State	49 students
Motlow State	60 students
Nashville State	39 students
Northeast State	29 students
Pellissippi State	46 students
Roane State	83 students
Southwest Tennessee	16 students
Volunteer State	64 students
Walters State	24 students

* To comply with FERPA requirements, cells containing 10 observations or fewer are suppressed.

For community colleges, Chattanooga State and Roane State community colleges had the highest number of TTC transfers: 85 students (76 moved from TTC at Chattanooga located on the Chattanooga State campus) and 83 students respectively. In contrast, Cleveland State and Southwest Tennessee received 12 and 16 TTC transfers. The average for community colleges is 47 TTC transfers.

Demographic and Academic Characteristics of TTC Transfers

Because comparison of TTC transfers with the native students at Tennessee public institutions is not very informative, this section compares TTC transfers to the group of traditional public transfer students, that is, students who satisfy the definition of a transfer student as specified in the Executive Summary.

Figure 13 shows that TTC transfers are quite similar to traditional transfer students. The most noticeable differences exist in the age and gender composition of these groups: there are more adult students and fewer males among TTC transfers. The racial/ethnic composition of TTC transfers resembles that of traditional transfer students (and the overall state student population), with Caucasian students being the predominant group and minorities accounting for slightly over 27 percent of all students coming from Tennessee Technology Centers.

Figure 13. Demographic Characteristics of TTC Transfers and Traditional Public Transfers, Fall 2011

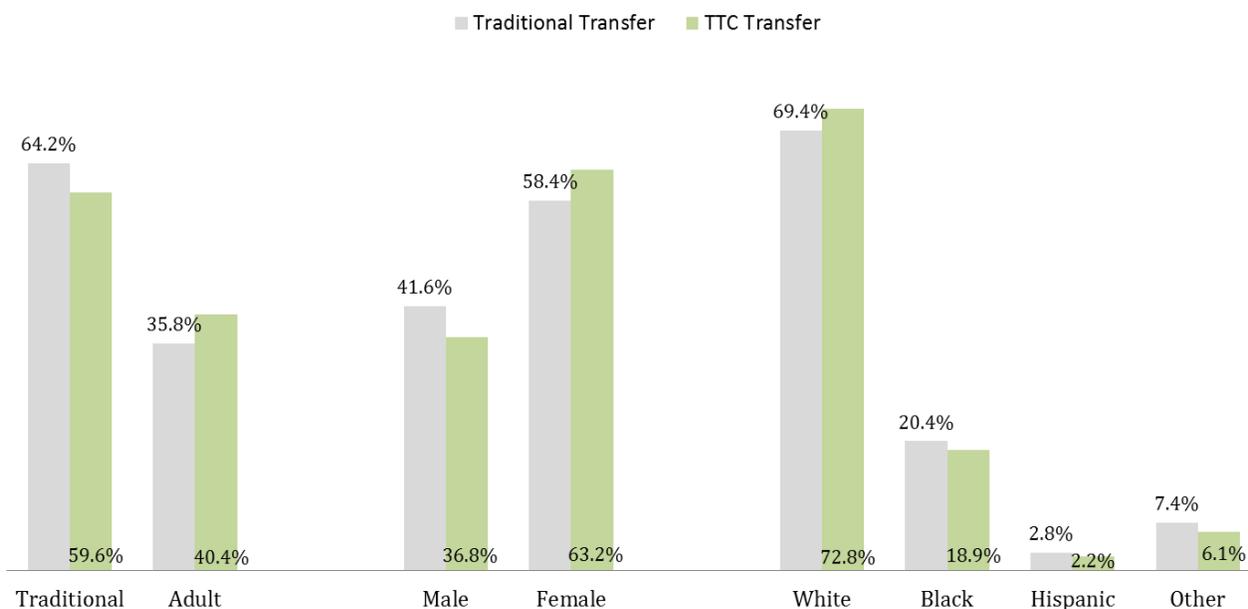


Table 9 clearly shows why TTC transfers do not fall under the traditional definition of transfer students and, as a rule, are not coded as such by institutions. In fall 2011, 408 students (about 50 percent) moving from TTCs into Tennessee public institutions were either *returning students* (individuals who were registered at the institution during the preceding term) or *readmitted students* (individuals who had previously attended the institution and had a gap in their attendance). Twenty three TTC transfers were coded as *pre-college students* (that is, high school students taking college courses in advance of high school graduation).

Table 9. Student Registration Types of TTC Transfers, Fall 2011

REGISTRATION TYPE	First-Time at Institution Student	Pre-College Student	Readmitted Student	Returning Student	TOTAL
First-Time College Student	293	-	-	-	293
Transfer Student	72	-	1	-	73
Transient Student	-	-	-	1	1
All Others	13	23	168	238	442
TOTAL	378	23	169	239	809

Out of 378 students who enrolled at the institution for the first time, 293 were first-time college students and only 72 former TCC students were coded as transfer students by receiving institutions.

Regarding academic majors, TTC transfers predominantly chose the following fields at their TTC: *Health Professions and Related Services* (328 students); *Trades and Industrial* (203 students); and *Business, Management and Administrative Services* (109 students) (**Table 10**). In the new institution, 73 percent of all TTC transfers opted for four major academic fields: *Health Professions and Related Services* (270 students); *Liberal Arts and Sciences* (216 students); *Business, Management and Administrative Services* (56 students); and *Personal Improvement and Leisure Programs* (51 students). Out of 809 TTC transfers, 618 students (76.4 percent) changed their broad major field after transferring into a public institution from a Tennessee Technology Center.

Table 10. Academic Majors of TTC Transfers Prior to Transferring, Fall 2011

TTC MAJOR	TTC TRANSFERS		CHANGED MAJOR AFTER TRANSFER	
	Students	Percent of Total	Students	Percent of Total
Health Professions and Related Services	328	40.5%	158	19.5%
Trades and Industrial	203	25.1%	200	24.7%
Unknown	113	14.0%	113	14.0%
Business, Management and Administrative Services	109	13.5%	95	11.7%
Personal Improvement and Leisure Programs	51	6.3%	50	6.2%
Home Economics	3	0.4%	1	0.1%
Foreign Languages and Literatures	1	0.1%	1	0.1%
Visual and Performing Arts	1	0.1%	0	0%
Did not change major			191	23.6%

VI. Related Analyses

Two independent investigations were conducted in addition to the snapshot analysis of student transfer activity in fall 2011.

A. Analysis of 2010-11 Degree Completers at Tennessee Public Universities

This analysis examined past transfer history of 2010-11 bachelor's degree completers in Tennessee public universities. The main statistics of interest include the percent of baccalaureate degree recipients who ever changed institutions (from outside or within the Tennessee public sector) and the percent of bachelors graduates who ever attended a community college. The analysis found that in AY 2010-11:

- 19,121 students completed a bachelor's degree at a Tennessee public university;
- 53.4 percent (10,221 students) had changed institutions at least once. However, only 43.4 percent (8,300 students) were coded as transfer students by the receiving institution. The 10-percent difference (1,921 individuals) includes dually enrolled students, individuals who enrolled at a new institution as first-time college students, and students who did not transfer any credit hours;
- 48.6 percent (9,300 students) previously enrolled at any two-year college; and
- 45.3 percent (8,672 students) attended a Tennessee community college.

B. The Study of Impacts of Pre-Transfer General Education Completion

In 2011-2012, THEC conducted a comprehensive study of the effects of pre-transfer completion of the common general education requirements on transfer student success. The study included over 18.5 thousand students from three transfer cohorts (academic years 2006-07, 2007-08, and 2008-09) at five TBR universities.

In general, students who complete the general education core are quite different from students who do not complete the core in terms of their background and educational experiences. However, when we compare students who are similar in terms of their background and educational experiences, we find the following:

- Pre-transfer completion of the common general education requirements, in whole or in part, has a large statistically significant effect on the probability of graduation, time to a bachelor's degree, and college GPA.
- Completion of the entire general education core is predicted to:
 - increase the probability of graduation by about 22 percentage points;
 - increase the *relative risk* of graduation by about two times (in other words, it reduces time to a bachelor's degree for GenEd core completers); and
 - increase the cumulative college GPA by about 0.3 points.
- Completion of each of the individual general education clusters also has a statistically significant effect on the outcomes of interest. The clusters' effects vary considerably, with the *Mathematics* and *Communications* components exerting the greatest impact and the *Humanities* cluster having the lowest impact on the outcomes.

VII. Conclusion

Implications of Findings for Articulation and Transfer Policies

Examination of student transfer activity in fall 2011 has identified several important implications for articulation and transfer policies in the state.

Although Tennessee's student population is quite mobile (over half of bachelor's degree completers transfer at least once in their academic career), the share of transfer students has remained stable over time. Thus, institutions should expect steady increases in the absolute numbers of transfer students in the future; however, these increases are likely to be proportionate to the undergraduate enrollment overall.

A considerable amount of out-of-state students are returning Tennessee residents. Although understanding the exact reasons for their decision to transfer back to their home state remains speculative, Tennessee should continue to offer lottery opportunities to its returning students and strive to facilitate transfer of academic credit hours.

Many students transfer from universities to community colleges (more than 22 percent of all transfers among Tennessee public institutions). This could mean that some of these students did not find the proper fit at universities and could have been better off starting at community colleges. This finding signifies a number of issues ranging from decreased probability of graduation for such students to possible misallocation of state and institutional resources. At the same time, it offers an opportunity for devising policies that better direct students towards institutions where they can succeed.

A consistent finding is that many transfer students arrive with lots of credit, and the majority of these do so without earning an associate's degree. A related study has confirmed observations from past reports that transfer students take longer to graduate. These findings confirm the uniqueness of transfer students as a group and require targeted policies at the state and institutional levels. Such policies should aim to optimize time and credits to degree both prior to and after transferring.

Status of Articulation and Transfer and Future Developments

Tennessee is making big strides in implementing the mandate of the *Complete College Tennessee Act* of 2010 regarding articulation and transfer. The State is developing and implementing policies that provide for better articulation among institutions and more efficient transfer of students. Recently implemented *Tennessee Transfer Pathways* are serving to expedite student progression toward a bachelor's degree. The introduction of 60 hours of fully transferrable instruction from community colleges to state public universities and common course numbering have provided for a much smoother transition of students into baccalaureate programs.

At present, THEC and the two public higher education systems are collaborating to develop a comprehensive *Reverse Transfer Policy* that would allow students who transferred to a public university to also receive an associate's degree from their originating community college if, after transferring, they have accrued the

required number of credit hours. When implemented, the *Reverse Transfer Policy* will apply to all public and private institutions in Tennessee and serve as a national model.

THEC is also leading the work of the *Prior Learning Assessment Taskforce*. The Taskforce intends to develop ways of evaluating non-traditional forms of credit for academic credit at a Tennessee public institution. When implemented, this policy will decrease time to degree for many students who accumulated non-traditional credits during their prior academic career.

Developing Issues and Proposed Solutions

At the same time, despite obvious successes, there are a number of potential impediments that may dampen the effect of new policies. One of the biggest issues of the transfer policy is low degree efficiency: on average, transfer students take longer to graduate and accumulate many extra credits by graduation. To illustrate, in the study of three cohorts of TBR transfer students described in Section VI, the average number of extra credits ² at the time of graduation is 143, with the median being equal to 138 credits. In this regard, Tennessee should continue efforts to revise standards for transferring credit hours for programs and degrees that are not included in the current transfer pathways and for transferring credits from out-of-state institutions.

Also, students in high schools should receive better counseling on their college plans, which may require special training of high school counselors. Based on students' personality type, career plans, academic performance, and aptitude, this training should focus on how to enable students to find an institutional type in which they can thrive personally and academically.

The other critical challenges and risks for transfer policy implementation include the following: changing demographics of Tennessee student population that may affect college outcomes of transfer students; changing determinants of higher education affordability that range from the general economic situation to tuition increases; and changing state support for higher education that affects institutional policies and productivity. To be sure, all these factors impact both transfer and native students.

Directions for the Future

In the final analysis, the efficacy of the above policies will be evident in changes in the percent of transfer students who graduate, their time to degree, and their academic performance. The study of the effects of completing the common general education requirements prior to transferring has provided solid evidence for the effectiveness of that policy. THEC will continue to investigate the impacts of relevant policies on transfer student college success.

Proposed research projects include the following investigations: (1) a longitudinal study of student enrollment patterns, transfer and migration activity, and determinants of college outcomes; and (2) a study of college outcomes of students who start at Tennessee community colleges and transfer to the state's public universities. Streamlining data provision from institutions will also allow conducting analyses of student transfer activity over the entire academic year in the future reports.

² In this case, by *extra credits* we mean cumulative credit hours exceeding 120 and without accounting for majors.

APPENDIX A. Transfers by Sector of Origin and as a Percent of Undergraduate Enrollment, Public Institutions, Fall 2011

RECEIVING INSTITUTION	TRANSFERS BY SECTOR OF ORIGIN			Transfer Student COUNT *	Transfers as PERCENT of Undergrad. Enrollment	Total Undergrad. Enrollment
	Tennessee Public	Tennessee Independent	Out-of-State			
Austin Peay State University	312	27	630	969	9.7%	10,025
East Tennessee State University	806	99	353	1,258	10.0%	12,562
Middle Tennessee State University	1,398	170	621	2,189	9.3%	23,617
Tennessee State University	374	51	217	642	9.0%	7,142
Tennessee Technological University	686	45	100	831	8.4%	9,899
University of Memphis	939	147	609	1,695	9.4%	18,061
TBR System	4,515	539	2,530	7,584	9.3%	81,306
University of Tennessee, Chattanooga	533	74	261	868	8.8%	9,845
University of Tennessee, Knoxville	681	102	302	1,085	5.1%	21,121
University of Tennessee, Martin	313	66	118	497	6.6%	7,508
UT System	1,527	242	681	2,450	6.4%	38,474
PUBLIC UNIVERSITY TOTAL	6,042	781	3,211	10,034	8.4%	119,780
Chattanooga State	410	70	337	817	7.8%	10,498
Cleveland State	73	39	71	183	4.8%	3,832
Columbia State	241	63	198	502	9.1%	5,514
Dyersburg State	151	14	73	238	6.3%	3,777
Jackson State	143	48	78	269	5.5%	4,935
Motlow State	201	22	103	326	6.5%	5,004
Nashville State	412	73	328	813	8.2%	9,883
Northeast State	195	32	148	375	5.8%	6,478
Pellissippi State	409	78	226	713	6.2%	11,464
Roane State	208	48	99	355	5.1%	6,906
Southwest Tennessee	438	97	389	924	7.1%	13,038
Volunteer State	349	54	265	668	7.7%	8,694
Walters State	116	49	103	268	4.0%	6,754
COMMUNITY COLLEGE TOTAL	3,346	687	2,418	6,451	6.7%	96,777
PUBLIC HIGHER EDUCATION TOTAL	9,388	1,468	5,629	16,485	7.6%	216,557

* Transfer students include individuals meeting the definition on p. 1

APPENDIX B. Transfers by Sector of Origin and as a Percent of Undergraduate Enrollment, TICUA Institutions, Fall 2011

RECEIVING INSTITUTION	TRANSFERS BY SECTOR OF ORIGIN *					Transfer Student COUNT **	Transfers as PERCENT of Undergrad. Enrollment ***
	Tennessee Public	TICUA	Non-TICUA	Out-of-state	Unknown		
Aquinas College	101	*		32	*	133	23.9%
Baptist College of Health Sciences	76	*		72	*	148	16.6%
Belmont University	117	25		249	186	577	11.6%
Bethel University	95	23	*	71	31	220	7.3%
Bryan College	49	*	*	37	39	125	9.6%
Carson-Newman College	51	12	*	39	23	125	7.7%
Christian Brothers University	36	*		28	11	75	5.4%
Cumberland University	152	13	*	50	*	215	18.1%
Fisk University	*	*	*	*	*	*	3.8%
Freed-Hardeman University	28	*		38	*	66	5.4%
Johnson University	27	*	*	49	*	76	12.0%
King College	168	14		153	41	376	20.9%
Lane College					130	130	6.5%
Le Moyne-Owen College	44	15		18	13	90	8.2%
Lee University	104	*	*	321	83	508	11.3%
Lincoln Memorial University	143	*	*	90	*	233	13.2%
Lipscomb University	65	*		77	12	154	5.9%
Martin Methodist College	28	*		11	*	39	4.2%
Maryville College	19	*		*	*	19	3.2%
Memphis College of Art	*	*		12		12	5.8%
Milligan College	67	*		34	*	101	11.1%
Rhodes College					15	15	0.8%
Sewanee-The University of the South	*			*		*	0.7%
Southern Adventist University	16	*		152	15	183	6.6%
Tennessee Wesleyan College	99	12		14	*	125	12.3%
Trevecca Nazarene University	32	12		43		87	6.1%
Tusculum College	20	*		21	*	41	2.3%
Union University	101	38	*	85	*	224	7.7%
Vanderbilt University ****	n/a	n/a	n/a	n/a	198	198	2.9%
Watkins College of Art, Design & Film	14	*	*	13	*	27	8.7%
Welch College	*	*		*	*	*	5.8%
TOTAL (SUPPRESSED) *	1,652	164	0	1,709	797	4,322	
TOTAL (UNSUPPRESSED)						4,560	8.0%

* To comply with FERPA requirements, cells containing 10 observations or fewer are suppressed.

TOTAL (SUPPRESSED) does not include the values of the suppressed cells.

** Includes only values of the unsuppressed cells.

*** Based on all data (unsuppressed and suppressed).

**** Vanderbilt University does not report sending institution of transfer students.

**APPENDIX C. Transfer Student Activity by Sending Institution and Receiving University,
Public Institutions, Fall 2011**

SENDING INSTITUTION	TOTAL SENT **	RECEIVING INSTITUTION *								
		APSU	ETSU	MTSU	TSU	TTU	UM	UTC	UTK	UTM
Austin Peay State University	58	-	*	43	15	*	*	*	*	*
East Tennessee State University	74	*	-	26	*	*	*	18	30	*
Middle Tennessee State University	300	26	18	-	42	38	63	20	60	33
Tennessee State University	74	*	*	40	-	*	34	*	*	*
Tennessee Technological University	92	*	15	54		-	*	*	23	*
University of Memphis	68	*	*	20	*	*	-	11	18	19
University of Tennessee, Chattanooga	173	11	*	70	*	*	39	-	53	*
University of Tennessee, Knoxville	241	14	36	73	*	20	47	32	-	19
University of Tennessee, Martin	77	17	*	23	*		37	*	*	-
Chattanooga State Community College	323	*	33	28	*	31	*	231	*	*
Cleveland State Community College	141	*	26	19		13		69	14	*
Columbia State Community College	319	29	*	214		20	*	20	11	25
Dyersburg State Community College	162	13	*	17	*	*	56	*	*	76
Jackson State Community College	217	18	*	32	*	*	86	11	*	70
Motlow State Community College	403	11	*	269		107	*	16	*	*
Nashville State Community College	479	64	*	179	155	56	*	11	*	14
Northeast State Community College	282	*	268	*		14		*	*	*
Pellissippi State Community College	452	*	85	41		74	*	20	232	*
Roane State Community College	350	12	57	29	*	196	*	*	56	
Southwest Tennessee Community College	587	*	*	41		*	535	*	*	11
Volunteer State Community College	442	50	*	155	121	72	*	15	29	*
Walters State Community College	331		217	21	*	14	*	*	79	*
TOTAL (SUPPRESSED) **	5,645	265	755	1,394	333	655	897	474	605	267
TOTAL (UNSUPPRESSED)	6,042	312	806	1,398	374	686	939	533	681	313

* To comply with FERPA requirements, cells containing 10 observations or fewer are suppressed.

** TOTAL SENT and TOTAL (SUPPRESSED) do not include the values of the suppressed cells.

APPENDIX D. Transfer Student Activity by Sending Institution and Receiving Community College, Public Institutions, Fall 2011

SENDING INSTITUTION	TOTAL SENT **	RECEIVING INSTITUTION *												
		CHSCC	CLSCC	COSCC	DSCC	JSCC	MSCC	NASCC	NESCC	PSCC	RSCC	STCC	VSCC	WSCC
Austin Peay State University	56	*		*	*	*	*	28		*	*	*	28	*
East Tennessee State University	256	25	*	*			*	*	149	33	15		*	34
Middle Tennessee State University	406	21	*	79	*	*	89	83	*	19	*	36	79	*
Tennessee State University	105	*		*	*	*	*	50		*	*	35	20	
Tennessee Technological University	184	21	*	11		*	24	55	*	13	15		45	*
University of Memphis	291	*	*	*	12	13		*	*	*		266	*	
University of Tennessee, Chattanooga	254	155	*	17	*	*	12	19	*	33	*	18	*	
University of Tennessee, Knoxville	256	29	*	19	*	*	*	13	*	125	14	17	12	27
University of Tennessee, Martin	129	*		*	43	50		14	*			22	*	
Chattanooga State Community College	44	-	33	*		*	*	*		11	*	*	*	
Cleveland State Community College	75	60	-	*			*	*		15	*	*	*	
Columbia State Community College	64	12	*	-	*	*	16	21		*	*	*	15	*
Dyersburg State Community College	42			*	-	28		*		*		14	*	
Jackson State Community College	36	*		*	36	-	*	*		*		*	*	
Motlow State Community College	73	14	*	15	*	*	-	22	*	*	*	*	22	
Nashville State Community College	134	*		32	*	*	15	-		*	*	*	87	*
Northeast State Community College	19	*						*	-	*	*			19
Pellissippi State Community College	123	15	*	*	*	*	*	*	*	-	96	*	*	12
Roane State Community College	79	12	*			*	*	*	*	67	-		*	*
Southwest Tennessee Community College	34	*		*	34	*	*	*	*	*		-	*	
Volunteer State Community College	107	*	*	19	*	*	12	65		11	*		-	*
Walters State Community College	79	*	*	*			*		20	40	19	*	*	-
TOTAL (SUPPRESSED) **	2,846	364	33	192	125	91	168	370	169	367	159	408	308	92
TOTAL (UNSUPPRESSED)	3,346	410	73	241	151	143	201	412	195	409	208	438	349	116

* To comply with FERPA requirements, cells containing 10 observations or fewer are suppressed.

** TOTAL SENT and TOTAL (SUPPRESSED) do not include the values of the suppressed cells.

APPENDIX E. Transfer Students by Credits and Degrees at Transfer, Fall 2011

RECEIVING INSTITUTION	CREDIT HOURS AT TRANSFER							Total Transfer Students *	DEGREE AT TRANSFER	
	<= 12	13-24	25-36	37-48	49-60	> 60 no degree	> 60 with degree		Associate's	Bachelor's or higher
Austin Peay State University	293	59	125	56	62	278	40	913	44	13
East Tennessee State University	58	43	167	89	148	421	228	1,154	290	10
Middle Tennessee State University	176	75	344	203	274	759	218	2,049	274	25
Tennessee State University	59	37	89	42	48	220	65	560	86	21
Tennessee Technological University	25	21	112	43	120	243	194	758	255	12
University of Memphis	36	55	243	143	174	678	163	1,492	202	36
University of Tennessee, Chattanooga	38	68	115	87	127	231	149	815	163	34
University of Tennessee, Knoxville	36	78	248	124	189	163	114	952	177	4
University of Tennessee, Martin	55	20	62	50	53	135	28	403	60	9
PUBLIC UNIVERSITY TOTAL	776	456	1,505	837	1,195	3,128	1,199	9,096	1,551	164
Chattanooga State	109	123	190	142	109	107	27	807	11	30
Cleveland State	94	43	28	11	3	4	0	183	1	1
Columbia State	172	140	116	38	17	18	1	502	7	14
Dyersburg State	44	47	54	30	18	34	1	228	1	3
Jackson State	38	27	70	38	38	52	4	267	2	10
Motlow State	41	53	90	54	15	52	2	307	1	13
Nashville State	153	33	22	8	4	2	3	225	8	29
Northeast State	78	50	76	50	37	67	11	369	0	18
Pellissippi State	84	116	171	114	85	125	13	708	9	21
Roane State	41	42	76	45	25	93	7	329	10	7
Southwest State	460	303	119	29	6	6	1	924	3	21
Volunteer State	118	133	77	42	49	110	14	543	7	27
Walters State	26	25	71	41	24	57	2	246	2	3
COMMUNITY COLLEGE TOTAL	1,458	1,135	1,160	642	430	727	86	5,638	62	197
GRAND TOTAL	2,234	1,591	2,665	1,479	1,625	3,855	1,285	14,734	1,613	361

* Table excludes 1,751 students with missing data on credits or reported credits above 130

APPENDIX E (Cont'd). Transfer Students by Credits and Degrees at Transfer, Fall 2011

RECEIVING INSTITUTION	CREDIT HOURS AT TRANSFER							Total Transfer Students *	DEGREE AT TRANSFER	
	<= 12	13-24	25-36	37-48	49-60	> 60 no degree	> 60 with degree		Associate's	Bachelor's or higher
Austin Peay State University	32.1%	6.5%	13.7%	6.1%	6.8%	30.4%	4.4%	913	4.8%	1.4%
East Tennessee State University	5.0%	3.7%	14.5%	7.7%	12.8%	36.5%	19.8%	1,154	25.1%	0.9%
Middle Tennessee State University	8.6%	3.7%	16.8%	9.9%	13.4%	37.0%	10.6%	2,049	13.4%	1.2%
Tennessee State University	10.5%	6.6%	15.9%	7.5%	8.6%	39.3%	11.6%	560	15.4%	3.8%
Tennessee Technological University	3.3%	2.8%	14.8%	5.7%	15.8%	32.1%	25.6%	758	33.6%	1.6%
University of Memphis	2.4%	3.7%	16.3%	9.6%	11.7%	45.4%	10.9%	1,492	13.5%	2.4%
University of Tennessee, Chattanooga	4.7%	8.3%	14.1%	10.7%	15.6%	28.3%	18.3%	815	20.0%	4.2%
University of Tennessee, Knoxville	3.8%	8.2%	26.1%	13.0%	19.9%	17.1%	12.0%	952	18.6%	0.4%
University of Tennessee, Martin	13.6%	5.0%	15.4%	12.4%	13.2%	33.5%	6.9%	403	14.9%	2.2%
PUBLIC UNIVERSITY TOTAL	8.5%	5.0%	16.5%	9.2%	13.1%	34.4%	13.2%	9,096	17.1%	1.8%
Chattanooga State	13.5%	15.2%	23.5%	17.6%	13.5%	13.3%	3.3%	807	1.4%	3.7%
Cleveland State	51.4%	23.5%	15.3%	6.0%	1.6%	2.2%	0.0%	183	0.5%	0.5%
Columbia State	34.3%	27.9%	23.1%	7.6%	3.4%	3.6%	0.2%	502	1.4%	2.8%
Dyersburg State	19.3%	20.6%	23.7%	13.2%	7.9%	14.9%	0.4%	228	0.4%	1.3%
Jackson State	14.2%	10.1%	26.2%	14.2%	14.2%	19.5%	1.5%	267	0.7%	3.7%
Motlow State	13.4%	17.3%	29.3%	17.6%	4.9%	16.9%	0.7%	307	0.3%	4.2%
Nashville State	68.0%	14.7%	9.8%	3.6%	1.8%	0.9%	1.3%	225	3.6%	12.9%
Northeast State	21.1%	13.6%	20.6%	13.6%	10.0%	18.2%	3.0%	369	0.0%	4.9%
Pellissippi State	11.9%	16.4%	24.2%	16.1%	12.0%	17.7%	1.8%	708	1.3%	3.0%
Roane State	12.5%	12.8%	23.1%	13.7%	7.6%	28.3%	2.1%	329	3.0%	2.1%
Southwest State	49.8%	32.8%	12.9%	3.1%	0.6%	0.6%	0.1%	924	0.3%	2.3%
Volunteer State	21.7%	24.5%	14.2%	7.7%	9.0%	20.3%	2.6%	543	1.3%	5.0%
Walters State	10.6%	10.2%	28.9%	16.7%	9.8%	23.2%	0.8%	246	0.8%	1.2%
COMMUNITY COLLEGE TOTAL	25.9%	20.1%	20.6%	11.4%	7.6%	12.9%	1.5%	5,638	1.1%	3.5%
GRAND TOTAL	15.2%	10.8%	18.1%	10.0%	11.0%	26.2%	8.7%	14,734	10.9%	2.5%

* Table excludes 1,751 students with missing data on credits or reported credits above 130

DATE: November 15, 2012**SUBJECT:** GEAR UP TN/CACG/Latino Student Success Grant Status Reports**ACTION RECOMMENDED:** Information

BACKGROUND INFORMATION:

GEAR UP TN provides Tennessee students with a clear path to college. Funded through a seven-year grant from the U.S. Department of Education and administered by the Tennessee Higher Education Commission, GEAR UP TN works with Collaboratives in 16 counties across the state to promote college readiness and success. GEAR UP TN Collaboratives serve a cohort of students in the current seventh grade class follow the cohort through high school, while also serving participating high school seniors each year of the grant. GEAR UP TN is designed to promote student achievement and expand the college-going culture statewide, especially in areas of the state that are traditionally underserved.

The College Access Challenge Grant (CACG) is a federal formula grant program focused on developing partnerships to promote college access and success. CACG creates professional development opportunities for college access professionals and enhances the services offered to high-need students. The program expands current college access programs via the Tennessee College Mentor Corps. The overall goal of Tennessee's CACG is two-fold: (1) make college accessible to more Tennessee graduates through college access and success focused mentoring, and (2) facilitate the transition between high school and community college, and community college and four-year institutions, thereby aiding in college retention and completion.

In October 2011, the Lumina Foundation for Education awarded the Tennessee Higher Education Commission a Latino Student Success Grant aimed at increasing the number and percentage of Latinos completing higher education in Memphis. Through the development of collaborative partnerships with Memphis-area organizations, the project aims to achieve Latino student success through: 1) an intensive mentoring program designed to facilitate the transition between high school and community college, and community college and four-year degree programs; 2) support to ensure maximization of student financial aid opportunities; and 3) a bilingual marketing and information campaign designed to expand college access in the Latino community.

The Tennessee College Access and Success Network connects college access and success programs with like-minded organizations with the purpose of increasing the number of Tennesseans participating and succeeding in postsecondary opportunities. The Network was established through a Lumina Foundation grant and expanded through Race to the Top. Its purpose is to create a college-going culture in communities across the state by expanding and creating new college access and success programs, educating professionals, facilitating statewide advocacy, and cultivating organizational and Network development.

DATE: November 15, 2012

SUBJECT: Report on Effectiveness of Teacher Training Programs

ACTION RECOMMENDED: Information

BACKGROUND INFORMATION: Staff will present information on the 2012 Report Card on the Effectiveness Training Programs related on November 1, 2012. This is the fifth year that the state has made data available to the public regarding the effectiveness of graduates from teacher training programs in the state. As part of the state's First to the Top initiatives, the report card has been improved for the 2012 publication to include institutional highlights.

THEC staff continues to work in collaboration with the teacher training programs, the State Board of Education, the State Department of Education, and other key stakeholders to improve the report card. The report provides information on teacher education completers' placement and retention rates, Praxis II exams, and the Tennessee Value-Added System teacher effect scores. Key findings of the report include information related to the academic preparation of Tennessee's teachers and how well program completers perform in the classroom. The full report including individual program reports is available on the THEC website.

EXECUTIVE SUMMARY

Introduction

The Tennessee General Assembly passed legislation in 2007 requiring that the State Board of Education produce an assessment on the effectiveness of teacher training programs. The law requires that the report include data on the performance of each program's graduates in the following areas: placement and retention rates, Praxis II results, and teacher effect data based on the Tennessee Value-Added Assessment System (TVAAS) scores. The 2012 report card includes additional indicators for each program; more information on the changes and additions can be found in the following section.

The *2012 Report Card on the Effectiveness of Teacher Training Programs* contains information designed to inform the public of the effectiveness of teacher training programs and to provide preparation programs with the opportunity to improve the quality of programs through the use of data as set forth in the Tennessee Code Annotated 48-5-108.

Tennessee is working to improve teacher preparation with several First to the Top initiatives. As part of this work, the *Report Card on the Effectiveness of Teacher Training Programs* has been redesigned to be a more effective tool for evaluating the state's teacher preparation programs. The Tennessee Higher Education Commission (THEC) was given primary responsibility for the redesign process as well as future publication of the report card because of the agency's relationships with higher education programs as well as data collection capacity.

Redesign Process

Over the past few years, the Tennessee Higher Education Commission has worked in collaboration with the teacher training programs, the State Board of Education, the State Department of Education, and other key stakeholders to continuously improve the quality of the report card.

A new feature of the 2012 report card includes an overview page which highlights some of the key data that is contained within that program's individual report.

The following changes are in progress:

- The report will include data collected through individual teacher performance assessments as collected through the Tennessee Educator Acceleration Model (TEAM) as well as the alternative teacher evaluation models.
- Teacher training programs will have the ability to develop additional individual reports tailored to the intricacies of their program in order to facilitate continuous improvement.

Explanation of Data

Teacher Effect Data

The SAS Institute, Inc. performed the analysis of teacher effect data for beginning teachers (defined as those with 1 to 3 years of experience) from all forty-four teacher preparation programs in the state. The goals of the study were: (1) to identify teacher training programs that tend to produce highly effective new teachers and programs that tend to produce very ineffective new teachers, and (2) to determine program quality in comparison to reference distribution levels of effectiveness with a fair and reliable statistical test. The report differentiates between the performance of traditionally licensed and alternatively licensed teachers in comparison to two reference populations: veteran teachers and beginning teachers. A more detailed explanation of these reference populations can be found in *How to Read the Program Reports*.

Placement and Retention Results

The report contains placement and retention analysis for the 2007-08 through the 2010-11 cohorts of completers teaching in public K-12 schools in Tennessee. The Center for Business and Economic Research at the University of Tennessee, Knoxville compared data on the 2010-11 completers as reported to THEC by the teacher training programs against the Tennessee Personnel Information Reporting System (PIRS) database to determine the placement and retention of teachers from each program. The report includes the percent of completers teaching in their first year after program completion as well as those teaching in their second year, which captures those who waited a year before entering the classroom. The report also includes the percentage of completers teaching for three consecutive years. Finally, retention for three out of four years is included which captures those who took a year sabbatical from teaching in Tennessee public K-12 schools.

Praxis Results

Teacher candidates are required to take the Praxis II exams in order to be eligible to teach in Tennessee. Praxis II exams are offered in multiple content areas. Tennessee requires that teacher candidates take Praxis examinations to be recommended for licensure and receive endorsements in specific fields. More detailed information on Praxis results can be found on the state's annual Title II report to the federal government.

Limitations of the Data

Several limitations to the data exist. These include:

- The value-added analysis is only available for teachers in the tested subjects and grades, which represents about 40% of the 2010-11 completers from teacher training programs.

- The state has implemented a new individual teacher evaluation system, Tennessee Educator Acceleration Model (TEAM), which is beginning to generate data to give a more robust view of teacher effectiveness in Tennessee. TEAM data will be included in the report card as soon as comprehensive and accurate data for the state are available. In addition, some districts are choosing to use alternative evaluation models. These models will also be included once the data are available.
- The placement and retention rates reflect only those graduates working in Tennessee K-12 public schools. Any completers teaching outside of the state or in a private school are not captured in placement and retention rates. In addition, some Tennessee charter schools are not reflected in the placement and retention data, but the State Department of Education is working to gather this additional data.

Findings

Profile Information

- The majority of 2010-2011 graduates from teacher training programs in the state were white females from Tennessee. Of the 5,109 completers, 86% are white, 78% are female, and 86% are from Tennessee.
- The most common endorsement area for program completers continues to be Elementary K-6 education with 1,991 endorsements, followed by Middle Grades 4-8 with 510 endorsements.
- Programs provided about 30% of ACT composite scores to THEC. The scores ranged from 12 to 35 with the combined average score of 22.7 for traditionally and alternatively licensed teachers. Alternatively licensed teachers had an average composite score of 24.7 while traditionally licensed teachers had a 22.6 average composite score.
- Nearly 97% of final grade point averages were reported. The average final GPA was a 3.57 for 2010-2011 program completers. Alternatively licensed teachers averaged a 3.62, and traditionally licensed completers had a 3.56 average.
- As part of First to the Top, Tennessee made a commitment to increasing STEM (Science, Technology, Engineering and Mathematics) teachers. Program completers in 2010-2011 earned 517 STEM endorsements; these account for almost 9% of all endorsements received that year.

Placement and Retention

- Teacher retention within the first four years after completing the teacher training program is comparable to the national trends. Nearly 53% of program completers teach in a public school in the state in their first eligible year, and about 57% continue teaching for three out of the following four years. Almost 48% teach for three consecutive years.

Teacher Effect Data

- Traditionally and alternatively licensed program completers from 2010-2011 show lower student achievement gains than *veteran teachers* in the following areas:
 - 4th-8th grade: Reading/Language Arts and TCAP composite scores
 - High school: Algebra I, Algebra II and End of Course exam composite scores.
- The 2010-2011 program completers, including traditionally and alternatively certified teachers, perform as well as *veteran teachers* in the following areas:
 - 4th-8th grade: Math, Science and Social Studies
 - High school: Biology I, English I, English II and U.S. History
- Traditionally licensed 2010-2011 program completers have higher value added scores than *veteran teachers* in high school Biology I. Alternatively licensed teachers show higher teacher effect scores than *veteran teachers* in 4th-8th grade Math and high school Algebra I.
- Significantly more programs have a tendency to produce teachers with lower student achievement gains as compared to *veteran teachers*.
- Two programs had completers with higher student achievement gains than *veteran teachers* in the subject areas in which adequate value added data are available for that program. These programs are Freed-Hardeman University and Memphis Teacher Residency.
- When comparing 2010-2011 program completers to other *beginning teachers*, there are five programs that have a tendency to produce teachers with higher gains in student achievement data in the endorsement areas in which adequate value added data are available for that program. These programs are: Freed-Hardeman University, Memphis Teacher Residency, Teach for America Memphis, Teach for America Nashville and the University of Tennessee, Knoxville.
- Several programs are producing teachers that are not performing as well other beginning teachers in the state. Programs whose completers are less effective than other *beginning teachers* in two or more subject areas in which adequate value added data are available for that program are: East Tennessee State University, Lincoln Memorial University, Middle Tennessee State University, South College, Tennessee Tech University, Tennessee Wesleyan College, TNTP Memphis Teaching Fellows, Tusculum College, University of Memphis, University of Tennessee-Chattanooga, University of Tennessee-Martin and Victory University.

Tennessee State Profile

Teacher Training Programs Statewide Distribution

	State	East TN	Middle TN	West TN
Total Number of Teacher Preparation Programs	44	14	17	13
Tennessee Board of Regents	6	1	4	1
University of Tennessee	3	2	0	1
TICUA	27	10	10	7
Alternative Providers	6	0	3	3
Private for Profit	2	1	0	1

Tennessee Teacher Training Program Completers

Institution Type	Total Completers	Licensure Status	Total Completers
TBR	1989	Traditional License	4177
UT	714	Alternative License	932
TICUA	1869		
Alternative Provider	450		
Private for Profit	87		

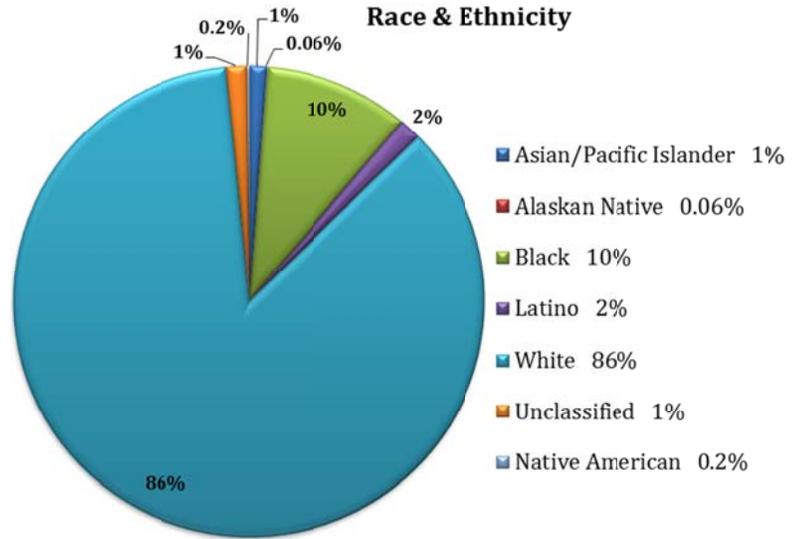
Placement and Retention

Data reflect the placement and retention rates of graduates for each cohort year listed. These data are based on the program completers in the Personnel Information Reporting System (PIRS). The years refer to the number of years since the completers have graduated and been eligible to teach. Therefore, these data help to inform the rate at which an institution's graduates enter and remain in the teaching field in Tennessee public schools. The number teaching 3 out of 4 years is included to account for the teachers who may leave the profession for a year but do return (e.g. for maternity leave or FMLA).

Cohort Year	Number of Completers	Teaching in Year 1	Teaching in Year 2	Teaching 3 Consecutive Years	Teaching 3 out of 4 years
2007 - 08	3664	56.1%	60.6%	48.5%	57.0%
2008 - 09	4277	54.8%	62.5%	47.5%	
2009 - 10	5082	60.3%	63.4%		
2010 - 11	5109	52.9%			

Demographic Information

Total Number	5109
Male	22%
Female	78%
In-state	86%
Out-of-state	14%



Academic Background Information

	Average Traditional	Average Alternative	Average All Completers	Completers Reported
Final GPA	3.56	3.62	3.57	4925
Major GPA	3.56	3.56	3.56	1303
High School GPA	3.34	3.31	3.34	1414
ACT Composite	22.6	24.7	22.7	1600
ACT Reading	23.3	23.4	23.3	1325
ACT Science	21.8	22.4	21.8	1324
ACT English	23.3	23.7	23.4	1339
ACT Math	20.9	22.1	20.9	1336
SAT Cumulative	1130	1080	1129	187
SAT Math	527	576	529	124
SAT Verbal	563	504	561	124

Praxis Results (2010-2011)	Number Tested	Number Passed	Pass Rate
Summary Pass Rates - Traditional	3801	3688	97%
Summary Pass Rates - Alternative	774	749	97%

Endorsement Areas Earned by 2010-11 Teacher Training Program Completers

Teacher training programs reported the initial endorsement areas that they approved for each completer. Programs could report up to nine endorsement areas per completer. The numbers below do not represent any add-on endorsement that teachers may have received after program completion.

Top Endorsement Areas

Elementary K-6	1991 completers
Middle Grades 4-8	510 completers
Early Childhood Education PK-3	413 completers
Special Education Modified K-12	380 completers
English 7-12	347 completers
History 7-12	282 completers
Mathematics 7-12	264 completers

Endorsements in STEM Fields

517 Total Completers with one or more endorsements in STEM fields

Mathematics 7-12	264 completers
Biology 7-12	165 completers
Chemistry 7-12	64 completers
Physics 7-12	16 completers
Earth Science 7-12	6 completers
Tech/Engineering Education 5-12	2 completers

Teacher T-Value Effects (includes all grades)*One year estimates of T-value of teacher effects (2010 – 2011)***KEY**

- No color: No statistically significant difference
- - Fewer than 5 teachers
- **Green:** Statistically significant positive difference
- **Yellow:** Statistically significant negative difference

Veteran Teacher Comparison: The average effectiveness of beginning teachers (1-3 years of experience) from teacher training programs in Tennessee as compared to the average effectiveness of veteran teachers in terms of contribution to student achievement growth.

Traditionally Licensed Teachers

Subject	Mean T-Value	Teachers in Program	Total Programs Statewide
TCAP Composite (grades 4-8)	-0.7599	1772	32
- Math	-0.1591	959	29
- Reading/Language	-0.1454	1067	31
- Science	-0.0781	839	25
- Social Studies	-0.1979	835	29
EOC Composite (High school)	-0.5863	528	28
- Algebra I	-0.8495	76	9
- Algebra II	-2.1250	56	9
- Biology I	0.7144	36	5
- English I	-0.2219	84	8
- English II	-0.6576	59	7
- English III	0.2535	41	5
- US History	0.1830	23	3

Alternatively Licensed Teachers

Subject	Mean T-Value	Teachers in Program	Total Programs Statewide
TCAP Composite (grades 4-8)	0.1155	293	14
- Math	1.2506	101	6
- Reading/Language	-0.1200	96	6
- Science	0.5745	101	7
- Social Studies	0.8663	67	3
EOC Composite (High school)	-0.8432	203	13
- Algebra I	-0.3614	49	5
- Algebra II	-3.3731	44	4
- Biology I	-0.7045	15	5
- English I	1.3512	16	2
- English II	0.7309	5	1

Veteran Teacher Comparison: The average effectiveness of beginning teachers (1-3 years of experience) from teacher training programs in Tennessee as compared to the average effectiveness of veteran teachers in terms of contribution to student achievement growth.

Traditionally & Alternatively Licensed Teachers

Subject	Mean T-Value	Teachers in Program	Total Programs Statewide
TCAP Composite (grades 4-8)	-0.5697	2091	37
- Math	0.0065	1086	33
- Reading/Language	-0.1244	1195	35
- Science	0.0458	972	31
- Social Studies	-0.0741	924	32
EOC Composite (High school)	-0.6050	764	33
- Algebra I	-0.6675	154	14
- Algebra II	-2.3249	92	12
- Biology I	0.4216	80	11
- English I	-0.0488	115	12
- English II	-0.4230	69	8
- English III	-0.5692	56	7
- U.S. History	0.2143	34	4

Statewide Summary of Statistically Significant Positive Results

The following table lists the programs that had statistically significant positive differences in the effectiveness of traditionally and alternatively licensed teachers with one to three years of experience.

Subject	Veteran Teacher Comparison	Beginning Teacher Comparison	Statewide Distribution
TCAP Composite (grades 4-8)	Memphis TCH RES TFA Memphis TFA Nashville	Lipscomb University Memphis TCH RES TFA Memphis TFA Nashville	TFA Memphis TFA Nashville
- Math	Memphis TCH RES TFA Memphis TFA Nashville	Memphis TCH RES TFA Memphis TFA Nashville	Belmont Memphis TCH RES
- Reading/ Language	Milligan College Union University	Lipscomb University Milligan College Union University	Belmont University Lipscomb University Union University
- Science	TFA Nashville	TFA Nashville	Freed-Hardeman TFA Nashville
- Social Studies	Belmont University Freed-Hardeman Memphis TCH RES TFA Memphis TFA Nashville	Belmont University Freed-Hardeman Memphis TCH RES TFA Memphis TFA Nashville	Memphis TCH RES TFA Memphis TFA Nashville
EOC Composite (High school)		Lipscomb UT Knoxville	Milligan College
- Algebra I	TFA Nashville	Lipscomb TFA Nashville	
- Biology I	UT Knoxville		UT Knoxville
- English I	MTSU TFA Memphis University of Memphis	MTSU TFA Memphis University of Memphis	University of Memphis
- U.S. History	UT Knoxville	UT Knoxville	

Statewide Summary of Statistically Significant Negative Results

The following table lists the programs that had **statistically significant negative differences** in the effectiveness of traditionally and alternatively licensed teachers with one to three years of experience.

Subject	Veteran Teacher Comparison	Beginning Teacher Comparison	Statewide Distribution
TCAP Composite (grades 4-8)	APSU Christian Brothers ETSU Lincoln Memorial MTSU South College TNTP Memphis TSU TTU TN Wesleyan College Trevecca Tusculum College University of Memphis UT Chattanooga UT Knoxville UT Martin Victory University	Lincoln Memorial MTSU South College TTU TN Wesleyan Victory University	APSU Bethel University ETSU Lincoln Memorial MTSU South College TNTP Memphis Teach TN TSU TTU TN Wesleyan College Trevecca Tusculum University of Memphis UT Knoxville UT Martin Victory University
- Math	MTSU South College TNTP Memphis TN Wesleyan College Tusculum Victory University	MTSU South College TNTP Memphis TN Wesleyan College Tusculum Victory University	MTSU South College Victory University
- Reading/ Language	Lee University Lincoln Memorial South College TNTP Memphis University of Memphis UT Martin Victory University	Lee University TNTP Memphis University of Memphis UT Martin Victory University	TNTP Memphis Trevecca University of Memphis UT Martin
- Science	MTSU TSU	Lincoln Memorial MTSU TSU	TSU
- Social Studies	Lipscomb University MTSU TTU	Lipscomb University MTSU TTU	Cumberland MTSU TSU TTU

The following table lists continues the list of programs that had statistically significant negative differences in the effectiveness of traditionally and alternatively licensed teachers with one to three years of experience.

Subject	Veteran Teacher Comparison	Beginning Teacher Comparison	Statewide Distribution
EOC Composite (High school)	ASPU ETSU Tusculum Union University University of Memphis UT Martin	ETSU Tusculum UT Martin	ASPU ETSU UT Martin
- Algebra I	APSU Union University	APSU	UT Martin
- Algebra II	ETSU TFA Memphis TFA Nashville		
- Biology I		Union University	
- English I	Belmont University ETSU	Belmont University ETSU	ETSU Lincoln Memorial
- English II	UT Martin	UT Martin	UT Martin
- English III	Trevecca University of Memphis	Trevecca University of Memphis	Trevecca University of Memphis
- U.S. History	UT Martin	UT Martin	

The following programs produced beginning teachers with comparable effectiveness to all three reference groups (i.e. they did not have any statistically significant results):

- Bryan College
- Carson Newman College
- Johnson University
- King College
- Martin Methodist University
- Maryville College
- TNTP: Nashville Teaching Fellows
- Vanderbilt University

The following programs had less than 5 teachers in tested subjects and do not have t-values of teacher effect measures:

- Aquinas College
- Fisk University
- Lane College
- LeMoyne-Owen College
- Memphis College of Art
- Southern Adventist University
- Welch College

Programs at a Glance

Teacher Training Program	Number of Completers 2010-11	Number of Statistically Significant Positive Results	Number of Statistically Significant Negative Results	Praxis II Summary Pass Rates 2010-11	% of Completers Teaching 3 out of 4 Years
Aquinas College	10	-	-	100%	0.0%
Austin Peay State University	150	-	12	100%	61.1%
Belmont University	172	6	2	89%	50.9%
Bethel University	41	-	4	100%	80.0%
Bryan College	19	-	-	81%	20.0%
Carson-Newman College	137	-	-	100%	58.7%
Christian Brothers University	56	-	2	95%	50.0%
Cumberland University	103	2	2	95%	74.2%
East Tennessee State University	306	-	19	100%	48.6%
Fisk University	1	-	-	n/a	83.3%
Freed-Hardeman University	65	8	-	100%	64.2%
Johnson University	41	-	-	100%	23.1%
King College	32	-	-	100%	58.8%
Lane College	1	-	-	n/a	50.0%
Lee University	189	1	3	99%	40.0%
LeMoyne-Owen College	17	-	-	n/a	66.7%
Lincoln Memorial University	150	-	14	100%	50.0%
Lipscomb University	148	6	4	99%	57.9%
Martin Methodist College	19	-	-	100%	53.3%
Maryville College	38	-	-	97%	51.1%
Memphis College of Art	18	-	-	87%	n/a
Memphis Teacher Residency	25	16	-	n/a	n/a
Middle Tennessee State University	540	4	27	94%	71.3%
Milligan College	62	6	2	100%	52.3%
South College	42	-	14	100%	39.0%
Southern Adventist University	40	-	-	100%	0.0%
Teach for America- Memphis	147	17	2	n/a	n/a
Teach for America- Nashville	97	24	2	n/a	n/a
Teach Tennessee	54	-	2	n/a	n/a
Tennessee State University	93	-	14	100%	68.1%
Tennessee Tech. University	434	-	13	98%	62.0%
Tennessee Wesleyan College	42	-	10	100%	74.3%
TNTP: Memphis Teaching Fellows	63	-	13	n/a	n/a
TNTP: Nashville Teaching Fellows	64	-	-	n/a	n/a
Trevecca Nazarene University	109	2	7	100%	56.9%
Tusculum College	120	-	11	95%	63.9%
Union University	116	6	4	99%	46.5%
University of Memphis	466	7	22	98%	64.8%
University of TN, Chattanooga	199	-	8	100%	53.5%
University of TN, Knoxville	256	11	6	97%	61.6%
University of TN, Martin	259	1	29	90%	67.7%
Vanderbilt University	117	-	-	98%	18.0%
Victory University	45	-	14	n/a	82.6%
Welch College	6	-	-	n/a	20.0%

DATE: November 15, 2012

SUBJECT: Race to the Top Implementation Status

ACTION RECOMMENDED: Information

BACKGROUND INFORMATION: The Tennessee Higher Education Commission has been responsible for implementing several projects of the state's First to the Top initiatives, managing \$23 million in funding. THEC has been working closely with institutions of higher education and the Tennessee Department of Education to ensure that the work aligns with the overall goals of education reform.

Staff will give an update on current First to the Top activities including the implementation of the Tennessee Value-Added System training modules for higher education faculty.

Agenda Item: II.F.

DATE: November 15, 2012

SUBJECT: 2013 Commission Meeting Schedule

ACTION RECOMMENDED: Information

BACKGROUND INFORMATION:

Thursday, January 24, 2013	Winter Quarterly Meeting and Joint Meeting with the State Board of Education
Thursday, April 25, 2013	Spring Quarterly Meeting
Thursday, July 25, 2013	Summer Quarterly Meeting
Thursday, November 14, 2013	Fall Quarterly Meeting

The meetings will be held in the Commission's board room.