

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES  
ACADEMIC, RESEARCH, AND STUDENT SUCCESS COMMITTEE  
SEPTEMBER 2019 MEETING

9:45 – 11:15 am EDT  
Friday  
September 20, 2019

The Millennium Center  
2001 Millennium Pl  
Johnson City, TN

AGENDA

- I. Call to Order
- II. Roll Call
- III. [Approval of the Committee Minutes from April 26, 2019 \(Attachment\)](#)

**ACTION ITEMS** (15 minutes)

- IV. [Approval of the Letter of Notification \(LON\) - Master of Science in Prosthetics and Orthotics](#)
- V. [Out of Cycle Tenure Actions](#)
  - a. [Tenure Appointment with the Rank of Associate Professor in the Department of Political Science, International Affairs, and Public Administration for Dr. Frederick Gordon](#)
  - b. [Tenure Appointment with the Rank of Professor in the Department of Literature and Language for Dr. Christopher Keller](#)
  - c. [Tenure Appointment in the University School and the Rank of Assistant Professor for Dr. Brian Partin](#)

- VI. [Revised Student Code of Conduct Rule](#)

**INFORMATION AND DISCUSSION ITEMS**

**Academics:**

- VII. [Academic Action Notifications for the Period of January 1, 2019 through July 31, 2019 \(Attachment\)](#)
- VIII. [Chairs of Excellence Update](#)

**Students** (10 – 15 minutes)

- IX. [ETSU Student Success Update](#)

**Research**

- X. [Memorandum of Understanding with Ballad Health](#)  
XI. [Research and Innovation Working Group Research Report—Phase 1](#)

**GENERAL Information Items**

- XI. Committee Discussions  
    • General Discussion  
XII. Other Business  
XIII. Adjournment

EAST TENNESSEE STATE UNIVERSITY

BOARD OF TRUSTEES

ACTION ITEM

DATE: September 20, 2019

ITEM: Approval of the Minutes of April 26, 2019

COMMITTEE: Academic, Research, and Student Success

RECOMMENDED ACTION: Approve

PRESENTED BY: Dr. Adam Green  
Secretary

The minutes of the April 26, 2019 meeting of the Academic, Research, and Student Success Committee are included in the meeting materials.

**MOTION: I move that the Academic, Research, and Student Success Committee adopt the resolution, approving the minutes as outlined in the meeting materials.**

**RESOLVED: The reading of the minutes of the April 26, 2019 meeting of the Academic, Research, and Student Success Committee is omitted, and the minutes are approved as presented in the meeting materials, provided that the Secretary is authorized to make any necessary edits to correct spelling errors, grammatical errors, format errors, or other technical errors subsequently identified.**

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES  
ACADEMIC, RESEARCH AND STUDENT SUCCESS COMMITTEE

MINUTES

April 26, 2019  
Johnson City, Tennessee

The East Tennessee State University Board of Trustees Academic, Research and Student Success Committee met at 10:15 a.m. on Friday, February 22, 2019, at the Millennium Center.

I. Call to Order

Dr. Linda Latimer, chair of the Academic, Research and Student Success Committee, called the meeting to order.

II. Roll Call

Deputy Secretary Mr. Nathan Dugger called the roll. Board members in attendance were:

Dr. Linda Latimer, Chair  
Dr. Fred Alsop  
Janet Ayers  
David Golden  
Scott Niswonger, Chair, Board of Trustees

III. Approval of the Committee Minutes from February 22, 2019

Trustee Golden made a motion that the minutes of the February 22, 2019, meeting of the committee be approved and submitted. Trustee Alsop seconded the motion and the minutes were unanimously approved.

IV. Update on University Operations Alignment Initiative

Dr. Wilsie Bishop, Senior Vice President for Academics, provided an update of the work anticipated and completed since the committee's last meeting with respect to the university's operations alignment initiative introduced by Dr. Brian Noland, President, at the Board of Trustees meeting in February. She provided a handout outlining organizational and staffing changes as part of this effort. Among these changes are several upcoming retirements, including that of Dr. Bert C. Bach as Provost and Vice President for Academic Affairs; Dr. Bishop's appointment as Interim Provost effective May 6; the appointment of Dr. Keith Johnson, Chair of the

Department of Engineering, Engineering Technology and Surveying, as Special Assistant to the President to focus on inclusion and diversity; and the appointment of Dr. Ramona Williams as Vice Provost for Community Engagement.

Under the realignment, the former Division of Student Affairs, led by Dr. Joe Sherlin, became the Division of Student Life and Enrollment. The new division includes the Office of Undergraduate Admissions, the Scholarship Office, Veterans Affairs and TRIO Programs in addition to the units that were already part of Student Affairs.

Several alignment initiatives are under way, including the coming establishment of work groups and task forces to address the areas of research, innovation and economic development; integration of finance, budgeting and planning; coordination of recruitment and retention efforts to meet strategic initiatives; and integration of service and outreach. These efforts are expected to be deliverable in the summer/fall of this year.

Dr. Bishop noted that these and other changes specified in the handout are critical for ETSU's accreditation efforts.

#### V. Promotion and Tenure of Faculty Members

Dr. Bert Bach recommended that the Committee approve President Noland's recommendation regarding tenure and promotion. He noted that all of the faculty members recommended had been through a thorough review process at multiple levels of the university, and that six of the recommendations required exceptions based on such factors as exceptional qualifications and tenure earned at previous institutions.

Forty individuals were recommended for promotion to the ranks of Professor and Associate Professor. Thirteen individuals were recommended to be awarded tenure in addition to promotion, and six additional individuals were recommended for tenure.

Trustee Alsop made the motion to approve the recommendation. The motion was seconded by Trustee Golden and approved unanimously.

#### VI. Approval of the Letter of Notification Regarding the Establishment of a Doctorate in Occupational Therapy

Dr. Bach recommended approval of the Letter of Notification Regarding the Establishment of a Doctorate in Occupational Therapy. Upon approval, this letter would be sent to the Tennessee Higher Education Commission (THEC), and there would be a period of public comment. Dr. Bach told the committee that ETSU would be the first public institution within 200 miles to offer this program, which could be available to students by the summer of 2022.

Discussion ensued regarding the speed at which new programs are approved through THEC protocols and the need to increase that speed to enhance ETSU's competitiveness.

Trustee Ayers made the motion to approve the Letter of Notification. This motion was seconded by Trustee Golden and approved unanimously.

VII. Approval of the Letter of Notification Regarding the Establishment of a Master of Fine Arts in Digital Media

Dr. Bach recommended approval of the Letter of Notification Regarding the Establishment of a Master of Fine Arts in Digital Media, which would also be sent to THEC and subject to a period of public comment. He noted that this M.F.A. would build on ETSU's signature program in digital media and meet the needs of a niche market. It would have some interlinking courses with the M.F.A. offered through the Department of Art and Design, and potential duplication of courses has been addressed.

During discussion, a question regarding the mathematics in the Faculty Salaries line of the One-Time Expenditures chart led to clarification of wording; the Professor of Professional Practice would be a three-year recurring position for seven years, in perpetuity. The position would start at \$65,000, with a 3 percent annual increase.

Trustee Alsop made the motion to approve the Letter of Notification. This motion was seconded by Trustee Ayers and approved unanimously.

VIII. Academic Calendars for 2020-2021, 2021-2022, and 2022-2023

Dr. Bach recommended approval of the Academic Calendars for 2020-2021, 2021-2022, and 2022-2023 as outlined in the meeting materials.

The motion to approve was made by Trustee Golden, seconded by Trustee Ayers, and approved unanimously.

IX. ETSU Student Success and Enrollment Initiatives

Dr. Sherlin introduced Carshonda Harris, Director of the Multicultural Center and Access and Student Success Programs, along with student Amyre Cain. Ms. Harris gave an overview presentation on the Talent, Innovation and Equity (TIE) Grant and Summer Bridge Plus programs. Tennessee was one of two states to receive the inaugural TIE grant from the Lumina Foundation, and ETSU was one of five THEC institutions awarded funding because of its demonstrated commitment to improving outcomes for students of color on campus. Ms. Harris described the challenges facing African American, Hispanic/Latino, Native American and biracial students – challenges that she said are not unique to ETSU – including unmet financial need,

lack of participation in peer mentoring and academic support programs, and a college completion rate 15-20% lower than that of other populations. She outlined the Bridge Plus Program, which uses these TIE funds to provide an all-expenses-paid summer experience that gives participating first-time entering freshmen a jump start on college. Students earn three free college credits while taking part in pre-advisement, early registration, a cohort student learning experience, weekly tutoring and monthly mentoring/coaching sessions, and more. The program helps students gain confidence and skills for the transition to college and a sense of inclusion and belonging. Ms. Harris noted that there was a 100% retention rate in fall 2018 and a 96% retention rate in spring 2019 among students who participated in the Bridge Plus Program in 2018, and these students also demonstrated high campus engagement.

Ms. Harris introduced Bridge Plus student Amyre Cain, who shared her experiences with the program. Ms. Cain told the Committee that she is a first-generation college student and a sociology and special education major. She said the Bridge Plus Program inspired her to get involved on campus, and she was proud to have made the dean's list.

Ms. Harris also gave an overview of the Multicultural Center and its staff and services.

Discussion ensued regarding the benefits of the Bridge Plus Program, and Board Chairman Niswonger questioned whether other programs exist to provide mentoring and support to students outside the demographics served by Bridge. Dr. Sherlin noted that around one-third of ETSU students take advantage of the learning support services offered for all students at the university; he said that the full, 360-degree experience offered by the Bridge Plus Program has not been scaled for the general student population, but the university is heading in that direction. Dr. Sherlin said the Bridge Plus Program is resource-intensive; Ms. Harris added that it costs approximately \$1,000 per participant (which includes food, transportation, books, and more), and the TIE grant was \$100,000 for two years and is supplemented with funding from other areas of the university. Trustee Niswonger asked if the Committee could request the university to develop a plan to serve the needs of the whole student population.

#### X. Research Metrics and Teaching Profile of ETSU Faculty

Dr. Mike Hoff, Associate Vice President/Chief Planning Officer, gave a slide presentation providing definitions and metrics pertaining to organized research at ETSU, with an emphasis on medical research. He noted that competition for federal research dollars is steep, and the state of Tennessee has not invested as much in research as such states as Texas and Florida. He said ETSU has had more grant submissions over time but received less money, but small grants will help garner larger awards.

Dr. Hoff referred Committee members to the “Research and Sponsored Programs FY2018 Annual Report” handout in their meeting materials, and pointed out the data from the Higher Education Research and Development (HERD) Survey that indicated how ETSU compares to top medical schools in the South. He said ETSU needs to stay focused on continuing to be competitive in its current environment, but not lose sight of the ultimate goal of becoming relevant in the larger market.

Dr. Hoff defined different types of research: applied and basic research lead to acquired new knowledge; experimental research takes what is known and begins to apply it, and is directly related to individual health outcomes; and translational research takes everything learned from previous research and impacts population health. He said the Ballad Health partnership could have a large impact on the region through research. He turned the presentation over to Dr. William Block.

#### XI. Quillen College of Medicine Strategic Improvement Plan

Dr. William Block, Dean of the Quillen College of Medicine, continued the presentation on research. He noted that National Institutes of Health (NIH) funding is a good overall research activity indicator and said ETSU jumped from \$4.6 million in NIH funding in fiscal year 2017 to nearly \$6.7 million in fiscal year 2018; the U.S. News 2018 NIH Funding Ranking, which he said is a composite ranking of research activity, has ETSU ranked at 118 of 147 medical schools. Dr. Block said that is not a dismal ranking and compared ETSU to Vanderbilt – Vanderbilt, which ranked 11<sup>th</sup>, garnered over \$356 million in NIH funding in fiscal year 2018 but has 2,800 medical faculty as compared to ETSU’s approximately 225.

Dr. Block said one of the biggest areas of growth in medical research at ETSU has come in the field of neuroscience, followed by the areas of cardiovascular, immunology/infectious disease, microbiology, and cancer.

The strategy for growth in medical research activity includes improving communication between ETSU colleges to see where synergies exist; improving funding among current faculty and recruitment of additional faculty; providing more seed money for smaller projects that will result in the data needed to back up larger NIH grant proposals; partnering with Ballad Health to increase rural health care, targeting areas that need more providers, such as neurology, urology, orthopedic surgery support, after-hours care, and more; expanding clinical services; continuing the ongoing faculty evaluation and mission alignment process; and enhancing the infrastructure. Dr. Block said he hopes to develop a medical campus comprised of the Innovation Lab, Johnson City Community Health Center, existing and future Clinical Education Buildings, and amenities. He also noted that additional faculty and staff, as well as scholarship support, will be needed to grow the student body.

During discussion, trustees expressed appreciation for the clear picture Drs. Hoff and Block provided in their joint presentation of where ETSU stands in relation to other

institutions in external funding, and indicated that this information will help Board members as they look creatively at ways to garner increased funding for research.

## XII. Committee Discussions

Chair Latimer explained that this agenda item would be an opportunity to continue discussions that had occurred earlier in the meeting. She noted that the Committee would need to follow up on 1) finding funding that would allow the university to provide for other student populations success initiatives similar to those covered by the TIE grant and 2) finding ways for the Board to help ETSU move faster on new program approvals and other initiatives. Trustee Ayers added that she would like to see ETSU gain additional legislative influence, becoming a greater “go-to” resource to inform decisions on legislative policies and directives from the beginning.

## XIII. Other Business

Trustee Alsop noted that he would be transitioning out of his role as the faculty representative on the Board and introduced Dr. Virginia Foley, Past President of the Faculty Senate and Associate Professor in the Department of Educational Leadership and Policy Analysis in the Clemmer College, whom the Faculty Senate selected to serve as the new faculty representative.

There being no further business, Chair Latimer adjourned the meeting at 11:48 a.m.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 20, 2019

ITEM: Letter of Notification (LON) Regarding the Establishment of a Master of Science (MS) in Prosthetics and Orthotics

COMMITTEE: Academic, Research, and Student Success

RECOMMENDED ACTION: Approve

PRESENTED BY: Dr. Wilsie S. Bishop  
Senior Vice President for Academics and Interim Provost

The Letter of Notification (LON) for the MS in Prosthetics and Orthotics is the first step in a series of ETSU Board of Trustees review protocols necessary to the establishment of a new program. Pending ETSU Board of Trustees approval, the item will be sent to THEC where it will be posted for public comment. At a future Board meeting, the proposal to establish the degree (pending development and intervening approvals) will return to the ETSU Board of Trustees for approval.

As noted in the attached document, the College of Clinical and Rehabilitative Health Sciences (CCRHS) seeks to develop the MS in Prosthetics and Orthotics program in order to offer a full complement of physical rehabilitation programs. Professional standards set by the American Prosthetics and Orthotics Association require a master's degree for entry into the labor market. Graduates with this degree are eligible to seek board certification and licensing as Prosthetic and Orthotics practitioners. If approved, this degree would be the first degree of its kind in the state of Tennessee and surrounding Appalachia, and it would be one of the few graduate programs in Prosthetics and Orthotics offered by a public institution in the United States.

Attachments:

- Letter of Notification
- THEC Financial Projections Form

**MOTION: I move that the Academic, Research and Student Success Committee recommend adoption of the following Resolution by the Board of Trustees:**

**RESOLVED: The Letter of Notification (LON) Regarding the Establishment of a Master of Science (MS) in Prosthetics and Orthotics is approved by the Board as outlined in the meeting materials. The University is directed to submit the LON with the Board's decision to the Tennessee Higher Education Commission for its consideration.**



# EAST TENNESSEE STATE UNIVERSITY

## Letter of Notification

Proposed Academic Program Name and Degree Designation

Master's Degree in Prosthetics and Orthotics

Proposed Academic Program Concentrations

None

Proposed CIP Code, Title, and Definition

51.2307      Orthotist/Prosthetist

A program that prepares individuals, in consultation with physicians and other rehabilitation members, to design and fit orthoses for patients with disabling conditions of the limbs and/or spine, and prostheses for patients who have partial or total absence of a limb or significant superficial deformity. Includes instruction in biomechanics, gait analysis, pathomechanics, kinesiology, pathology, neuroanatomy, materials science, diagnostic imaging, patient analysis and measurement, impression taking, model rectification, assistive/restorative technology and engineering applications, product finishing, diagnostic and definitive fitting and alignment, power devices, postoperative management, and patient counseling and follow-up.

Proposed Implementation Date

Summer 2022

Proposed Delivery

Traditional

Academic Program Liaison

Dr. Wilsie S. Bishop  
Interim Provost



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# EAST TENNESSEE STATE UNIVERSITY

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# EAST TENNESSEE STATE UNIVERSITY

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## A. Proposed Program Name, Degree Designation and CIP Code:

Prosthetics and Orthotics, Master's Degree, 51.2307

## B. Proposed Concentrations

None

## C. Proposed Implementation Date:

Summer 2022

## D. Anticipated Delivery:

Traditional

## E. Academic Program Liaison (APL):

Wilsie S. Bishop  
Interim Provost  
204 Dossett Hall  
P.O. Box 70286  
Johnson City, TN 37614  
(423) 439-4811  
[bishopws@etsu.edu](mailto:bishopws@etsu.edu)

## F. Background Concerning Academic Program Development

The College of Clinical and Rehabilitative Health Sciences (CCRHS) currently houses the Doctorate of Physical Therapy (DPT) program and currently has submitted a Letter of Notification to implement a Doctorate of Occupational Therapy (OTD) program. Developing the Master's in Prosthetics and Orthotics (P&O) program provides a full complement of physical rehabilitation programs that are offered within our college. With the current focus in health care on team-based care and ETSU's emphasis on interprofessional education and collaborative

practice, the P&O program adds both breadth and depth to our existing programs and builds on the university's mission to "provide strong, comprehensive educational, research, and service programs in the health sciences that advance the health and wellness of people throughout Tennessee and Southern Appalachia and of rural populations around the world." Additionally, CCRHS has a close affiliation with Mountain Home Veterans Administration Medical Center with our physical therapy, audiology, and speech-language pathology programs. There is high interest in collaborating with the VA to establish a P&O program to serve the need of combat veterans who have suffered limb loss. We have met with Congressman Phil Roe, former Chairman and current Vice-Chairman of the Veterans Affairs Committee, who fully supports this new academic program (please see his letter of support, Appendix E, p. 37). As guests of Congressman Roe, Dean Don Samples and Associate Deans Lynn Williams and Andy Clark toured the Prosthetics and Orthotics Clinic, 3D Medical Applications Center, and the Biomechanics Research Lab at Walter Reed National Military Medical Center in December 2018 (see Appendix A, pp. 20-23). Congressman Roe also arranged for us to meet with Dr. Kenneth Jones, Director of Associated Health Education and Dr. Jason Highsmith, National Program Director for Clinical Orthotist & Prosthetist Service, U.S. Department of Veterans Affairs in Washington, D.C. We discussed collaboration between ETSU and the VA in establishing P&O residencies. They are enthusiastic and supportive of the proposed P&O program at ETSU. We continue to conference with them as we are moving forward in the development of our proposal.

## **G. Purpose and Nature of the Proposed Academic Program**

The College of Clinical and Rehabilitative Health Sciences proposes to establish a program of study that leads to a clinical master's degree in Prosthetics and Orthotics (P&O). The American Orthotics and Prosthetics Association describes the field of orthotic care to include, but is not limited to, patient evaluation, orthosis design, fabrication, fitting and modification to treat limb loss for purposes of restoring physiological function and/or cosmesis. The P&O health care professional is formally educated and trained to blend technical and clinical skills to care for patients who have neuromuscular and musculoskeletal disorder and/or patients who have a partial or total absence of a limb. Providing custom or pre-fabricated external prostheses and orthoses is unique to the P&O profession.

Professional standards set by the American Prosthetics and Orthotics Association require a master's degree for entry into the labor market. Graduates with this degree are eligible to seek board certification and licensing as a Prosthetic and Orthotics practitioner. This degree would be the first degree of its kind in the state of Tennessee and surrounding Appalachia, and it would be one of the few graduate programs in P&O offered by a public institution in the US.

Graduates of the Prosthetics and Orthotics program will be candidates for employment in a wide range of clinical, educational, and community settings. Currently Tennessee is underserved in prosthetics and orthotics health services (Projections Central, 2019). The geographic location of East Tennessee State University and the absence of any graduate Prosthetics and Orthotics programs in Tennessee combine to create an ideal environment for a

high quality program of study that prepares individuals for career opportunities in this growing field.

#### H. Alignment with State Master Plan and Institutional Mission

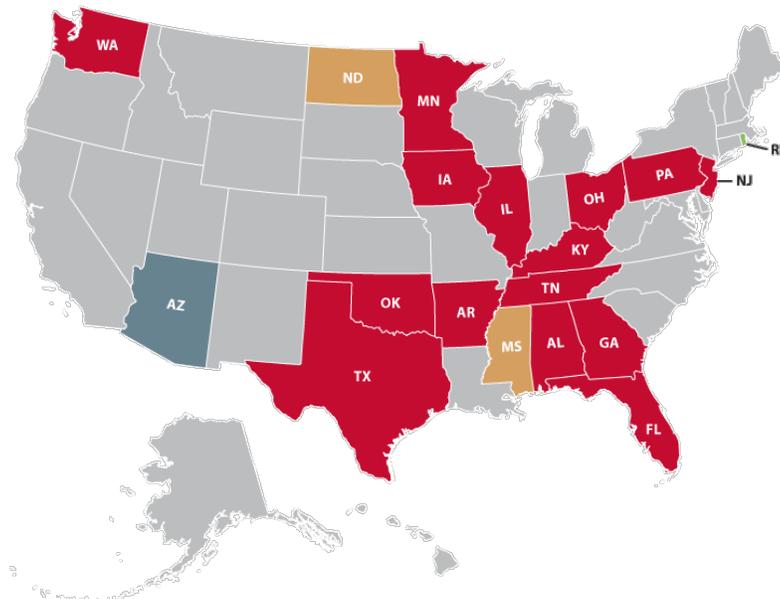
The Master Plan for Tennessee Postsecondary Education 2015-2025 calls for a statewide strategic development of higher education programs that increases the educational attainment levels of Tennesseans; addresses the state’s economic development, workforce development, and research needs; and calls for institutional mission differentiation to realize statewide efficiencies through institutional collaboration, minimized redundancy, a focus on location, and research.

The proposed P&O degree meets the State Master Plan to increase the educational attainment levels of Tennesseans by creating a graduate degree program for immediate entry into Tennessee projected labor categories, provides state of the art rehab care, and contributes to research needs of health and interdisciplinary service.

Prepare Graduates for Fastest Growing Labor Categories	Data supportive of the State Master Plan comes from the Bureau of Labor and Statistics, which projects that the need for orthotists and prosthetists is projected to grow 22% from 2016 to 2026, much faster than the average for all occupations. The demand for P&O professionals is similarly projected to increase in Tennessee with an estimated 22% job growth. Please refer to Appendix C (p. 26) for data from Burning Glass, an analytics software company that provides real-time data on labor market trends.					
	Examination of the supply and demand for P&O practitioners between 2016-2025 is provided below from the Dobson/DaVanso workforce demand projections. As these data indicate, there is a supply/demand imbalance that reflects a clear shortage of workers that is projected to continue to increase between 2016 and 2025.					
	2016			2025		
Category	Demand of Providers	Supply of Credentialed Providers	Demand to Supply Ratio	Demand of Providers	Supply of Credentialed Providers	Demand to Supply Ratio
Orthotists	3,731	3036	1.3	4000	2109	1.9
Prosthetics	1217	1880	0.7	1305	1376	0.9
Prosthetics & Orthotics	1525	1680	0.9	1635	1401	1.2
Sub-Total	6474	6274	1.0	6940	4887	1.4

The intent of the Focus Act was to empower universities that were former TBR institutions. Of these universities, ETSU is in the best position to impact the regional market and access the southeast high market need. Without a P&O program in the state of Tennessee, the entire workforce of TN P&O practitioners has been educated outside of the state.

The Tennessee Prosthetics and Orthotics Association (TSOP) has worked with Tennessee legislators to create state licensing criteria, and Tennessee is one of only 15 states in the US requiring a license for work. Licensure enables Prosthetics and Orthotics practitioners to open private practices and allow insurance carriers to provide patient coverage for rehabilitation and dispersion of Durable Medical Equipment (DME). This will open up a substantial market that includes children, veterans, victims of trauma, senior citizens, and those in correctional facilities. Fifteen states grant licensure for orthotists and prosthetists, while two additional states have regulatory requirements that professionals be certified by either American Board of Certification (ABC) or Board of Certification (BOC) of Prosthetics and Orthotics. Although neither certification nor state licensure is required to render O&P services in the remaining 35 states and the District of Columbia, only custom-fabricated devices provided by state licensed orthotists and prosthetists, or American Board of Certification of Prosthetics and Orthotics (ABC) and/or Board of Certification (BOC) certified orthotists and prosthetists who practice in non-licensure states, are eligible for Medicare reimbursement. The figure below shows the 15 states in red that require licensure, of which Tennessee is one.



<p>Increased Need for Rehabilitation</p>	<p>Data supports the State Master Plan to prepare Tennesseans with highly trained P&amp;O graduates who are better equipped to provide state of the art rehabilitative care and contribute to the research needs of the healthcare community. Specifically, According to the US Census Bureau, there is a concern with the increasing number of patients requiring orthotic or prosthetic care and the ability of the present number of certified orthotists and prosthetists to meet that demand. The large baby-boom population is aging, and orthotists and prosthetists will be needed because both diabetes and cardiovascular disease, the two leading causes of limb loss, are more common among older people (Bureau of Labor Statistics). Data supports the State Master Plan to prepare Tennesseans with highly trained P&amp;O professionals who are equipped to provide state of the art rehabilitative care and contribute to the research needs of the healthcare community.</p>
<p>Focus on Inter-disciplinary Education and Collaboration</p>	<p>Data supports the need to provide students with an option to obtain a degree with an interdisciplinary focus and options for collaboration. Healthcare systems are changing, and the healthcare professionals of the future will need to function as part of an interprofessional team. In the proposed P&amp;O curriculum, collaboration will occur within the University between Physical Therapy and the College of Medicine with joint classes planned throughout the curriculum with each of these departments. In addition, there are interprofessional resources and options for both academic and research interactions between this program and PT, Counseling, Social Work, Nursing, and Medicine. The interprofessional curriculum proposed for this P&amp;O program will provide graduates with expertise in each of these key areas (refer to summary information on Student Interest, p. 10). Data from a recent survey conducted among current ETSU college students interested in healthcare also supports development of a degree with interdisciplinary focus (see Appendix D, pp. 29). The majority of those surveyed (67%) indicated they were definitely or somewhat interested in applying to a P&amp;O program at a university that has an interprofessional education (IPE) program with opportunities to learn with students enrolled in other health care programs (i.e., medicine, nursing, pharmacy, PT, etc.)</p>

Institutional Mission

The proposed Masters of Prosthetics and Orthotics degree aligns with the mission and vision of East Tennessee State University, the Academic Health Sciences Center, and the goals of the College of Clinical and Rehabilitative Health Sciences. ETSU’s mission statement highlights the need to “provide strong, comprehensive educational, research, and service programs in the health sciences that advance the health and wellness of people throughout Tennessee and Southern Appalachia and of rural populations around the world.” The strategic plan for the Masters of P&O addresses the promise of ETSU’s mission and its commitment to excellence in

teaching, research, and public service in the health sciences through its inclusion with well-established and fully-accredited graduate programs in physical therapy, speech-language pathology, audiology, and nutrition as well as accredited undergraduate programs in engineering, radiography, and cardiopulmonary science.

The vision of East Tennessee State University is *developing a world-class environment to enhance student success and improve the quality of life in the region and beyond*. In addition, the University mission includes having *a wide array of educational and research programs and clinical services including a comprehensive Academic Health Sciences Center*. A core value of the University is *efficiency which is achieved through wise use of human and financial resources*. (ETSU Website and Strategic Plan 2016-2026 approved by the Board of Trustees 3-27-17)

Based on the East Tennessee State University Mission, Vision and Strategic Plan as outlined above, the proposed Masters of P&O degree will meet the following objectives:

- Creates a graduate degree program that will contribute to and benefit from the educational and research programs and clinical services available through the Academic Health Sciences Center.

The focus of the ETSU Academic Health Sciences Center includes developing *critical thinking, problem-solving, and diagnostic and treatment skills* as well as educating health professionals *who can work as part of a collaborative care team of professionals to provide the most comprehensive and efficient care possible* (ETSU Academic Health Sciences Center website). Adding a masters in P&O will help to further promote the comprehensive nature of rehabilitation education at East Tennessee State University. The addition of a masters of P&O to the current degrees available in Physical Therapy, Speech-Language Pathology, Audiology, Social Work, Medicine, Nursing, Pharmacy, Engineering, and Clinical Psychology will provide a well-rounded array of clinical career options. Curriculum promoting interprofessional education will assist in developing graduates better prepared to join a collaborative team of health care professionals and innovations of design with engineering.

- Contributes to regional stewardship and wise use of human and financial resources by providing students with an opportunity to obtain a degree at a lower cost than those offered at surrounding private institutions.

Providing an option for P&O degree at a public university makes the degree more financially feasible for many students in this region (see Appendix D, p. 30). Only 38% of P&O degree conferrals in 2017 were from a public university.

In addition to overall tuition costs being lower at a public institution than a private university, East Tennessee State University offers scholarships to assist with decreasing the financial burden of out-of-state tuition. The George L Carter Scholarship awards up

to \$14,000 per year for full-time graduate students who reside within a 250 mile radius of ETSU, and the Sidney G. Gilbreath Scholarship awards up to \$11,000 per year for full-time graduate students who reside beyond the 250 mile radius of ETSU.

As one of the colleges comprising the ETSU Academic Health Sciences Center, goals of the College of Clinical and Rehabilitative Health Sciences include: *To create an academic and clinical culture that encourages service to diverse and underserved populations; encourage collaborative research for students and the community addressing long-term clinical and rehabilitative health needs across the lifespan and health care spectrum; and to promote scholarship and mentoring that supports evidence-based practice and life-long learning* (ETSU Academic Health Sciences Center website and CCRHS website).

The proposed Masters of P&O degree meets the goals of the College of Clinical and Rehabilitative Health Sciences in the following ways:

- Provides students with options for clinical experiences and service to diverse and underserved populations in order to better prepare them to provide rehabilitative services for these populations.

The proposed curriculum will include a number of clinical experiences in a variety of healthcare settings. Students will be prepared to provide clinical expertise in the art and science of prosthetic and orthotics to a wide range of patients. Students within the program will have opportunities to participate in service activities with various population groups. Partnership with regional, state, and national facilities will provide students with a wide range of professional learning experiences. The College of Clinical and Rehabilitative Health Sciences currently has affiliation agreements with >350 facilities for clinical experiences with other rehabilitation professionals. The university will utilize and build on these resources to fulfill clinical education experiences for the P&O program.

- Creates a graduate degree with a curriculum that addresses rehabilitative health needs across the lifespan and supports evidence-based practice and life-long learning.

Courses within the curriculum will address assessment and provision of care for patients across the entire lifespan. Opportunities for collaboration in academic settings, clinical practice, and scholarship are available throughout the curriculum. Content regarding literature review and assessment of evidence for clinical practice will be included. In addition, emphasis will be placed on establishing a platform for professional development of students within the program which will extend throughout their careers.

**I. Need for Program: Feasibility Study**

A comprehensive study was conducted to evaluate the feasibility of offering a master’s degree in prosthetics and orthotics with the final report for the study attached as Appendix B. Pertinent findings are provided below.

<p>Student Interest</p>	<p>To gage the student interest at ETSU for a proposed Masters P&amp;O program, a student survey was sent to over 1,000 ETSU undergraduate students (1,069 ETSU undergraduate students registered as minors within the College of Clinical and Rehabilitative Health Science in Pre-PT, Pre-OT, Pre-CDIS, Allied Health, and Rehab Sciences, in addition to students in Psych, Human Services, Pre-Health, Exercise Science, and Public Health). A summary of the results are included in Appendix D (pp. 29) and presented below:</p> <ul style="list-style-type: none"> <li>• A total of 70 student responses were received. The majority of the respondents were seniors (35%) followed by freshmen (28%) and juniors (23%).</li> <li>• 60% of students indicated interest in pursuing a master’s degree in a P&amp;O program if offered at ETSU. Only 17% were “definitely not” interested in a P&amp;O program.</li> <li>• 88% of respondents expressed the definite preference of a public education over a private option for graduate school option because of lower tuition rates.</li> <li>• 67% of students expressed interest in applying to a P&amp;O program with emphasis in interprofessional education (IPE) and opportunities to learn with students enrolled in other health care programs, such as medicine, PT, nursing, pharmacy, etc.</li> <li>• 70% of students reported interest in matriculating into a P&amp;O program if they were not accepted into their first degree of choice.</li> </ul> <p>The student survey results confirm strong ETSU student interest in this program of study. These data are commensurate with data from the Bureau of Labor Statistics and Burning Glass that the projected job growth is expected to grow much faster than the average for all occupations.</p> <p><u>Competitor Analysis:</u> There are no graduate level Prosthetic and Orthotic programs in the state of Tennessee. The absence of a Master’s degree in Tennessee prevents Tennesseans from seeking an affordable, in-state option to complete their education. In order for students matriculating from undergraduate programs to seek employment as a Prosthetic and</p>
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	<p>Orthotic practitioner, they currently need to continue their education out of state.</p> <p>In the Southeast, there are only three institutions that offer a master’s in Prosthetic and Orthotics degree: Alabama, Florida, and Texas, making the Academic Common Market a possibility for students from other states.</p>
<p>Employer Need and Demand</p>	<p><u>Labor Market Analysis:</u> Prosthetics and Orthotics practitioners and related professionals will meet a positive labor market outlook over the next 10 years. P&amp;O occupations in Tennessee are projected to grow at a faster rate (22%) than the projected growth for all occupations in the state between 2016 and 2026. Similarly, regional and national labor projections support a positive Prosthetics and Orthotics employment climate.</p> <p>Market demand for Prosthetic and Orthotic practitioners in the region is high. The Bureau of Labor Statistics’ (BLS) most recent estimates suggest that orthotists and prosthetists held approximately 8,500 full-time jobs in 2012 and that by 2022 the job prospect for these providers is projected to increase to 11,500 or by 36 percent. The provision of orthoses appears to be the primary driver of our overall demand and supply projections for the P&amp;O profession. Of the total demand for P&amp;O services of 19,126 providers, orthoses services account for almost 92 percent of all demand (17,574 providers). Furthermore, the BLS estimates that there are 10,964 providers delivering orthoses services in 2016.</p> <p><u>Program Demand Forecast:</u> ETSU would be the first higher education institution in Tennessee to offer Prosthetics and Orthotics at the graduate level. Student demand continues to grow as Prosthetics and Orthotics practitioners are being employed to address an expanding number of physical health issues. Prosthetic and Orthotics practitioners are increasingly employed at veteran centers, oncology centers and skilled nursing facilities.</p> <p>ETSU Survey: A survey instrument was sent to nine P&amp;O professionals in the area to assess need in master’s Prosthetics and Orthotics programs. A summary of the results are included in Appendix D (pp. 32-35) and are presented below:</p> <ul style="list-style-type: none"> <li>• Three employer responses were received, which was a 33% response rate.</li> </ul>

- 100% of respondents strongly agreed that there is a need for certified Prosthetists and Orthotists in the area.
- 100% of regional employers agreed or strongly agreed that it is difficult to hire certified P&O practitioners.
- 100% strongly agreed that it is difficult to hire P&O professionals with interprofessional experience.
- 100% indicated they would be interested in offering clinical internships to ETSU P&O students.

Below is a list of regional employers, along with Congressman Roe and Dean Depew, who have provided letters of support for the proposed P&O program (see Appendix E, pp. 36-45).

Company	Official	Official Title
U.S. Congress	Dr. Phil Roe	Chairman, Veterans Affairs Committee
Mountain Home VA Medical Center	Dr. Colleen Noe	Associate Director of MHVAMC
Mountain Home VA Medical Center	Mr. John Brothers	Certified Prosthetist and Orthotist (CPO)
Holston Medical Group	Dr. Alan Meade	Director of Rehabilitation Services
TalkBack Pediatric Therapy	Mr. Jon L. Morris	Vice President
Victory Orthotics & Prosthetics	Mr. Zach Smith	Certified Prosthetist and Orthotist (CPO)
Excel Prosthetics & Orthotics	Mr. Chad McCracken	Certified Prosthetist and Orthotist (CPO)
ETSU College of Business and Technology	Dr. Dennis Depew	Dean

These letters of support, along with the survey reports from local employers and practitioners, indicate enthusiastic support for a P&O program that will address a need in Tennessee to offer this degree, especially within an interprofessional team-based college.

<p>Local and Regional Need/Demand</p>	<p>Regional demand for P&amp;O practitioners is higher than the national average. According to the Bureau of Labor Statistics, a 22% projected employment growth increase is expected in Tennessee between 2018 and 2026. Additionally, location quotients provide relevant employment information. The location quotient is the ratio of the area concentration of occupational employment to the national average concentration. According to the BLS, the location quotient for states bordering Tennessee are less than one, indicating the occupation is less prevalent in the area than the national average. A total of seven bordering states, including VA, NC, KY, GA, MS, AR, and MO, have a location quotient below 1, which is well below the national average <a href="https://www.bls.gov/oes/current/oes291122.htm#(9)">https://www.bls.gov/oes/current/oes291122.htm#(9)</a></p> <p>It is not surprising, then, that P&amp;O programs in closest proximity to ETSU, per their website, have a 100% job placement rate at the time of graduation. Increased regional need indicates there is an increased demand for P&amp;O students who are qualified to meet that need. According to NCOPE, the accreditation body for P&amp;O, the aggregate program data indicate that the trends in enrollment continue to increase from year to year. These trends are expected to continue to rise.</p> <p>Given the regional and national need, it is critical that more qualified students enter P&amp;O programs to assure access to quality care for individuals with amputations and orthopedic impairments. Without a state option for students to pursue this degree, all current P&amp;O practitioners in Tennessee have had to obtain their degree outside the state.</p>
<p>Future Sustainable Need and Demand</p>	<p>Two aspects of the proposed program support the future sustainable need and demand for graduates of this program. One aspect is associated with the changing demographics. A second aspect is connected to the innovative curriculum of the proposed program that focuses on interprofessional practice with occupational therapy (developing program), physical therapy and medicine as well as the university's emphasis on interprofessional education with all health science programs. Each of these aspects is described below.</p> <p><u>Changing Demographics:</u> A number of health trends are contributing to an increased demand for P&amp;O practitioners. According to the American Academy of Orthotists and Prosthetists, these health trends include an increase in diabetes (15.3 million new cases in the U.S. since 1980); heart disease (projected more than a 26% increase by 2030); and obesity (rising with an increase of more than 22% since 1960). The proportion of the population that is at risk for peripheral vascular disease (PVD) and</p>

amputation is expected to increase significantly by the year 2020. The incidence of diabetes and diabetes-related amputation also continues to increase. The number of Americans with diagnosed diabetes is projected to increase 165% by 2050. Of all amputations, 50-70% are diabetes related.

Additionally, with an aging population of 72 million Americans predicted to be in the 65+ age group by 2030, the demand for P&O practitioners is expected to continue. The highest percentage of amputations due to disease occur in the 61-70 year age group, which creates a large proportion of the population at continued risk for those diseases/disabilities requiring orthotic/prosthetic care.

Coupled with these health and aging trends, almost 25% of P&O practitioners are 55 years or older and likely to retire in the next 10 years. This will leave a significant gap for new student applicants to enter the profession.

Innovative Curriculum: Healthcare systems are changing, and the healthcare professionals of the future will need to function as part of an interprofessional team. This proposed degree fosters the application of the four core competencies of interprofessional collaborative practice (roles and responsibilities of health professions, teams and teamwork, ethics, and interprofessional communication). These core competencies are the foundation of ETSU's Interprofessional Education Program, which includes graduate programs from all of the five health science colleges (Clinical and Rehabilitative Health Sciences, Medicine, Nursing, Pharmacy, and Public Health). ETSU is nationally recognized for its IPE Program and recently received the 2018 U.S. Public Health Services Award in Washington, DC from the Interprofessional Education Collaborative (IPEC). In addition to the health sciences, the P&O program will also incorporate coursework within the ETSU Biomedical Engineering Technology program. This IPE emphasis is especially valuable in a P&O program which requires a unique combination of skills. According to the Academy of Orthotists and Prosthetists, the P&O profession is a "blend of science, art, technology, creativity, and healthcare."

Finally, the Burning Glass report's key findings and program demand forecast for P&O nationally provide substantial support for the future sustainable need and demand for the proposed P&O program (Appendix C, pp. 26-28).

- **Student interest and demand are growing with national conferral volumes increasing 151% between 2013 and 2017.** In order to meet

	<p>the state’s projected employment growth between over the next ten years, additional graduates are needed each year.</p> <ul style="list-style-type: none"> <li>• <b>Competitive saturation is low for the P&amp;O degree.</b> ETSU would be the first institution in Tennessee to have a P&amp;O program. With only 12 P&amp;O programs in the country, there would not be another program within 400 miles.</li> </ul>
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## J. Existing Programs Offered at Public Institutions

There are no P&O programs within the state of Tennessee. According to the National Commission on Orthotic and Prosthetic Education (NCOPE), there are 12 accredited Prosthetics & Orthotics programs across the United States. These programs are listed in the table below.

Institution	Location	School Type	Program
Alabama State College of Health Science	Montgomery, AL	public	Master's Degree in Orthotics & Prosthetics
California State University USUDH Orthotic & Prosthetic Education Center	Los Alamitos, CA & La Jolla, CA	public	Master's Degree in Orthotics & Prosthetics
Loma Linda University School of Allied Health Professionals	Loma Linda, CA	private	Master's Degree in Orthotics & Prosthetics
University of Hartford Masters Science Prosthetics and Orthotics	Hartford, CT	private	Master's Degree in Orthotics & Prosthetics
Florida International University College of Engineering & Computing	Miami, FL	public	Master's Degree in Orthotics & Prosthetics
Northwestern University Prosthetic orthotic Center	Chicago, IL	private	Master's Degree in Orthotics & Prosthetics
Eastern Michigan University	Ypsilanti, MI	public	Master's Degree in Orthotics & Prosthetics
Concordia University	St. Paul, MN	private	Master's Degree in Orthotics & Prosthetics Consortium with Century College
University Pittsburgh School Health & Rehabilitation Science	Pittsburg, PA	public	Master's Degree in Orthotics & Prosthetics
Baylor College of Medicine School Allied Health Science	Houston, TX	private	Master's Degree in Orthotics & Prosthetics
University of Texas Southwestern Medical Center	Austin, TX	public	Master's Degree in Orthotics & Prosthetics

Orthotics and Prosthetics Program			
University of Washington School of Medicine and Division of O&P	Seattle, WA	public	Master's Degree in Orthotics & Prosthetics

While about half of these programs are housed in public universities, Burning Glass data indicates that the market share of degree conferrals from public universities is only 38%. Therefore, greater public institution participation is needed to meet the market demand. Of these programs, only two are in the southeast. The closest programs to ETSU are over 400 miles away (University of Pittsburgh and Alabama State University). There is clearly a need for additional P&O programs in the U.S., particularly within the southeast.

According to the American Board for Certification (ABC) in Orthotics and Prosthetics:

- There are currently 74 ABC accredited facilities in Tennessee which are accredited to disperse and fit patients with *orthotics*. These do provide patient care.
- There are currently 77 ABC accredited facilities in Tennessee which are accredited to disperse and fit patients with *prosthetics*. These do provide patient care.
- There are currently 100 ABC certified orthotic practitioners and 100 ABC certified prosthetic practitioners in the state of TN.

Based on these statistics, a P&O program at ETSU would be well placed and would provide an opportunity for certified prosthetists and orthotists working in the state of Tennessee to receive their education in the state.

## K. Program Costs and Revenues

The following section provides details on program cost and revenue for the proposed Master's Degree in Prosthetics and Orthotics at East Tennessee State University (see THEC Financial Projection Form). Seven year projections have been calculated with a 3% annual increase where appropriate. Expenses will begin in year one with the addition of a Program Director, equipment, and other expenses associated with the accreditation process (i.e., consultant pay and travel reimbursement). Tuition and fee revenue will begin in year two pending the implementation of the accreditation process. Institutional reallocations will be necessary in the first two years, and will come from the College of Clinical and Rehabilitative Health Sciences. There will be no federal grants, private grants, nor gifted funds for the establishment of this program. As can be seen from the subsequent data, the proposed prosthetics and orthotics program will have revenue that exceeds expenditures by the third year.

## Expenses

One-Time Expenditures		
Item	State reason for expenditure	Total Expenditure
New/Renovated Space	This degree will require special facilities with renovation or new space for classrooms, labs and faculty offices. These do not include shared lecture spaces with other departments.	\$250,000
Equipment	This degree will require special equipment. Some equipment can be shared with occupational therapy, physical therapy and the IPE facilities. Specific equipment needs include lab tools, machines, and supplies.	\$500,000
Library	This degree will not require special holdings at the library, as they are currently part of their capabilities.	\$0
Consultants	Consultants for internal and external reviews.	\$ 10,000
<b>TOTAL</b>	<b>One-time Expenditures</b>	<b>\$ 760,000</b>
Recurring Expenditures		
Item		Total for Years 7
Administration and Faculty Salary	Program Director will be hired in Y1 at \$90,000 annual salary at a 3% increase annually  One faculty starting in Y1, second faculty starting in Y2, and another .5 FTE faculty (shared between departments) will start in Y2. Faculty annual salary of \$90,000 at a 3% increase.	\$1,562,857
Administration and Faculty Benefits	Program Director \$30,350 annual benefits in Y1 with a 3% increase  Faculty benefits will be \$30,350 annually increased 3% each year.	\$527,030
Support Staff Salary	Support staff start in Y2 at \$40,000 annually increased 3% each year	\$258,736
Support Staff Benefits	Support staff benefits will be \$20,350 annually increased 3% each year	\$131,632
Operating	Travel: \$4,000 in Y1, \$7,000 Y2, \$8,000 subsequent years Accreditation Dues: \$5,000 Y1 (initial accreditation), \$2,000 subsequent years University Administration: Starting in Y2 at 30% of Total Program Revenue	1,392,098

	Supplies: starting Y2 at \$35,000 annually	
TOTAL	Reoccurring Expenditures	\$3,872,353

### Projected Enrollments

Enrollment is based on an initial cohort of 14 full-time students. The projected number of graduates is 13, which assumes a 95% retention rate (5% attrition rate) from the first year of the program to the third year.

Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7
14	27	27	27	27	27	27

### Revenues

Item		Total Revenue Seven Years
Tuition and Fees (tuition)	Maintenance fees projected beginning Y2 with a 3% increase  Fees: AHSC \$50 credit + Lab Supplies \$60 credit= \$110 per credit per students	\$3,746,600
Institutional Reallocations	Institutional reallocations will be needed in the first two years of program implementation, provided by the ETSU College of Clinical and Rehabilitative Sciences	\$885,753
Grants	N/A	\$0
TOTAL	Revenues	\$4,632,353

### Expenditure/Revenue Summary

Year	Expenditure	Revenue
1	\$889,350	\$889,350
2	\$516,322	\$516,322
3	\$612,127	\$612,127
4	\$628,241	\$628,241
5	\$644,838	\$644,838
6	\$661,934	\$661,934
7	\$679,542	\$679,542

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Standards and Guidelines for the Accreditation of Educational Programs 7/13/2017.

Appendix A: Walter Reed National Military Medical Center



**Mr. John Witherspoon**  
**Senior Legislative Assistant**  
**Rep Phil Roe (R-TN), Chairman HVAC**

**Thursday, 6 December 2018**

- 1300**    **OFFICIAL PARTY ARRIVES**  
*The Historic Tower Plaza / Building 1*  
Greeted by: COL Rod Gonzalez, MC, USA, Chief of Staff, WRNMMC  
Mr. Don Champion, Legislative Director, WRNMMC
- 1305**    **WALKING TOUR – 3D MEDICAL APPLICATIONS CENER**  
*President Zone / Building 1 / Fourth Floor*  
Peter Liacouras, PhD, Director of Services, 3D Medical Applications Center, WRNMMC
- 1330**    ***TRANSITION TO AMERICA ZONE, BUILDING 19***
- 1335**    **WALKING TOUR- MILITARY ADVANCED TRAINING CENTER**  
*America Zone / Building 19 / First Floor*  
LTC Keith Myers, Deputy Chief, Department of Rehabilitation, WRNMMC  
David Laufer, Service Chief, Orthotics & Prosthetics Service, WRNMMC
- 1430**    **OFFICIAL PARTY DEPARTS**



## Walter Reed National Military Medical Center Bethesda, MD

### 3D Medical Applications Center

The 3D Medical Applications Center (3D MAC) at Walter Reed National Military Medical Center provides Computer Aided Design (CAD) and Computer Aided Manufacturing (CAM) for the fabrication of medical models and custom implants, provides technical support for virtual treatment planning, and provides image captures in support of patient treatment, graduate medical/dental education and research.



The 3D MAC is able to use CAD and CAM in a wide variety of methods, including:

- **Rapid Prototyping** can be accomplished in a variety of methods with a variety of material. Plastics, metals, infused powders and even multiple materials can all be Rapid Prototyped to suit needs for models, guides, devices and custom implants.
- **Stereolithography** is an additive manufacturing process using a vat of liquid UV-curable photopolymer "resin" and a UV-laser to build parts one layer at a time. On each layer, the laser beam traces a cross-section pattern on the surface of the liquid resin. Exposure to UV-laser light cures and solidifies the pattern traced on the resin and adheres it to the layer below. The models are generally clear or solid in color. Anatomical landmarks can be "colored" within the model by manipulating the exposure times.
- **3D Printing** consists of an inkjet printing system using a Z Corp printer. The printer creates the model one layer at a time by spreading a layer of powder and then inkjet printing a binder into the cross-section of the part. The process is repeated until every layer is printed. This technology is the only one that allows for the printing of full color prototypes. Our models are also infused with a resin to be stone-like in durability.
- **Electron beam melting (EBM)** is a type of additive manufacturing for metal parts. The technology manufactures parts by melting metal powder layer per layer with an electron beam in a high vacuum. Unlike some metal sintering techniques, the parts are fully dense, void-free, and extremely strong. The materials are jetted in ultra-thin layers onto a build tray, layer by layer, until complete. Each layer is cured immediately, producing models that can be handled and used immediately, without post-curing

#### Main Services:

- **Orthopaedic Reconstruction:** Orthopedic services include the fabrication of surgical models in a variety of different materials to plan surgical procedures. In consultation with our biomedical engineers and technicians, surgical cutting, positioning and bending guides can be developed and fabricated, all customized to each individual situation.
- **Research and Development:** The 3D Medical Applications Center has the software and designers to support the medical center's research and special needs. Aside from medical models, devices can be fabricated to help with patient needs in occupational therapy and daily activities as well as concept models. Computer aided design software can be used to bring concepts to a working physical model. Whether it is a stand to hold a test tube at a specific angle or design of a handle on a cane to accommodate a patient, 3D MAC can provide the full spectrum design services.
- **Dental Surgery / Implants:** Models can be fabricated that indicate anatomical features such as the lingual nerve for better viewing of the proposed surgical area for orthognathic surgery, tumor resections, or dental Implant placement. Surgical guides for cutting, drilling, positioning, and bending of bones, plates and dental implants can be fabricated for any surgical plan.
- **Craniofacial Reconstruction:** Craniofacial services include the fabrication of surgical models in a variety of different materials to plan the surgical procedures. In consultation with our Biomedical Engineers and technicians, surgical cutting, positioning and bending guides can be developed and fabricated.



Walter Reed  
National Military  
Medical Center

## MILITARY ADVANCED TRAINING CENTER

### **From Injury to Independence**

Dedicated to the care and rehabilitation of America's sons and daughters recovering from injuries sustained in service, the Military Advanced Training Center (MATC) is a state-of-the-art facility located at the Walter Reed National Military Medical Center. Wounded, Ill and Injured Service Members, Retirees and Family Members use sophisticated prosthetics and cutting-edge athletic equipment to confirm pre-injury capabilities as they restore their sense of selves.

The MATC uses a Sports Medicine model which offers much of the same sports and exercise equipment as found at the finest sports rehabilitation training rooms across the country. Many of the same fitness drills practiced by professional athletes are replicated by the Service Members to work on core strength, balance and stability.

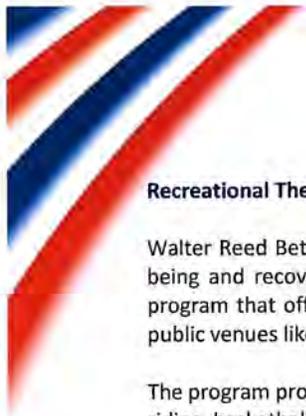
The total focus of MATC's expert staff is to match the drive and determination of these service members— build their strength, skills and confidence and return them to the highest level of physical, emotional and psychological functional ability. A major goal of the MATC is to enable the Service Members to make their own choices and not let their futures be dictated by the injuries sustained.

We serve active duty, retired and family members. Appointments are made by referral from the Amputee Clinic held by the Physical Medicine and Rehabilitation Service.

### **Amputee Physical and Occupational Therapy**

The MATC is setting world-class standards of care and providing the leading edge in rehabilitative as well as prosthetic care. The comprehensive effort of rehabilitation is where physical and occupational therapists follow the Service Members from their initial evaluations through their discharge from the hospital, course of outpatient rehabilitation and return to active duty or civilian life.

The Prosthetics Service, offering a full range of prosthetic and orthotic services, uses state of the art advanced prosthetic limb technology for design, milling, and production of prosthetic devices. Prosthetic devices are manufactured and fit and adjusted in the Orthotics and Prosthetics Service which is adjacent to the MATC to enable the Prosthetists to work closely with the physical and occupational therapists to ensure the best possible fit and utilization of the prosthetic devices.



### **Recreational Therapy & Adaptive Sports**

Walter Reed Bethesda recognizes the importance of recreational and adaptive sports to well-being and recovery. The Recreational Therapy staff coordinates a community re-integration program that offers a wide variety of experiences outside the clinic setting, including trips to public venues like shopping areas, movie theaters, restaurants and museums.

The program provides adaptive sports activities such as scuba diving, therapeutic horseback riding, basketball, cycling, running and golf, which allow the patients to be challenged and help provide meaning and purpose. Additionally the MATC offers a Service/Therapy Dog program, which is coordinated for the facility to make referrals for patients who request a service animal.

### **Computer Assisted Rehab Environment (CAREN)**

One of ten of its kind in the world, the CAREN provides a safe, controlled setting where patients can work on balance, coping with stress, using new prosthetics and other skills necessary to achieve functional real-life goals. Using specialized cameras and computers linked to sensors on their bodies, recovering Service Members interact with a virtual world projected onto a life-sized curved screen by shifting their weight on a motion platform with an embedded treadmill. More than 70 scenarios enable recovering Service Members to perform virtual activities such as steering a boat through buoys in a lake or replicate running up and down trails in woods, or walking through city streets without fear of falling.

### **Center for Performance and Clinical Research (CPCR)**

The Gait Lab of the Center for Performance and Clinical Research (CPCR) uses sophisticated motion analysis equipment (27 infra-red cameras, reflective markers and six force plates) to quantify the patients' movement. The information gained through motion analysis helps care providers to evaluate or modify physical therapy programs and prosthetic and orthotic components. The ultimate goal is to facilitate improvement of functional tasks such as walking, running and jumping.



**Walter Reed  
National Military  
Medical Center**



## Appendix B: Program Development and Implementation Timeline



### LON, NCOPE, and NAPP

LON



NCOPE



NAPP



**Due Date (all components):** May 2020

First Class: Fall 2020 (or Fall 2021, depending on graduate application cycle and building of lab)



Complete by	Task	Each <b>BOLD</b> word represents a page in your Research Report and Board.
Mar 1, 2019	LON	Finalize Budget Access Burning Glass data Get Letters of Support Finalize LON
Feb 2019	Consultant	Hire external consultant
	Space	Meet with Dean Block, Jeremy Ross, Colleen Noe
	VA affiliation	Talk with Colleen Noe, John Brothers (MHVAMC); Jason Highsmith (VA)
Apr 18, 2019	Academic Council	Submit LON to ETSU Academic Council: <b>present on Apr 25</b>
Spring – Sum 2019	NAPP	Develop syllabi
Fall 2019	NAPP	Learning Outcomes Program Requirements Academic Standards Curriculum Map Assessment and Evaluation Library Source Review Communication Plan Program of Study Recruitment Plan: Diversity Budget (Faculty Resources, Facilities and Equipment Accreditation Faculty Vitae
Sept 2019	Board of Trustees	Submit LON
Nov 2019	THEC	Reviews LON: approval is good for 2 years
TBD	NCOPE	Work on Candidacy Application
TBD	NCOPE	Submit Candidacy Application
Dec 2019	NAPP	Enter into Curriculog

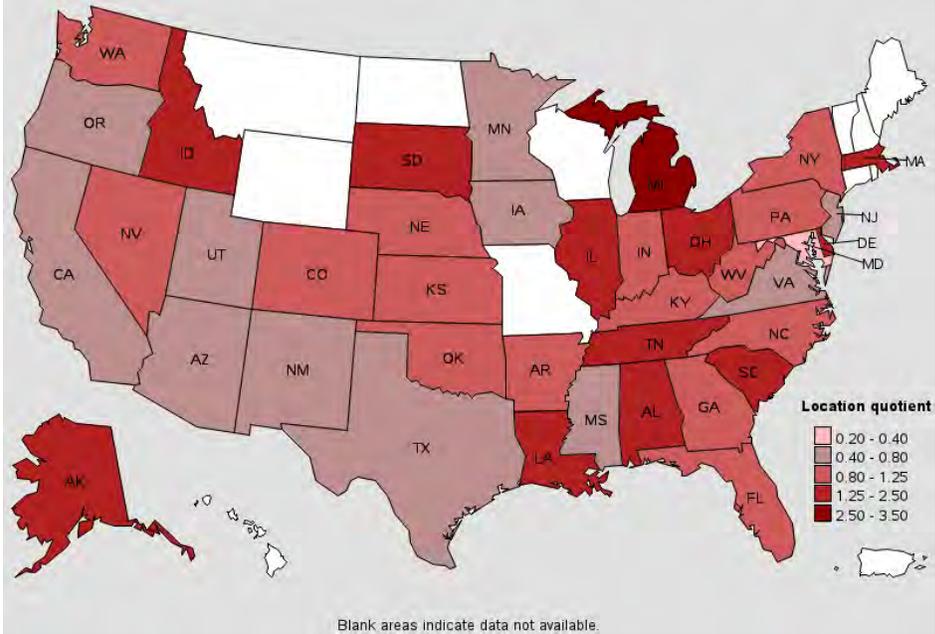
Jan 2020	College Curriculum Committee	Submit NAPP Attend curriculum meetings
Feb 2020	Graduate Curriculum Council	Submit NAPP Attend curriculum meetings
Apr 2020	THEC	Site Visit
July 2020	Academic Council	Approve NAPP
July 2020	ETSU President	Approve NAPP
Sept 2020	Board of Trustees	Approve NAPP
Nov 2020	THEC	Submit NAPP Present to Commissioners
TBD	SACS	Substantive Change Prospectus Site Visit
TBD	NCOPE	Site Visit
Summer 2021	State Building Commission	Approval to build P&O Lab
Summer 2022	Program Implemented	First Class Admitted

## Appendix C: Burning Glass Report

Data from Burning Glass Technologies (an analytics software company that provides real-time data on labor market trends), was obtained for Prosthetics and Orthotics. The following is a summary of the employment potential, competitive landscape, and market alignment.

<p><b>Employment Potential</b></p>	<p>Data from Burning Glass and the Bureau of Labor Statistics indicate that the number of prosthetics and orthotics jobs is expected to grow over the next 7 years. A 22% projected employment growth increase is expected between 2016 and 2026. This is well above the 7% job growth for all occupations.</p> <div style="text-align: center; border: 1px solid black; padding: 10px; margin: 10px auto; width: fit-content;"> <p><b>United States</b>  <b>7,800</b>                  2016 Employment</p> <hr/> <p><b>9,500</b>                  2026 Employment  <b>22%</b> Percent change</p> <hr/> <p><b>700</b>                  Annual projected job openings</p> </div> <p>Additionally, location quotients provide relevant employment information. The location quotient is the ratio of the area concentration of occupational employment to the national average concentration. According to the BLS, the location quotient for states bordering Tennessee are less than one, indicating the occupation is less prevalent in the area than the national average. A total of seven bordering states, including VA, NC, KY, GA, MS, AR, and MO, have a location quotient below 1, which is well below the national average (<a href="https://www.bls.gov/oes/current/oes291122.htm#(9)">https://www.bls.gov/oes/current/oes291122.htm#(9)</a>).</p> <p>These projections clearly indicate that this is the time for ETSU to enter the market. Analysis shows that the southeast is a top location for demand for P&amp;O services, as shown in the mauve and pink states on the map below. These data indicate there is an increased demand in the region and southeastern U.S. market that ETSU can supply.</p>
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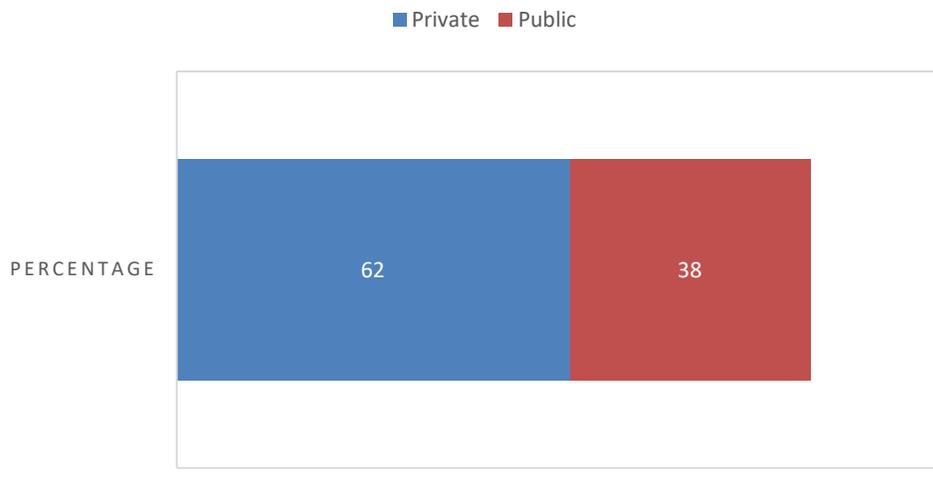
Location quotient of orthotists and prosthetists, by state, May 2017



Competitive Landscape

Student interest and demand are growing with national conferral volumes increasing 151% between 2013 and 2017. According to Burning Glass, 216 P&O degree conferrals were made in 2017 in the nation, of which only 82 were from public institutions.

MARKET SHARE BY INSTITUTION TYPE



Institution Type	Conferrals (2017)	Market Share (%)
Private	134	62.04%
Public	82	37.96%
Total	216	100%

These data indicate there is not enough public institution participation to meet the market demand. Based on labor market needs, a public option is greatly needed to accommodate the increased demand for P&O graduates. Public offerings should be at least 50% in order to meet the projected 22% projected employment growth. This translates to about 54 additional graduates needed each year from public institutions to supply the demand for P&O services.

ETSU would be the first university in Tennessee and the 13<sup>th</sup> university in the U.S. to offer a P&O degree. It would be the only university in over 400 miles to offer the degree.

Market Alignment	As a Local Governing Institution, ETSU is in the best position to impact the regional market. Of the top 10 national P&O programs identified by Burning Glass, the University of Pittsburgh is the closest to ETSU and is over 400 miles away. ETSU would be a top competitor given our lower tuition and focus on interprofessional education and collaborative practice.
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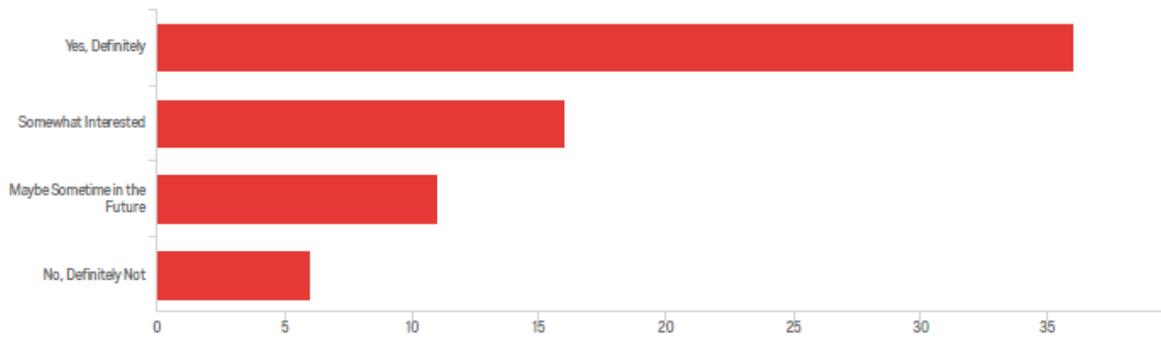
In summary, the key findings and program demand forecast for the P&O program in the southeast and nationally provide substantial support for the future sustainable need and demand for the proposed P&O program.

- **Student interest and demand are growing with national conferral volumes increasing 151% between 2013 and 2017.** In order to meet the state’s projected employment growth between over the next 10 years, additional graduates are needed each year. P&O graduates will meet a positive labor market outlook over the next 10 years.
- **Competitive saturation is low for the P&O degree.** ETSU would be the first institution in Tennessee to have a P&O program. With only 12 P&O programs in the country, there would not be another program within 400 miles. Trends in the current competitor market indicate a need for a public and more affordable option for students.

## Appendix D: Feasibility Studies: Student and Employer Surveys

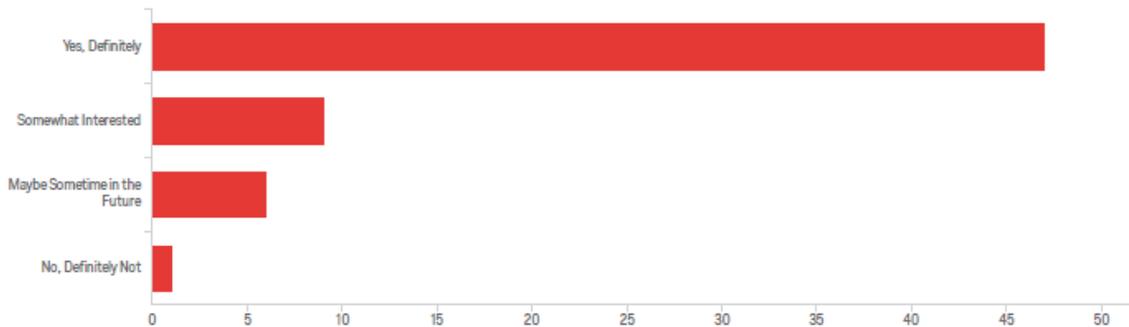
### Students

Q3 - I am interested in pursuing a graduate degree.



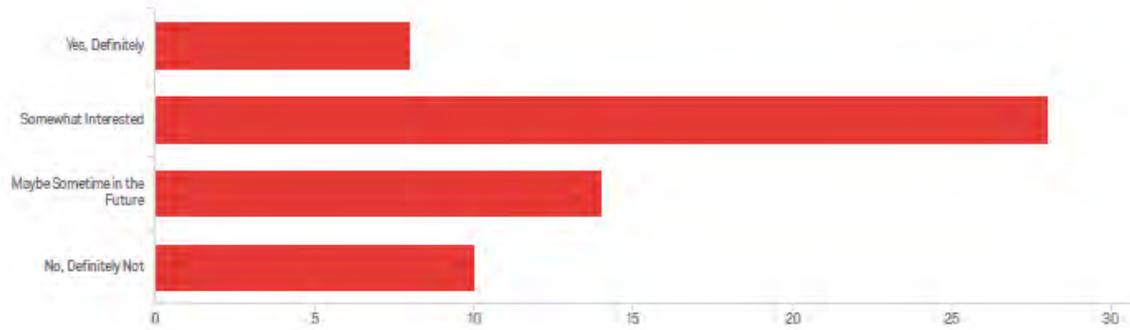
#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	I am interested in pursuing a graduate degree.	1.00	4.00	1.81	1.00	0.99	69

Q4 - I am interested in pursuing a graduate degree in a health care related field.



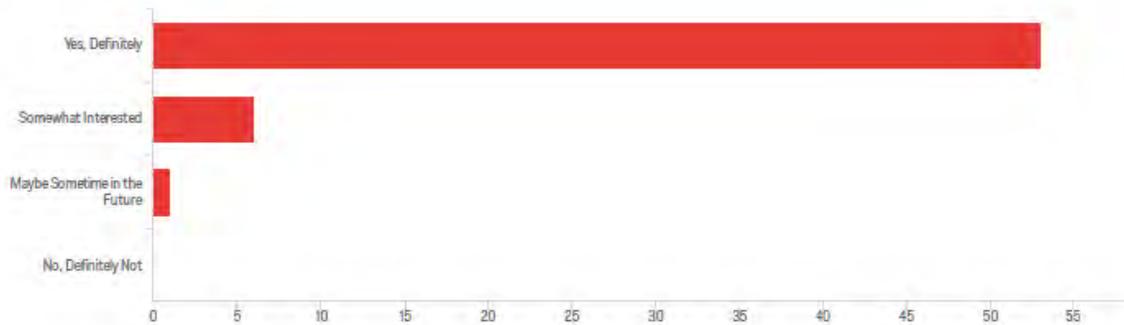
#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	I am interested in pursuing a graduate degree in a health care related field.	1.00	4.00	1.38	0.72	0.52	63

Q5 - I would be interested in a P&O master's degree program if offered at ETSU.



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	I would be interested in a P&O master's degree program if offered at ETSU.	1.00	4.00	2.43	0.92	0.85	60

Q6 - I would prefer to attend a public university rather than a private university because of lower tuition.

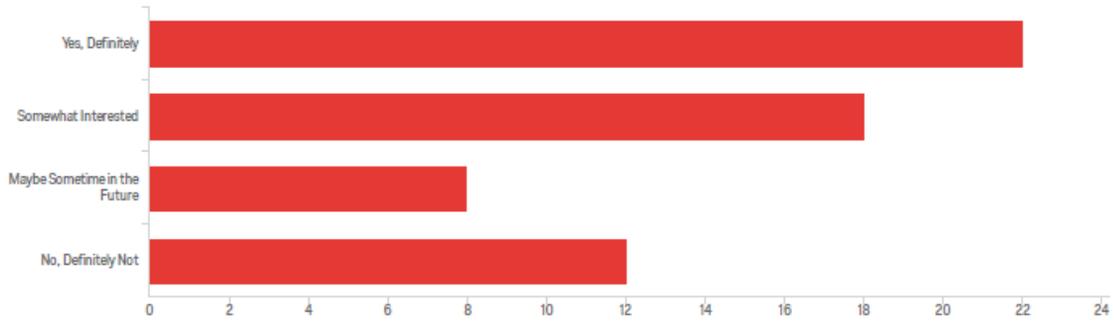


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	I would prefer to attend a public university rather than a private university because of lower tuition.	1.00	3.00	1.13	0.39	0.15	60

Q7 - I am interested in applying to a P&O program at a university that has an IPE

program with opportunities to learn with students enrolled in other health care programs

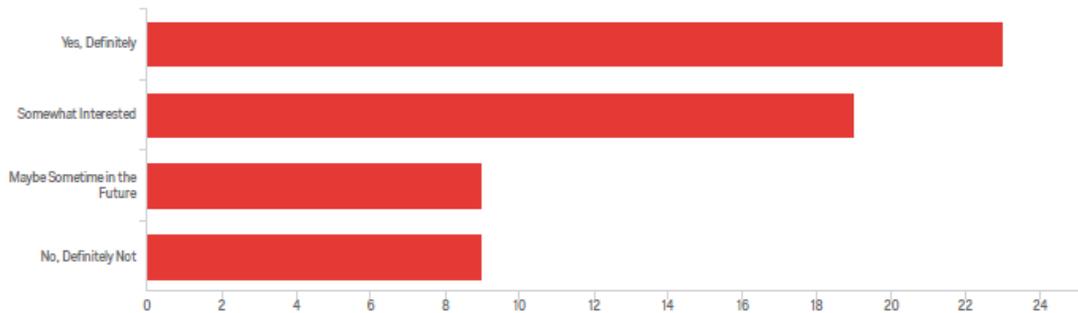
(i.e. medicine, nursing, pharmacy, PT, OT, etc.).



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	I am interested in applying to a P&O program at a university that has an IPE program with opportunities to learn with students enrolled in other health care programs (i.e. medicine, nursing, pharmacy, PT, OT, etc.).	1.00	4.00	2.17	1.13	1.27	60

Q8 - I would be interested in a P&O master's program if I didn't get accepted into my first

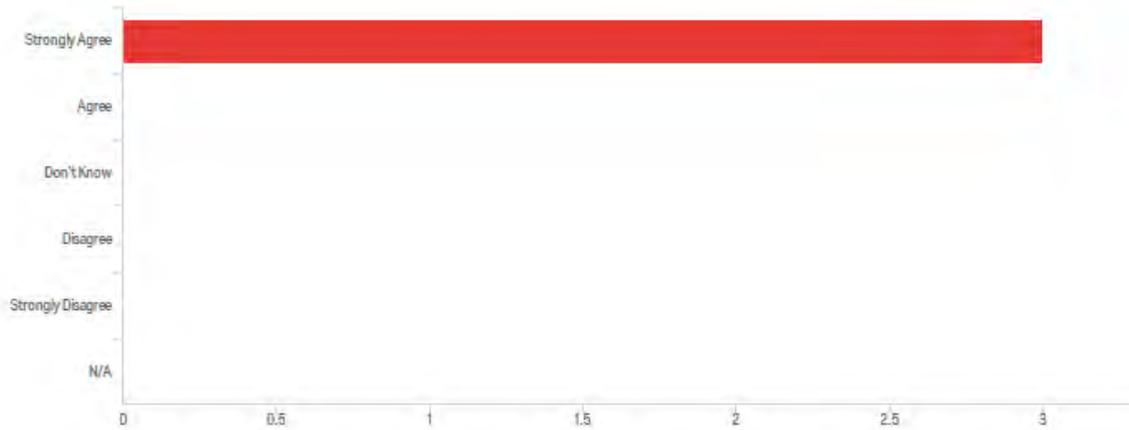
choice degree program (e.g. DPT, SLP, AuD, etc.).



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	I would be interested in a P&O master's program if I didn't get accepted into my first choice degree program (e.g. DPT, SLP, AuD, etc.).	1.00	4.00	2.07	1.06	1.13	60

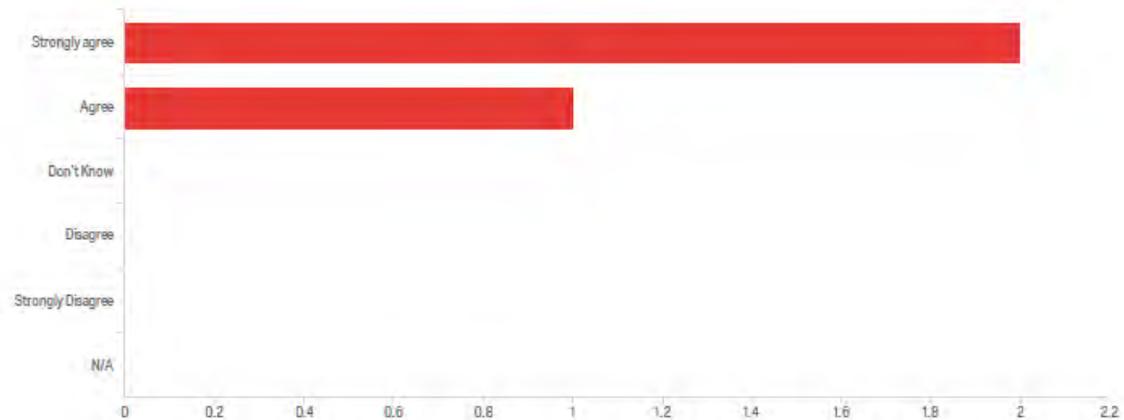
## Employer Survey

Q2 - There is a need for certified Prosthetists and Orthotists (CPO).



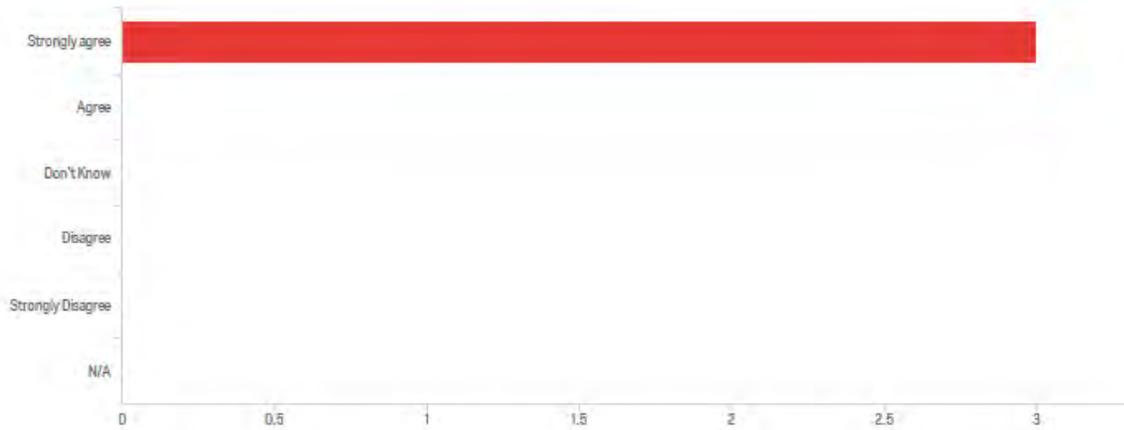
#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	There is a need for certified Prosthetists and Orthotists (CPO).	1.00	1.00	1.00	0.00	0.00	3

Q3 - There is a need for certified Prosthetists (CP).



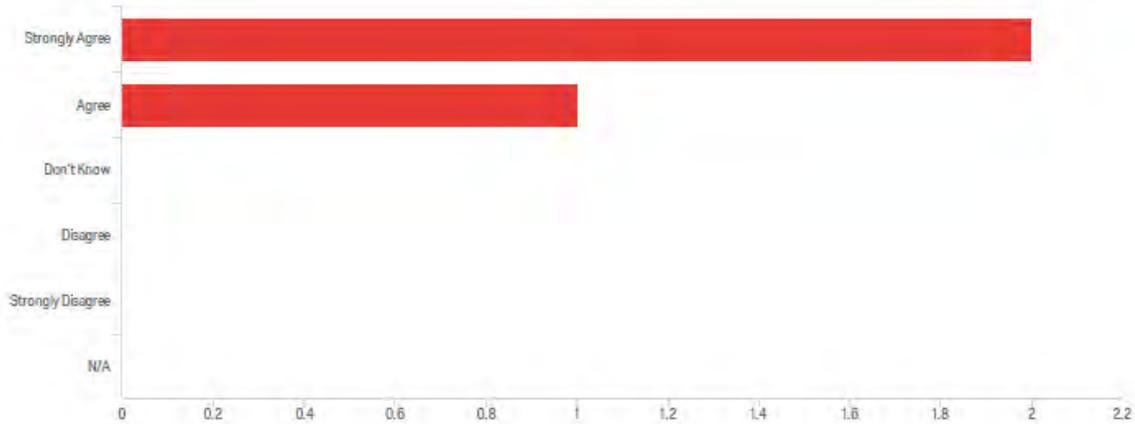
#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	There is a need for certified Prosthetists (CP).	1.00	2.00	1.33	0.47	0.22	3

Q4 - There is a need for certified Orthotists (CO).



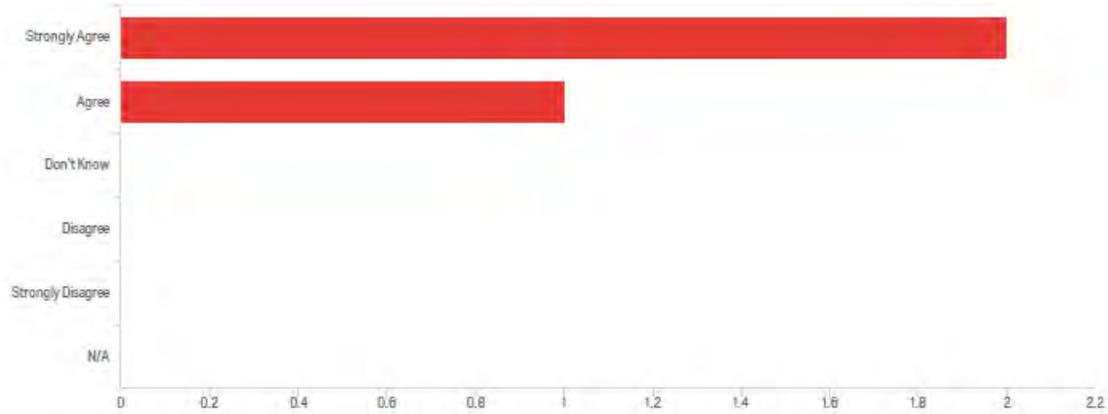
#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	There is a need for certified Orthotists (CO).	1.00	1.00	1.00	0.00	0.00	3

Q5 - It is difficult to hire CPOs who have a background in interprofessional and team-based care.



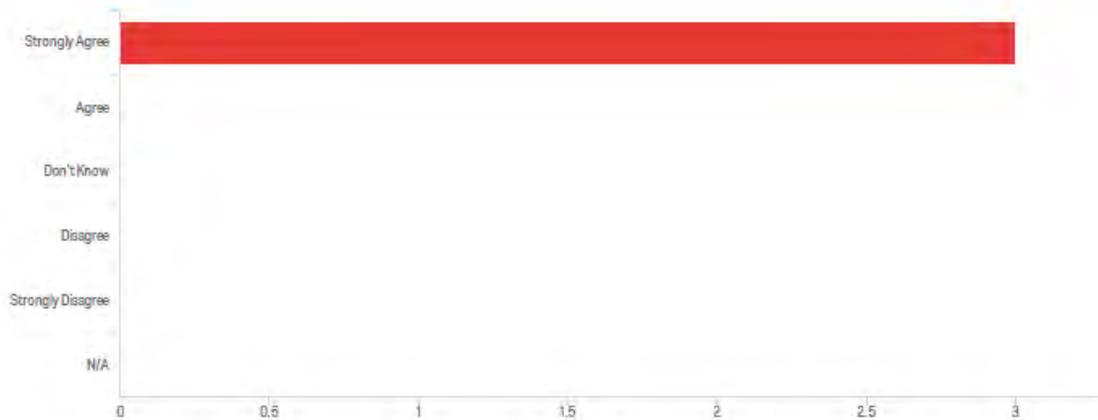
#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	It is difficult to hire CPOs who have a background in interprofessional and team-based care.	1.00	2.00	1.33	0.47	0.22	3

Q6 - It is difficult to hire CPs who have a background in interprofessional and team-based care.



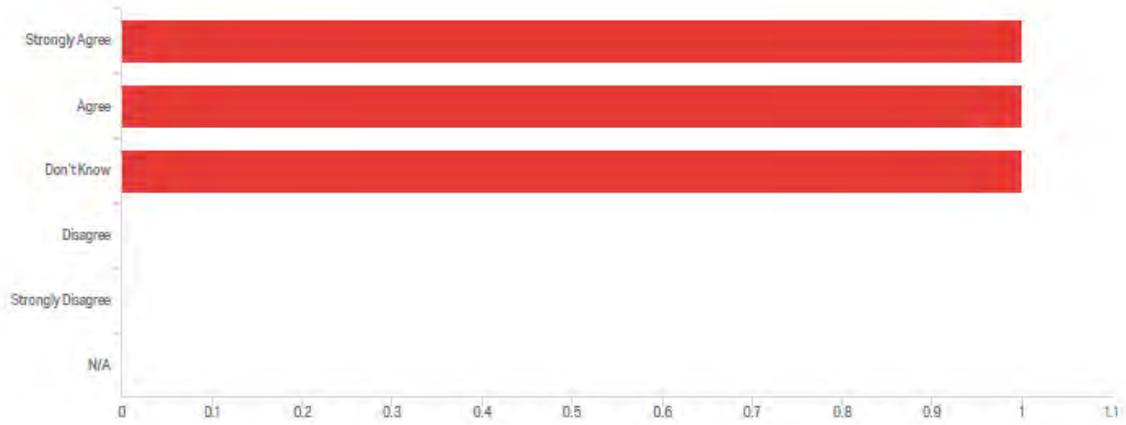
#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	It is difficult to hire CPs who have a background in interprofessional and team-based care.	1.00	2.00	1.33	0.47	0.22	3

Q7 - It is difficult to hire COs who have a background in interprofessional and team-based care.



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	It is difficult to hire COs who have a background in interprofessional and team-based care.	1.00	1.00	1.00	0.00	0.00	3

Q10 - I would be interested in offering small clinical internships if ETSU developed the P&O master's degree.



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	I would be interested in offering small clinical internships if ETSU developed the P&O master's degree.	1.00	3.00	2.00	0.82	0.67	3

## Appendix E: Letters of Support

Dr. Phil Roe, U.S. Congress, 1<sup>st</sup> District, Chairman of Veteran's Affairs

Dr. Colleen Noe, Associate Director, Mountain Home Veterans Administration Medical Center

Mr. John Brothers, Certified Prosthetist and Orthotist, Mountain Home Veterans Administration  
Medical Center

Dr. Alan Meade, Director of Rehabilitation Services, Holston Medical Group

Mr. Jon Morris, Vice President, TalkBack Pediatric Therapy

Zac Smith, Certified Prosthetist and Orthotist, Victory Orthotics & Prosthetics

Chad McCracken, Certified Prosthetist and Orthotist, Excel Prosthetics & Orthotics

Dr. Dennis Depew, Dean of the College of Business and Technology, ETSU

DAVID P. ROE  
1ST DISTRICT, TENNESSEE

VETERANS' AFFAIRS  
CHAIRMAN

EDUCATION AND THE WORKFORCE

Congress of the United States  
House of Representatives  
Washington, DC 20515-4201

COUNTIES:  
CARTER  
COCKE  
GREENE  
HAMILLEN  
HANDCOCK  
HAWKINS  
JEFFERSON  
JOHNSON  
SEVIER  
SULLIVAN  
UNICOI  
WASHINGTON

December 14, 2018

Dr. Don Samples  
Dean and Professor  
College of Clinical and Rehabilitative Health Science  
East Tennessee State University  
Lamb Hall  
Box 70643  
Johnson City, TN 37614

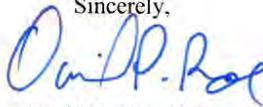
Dear Dean Samples:

I am writing this letter in support of a Master of Science degree in Prosthetics and Orthotics (P&O) you are proposing in your College of Clinical and Rehabilitative Health Sciences at East Tennessee State University (ETSU). There is a national shortage of prosthetic and orthotic practitioners, and with the two leading causes of limb loss, diabetes and cardiovascular disease so common in our aging population, their services are needed now more than ever as Americans continue living longer. The Bureau of Labor Statistics projects the need to employ orthotists and prosthetists will grow 22 percent from 2016 to 2026. Currently there are only 13 accredited P&O programs in the country.

East Tennessee boasts a variety of healthcare providers for both civilian and veteran populations. Knowing the future healthcare needs of the veteran population and the wonderful care Mountain Home VA Medical Center provides, it seems to me that a P&O program at ETSU could offer some mutually beneficial opportunities in future partnerships. This is just one of the many potential benefits I could see to having a program such as this, which would fit the mission of ETSU to train health care providers to serve the citizens of Northeast TN while helping to ensure high quality providers are available in our area.

I am hopeful that the P&O program at the College of Clinical and Rehabilitative Health Sciences will receive approval. I look forward to this program's implementation so that East Tennesseans continue to receive the best possible healthcare.

Sincerely,



David P. Roe, M.D.  
Member of Congress

KINGSFORD HIGHER EDUCATION CENTER  
205 REVERE STREET  
KINGSFORD, TN 37660  
PHONE: 423-247-8161  
FAX: 423-247-0119

WASHINGTON  
336 CANNON HOUSE OFFICE BUILDING  
WASHINGTON, DC 20515  
PHONE: 202-225-6356  
FAX: 202-225-5714

PRINTED ON RECYCLED PAPER  
[www.roe.house.gov](http://www.roe.house.gov)

ON THE CAMPUS OF WALTERS STATE  
1609 WALTERS STATE CC DRIVE, SUITE 4  
MORRISTOWN, TN 37813  
PHONE: 423-254-1400  
FAX: 423-254-1403



DEPARTMENT OF VETERANS AFFAIRS  
James H. Quillen VA Medical Center  
PO Box 4000  
Mountain Home, Tennessee 37684

TENNESSEE Outpatient Clinics: Knoxville, Lafayette, Morristown, Rogersville, Sevierville  
VIRGINIA Outpatient Clinics: Bristol, Jonesville, Martinsburg, Norton, Vansant

October 18, 2018

In Reply Refer To: 621/001

Dr. Donald Samples, EdD, RRT, RPSGT  
Dean and Professor  
College of Clinical and Rehabilitative Health Sciences  
East Tennessee State University  
Johnson City, TN 37614

Dear Dr. Samples:

This letter is provided in support of a Master of Science in Prosthetics and Orthotics in the College of Clinical and Rehabilitative Health Sciences at East Tennessee State University (ETSU). The James H. Quillen VA Medical Center has a long history of partnership with many different Departments at ETSU. This collaboration will provide enhanced prosthetic and orthotic services to our Nations Veterans as well as provide quality education in a growing field with limited academic programs. Additionally, this program will fill a gap in healthcare services in East Tennessee.

The VA and the College of Clinical and Rehabilitative Health Sciences have a long and successful partnership through Audiology, Speech-Language Pathology, Physical Therapy, Clinical Nutrition and Social Work. This partnership would be a welcome addition to the ETSU – VA partnership.

For an additional information or questions, please contact me at (423) 926-1171, extension 7557 or at [Colleen.Noel@va.gov](mailto:Colleen.Noel@va.gov).

Sincerely,

  
Colleen M. Noe, Ph.D.  
Associate Director

**Department of  
Veterans Affairs**

# Memorandum

Date: October 30, 2018  
From: John Brothers  
Subj: Master of Science in Prosthetics and Orthotics  
To: Don Samples  
Thru: College of Clinical and Rehabilitative Health Services

The James H. Quillen VAMC is currently working on a proposal to establish and prosthetic and orthotic lab. One challenge that we anticipate is recruiting well trained and qualified prosthetists and orthotists. With the very limited number of certified education programs around the country for this discipline, recruitment can often be difficult. Establishing an academic program that would provide individuals with the opportunity to receive a Masters of Science in Prosthetics and Orthotics could be very beneficial to the Prosthetic and Orthotic industry.

As a certified Prosthetist/Orthotist, I have experienced the lack of qualified individuals in the industry. I have also experienced the lack of programs available to provide the educational opportunities needed.

The James H. Quillen VAMC would welcome the opportunity to work in conjunction with the East Tennessee State University on the possibility of establishing a joint prosthetic/orthotic lab and assisting in clinical educational opportunities. The VAMC proposed lab would be fully accredited by the American Board of Certification for Prosthetics and Orthotics and plans on offering residency positions.

We look forward to the opportunity for collaboration of this program and making an impact on the Prosthetic/Orthotic community.

John P. Brothers, CPO



4205 Hillsboro Road, Suite 317  
Nashville, Tennessee 37215  
615/269-5312  
FAX: 615/297-5852  
Email: [tpta@tptatn.com](mailto:tpta@tptatn.com)

**Dr. Don Samples, EdD, RRT, RPSGT**  
**Dean and Professor**  
**College of Clinical and Rehabilitative Health Sciences**  
**East Tennessee State University**  
**P. O. Box 70282**  
**Johnson City, TN. 37614**

**Dear Dr. Samples:**

On behalf of Holston Medical Group of the Tri-Cities, TN region as well as the Tennessee Physical Therapy Association, I would like to take this opportunity to lend my complete support for the potential new program of the Occupational Therapy Doctorate (OTD) and the Prosthetics & Orthotics program at East Tennessee State University. Wow, what a tremendous compliment to add to the College of Clinical and Rehabilitative Health Sciences that essentially completes the overall picture of all rehabilitative health science disciplines being represented in this entire community.

In my opinion, the two programs would certainly prepare students for entrance into two distinct, needed professional health care degrees in clinical areas such as Occupational Therapy and in Prosthetics/Orthotics for our community. The degrees for both would be labeled at the highest level of each of those disciplines. I am aware that Milligan College has the Master's Degree in Occupational Therapy (MSOT), but this is a private college. For ETSU to offer a Doctoral Degree in Occupational therapy, I believe it would be more cost effective and affordable for students to pursue this profession at a State College. It behooves ETSU to bring these programs on board that would certainly complement what is currently being provided at CCRHS in physical therapy, speech-language pathology, audiology, social work, and many others. I believe it would also provide students an opportunity to make decisions as to whether they would like to work in the different aspects of Occupational Therapy, whether that would be in the area of Hands/Upper Extremity/Orthopedics, or in Neurological Adults/Pediatrics, or in Geriatrics, or in the Psychology realm. The need is certainly there. As a Director of Rehab Services for a Multidisciplinary Physician Group, we are in need of OTs in our Rehab Clinics as we find them extremely valuable to the Rehab Team. The programs would provide students an opportunity to choose from two of the most interesting health care fields of choice.

I am also very much in favor of supporting a Prosthetics/Orthotics Program to this community as we do not have one close to the area. This would be a first for our area and that's exciting. I could certainly imagine the current clinics in our community working ever so closely and collaboratively with Prosthetist and Orthotist clinicians to enhance the care of patients in need of these services. Employment of orthotists and prosthetists is projected to grow 22% from 2016 to 2026, much faster than the average for all occupations. However, because it is a small occupation, the fast growth will result in only about 1,700 new jobs over the 10-year period. It is interesting to find that there are few states that have the Practitioner Programs. They have one

school in their states, except in Texas and California who has two programs. Tennessee does not have a program currently at all and this would be a first for our State. The large baby boom population is aging, and O & Ps will be needed because both diabetes and cardiovascular disease, two leading causes of limb loss, are more common among older people.

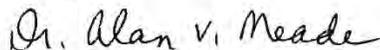
The OTD and P & O Programs would prepare students entering a specific field that is currently in need not only in the U.S., but definitely in our community. These particular two areas are a “must,” because they belong in the traditional Medical Model and complete the Rehabilitation Team.

The programs would prepare potential healthcare professionals for patient interviews, a significant variety of treatment procedures and protocols in each discipline; provide the clinician with the foundation of technology and science behind each discipline. It will provide each person the knowledge of specific clinical work and also the quality and productivity standards behind each health care discipline.

The programs will provide a valuable addition and will complete the Rehabilitative Team of Providers in the College of Clinical Rehabilitative Health Sciences. As part of the Adjunct Faculty at ETSU in the Doctor of Physical Therapy Program, as well as the Chapter President of the Tennessee Physical Therapy Association, I am extremely excited about this opportunity as I believe it will serve to provide the education and preparation for those who are choosing clinical and rehabilitative positions and careers in Occupational Therapy and in Prosthetics/Orthotics for not only in our area, but also across the U.S.

If I can be of further assistance in this matter, please do not hesitate to contact me. Thank you for allowing me to comment on this great opportunity for ETSU.

Sincerely,



Dr. Alan V. Meade, PT, DScPT, MPH  
Director of Rehabilitation Services at HMG  
Chapter President—Tennessee Physical Therapy Association  
Adjunct Faculty in the ETSU DPT Program  
Work Phone: 423-578-1562  
[alan.meade@myhmg.com](mailto:alan.meade@myhmg.com)  
[almeadep@charter.net](mailto:almeadep@charter.net)



October 31st, 2018

Dr. Don Samples  
Dean and Professor  
College of Clinical & Rehabilitative Health Sciences  
East Tennessee State University  
Johnson City, TN 37614

Dear Dr. Don Samples,

I am writing to express my support for the new proposed Master's in Prosthetics and Orthotics degree through ETSU College of Clinical and Rehabilitative Health Sciences. As a member of the community and a business owner who services patients in need of Prosthetics and Orthotics, I can say that the ongoing need to recruit qualified candidates into the profession of Prosthetics is crucial to maintain a qualified workforce in our region. This would be a great partnership going forwards. I wish you the best of luck in moving forward with the program and if I can be of any assistance, please don't hesitate to ask.

Sincerely,

A handwritten signature in black ink, appearing to read "J. Morris", is written over a light blue horizontal line.

Jon L. Morris  
Vice President/Business Manager  
TalkBack Pediatric Therapy



December 15, 2018

Dr. Don Samples  
ETSU College of Clinical & Rehabilitative Health Sciences  
P.O. Box 70282

Dear Dr. Don Samples,

I am writing to express my support for the new proposed Master's in Prosthetics and Orthotics degree through ETSU College of Clinical and Rehabilitative Health Sciences. I feel that this degree will help identify and train candidates for the profession. As a member of the community and a business owner of a Prosthetics and Orthotics, I can say that the ongoing need to recruit qualified candidates into the profession of Prosthetics is crucial to maintain a qualified workforce in our region. I wish you the best of luck in moving forward with the program and if I can be of any assistance, please don't hesitate to ask.

Sincerely,

A handwritten signature in blue ink that reads "Zach Smith". The signature is fluid and cursive, with the first name "Zach" being more prominent.

Zach Smith  
2333 Knob Creek Road, #14  
Johnson City, TN  
(423) 461-3320



November 11 , 2018

Dr. Don Samples  
Dean and Professor  
East Tennessee State University  
Johnson City, TN 37614

Office of Chad McCracken, MS, CPO  
121 E. Ravine Rd, Suite 400  
Kingsport, Tennessee 37660  
423-732-7071  
cmccracken@excel-prosthetics.com

Dear Dr. Don Samples,

I am writing to express my support for a Master's in Prosthetics and Orthotics degree through ETSU College of Clinical and Rehabilitative Health Sciences. As a Certified Prosthetist-Orthotist and office manager for a local provider, I can attest to the growing need for qualified practitioners in the region and within the profession.

As a student, I was required to leave the region to obtain education in this wonderful profession. The number of accredited O&P education programs in the nation is very limited, however O&P education is completely absent in the region which has one of the highest health care needs in the nation. Tennessee schools offer accredited professional education programs in all areas of health care including physician, nursing, pharmacy, and physical and occupational therapy; however, Orthotist/Prosthetist education is not offered within the State of Tennessee. The closest O&P education program is over 400 miles away. This creates a barrier to obtaining education to serve in this profession.

As operational manager for our local clinics, I have difficulty recruiting practitioners simply due to the lack of certified professionals. The number of people living with amputation is predicted to double in the next 30 years. The Bureau of Labor Statics estimates the need for O&P practitioners to increase 22% in the next decade (much higher than average), which will create a lack of qualified providers if our education programs fail to respond to the increasing demand for professionals.

Please consider adding this needed educational offering to your College. This is an opportunity consistent with your program's stated Mission, Vision and Goals to meet the needs of the community as well as the professionals that serve those needs. Thank you for taking the time to consider this request. Please contact me as desired to have a more personal conversation concerning this topic.

Kindest regards,

A handwritten signature in black ink that reads "Chad McCracken". The signature is written in a cursive, flowing style.

Chad McCracken, MS, CPO



EAST TENNESSEE STATE  
UNIVERSITY

PO Box 70699  
Johnson City, TN 37614  
P 423-439-5489  
F 423-439-5274

College of Business and Technology  
Office of the Dean

March 27, 2019

Dean Samples,

I am writing this letter in support of the development of a Master's degree in Prosthetics & Orthotics in the College of Clinical and Rehabilitative Health Sciences. As we discussed in our previous meeting, the faculty in the Biomedical Engineering Technology program in the College of Business and Technology is interested in teaching (or including your students) in a/the Computer Assisted Design and 3D Printing course as part of the proposed P&O curriculum. This is an exciting opportunity for our faculty to engage in interprofessional education within an applied field in the health sciences. I look forward to working with you and your faculty as your curriculum development progresses.

Regards,

A handwritten signature in black ink, appearing to read 'Dennis Depew'.

Dennis Depew, Dean  
East Tennessee State University  
College of Business and Technology

ETSU.EDU

**Tennessee Higher Education Commission  
Attachment A: THEC Financial Projections  
CCRHS ETSU  
Orthotics & Prosthetics**

Seven-year projections are required for doctoral programs.  
Five-year projections are required for baccalaureate and Master's degree programs  
Three-year projections are required for associate degrees and undergraduate certificates.  
Projections should include cost of living increases per year.

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7
<b>I. Expenditures</b>							
<b>A. One-time Expenditures</b>							
New/Renovated Space	\$ 250,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Equipment	500,000	-	-	-	-	-	-
Library	-	-	-	-	-	-	-
Consultants	10,000	-	-	-	-	-	-
Travel	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-
<b>Sub-Total One-time</b>	<b>\$ 760,000</b>	<b>\$ -</b>					
<b>B. Recurring Expenditures</b>							
<b>Personnel</b>							
<b>Administration</b>							
Salary						\$ -	\$ -
Benefits						-	-
<b>Sub-Total Administration</b>	<b>\$ -</b>						
<b>Faculty</b>							
Salary	\$ 90,000	\$ 227,700	\$ 234,531	\$ 241,567	\$ 248,814	\$ 256,278	\$ 263,967
Benefits	30,350	76,786	79,089	81,462	83,906	86,423	89,015
<b>Sub-Total Faculty</b>	<b>\$ 120,350</b>	<b>\$ 304,486</b>	<b>\$ 313,620</b>	<b>\$ 323,029</b>	<b>\$ 332,720</b>	<b>\$ 342,701</b>	<b>\$ 352,982</b>
<b>Support Staff</b>							
Salary		\$ 40,000	\$ 41,200	\$ 42,436	\$ 43,709	\$ 45,020	\$ 46,371
Benefits		20,350	20,961	21,589	22,237	22,904	23,591
<b>Sub-Total Support Staff</b>	<b>\$ -</b>	<b>\$ 60,350</b>	<b>\$ 62,161</b>	<b>\$ 64,025</b>	<b>\$ 65,946</b>	<b>\$ 67,924</b>	<b>\$ 69,962</b>
<b>Graduate Assistants</b>							
Salary	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Benefits	-	-	-	-	-	-	-
Tuition and Fees* (See Below)	-	-	-	-	-	-	-
<b>Sub-Total Graduate Assistants</b>	<b>\$ -</b>						
<b>Operating</b>							
Travel	\$ 4,000	\$ 7,000	\$ 8,000	\$ 8,000	\$ 8,000	\$ 8,000	\$ 8,000
Dues	5,000	2,000	2,000	2,000	2,000	2,000	2,000
Utilities	-	20,000	20,000	20,000	20,000	20,000	20,000
University Administration	-	77,486	161,347	166,187	171,173	176,308	181,597
Adjuncts		10,000	10,000	10,000	10,000	10,000	10,000
Other_Lab Supplies	-	35,000	35,000	35,000	35,000	35,000	35,000
<b>Sub-Total Operating</b>	<b>\$ 9,000</b>	<b>\$ 151,486</b>	<b>\$ 236,347</b>	<b>\$ 241,187</b>	<b>\$ 246,173</b>	<b>\$ 251,308</b>	<b>\$ 256,597</b>
<b>Total Recurring</b>	<b>\$ 129,350</b>	<b>\$ 516,322</b>	<b>\$ 612,127</b>	<b>\$ 628,241</b>	<b>\$ 644,838</b>	<b>\$ 661,934</b>	<b>\$ 679,542</b>
<b>TOTAL EXPENDITURES (A + B)</b>	<b>\$ 889,350</b>	<b>\$ 516,322</b>	<b>\$ 612,127</b>	<b>\$ 628,241</b>	<b>\$ 644,838</b>	<b>\$ 661,934</b>	<b>\$ 679,542</b>

**\*If tuition and fees for Graduate Assistants are included, please provide the following information.**

Base Tuition and Fees Rate	\$	-	\$	-	\$	-	\$	-	\$	-
Number of Graduate Assistants										

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7
<b>II. Revenue</b>							
Tuition and Fees <sup>1</sup>	-	315,267	653,015	669,149	685,768	702,885	720,516
Institutional Reallocations <sup>2</sup>	889,350	201,055	(40,887)	(40,908)	(40,930)	(40,952)	(40,975)
Federal Grants <sup>3</sup>	-	-	-	-	-	-	-
Private Grants or Gifts <sup>4</sup>	-	-	-	-	-	-	-
Other <sup>5</sup>	-	-	-	-	-	-	-
<b>BALANCED BUDGET LINE</b>	<b>\$ 889,350</b>	<b>\$ 516,322</b>	<b>\$ 612,127</b>	<b>\$ 628,241</b>	<b>\$ 644,838</b>	<b>\$ 661,934</b>	<b>\$ 679,542</b>

**Notes:**

7 year total revenue/(loss)

(885,753.06)

**(1) Provide the funding source(s) for the new or renovated space**

Tuition and fee revenue will be generated in year two of the program. The Academic Health Science Center (AHSC) at ETSU has a \$50.00 per credit hour course fee for courses taught within the AHSC. An additional \$60 per credit hour for the P & O program will be added to cover lab supplies and expenses bringing to the AHSC Fee for P & O students to \$110 per credit hour. This course fee is earmarked for the college that generates the credit hours.

**(2) In what year is tuition and fee revenue expected to be generated and explain any differential fees. Tuition and fees include maintenance fees, out-of-state tuition, and any applicable earmarked fees for the program.**

Tuition and fee revenue will be generated in year two of the program. The Academic Health Science Center (AHSC) at ETSU has a \$50.00 per credit hour course fee for courses taught within the AHSC. An additional \$60 per credit hour for the P & O program will be added to cover lab supplies and expenses bringing to the AHSC Fee for P & O students to \$110 per credit hour. This course fee is earmarked for the college that generates the credit hours.

**(3) Please identify the source(s) of the institutional reallocations, and grant matching requirements if applicable.**

Institutional reallocations will be funded from the College of Clinical and Rehabilitative Health Sciences carryover and contingency funding.

**(4) Please provide the source(s) of the Federal Grant including the granting department and CFDA(Catalog of Federal Domestic Assistance) number.**

N/A

**(5) Please provide the name of the organization(s) or individual(s) providing grant(s) or gift(s).**

N/A

**(6) Please provide information regarding other sources of the funding.**

N/A

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 20, 2019

ITEM: Recommendations for Tenure upon Appointment

RECOMMENDED ACTION: Approve

COMMITTEE: Academic, Research, and Student Success

PRESENTED BY: Dr. Wilsie S. Bishop  
Senior Vice President for Academics and Interim Provost

Recommendation for tenure upon appointment for the following faculty and/or administrative employees:

**Dr. Frederick Gordon**

Dr. Frederick Gordon was appointed to serve as Director of the Master of Public Administration Program effective August 15, 2019. This recommendation for Dr. Gordon to be granted tenure in the Department of Political Science, International Affairs & Public Administration at the rank of associate professor is presented with the full support of the department chair, the college dean, and the president.

**Dr. Christopher Keller**

Dr. Christopher Keller was appointed to serve as Dean of the Honors College effective August 15, 2019. This recommendation for Dr. Keller to be granted tenure in the Department of Literature & Language at the rank of professor is presented with the full support of the department chair, the college dean, and the president.

**Dr. Brian Partin**

Dr. Brian Partin was appointed to serve the University School as Director effective September 30, 2019. This recommendation for Dr. Partin to be granted tenure in the University School at the rank of assistant professor is presented with the full support of the college dean and the president.

**MOTION: I move that the Board of Trustees adopt the resolution granting tenure and rank as outlined above.**

**RESOLVED: Upon recommendation of the Academic, Research, and Student Success Committee, the Board of Trustees awards tenure and rank as outlined above effective upon action of the board.**



**East Tennessee State University  
Office of the President**

Box 70734 • Johnson City, Tennessee 37614-1710 • (423) 439-4211 • Fax: (423) 439-4004

Adam Green, Ed.D., Secretary  
ETSU Board of Trustees  
East Tennessee State University

September 3, 2019

Dr. Green,

I recommend the Board of Trustees award tenure upon appointment to the following individuals:

**Dr. Frederick Gordon, Associate Professor in the Department of Political Science, International Affairs, and Public Administration**

Dr. Gordon comes to ETSU from Columbus State University, Columbus, Georgia, where he served as chair of the department of politics, philosophy, and public administration and director of the masters of public administration program. His research has appeared in the *Journal of European Integration and Federalism*, *Critical Issues in Justice and Politics*, and *Public Administration Review*, among others. He has made numerous presentations at professional conferences and while in Georgia was a frequent expert commentator and interviewee for the media.

**Dr. Christopher Keller, Professor in the Department of Literature and Language and Dean of the Honors College**

Dr. Keller comes to ETSU from Western Kentucky University, where he was associate director of Mahurin Honors College. He held several positions in the honors college of the University of Texas Rio Grande Valley before moving to Western Kentucky. His publications include co-authoring *Technical Communication in the 21st Century* and *The Locations of Composition*, and authoring *Technical Communication: An Engaged Student Approach* (forthcoming). He has made numerous professional presentations and is on the editorial board of the *Journal of the National Collegiate Honors Council*.

**Dr. Brian Partin, Assistant Professor in the University School**

Dr. Partin comes to ETSU from Robinson Middle School in Kingsport, Tennessee, where he was principal from 2015 until his move to ETSU. Previously he was principal at elementary schools in Kingsport and Nashville. He also has experience as a classroom teacher and a university admissions counselor. In 2019 he was the recipient of the NAESP TN Middle Level National Distinguished Principal award, and professional organizations including the Tennessee Principals Association have also recognized his contributions as an educational leader.

Sincerely,

Brian Noland  
President

Attachments

Copies: Wilsie Bishop  
Lori Erickson

# Dr. Christopher J. Keller

## EDUCATION

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University of Florida

Degree: Ph.D. in English (2001)

Dissertation: “The Construction of *the* Student Writer: Composition Studies, Anthropology, and Youth Cultures.” Directed by Dr. Sidney I. Dobrin.

Kansas State University

Degree: M.A. in English (1997)

University of Texas at Austin

Degree: B.A. in English (1994)

## ADMINISTRATIVE POSITIONS

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- **Associate Director**, Mahurin Honors College, Western Kentucky University (2016 to Present)
- **Department Head**, Honors Academy, Western Kentucky University (2016 to 2018)
- **Associate Dean**, Honors College, University of Texas Rio Grande Valley (2015 to 2016)
- **Director**, Guerra Honors Program, University of Texas Rio Grande Valley (2012 to 2014)
- **Director**, National Student Exchange Office, University of Texas Rio Grande Valley (2012 to 2016)
- **Director**, Coca-Cola Foundation First-Generation Scholars Program (2014 to 2016)
- **Interim Director**, Office of International Programs, University of Texas Rio Grande Valley (2012)
- **Interim Chair**, Modern Languages Dept., University of Texas Rio Grande Valley (2013 to 2015)
- **Interim Chair**, English Dept., University of Texas Rio Grande Valley (2007 to 2008)
- **Director**, First-Year Writing Program, University of Texas Rio Grande Valley (2005 to 2007)
- **Director**, Writing Across the Curriculum Program, University of Hawaii at Hilo (2002 to 2004)

## FACULTY POSITIONS

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- **Associate Professor**, Mahurin Honors College, Western Kentucky University (2016 to Present)
- **Associate Professor**, English Department, University of Texas Rio Grande Valley (2007 to 2016)
- **Assistant Professor**, English Department, University of Texas Rio Grande Valley (2004 to 2007)
- **Assistant Professor**, English Department, University of Hawaii at Hilo (2002 to 2004)
- **Assistant Professor**, English Department, University of Hartford (2001 to 2002)

## PUBLICATIONS—Book, Book Chapters, and Articles

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“How to Drink from the Pierian Spring: A Liberal Arts and Humanities Question about the Limits of Honors Education.” *Journal of the National Collegiate Honors Council* (JNCH) 19.1 (2018): 155-70.

“I am Not a Generic Brand Honors Student: Using Storytelling, Design Thinking, and Internal Motivation in Honors First-Year Seminars.” Accepted in *Honoring the First-Year Experience: Curricular Foundations in Honors*.

*Technical Communication: An Engaged Student Approach*. First edition. Fountainhead Press. Forthcoming 2020.

“Introduction to Space and Place: Seeking Complexity in Rhetoric and Composition Coursework.” *The Norton Mix*. W.W. Norton, 2014. 1-11.

*Technical Communication in the 21<sup>st</sup> Century*, second edition. Co-authored with Sidney Dobrin and Christian Weisser. Prentice Hall, 2009.

*Technical Communication in the 21<sup>st</sup> Century*, first edition. Co-authored with Sidney Dobrin and Christian Weisser. Prentice Hall, 2006.

*The Locations of Composition*. Co-edited with Christian Weisser. State U of New York P, 2008.

*Writing Environments*. Co-edited with Sidney Dobrin. State U of New York P, 2006.

“Gardens and Classroom, Plants and Discourse: A Closer Look at Hybridity in Composition Studies.” *Writing Environments*. Eds. Sidney Dobrin and Christopher Keller. State U of New York P, 2005. 111-22.

“Un-Situating the Subject: ‘Locating’ Composition and Ethnography in Mobile Worlds.” *Ethnography Unbound: From Theory Shock to Critical Practice*. Ed. Stephen G. Brown. State U of New York P, 2004. 201-18.

“Alternative Discourses Between Home and the Academy: How Composition Studies ‘Mixes’ It Up.” *Composition Forum: A Journal of Pedagogical Theory in Rhetoric and Composition Studies* 13.1 (2003): 39-52.

“The Ecology of Writerly Voice: Authorship, Ethos, Persona.” *Ecocomposition: Theoretical and Pedagogical Approaches*. Eds. Christian Weisser and Sidney Dobrin. State U of New York P, 2001. 193-208.

## PUBLICATIONS—Book Reviews

---

“Review of *Pride of Place: A Contemporary Anthology of Texas Nature Writing*.” Ed. David Taylor. *ISLE: Interdisciplinary Studies of Literature and Environment* 15.1 (2008): 288-89.

“Review of *Talking, Moving, and Sketching: Multiple Literacies in the Teaching of Writing*.” By Patricia Dunn. *Composition Forum: A Journal of Pedagogical Theory in Rhetoric and Composition Studies* 12.2 (2002): 171-73.

“Review of *Discourses of the Environment*.” Ed. Eric Darier. *ISLE: Interdisciplinary Studies of Literature and Environment* 7.2 (2000): 285-86.

“Review of *Theorizing Composition: A Critical Sourcebook of Theory and Scholarship in Contemporary Composition Studies*.” Ed. Mary Lynch Kennedy. *Composition Forum: A Journal of Pedagogical Theory in Rhetoric and Composition Studies* 10.2 (1999): 62-65.

“Review of *Dramas of Solitude: Narratives of Retreat in American Nature Writing*.” By Randall Roorda. *JAC: A Journal of Composition Theory* 19.3 (1999): 511-16.

## **PUBLICATIONS—Under Review and In Progress**

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“Only Connect but Always Reflect: Increasing the Value and Visibility of Liberal Education through ‘Honors by Reflection’ Contracts.” In Progress.

“Clumsy, Complex, Groping, Blind Thing: Gloria Anzaldúa, Edith Ellis, and the Transformative Politics of Reproductive Futurity.” In Progress.

## **CONFERENCE PRESENTATIONS**

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“Beyond the Classroom: The Transgressive Politics of Honors Contracts.” National Collegiate Honors Council Conference. Boston, MA, 2018.

“Rewriting Eugenics, Rewriting Nation: The *Strange* Intersections of Gloria Anzaldúa and Edith Ellis.” Conference for the Society of Multiethnic Literature of the United States. Las Vegas, NV, 2018.

“Shaping a Coherent Honors Curriculum Within the Broader University or College.” Developing in Honors. National Collegiate Honors Council Conference. Atlanta, GA, 2017.

“Developing an Honors Faculty Culture: Perspectives from Faculty and Administrators at Public and Private Universities.” Roundtable. National Collegiate Honors Council Conference. Atlanta, GA, 2017.

“‘Tired of Being’ in the Harbors of Diversity: Gloria Anzaldúa, Counter-Images, and the Seas of Institutional Whiteness.” Conference for the Society of Multiethnic Literature of the United States. Boston, MA, 2017.

“Honors Liberal Education in the 21<sup>st</sup> Century Public University: What Can It Mean for Students ‘To Know Themselves.’” General Session. National Collegiate Honors Council Conference. Seattle, WA, 2016.

“*Being* Gloria Anzaldúa: Images and (En)Counters with Institutional Whiteness.” Conference on College Composition and Communication. Houston, TX, 2016

“The (R)Evolution of Gloria Anzaldúa.” Conference for the Society of Multiethnic Literature of the United States. Oklahoma City, OK, 2014.

“The Struggle Has Always Been Inner: Gloria Anzaldúa’s (Border)Land Images and (R)Evolutionary Steps to Environmental Change.” Tenth Biennial Conference of the Association for the Study of Literature and Environment. Lawrence, KS, 2013.

“Transnational Students, Transnational Pedagogies: Writing Beyond U.S. Centrism.” Conference on College Composition and Communication. Atlanta, GA, 2011.

“Composition in the Borderlands: Gloria Anzaldúa and the Limits of Theory.” Conference on College Composition and Communication. San Francisco, CA, 2009.

“Composition’s Places: Occupation, Possession, Power.” Conference on College Composition and Communication. Chicago, IL, 2006.

“(In)Accessible Literacies: Negotiating the Geographies of Identity.” Conference on College Composition and Communication. San Francisco, CA, 2005.

“The Rise of Place-Based Composition Studies and the Uncertain Future of Ecocomposition.” Conference on College Composition and Communication. ASLE Special Interest Group. San Francisco, CA, 2005.

“Locating the Work of Composition in Public Spheres.” Conference on College Composition and Communication. San Antonio, TX, 2004.

“The ‘Open Hand’ of Science: Rhetorics of Wonder in Public Persuasion.” Conference of the Rhetoric Society of America. Las Vegas, NV, 2002.

“Anthropology for Composition Studies: Theorizing Disciplinary Identity.” Annual Conference on the Teaching of Writing in Connecticut. New Haven, CT, 2001.

“Writing and Politics: Literacy, Nature, and the Problems of Student Indoctrination.” Conference on College Composition and Communication. ASLE Special Interest Group. Minneapolis, MN, 2000.

“Writing ‘Like a Mountain’: A More Fluid Approach to Composition.” Florida College English Association Annual Conference. Orlando, FL, 2000.

“Ecocomposition and ‘Learning’: Intersections among Nature, Literacy, and Academic Discourse.” Conference of the Association for the Study of Literature and Environment. Kalamazoo, MI, 1999.

“The Pedagogy of Representation: Rewriting Culture in the Composition Classroom.” Annual Cultural Studies Symposium. Manhattan, KS, 1999.

“Writing Locally: Retreat and Composition in Florida’s Natural Environments.” Florida College English Association Annual Conference. St. Augustine, FL, 1999.

“Searching for Crusoe’s Island: John Dos Passos’s *Three Soldiers* and the Meaning of Place after the Great War.” The Space Between Annual Conference. New Paltz, NY, 1998.

## PROFESSIONAL DEVELOPMENT CONFERENCES and WORKSHOPS

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The National Resource Center's Thirty-Seventh Annual First-Year Experience Conference. San Antonio, TX, 2018.

National Association of Fellowship Advisors (NAFA) Ninth Biennial Conference. Philadelphia, PA, 2017.

Second Annual Summer Honors Faculty Institute at Texas Christian University. Facilitated by Dr. Marca Wolfensberger, Dr. John Zubizaretta, and Dr. Beata Jones. Fort Worth, TX, 2017.

NCHC Faculty Institute. "Birmingham and Montgomery (City as Text): The Civil Rights Movement Reimagined." Facilitated by Dr. Ada Long. Birmingham, AL, 2017.

American Council on Education (ACE) Leadership Academy for Department Chairs and Program Directors. San Diego, CA, 2017.

Annual Conference on Teaching and Learning Assessment at Drexel University. Philadelphia, PA, 2016.

Designing Courses for Significant Learning: Three-Day National Workshop. Lee D. Fink & Associates. Chicago, IL, 2013.

Workshop for New National Student Exchange Directors. Annual National Student Exchange Conference. Orlando, FL, 2013.

Writing Program Assessment Institute Workshop. Council of Writing Program Administrators. Anchorage, AK, 2005.

## TEACHING EXPERIENCE

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- Citizen and Self: An Introduction to Honors
- Honors Internship: ePortfolio Development
- Honors Practicum
- Honors Colloquium: American Civil Rights Movement Remembered
- Study Abroad in Rome and Florence: Honors City as Text
- Study Abroad in Dublin and Belfast: Honors City as Text
- Honors Humanities, Part I
- Honors Humanities, Part II
- Honors Thesis Writing Colloquium
- First-Year Writing I: Composition and Rhetoric
- First-Year Writing II: Composition and Rhetoric
- Professional and Technical Writing
- Advanced Composition
- Writing and Culture
- History of Rhetoric
- Environmental Rhetoric and Nature Writing
- Introduction to Literature
- Survey of American Literature I

- Survey of American Literature II
- Literature, Art, and Censorship
- Introduction to Rhetoric and Composition Studies (Graduate Level)
- Rhetoric and Composition Theory (Graduate Level)
- Professional and Technical Writing (Graduate Level)
- Rhetoric and Composition Pedagogy (Graduate Level)
- American Environmental Literature (Graduate Level)
- Rhetorics of Gloria Anzaldúa (Graduate Level)

## GRANTS

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- Co-Investigator. “Coca-Cola Foundation First-Generation Scholars Program” (2014 to 2016)  
 Contributed to development and maintenance of a successful \$500,000 grant that provided scholarships and programming for twenty University of Texas Rio Grande Valley first-generation college students; served as chair of the selection committee; collaborated on programming with Coca-Cola stakeholders; worked with University Advancement to generate new funds beyond the original \$500,000. Funded by the Coca-Cola Corporation.
- Co-Principal Investigator. “Mobile Undergraduate Research Learning Program” (2013 to 2014)  
 Successful proposal of \$10,000 to prepare undergraduate students to conduct original research, compose a thesis, and present findings using Apple iPads and relevant apps related to disciplinary inquiry. Funded by the Texas State Library and Archives Commission.
- Principal Investigator. “Increasing Cultural Competence: WKU Students Abroad and at Home.”  
 Proposal for internal grant of \$15,500 to measure honors students’ cultural competence before and after participation in long-term study abroad programs using the Intercultural Development Inventory (IDI), to analyze and understand data, and use results of the study to further develop and measure cultural competence in other curricular and co-curricular experiences that do not involve education abroad. Under review at WKU.

## SERVICE to the PROFESSION

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- Member, Editorial Board, *Journal of the National Collegiate Honors Council* (Term 2018 - )
- Member, National Collegiate Honors Council’s Place as Text Committee (Term 2018 - )
- Member, National Collegiate Honors Council’s Publication Board (Term 2019 - )
- Member, Kentucky Honors Round Table (2016 - )
- Co-Organizer, 2015 Great Plains Honors Council Conference in South Padre Island, TX
- Peer Reviewer, *Pedagogy: Critical Approaches to Teaching Literature, Language, Composition, and Culture*
- Peer Reviewer, *Composition Forum: Journal of Pedagogical Theory in Rhetoric and Composition*

## SELECT ACADEMIC SERVICE—University, College, and Department Levels

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- Academic Affairs Leadership Team (Member)
- Student Engagement and Experiential Learning Working Group (Member)
- Council of Department Chairs (Member)

- Program Review and SACS Criteria Committee (Member)
- Honors Council (Ex-Officio)
- International Oversight Committee (Member)
- Student Academic Standing Committee (Member)
- University of Texas Regents' Outstanding Creative Writing Award Committee (Chair)
- Undergraduate Research Conference Committee (Member)
- First-Year Experience Advisory Group (Member)
- Pathways Project: P-16 Curriculum Alignment (Member)
- Undergraduate Admissions Advisory Committee (Member)
- Archer Fellows Selection Committee (Member)
- College-Level Tenure and Promotion Committee (Chair)
- Department-Level Assessment Committee (Chair)
- Department-Level Curriculum Committee (Member)
- Department-Level Graduate Studies Committee (Member)
- Department-Level Faculty Search Committees (Chair)

## PROFESSIONAL MEMBERSHIPS

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- National Collegiate Honors Council
- National Council of Teachers of English
- Council of Writing Program Administrators
- Association for the Study of Literature and Environment
- Society for the Study of Multi-Ethnic Literature of the United States
- College English Association
- Flannery O'Connor Society

## CURRICULUM VITAE

Frederick D. Gordon  
Associate Professor of Political Science

### Education

- Ph.D. University of Southern California, Los Angeles, California  
Department of Political Science, December, 2005  
Thesis: Half Empty or Half Full: Understanding Early Coordination  
Strategy as a Means to Mitigate Regional Water Scarcity  
Tyler Environmental Fellowship – University of Southern California,  
2004-  
2005 Haynes Intermediate Dissertation Fellowship – University of  
Southern California, 2002-2003
- M.A. University of Southern California, Department of Political Science,  
2002
- M.P.I.A. University of Pittsburgh, Pittsburgh, Pennsylvania  
Graduate School for Public and International Affairs  
Certificate of Specialization: International Political Economy, 1993  
Graduate Fellowship – University of Pittsburgh, 1992-1993
- B.A. Clark University, Worcester, Massachusetts  
Major: History, 1989  
First Honors- Clark University, 1989

### ACADEMIC APPOINTMENTS

#### **Columbus State University** – Associate Professor

2014-2018 Department Chair

2015-2018 MPA Director

2014- Joint Appointment with Valdosta State University to teach European  
Environmental Policy, Summers, 2014, 2016, and 2018  
Conducted data assessment on how MPA program aligns with the  
National Association for Public Affairs and Policy  
Frequent commentator on local television for political issues  
Hired new faculty at graduate and undergraduate levels  
Evaluated faculty on annual basis  
Comprise course scheduling for both graduate and undergraduate  
Students

Taught overseas courses in Oxford, England (2015) and Florence Italy (2018)  
Delegated student advising to faculty  
Supported faculty teaching and research initiatives  
Attended and recruited students at all university orientation programs  
Allocate resources according to budgetary restrictions  
Supervised 10 faculty, 1 support staff and one graduate student assistant

Lead staff in developing measurable standards for National Association of Public Affairs and Administration

2010-14 Assistant Professor of Political Science

Appointed to University System of Georgia, Board of Regions, CSU political science representative where we review retention, progression and graduation data

Course Taught

American Government, The Presidency, Policy Analysis, Environmental Law and Policy, and Global Environmental Policy, International Law, Comparative Politics, International Relations  
Budgeting, Personnel Management, and Survey of Public Administration

#### MEMBERSHIP

Georgia Political Science Association  
Foreign Policy Research Institute  
Pi Alpha Alpha  
Phi Beta Delta

#### SPECIAL AWARDS, FELLOWSHIPS, AND OTHER HONORS

2018-University Writing Fellow  
2017-2018 Pi Sigma Alpha Grant \$475  
2017-18 Selected as instructor for overseas program to take place in Florence, Italy called Due Process; Medieval and Modern, FOR MAY 2018  
2015 – Readers Privileges – Huntington Library, Pasadena California  
2014- University grant (\$1000 grant to interview former Freedom Riders in west Georgia)  
Instructor for Sustainability and Democracy course in Oxford, England Summer 2015  
Awarded full time graduate faculty status-2011  
QEP Writing Fellow 2011-12

## PROFESSIONAL ACTIVITIES (Publications)

Eco-Criticism in a Changing Policy Context chapter for edited volume titled The Green Critique accepted but waiting for final comments for The Association for the Study of Literature and the Environment <https://www.asle.org/discover-asle/vision-history/> awaiting final revision, October 2018

“Climate Change After the Paris Agreement”, Journal of European Integration and Federalism, Summer 2016

“An End to the ACF Conflict?” Critical Issues in Justice and Politics, May 2016

“Is the Executioner Wrong?” Perspectives, August 2014

International Environmental Justice Competing Claims and Perspectives, ILM 2012, served as lead editor which included my writing the introduction, a chapter and conclusion

“Treaties and International Law” Encyclopedia of American Environmental History, University of Houston Center for Public Policy, November 2010

“Freshwater Resources and Interstate Cooperation; Strategies to Mitigate An Environmental Risk” SUNY PRESS, (November, 2008)

“At the Crossroads: Understanding the Challenges and Opportunities for Environmental Stewardship”, Public Administration Review, March 2008)

“Water Issues at the U.S.-Mexican Border”, Environment, May 2004

“Managing Groundwater in Israel, Gaza, and the West Bank”  
in Managing Common Pool Groundwater Resources: An International

Perspective, Greenwood Publishing Group, March 2004

“Economic and Internal Political Implications of the United States

Opening Trade with Vietnam”, Asian Profile, February 1994

## Live Television Appearances

“Republican Governor’s Debate”, March 6, 2018 WRBL Columbus State University

“State of the Union”, January 23, 2018 WTVM Columbus State University

*“Political Experts speaks on AL US Senate Special Election”, WTVM, December 12, 2017*

*“Political professor on how sex allegations could impact Roy Moore Senate run”, WTVM November 9, 2017*

*“Resignation of Governor Bentley”, WTVM April 10, 2017*

*“Political Implications of Bombing Syria”, WRBL April 7, 2017*

*“Evaluating The Presidency”, WTVM March 20, 2017*

*“State of Georgia Primary Assessment” WTVM for 2016 state primaries (May 25, 2016)*

*“Presidential debate analysis” WTVM September 28, 2016*

*“Governor and East Alabama Elections WLTZ for Nov 6, 2014*

### **Recorded Interviews**

Experts say election results in AL may set tone for 2018 midterm WTVM, December 13, 2017

CSU professor talks possible impact of Georgia voting breach in the Valley, WTVM, November 2, 2017

“Moore, Strange to face off for GOP AL nod in September runoff”, WRBL August 16, 2017

“Money for Social Services Hangs in Balance Amid Budget Talks”, WRBL March 20, 2017

“Fantasy sports bill proposed in Georgia and Alabama”, WRBL, March 7, 2017

Columbus reacts to potential healthcare changes”WTVM, March 7, 2017

“Georgia Lawmaker to Take Conservative Stance with Immigration”, WRBL, December 14, 2016

“Drought deepens divide between states amid decades-long water war”, WRBL, November 14, 2016

“Guest: CSU’S Dr. Frederick Gordon Breaks Down the Election, WTVM November 8, 2016

“Breaking Down the Presidential Debate with CSU’s Dr. Frederick Gordon, WTVM, September 28, 2016

“CSU Professor Offers Insight on Clinton’s Illness, WRBL September. 12, 2016

“Columbus Muslims React to Deadly ISIS Attacks in Paris, WTOG, November 17, 2015

“CSU Professor says civil rights leaders will miss Eric Holder” WTVM October 2015

“WTVM asks kids what Labor Day Means”, KSLA, September 7, 2015

WTVM SPECIAL REPORT: Mugshot Mania, WTVM, February 12, 2015

“Columbus Hispanic Pastor and CSU professor talk about Obama’s Immigration Order”, WTVM, Nov. 21, 2014

“New Voters Could be Pivotal in Upcoming Election”, WTVM October. 23, 2014

### **Op Ed Articles,**

“Who We Are, A Non-Political Sense of Identity, Ledger Enquirer, December 22, 2018

“Constitution more durable than any monument” Ledger Enquirer, August, 27, 2017

“Exactly what is a Presidential Doctrine?” Ledger Enquirer, April 14, 2017

“Executive Legislation”, Ledger Enquirer, February 7, 2017

“Secretary of State, What’s at Stake”, Ledger Enquirer, December 11, 2016

“Is Georgia a Purple State”, Ledger Enquirer, September 16, 2016

“Remembering Women Political Pioneers”, Ledger Enquirer, August 15, 2016

“Never Be Silent, Memorial Tribute to the Life of Elie Wiesel”, Ledger Enquirer, July 9, 2016

“Delegated Power, Party Process and Popular Vote, Ledger Enquirer, April 27, 2016

Carrying Out the Death Penalty has Southern Roots, Ledger Enquirer, October 9, 2015.

“A Century Old Tragedy”, Ledger Enquirer, August 14, 2015

“A Thin Red Line Understanding Political Blowback in the Israeli-Palestinian Conflict”, Ledger Enquirer, August 2014

“Remembering History’s Heroes”, Letter to Editor, Ledger Enquirer, May 2013

Climate Change Facilitator for C2C conference at the University of Tennessee at Chattanooga, November 2012

Chattahoochee River at the Crossroads-Feature Special to Ledger Enquirer, July 2011

Coordinated the 2011-2012 Environmental Policy Lecture Series, Columbus State University

“Petro-junkies: Environmental policy’s uncomfortable dependency” Ledger-Enquirer, September 2010

“On Climate Change, the Science is Clear But Politics is Not” Sacramento Bee, June 2006

Review of Yitzhak Rabin: Soldier of Peace, The Philadelphia Inquirer, May 1998

## **PRESENTATIONS**

“The Politics Behind the Anschluss” A preshow presentation before “The Sound of Music”, The River Center, Columbus, Georgia, April 18, 2018

“Contested Waters” H<sub>2</sub>O LA An Examination of Louisiana’s Relationship with Water, University of Louisiana Lafayette, Lafayette, Louisiana, August 14, 2017

Environmental Justice: New Pathways, New Problems –Social Equity and Leadership Conference, Omaha, Nebraska, May 2017

“Environmental Executive Order 1981-2014, New Pattern or New Institutionalism”, Georgia Political Science Conference, November, 2016

“A Key to White House, the role of Campaign Pins”, Columbus State University, Columbus, Georgia, November, 2016

Panel Judge at Conference for Minority Public Administrators Conference, Jackson, Mississippi, February 2016

An End Game to the Tri-State Water Conflict? Georgia Political Science Conference, Savannah, Georgia November 2015.

“Game Over or Have the Games Just Begun”? Faculty Research Conference, Columbus State University, Columbus, Georgia, March 2015

Water Stories: How Atlanta and Los Angeles acquired water to become major cities”. Environmental Science Guest Lecturer Series, February 2015

Game Over or Have the Games Just Begun? Project XL and the Role of Executive Orders, Georgia Political Science Conference, November 2014

“Origins of Islamic Extremism” Temple, Israel, Columbus, Georgia September 2014

“AN Administrator to Admire: Sophie Masloff, Mayor of Pittsburgh” Guest speaker for Pi Sigma Alpha Awards Ceremony, December 2013

Paine, Policy, and Pragmatism: A Common Sense Approach for Public Administrators: Guest speaker for MPA speakers forum, October 2013

Served as Chair for CSU student presentations on student presentations on the Georgia Water Wars 2012 Georgia Political Science Conference

Served as Chair and Discussant for Environmental Policy Panel at the Western Political Science Conference, San Antonio Texas, April 2011

Presented paper titled “Conservation or Greed: A Comparative Assessment Towards Understanding Contemporary Water Policy, Georgia, Political Science Conference, Savannah Georgia, November 2011

Presented paper titled Lesotho: A Peculiar Case of Environmental Justice at the Southern Political Science Conference, New Orleans, Louisiana January 2012

“Which Way are We Going? Environmental Justice in the Aftermath of the Deep Horizon Oil Spill, Western Political Science Conference, San Antonio, Texas April 2011

“Interstate Water Compacts: The Long Arm Statute of the Clean Water Act” Georgia Political Science Conference”, November 2010 Savannah, Georgia

“Triumph Over Tragedy, How the Gulf Oil Spill Can Lead to Better Environmental Policymaking” CSU-River Campus, September 2010

“Cap and Trade, A Relative Gains Approach towards Achieving a Sustainable Energy Policy” –2010 Western Political Science Conference, San Francisco, California

“Is Punctuated Equilibrium or Environmental Determinism the driving force behind environmental policy? A Comparative Assessment of Los Angeles and Seattle Water Policy Management”  
Western Political Science Conference – Vancouver, British Columbia, March 2009

“Deciphering the Politics of Global Climate Change” Guest Speak for UCLA Extension Speakers Panel, November 2007

“Understanding America’s Oil Addiction” Guest Speaker for International Relations Undergraduate Association, University of Southern California, September 2006

“Understanding Freshwater Cooperation” Hawaii International Conference on Social Sciences, Honolulu, Hawaii, June 2005

“Bridging the Divide: Using Multiple Methodologies to Conduct Comparative Research”  
Western Political Science Conference, Oakland, California, March 2005

“A Quantitative Assessment of Interstate Water Accords, 1950-2000”  
Greening Conference, XIV – University of California Irvine, January 2005

“Water Scarcity in the Twenty First Century” Challenges of a Transboundary World Conference University of California, Irvine, October 2004

“From Preservation to Conservation: Evaluating Current Trends in Environmental Policy”, Valley Interfaith Council, North Hollywood, California, September 2004

“A River Divided Cannot Flow: The Case of the Rio Grande and the Silvery Minnow” - Western Political Science Conference, Portland, Oregon, March 2004

“Water as a Source of Conflict in the Middle East” - The Association of Israel Studies, Vail, Colorado, May 2002

#### SERVICE TO COMMUNITY

Helped Coordinate School Trip to Selma, AL for commemorative march, March 2015

River Valley Regional Commission – Elected to the Board to represent Muscogee County, 2013- (regional environmental and economic issues that address 16 Georgia counties)

One Columbus-Elected to Board of Directors-attend board meetings and outreach programs 2011-2012

Help the Hooch Volunteer –Helped clean the Chattahoochee River (Oct 2011)

Work In Progress and long term plans

In the Shadow of Leo Frank: Professor X and Anti-Semitism in the Deep South for submission to the Journal of Contemporary Anti-Semitism

ACF Conflict: Which Way Forward to Solve the Alabama, Georgia, Florida water conflict-Goal is to provide an authoritative book on the tri-state water conflict. Seeking university book contract

1927, The Great Mississippi Flood and the Making of the American Presidency (working paper)

## **BRIAN KEITH PARTIN**

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### **PROFESSIONAL SUMMARY**

I am currently finishing my sixteenth year in educational administration and twenty-first in public education in Tennessee. My desire is to continue working to provide a high-quality public education for students in an innovative setting committed to the advancement of all children.

### **EDUCATION**

Lipscomb University, Nashville, TN <b>Ed.D. in Learning Organizations and Strategic Change</b>	<b>2018</b>
Lincoln Memorial University, Harrogate, TN <b>Ed.S. in Administration and Supervision</b>	<b>2008</b>
Tennessee State University, Nashville, TN <b>M.Ed. in Administration and Supervision</b>	<b>2002</b>
Anderson University, Anderson, IN <b>B.A. in Elementary Education</b>	<b>199</b>

### **PROFESSIONAL EXPERIENCE**

#### **Principal**

Robinson Middle School, Kingsport City Schools.	<b>June 2015 – Present</b>
Thomas Jefferson Elementary, Kingsport City Schools	<b>July 2006 – June 2015</b>
Crieve Hall Elementary, Nashville Public Schools	<b>April 2005 – June 2006</b>

**Duties included:** Lead learner and supervisor of 100 faculty and staff members, manager of annual operating budget and purchasing accounts, instructional leader, community liaison, developer of professional growth plans, lead evaluator of all faculty and staff, facilitator of visioning and strategic planning, member of district-level administrative team, and developer and provider of key communications via multiple media outlets

#### **Assistant Principal**

Andrew Jackson Elementary, Nashville Public Schools	<b>June 2003 – April 2005</b>
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**Duties included:** Assistant lead learner and supervisor of 50 faculty and staff, developer of faculty and staff operating manuals, teacher and staff evaluator, school improvement team leader, executive report developer, community relations, and school event co-planner for school functions and activities

**Teacher**

Eakin Elementary, Nashville Public Schools

**June 1999 – May 2003**

**Duties included:** Third grade teacher at a lottery based public school in Nashville; planned daily in all four core content areas for 20 students annually; enrollment was fixed every with very little mobility; served on a site-based leadership team as a member and president for the school overseeing a PTA budget over \$100,000 annually; organized local fundraising community events

**Teacher**

Ross Elementary, Nashville Public Schools

**August 1998 - May 1999**

**Duties included:** Third grade teacher of 24 students in 100% Free and Reduced Lunch Title One School; provided direct instruction and supports via classroom, after-school tutoring and coaching roles

**Tennessee Titans Yell Leader**

Tennessee Titans Entertainment Inc.

**1999-2003**

**Duties included:** Member of 40-person entertainment squad responsible for game day entertainment and community public relations event throughout the season at all home games and Super Bowl XXXIV

**Admissions Counselor**

Anderson University, Anderson, IN

**May 1995 - July 1998**

**Duties included:** Recruitment manager for 18 states and Washington, DC; established travel plans and maintained annual travel budget; public relations and key recruitment ambassador for the university

**AWARDS AND HONORS**

NAESP TN Middle Level National Distinguished Principal	<b>2019</b>
NAESP President	<b>2018</b>
NAESP President-Elect	<b>2017</b>
NAESP Vice President	<b>2016</b>
Kingsport City Schools Entrepreneurship, Education, Excellence Award	<b>2014</b>
NAESP Zone 4 Director (2-Year Term)	<b>2013</b>
Tennessee Principals Association Meritorious Service Award	<b>2013</b>
Tennessee Principals Association Past-President Award	<b>2011</b>
Tennessee Principals Association President (2-Year Term)	<b>2009</b>
Tennessee Principals Association Vice President	<b>2008</b>
Tennessee Principals Association Region 9 Director (2-Year Term)	<b>2006</b>
Principals' Leadership Academy of Nashville @ Vanderbilt	<b>2004</b>

## **PROFESSIONAL ASSOCIATIONS**

Association for Supervision and Curriculum Development (ASCD)

National Association of Elementary School Principals (NAESP)

Tennessee Principals Association (TPA)

## **CERTIFICATIONS AND LICENSE**

Tennessee Professional Teaching License, Grades 1-8

Tennessee Professional Administrator License

## **REFERENCES AVAILABLE UPON REQUEST**

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

ACTION ITEM

DATE: September 20, 2019

ITEM: Revised Student Code of Conduct Rule

RECOMMENDED ACTION: Approve (Roll Call Vote)

COMMITTEE: Academic, Research, and Student Success

PRESENTED BY: Dr. Jeff Howard, Associate Vice President,  
Student Life and Enrollment  
Dr. Michelle Byrd, Dean of Students

The Student Conduct rule is an institutional policy that governs student conduct in an effort to maintain the civic and academic communities of East Tennessee State University. The policy outlines prohibited conduct, disciplinary proceedings and appeals, and disciplinary sanctions and holds. The General Policy on Student Conduct and Disciplinary Sanctions was approved by the ETSU Board of Trustees on March 24, 2017. Since that date, several items have arisen necessitating changes to the Student Code of Conduct. These include the following:

- A resolution by the Student Government Association recommending the addition of a Medical Amnesty process within the Student Conduct Rule
- Requirements associated with sexual misconduct hearing processes, rights, and responsibilities, as outlined by Tennessee Public Chapter 980
- Recommendations stemming from a Student Conduct review team, suggesting slight modifications—amendments and an addition-- to the list of violations

Accordingly, edits have been made to the Student Code of Conduct and are being presented to the Board for approval in advance of the Code of Conduct's submission to the State of Tennessee for the rulemaking process.

**MOTION: I move that the Committee recommend adoption of the following policies by the Board of Trustees:**

**Student Code of Conduct**

**Rules  
Of  
East Tennessee State University, Johnson City  
Chapter 0240-06-03  
Student Conduct**

Table of Contents is added to Chapter 0240-03-03 Student Conduct and shall read as follows:

Table of Contents

- 0240-06-03-.01 Policy Statement and Scope**
- 0240-06-03-.02 Definitions**
- 0240-06-03-.03 General Provisions**
- 0240-06-03-.04 Prohibited Conduct**
- 0240-06-03-.05 Academic Misconduct and Classroom Behavior**
- 0240-06-03-.06 Disciplinary Sanctions**
- 0240-06-03-.07 Medical Amnesty**
- 0240-06-03-.08 Disciplinary Holds on Records**
- 0240-06-03-.09 Disciplinary Proceedings and Appeals**

0240-06-03-.01 Policy Statement and Scope is added to Chapter 0240-06-03 Student Conduct and shall read as follows:

**0240-06-03-.01 Policy Statement and Scope**

(1) INSTITUTION POLICY STATEMENT

- a. Students enrolled in postsecondary educational institutions are citizens of their civic communities as well as the academic community. As such they are expected to conduct themselves as law-abiding members of each community at all times. Admission to an institution of postsecondary education carries with it special privileges and imposes special responsibilities apart from those rights and duties enjoyed by non-students. In recognition of the special relationship that exists between the institution and the academic community which it seeks to serve, the ETSU Board of Trustees has authorized the president of the institution to take such action as may be necessary to maintain campus conditions and preserve the integrity of the institution and its educational environment.
- b. Pursuant to this authorization and in fulfillment of its duties to provide a secure and stimulating atmosphere in which individual and academic pursuits may flourish, the University has developed rules, which are intended to govern student conduct. The institution may expand on these regulations, subject to Board approval. Following are East Tennessee State University's ("ETSU" or "the University") rules. In addition, students are subject to all federal, state and local laws and ordinances. If a student's violation of such laws or ordinances also adversely affects the institution's pursuit of its educational objectives, the institution may enforce its own regulations regardless of the status or outcome of any external proceedings instituted by other civil or criminal authorities.

c. Disciplinary action may be taken against a student for violation of the regulations that occur on any ETSU property or while participating in international or distance learning programs, and off campus, when the conduct impairs, interferes with, or obstructs any institutional activity or the mission, processes, and functions of the institution. ETSU may enforce its own regulations regardless of the status or outcome of any external proceedings instituted in any other forum, including any civil or criminal proceeding.

d. These regulations, and related material incorporated herein by reference, are applicable to student organizations as well as individual students. Student organizations are subject to discipline for the conduct and actions of individual members of the organization while acting in their capacity as members of, or while attending or participating in any activity of, the organization.

e. Confidentiality of Discipline Process. Subject to the exceptions provided pursuant to the Family Educational Rights and Privacy Act of 1974 (FERPA), 20 USC 1232g and/or the Tennessee Open Records Act, T.C.A. § 10-7-504(a)(4), a student's disciplinary files are considered "educational records" and are confidential within the meaning of those Acts. Notwithstanding any law to the contrary, information that is reasonably likely to identify a student accused of committing an alleged sexual offense or alleged violent sexual offense as defined in T.C.A. § 40-39-202 or any information that is reasonably likely to identify the victim of an alleged sexual offense or alleged violent sexual offense as defined in T.C.A. § 40-39-202, will be treated as confidential and will not be open for inspection by members of the public pursuant to T.C.A. § 10-7-504.

Authority: T.C.A. § 49-8-209 (a)(1) (D); T.C.A. § 10-7-504(a)(4); T.C.A. § 40-39-202; T.C.A. § 49-8-101(a)(2)(A); and T.C.A. § 10-7-504.

0240-06-03-.02 Definitions is added to Chapter 0240-06-03 Student Conduct and shall read as follows:

**0240-06-03-.02 Definitions**

- (1) "Student"-- any person who is admitted and/or registered for study at the University for any academic period. This shall include any period of time following admission and/or registration, but preceding the start of classes for any academic period. It will also include any period which follows the end of an academic period through the last day for registration for the succeeding academic period, and during any period while the student is under suspension from the institution. Finally, "student" shall also include any person subject to a period of suspension or removal from campus as a sanction which results from a finding of a violation of the regulations governing student conduct. Students are responsible for compliance with the Rules of Student Conduct and with similar institutional policies at all times.
- (2) "Student Organization" ("SO") – Any organization comprised primarily of currently enrolled Students, including registered or officially recognized student organizations; student groups in the process of registering for official recognition; or other students who may be acting as a group.
- (3) "ETSU Property"—all land, buildings, facilities, grounds, structures, or any other property including but not limited to movable objects owned, leased, used, maintained, or operated by ETSU. For

purposes of this rule, ETSU Property includes all streets, alleys, sidewalks, and public ways abutting such property. ETSU Property also includes computers and network systems owned, maintained, or controlled by ETSU or funded by ETSU.

- (4) "ETSU Activity" – any activity on or off ETSU Property that is initiated, aided, authorized, sponsored, or supervised by ETSU.
- (5) "University Official" – an employee or agent of ETSU, including but not limited to: university police, faculty members, and staff (including Student employees such as event staff, resident assistants, graduate or teaching assistants, etc.) acting in the performance of his/her duties.
- (6) "Medical Amnesty" – Medical Amnesty generally protects students who report medical emergencies associated with drug or alcohol intoxication for themselves or for other students from university disciplinary actions. Under the "Medical Amnesty" policy, students are potentially exempted from punitive action if they call for medical assistance for impaired friends or for themselves in alcohol or drug related emergencies.
- (7) "Public Chapter No. 980" – For purposes of these rules, Public Chapter No. 980 means Senate Bill No. 824 that was passed by the General Assembly of the State of Tennessee on April 24, 2018, and approved by the governor on May 21, 2018.

Authority: T.C.A. § 49-8-203(a)(1)(D) and T.C.A. § 49-8-101(a)(2)(A).

0240-06-03-.03 General Provisions is added to Chapter 0240-06-03 Student Conduct and shall read as follows:

**0240-06-01-.03 General Provisions**

- (1) Each Student or SO shall be responsible for his/her/its conduct from the time of admission to ETSU through the actual awarding of a degree, even though conduct may occur prior to the start of classes, or after classes end, as well as during the academic year and during periods between terms.
- (2) A Student or SO is responsible for his/her/its guests or visitors and may be held accountable for the behavior of his/her/its guests or visitors on ETSU Property or in the handling or use of ETSU Property.
- (3) Any Student that chooses to take a leave of absence or withdraw from ETSU during any academic period prior to graduation with a pending disciplinary matter will be subject to discipline, including a disciplinary hold placed on the Student's account preventing reenrollment until resolution of the conduct in question.
- (4) Any Student that is admitted but not enrolled with a pending disciplinary matter will be subject to discipline, including a disciplinary hold placed on the Student's account preventing reenrollment until resolution of the conduct in question.

Authority: T.C.A. § 49-8-203(a)(1)(D) and T.C.A. § 49-8-101(a)(2)(A).

0240-06-03-.04 Prohibited Conduct is added to Chapter 0240-06-03 Student Conduct and shall read as follows:

#### **0204-06-03-.04 Prohibited Conduct**

(1) Institutional disciplinary measures shall be imposed, through appropriate due process procedures, for conduct which adversely affects the institution's pursuit of its educational objectives, which violates or shows a disregard for the rights of other members of the academic community, or which endangers property or persons on property owned or controlled by an institution.

(2) ETSU has adopted the following non-exclusive list providing notice of offenses for which both individuals and organizations may be subject to disciplinary action:

a. Conduct Dangerous to Self or Others: Causing physical harm to any person;; endangering the health or safety of any person (including oneself); engaging in conduct that causes a reasonable person to fear harm to his/her health or safety; or making an oral or written statement that an objectively reasonable person hearing or reading the statement would interpret as a serious expression of an intent to commit an act of unlawful violence to a particular individual or group of individuals.

b. Hazing: Hazing, as defined in TCA § 49-7-123(a)(1), means any intentional or reckless act, on or off the property, of any higher education institution by an individual acting alone, or with others, which is directed against any other person(s) that endangers the mental or physical health or safety of that person(s), or which induces or coerces a person(s) to endanger such person(s) mental or physical health or safety. Hazing does not include customary athletic events or similar contests or competitions, and is limited to those actions taken and situations created in connection with initiation into or affiliation with any organization;

c. Disorderly Conduct: Any individual or group behavior which is abusive, obscene, lewd, , violent, excessively noisy, disorderly, or which unreasonably disturbs institutional functions, operations, classrooms, other groups or individuals;

d. Obstruction of or Interference with institutional activities or facilities: Any intentional interference with or obstruction of any institutional, program, event, or facility including the following: a. Any unauthorized occupancy of institution or institutionally controlled facilities or blockage of access to or from such facilities b. Interference with the right of any institution member or other authorized person to gain access to any activity, program, event or facilities sponsored or controlled by an institution, c. Any obstruction or delay of a campus security officer, public safety officer, police officer, firefighter, EMT, or any official of an institution, or failure to comply with any emergency directive issued by such person in the performance of his or her duty;

e. Misuse of or Damage to Property: Any act of misuse, vandalism, malicious or unwarranted damage or destruction, defacing, disfiguring or unauthorized use of property belonging to

another including, but not limited to, any personal property, fire alarms, fire equipment, elevators, telephones, institution keys, library materials and/or safety devices;

f. Theft, Misappropriation, or Unauthorized Sale of Property;

g. Misuse of Documents or Identification Cards: Any forgery, alteration of or unauthorized use of institutional documents, forms, records or identification cards, including the giving of any false information, or withholding of necessary information, in connection with a student's admission, enrollment or status in the institution;

h. Firearms and Other Dangerous Weapons: Any possession of or use of firearms, dangerous weapons of any kind, or replica/toy guns, e.g. BB guns, pellet guns, paintball guns, water guns, cap guns, toy knives or other items that simulate firearms or dangerous weapons;

i. Explosives, Fireworks, Ammunition, and Flammable Materials;

j. Alcoholic Beverages: The use and/or possession of alcoholic beverages on institution owned or controlled property except as permitted by law and institutional policy. This offense includes the violation of any local ordinance, state, or federal law concerning alcoholic beverages, on or off institution owned or controlled property, including but not limited to where an affiliated group or organization has alcoholic beverages present and available for consumption. Alcohol violations include (i) personal use/or possession, (ii) distribution (accommodation), or (iii) distribution (sales);

k. Drugs: The unlawful possession or use of any drug or controlled substance (including, but not limited to, any stimulant, depressant, narcotic or hallucinogenic drug, or marijuana), sale or distribution of any such drug or controlled substance. This offense includes the violation of any local ordinance, state, or federal law concerning the unlawful possession or use of drugs and the misuse of legally prescribed or "over the counter" drugs on or off institution owned or controlled property. Drug violations include (i) personal use/or possession, (ii) distribution (accommodation), or (iii) distribution (sales);

l. Drug Paraphernalia: The use or possession of equipment, products or materials that are used or intended for use in manufacturing, growing, using or distributing any drug or controlled substance. This offense includes the violation of any local ordinance, state, or federal law concerning the unlawful possession of drug paraphernalia, on or off institution owned or controlled property;

m. Public Intoxication: Appearing on institution owned or controlled property or at an institutional sponsored event while under the influence of a controlled substance or of any other intoxicating substance;

n. Gambling: Unlawful gambling in any form;

o. Financial Irresponsibility: Failure to meet financial responsibilities to the institution promptly including, but not limited to, knowingly passing a worthless check or money order in payment to the institution or to a member of the institution community acting in an official capacity;

p. Unacceptable Conduct in Disciplinary Proceedings: Any conduct at any stage of an institutional disciplinary proceeding or investigation that is contemptuous, disrespectful, malicious, threatening, or disorderly, including false complaints, testimony or other evidence; attempts to influence the impartiality of a member of a judicial body; or verbal or physical harassment or intimidation of a judicial board member, complainant, respondent or witness;

q. Failure to Cooperate with Institutional Officials: Failure to comply with directions of institutional officials acting in the performance of their duties;

r. Violation of General Rules and Regulations: Any violation of the general rules and regulations of the institution as published in an official institutional publication, including the intentional failure to perform any required action or the intentional performance of any prohibited action;

s. Attempts, Aiding and Abetting: Any attempt to commit any of the offenses listed or the aiding or abetting of the commission of any of the offenses listed under this section (an attempt to commit an offense is defined as the intention to commit the offense coupled with the taking of some action toward its commission). Being present during the planning or commission of any offense listed under this section will be considered as aiding and abetting. Students who anticipate or observe an offense must remove themselves from the situation and are required to report the offense to the institution;

t. Violations of State or Federal Laws: Any violation of state or federal laws or regulations proscribing conduct or establishing offenses, which laws and regulations are incorporated herein by reference;

u. Violation of Imposed Disciplinary Sanctions: Intentional or unintentional violation of a disciplinary sanction officially imposed by an institution official or a constituted body of the institution;

v. Sexual Battery or Rape: Committing any act of sexual battery or rape as defined by state law; May include any sexual act or penetration which is accompanied by threat, coercion, use of restraint or force, or any sexual act where the respondent knows, or should have known, that the victim was unable or incapable of giving consent.

w. Sexual Misconduct: An alleged violation of ETSU's policies concerning sexual assault, relationship violence, or stalking. All matters involving allegations of sexual misconduct will be governed by the procedures set forth in East Tennessee State University's policy against sexual misconduct.

x. Harassment: Conduct based on a protected class that adversely affects a term or condition of a person's employment or education program or activity; has the purpose or effect of unreasonably interfering with a person's employment or education program or activity or creating a hostile environment; or is used as a basis for or a factor in decisions that tangibly affect a person's employment or participation in an education program or activity.

Retaliation: An adverse action taken because of a person's participation in a protected activity that would discourage a reasonable person from engaging in the protected activity;

y. Academic Misconduct: Plagiarism, cheating, fabrication. For purposes of this section the following definitions apply:

i. Plagiarism. The adoption or reproduction of ideas, words, statements, images, or works of another person as one's own without proper attribution,

ii. Cheating. Using or attempting to use unauthorized materials, information, or aids in any academic exercise or test/examination. The term academic exercise includes all forms of work submitted for credit or hours,

iii. Fabrication. Unauthorized falsification or invention of any information or citation in an academic exercise.

z. Unauthorized Duplication or Possession of Keys: Making, causing to be made or the possession of any key for an institutional facility without proper authorization;

aa. Litter: Dispersing litter in any form onto the grounds or facilities of the campus;

bb. Pornography: Public display of literature, films, pictures or other materials which an average person applying contemporary community standards would find, (1) taken as a whole, appeals to the prurient interest, (2) depicts or describes sexual conduct in a patently offensive way, and (3) taken as a whole, lacks serious literary, artistic, political or scientific value;

cc. Abuse of Computer Resources and Facilities: Misusing and/or abusing campus computer resources including, but not limited to the following:

i. Use of another person's identification to gain access to institutional computer resources,

ii. Use of institutional computer resources and facilities to violate copyright laws, including, but not limited to, the act of unauthorized distribution of copyrighted materials using institutional information technology systems,

iii. Unauthorized access to a computer or network file, including but not limited to, altering, using, reading, copying, or deleting the file,

iv. Unauthorized transfer of a computer or network file,

v. Use of computing resources and facilities in a manner that interferes with normal operation of the institutional computing system,

vi. Use of computing resources and facilities that violate ETSU policy or state or federal law,

vii. Violation of any published information technology resources policy, h. Unauthorized peer-to-peer file sharing;

dd. Unauthorized Access to Institutional Facilities and/or Grounds: Any unauthorized access and/or occupancy of institutional facilities and grounds is prohibited, including, but not limited to, gaining access to facilities and grounds that are closed to the public, being present in areas of campus that are open to limited guests only, being present in academic buildings after hours

without permission, and being present in buildings when the student has no legitimate reason to be present;

ee. Providing False Information: Giving any false information to, or withholding necessary information from, any institutional official acting in the performance of his/her duties in connection with a student's admission, enrollment, or status in the institution;

ff. Unauthorized Surveillance: Making or causing to be made unauthorized video or photographic images of a person in a location in which that person has a reasonable expectation of privacy, without the prior effective consent of the individual, or in the case of a minor, without the prior effective consent of the minor's parent or guardian. This includes, but is not limited to, taking video or photographic images in shower/locker rooms, residence hall rooms, and men's or women's restrooms, and storing, sharing, and/or distributing of such unauthorized images by any means;

gg. Tobacco/Smoking Violations: Violation of any institutional smoking or other tobacco use rules or policies.

C. Disciplinary action may be taken against a student for violations of the foregoing regulations which occur at or in association with enrollment at the institution governed for any academic period. Each student shall be responsible for his/her conduct from the time of application for admission through the actual awarding of a degree including periods prior to or between semesters. Conduct occurring while a student is registered or enrolled at the institution, but not discovered until after the awarding of a degree is actionable under these provisions and may result in the retroactive application of a disciplinary sanction. Should a student withdraw from the institution with disciplinary action or academic misconduct action pending, the student's record may be encumbered by the appropriate institutional office until the proceedings have been concluded.

0240-06-03-.05 Academic Misconduct is added to Chapter 0240-06-03 Student Conduct and shall read as follows:

**0240-06-03-.05 Academic Misconduct and Classroom Behavior**

(1) The instructor has the primary responsibility for maintenance of academic integrity and controlling classroom behavior, and can order the temporary removal or exclusion from the classroom of any student engaged in disruptive conduct or conduct that violates the general rules and regulations of the institution for each class session during which the conduct occurs. Extended or permanent exclusion from the classroom, beyond the session in which the conduct occurred, or further disciplinary action can be effected only through appropriate procedures of the institution.

(2) The Academic Integrity and Misconduct Policy and Procedure at ETSU details the process for incidents involving plagiarism, cheating, and/or fabrication that occur within an academic college or school. All incidents of academic integrity that fall outside of an academic college or school will be processed by Student Life and Enrollment.

(3) Students may appeal a grade assignment associated with a finding of academic misconduct, as distinct from a student disciplinary sanction, through the university's Academic Integrity and Misconduct Policy and Procedure. Courses may not be dropped pending the final resolution of an allegation of academic misconduct.

(4) Disruptive behavior is defined as, but not limited to, behavior that obstructs or disrupts the learning environment (e.g., harassment of students and/or professors, repeated outbursts from a student which disrupt the flow of instruction or prevent concentration on the subject taught, failure to cooperate in maintaining classroom decorum, etc.), text messaging, and the continued use of any electronic or other noise or light emitting device which disturbs others (e.g., disturbing noises from cell phones, lap-top computers, tablets, earbuds, speakers, games, etc.).

(5) Emergency situations. Class attendance and punctuality requirements are established by the faculty, frequently in the printed syllabus for each course. Students are expected to attend classes regularly and on time and are responsible for giving explanations/rationale for absences and lateness directly to the faculty member for each course in which they are enrolled. In cases where student absences are the result of emergency circumstances (e.g., death in the family, a student's serious injury or incapacitating illness) for which students are unable to make immediate contact with faculty, the student may contact Student Life and Enrollment (423-439-4210) for assistance in providing such immediate notification to faculty. However, the student remains responsible for verifying the emergency circumstances to faculty and for discussing arrangements with faculty for completion of coursework requirements.

Authority: T.C.A. § 49-8-203(a)(1)(D) and T.C.A. § 49-8-101(a)(2)(A).

0240-06-03-.06 Disciplinary Sanctions is added to Chapter 0240-06-03 Student Conduct and shall read as follows:

### **0204-06-03-.06 Disciplinary Sanctions**

(1) Upon a determination that a student or student organization has violated any of the disciplinary offenses set forth in these regulations, institutional disciplinary policies, or the general policies of the institution, disciplinary sanctions may be imposed, either singly or in combination, by the appropriate institution official at the official's discretion.

(2) Definition of Sanctions:

a. Restitution. Restitution may be required in situations which involve destruction, damage, or loss of property, or unreimbursed medical expenses resulting from physical injury. When restitution is required, the student or student organization is obligated by the appropriate judicial authority to compensate a party or parties for a loss suffered as a result of disciplinary violation(s). Any such payment in restitution shall be limited to actual cost of repair, replacement or financial loss;

b. Warning. The appropriate institutional official may notify the student or student organization that continuation or repetition of specified conduct may be cause for other disciplinary action;

- c. Reprimand. A written or verbal reprimand or censure may be given to any student or student organization whose conduct violates any part of these regulations and provides notice that any further violation(s) may result in more serious penalties;
- d. Service to the Institution or Community. A student, or student organization, may be required to donate a specified number of service hours to the institution performing reasonable tasks for an appropriate institution office, official(s), or the local community. The service required shall be commensurate to the offense (e.g., service for maintenance staff for defacing institutional property);
- e. Specified Educational/Counseling Program. A student or student organization may be required to participate in specified educational or counseling program(s) relevant to the offense, or to prepare a project or report concerning a relevant topic. This may include but is not limited to a mandated visit to the University Counseling Center for an initial evaluation and documented follow through on any prescribed treatment program;
- f. Apology. A student or student organization may be required to apologize to an affected party, either verbally or in writing, for the behavior related to a disciplinary offense;
- g. Fines. Penalties in the form of fines may be imposed against a student or student organization whenever the appropriate institutional authority deems appropriate. The sanction of fines may be imposed in addition to other forms of disciplinary sanctions. Failure to pay fines may result in further disciplinary action. All funds from fines for violation of university drug and/or alcohol policies will be used to support the university's alcohol and drug education and awareness programs.
- h. Restriction. A restriction upon a student's or student organization's privileges for a period of time may be imposed. This restriction may include, for example, denial of the ability to represent the institution at any event, ability to participate in institution sponsored travel, use of facilities, parking privileges, participation in extracurricular activities or restriction of organizational privileges;
- i. Probation. Continued enrollment of a student or recognition of a student organization on probation may be conditioned upon adherence to these regulations. Any student or organization placed on probation will be notified in writing of the terms and length of the probation. Probation may include restrictions upon extracurricular activities, or any other appropriate special condition(s). Any conduct in further violation of these regulations while on probationary status or the failure to comply with the terms of the probationary period may result in the imposition of further disciplinary action;
- j. Suspension. Suspension is the separation of a student or student organization from the institution for a specified period of time. Suspension may be accompanied by special conditions for readmission or recognition;
- k. Expulsion. Expulsion entails a permanent separation from the institution. The imposition of this sanction is a permanent bar to the student's admission, or a student organization's recognition to the institution. A student or organization that has been expelled may not enter

institution property or facilities without obtaining prior approval from an appropriate campus official with knowledge of the expulsion directive;

l. Delay and/or Denial of Degree Award. During the period disciplinary charges are pending against a student, the university may deny and/or delay issuance of a degree. Further, the university may refuse to issue a degree to a student who is serving a suspension or has been expelled from the university;

m. Revocation of Admission, Degree, or Credential;

n. Housing Probation. Continued residence in campus or student housing may be conditioned upon adherence to these regulations as well as institutional housing regulations. Any resident placed on housing probation will be notified in writing of the terms and length of the probation. Probation may include restrictions upon the activities of the resident, including any other appropriate special condition(s);

o. Housing Suspension and Forfeiture. A resident suspended from housing may not reside, visit, or make any use whatsoever of a housing facility or participate in any housing activity during the period for which the sanction is in effect. A suspended resident shall be required to forfeit housing fees (including any unused portion thereof and the Housing Deposit). A suspended resident must vacate the housing unit. Housing suspension shall remain a part of the student resident's disciplinary record.

p. Any alternate sanction deemed necessary and appropriate to address the misconduct at issue;

q. Interim Suspension. As a general rule, the status of a student or student organization respondent of violation of these regulations should not be altered until a final determination has been made in regard to the charges. However, interim suspension, pending the completion of disciplinary procedures, may be imposed upon a finding by the appropriate institutional official that the continued presence of the respondent on campus constitutes an immediate threat to the physical safety and well-being of the respondent, any other member of the institution, its guests, property, or substantial disruption of classroom or other campus activities. In any case of interim suspension, the student, or student organization, shall be given an opportunity at the time of the decision, or as soon thereafter as reasonably possible, to contest the suspension.

r. Student Organization Suspension. In the event that a student organization is suspended from the University, the organization may not, during the term of the suspension, engage in or sponsor any activity or program, and may not hold meetings nor recruit members; engage in social functions of any type; use university buildings, facilities, property, and equipment; use university resources, services, or funds; participate or attempt to participate as an organization in any University event; or co-sponsor or participate as an organization in another registered/recognized organization's activities. Suspension may be accompanied by special conditions for readmission or recognition.

(3) The president of East Tennessee State University is authorized, at his or her discretion, to intervene to negotiate a mutually acceptable resolution to any disciplinary proceeding, or, subsequently, to

convert any sanction imposed to a lesser sanction, or to rescind any previous sanction, in appropriate cases.

Authority: T.C.A. § 49-8-203(a)(1)(D) and T.C.A. § 49-8-101(a)(2)(A).

0240-06-03-.07 Medical Amnesty is added to Chapter 0240-06-03 Student Conduct and shall read as follows:

### **0240-06-03-.07 Medical Amnesty**

ETSU seeks to promote the health, safety, and welfare of students. Failure to seek medical assistance in cases of alcohol poisoning or drug overdoses can lead to fatal outcomes. Studies suggest that the threat of student conduct or legal consequences leads some students to refrain from calling for emergency medical services. All students should alert appropriate police or university officials in the event of a health, safety, or welfare emergency including a situation involving the abuse of alcohol or other drugs. Failure to alert appropriate police or university officials in such cases could result in student conduct violations or criminal complaints.

When individual students know, or reasonably should have known, that other individual students need emergency medical attention, the individual students should contact emergency medical assistance (e.g., 911, ETSU Public Safety, Johnson City Police Department), and provide information regarding the individual student or students who need assistance.

#### **(1) Amnesty for Individual Good Samaritans**

a. Unless individual students have engaged in repeated or serious violations of the Student Conduct Rule, individual Good Samaritans will not be subject to formal University disciplinary action by ETSU for violations related to personal alcohol or drug use as a result of the Good Samaritan's report. Determination of conduct as being repeated or serious will be determined on a case-by-case basis by the Dean of Students or designee. While no formal University disciplinary action may be taken, individual students who act as a Good Samaritan may be required to meet with a University staff member to discuss concerns related to the situation that leads to the report.

b. Amnesty does not account for disciplinary actions regarding other violations, such as: conduct dangerous to others; sexual misconduct; damage to property; harassment; hazing; distribution of drugs or alcohol; or other violations stated in the Student Conduct Rule. Application of additional violations are at the discretion of the Dean of Students.

#### **(2) Amnesty for Individually Impaired Students**

a. Unless individual impaired students have engaged in repeated or serious violations of the Student Conduct Rule, individual impaired students will not be subject to formal University disciplinary action by ETSU for misconduct related to personal alcohol and drug use as a result of the Good Samaritan's report. Determination of conduct as being repeated or serious will be determined on a case-by-case basis by the Dean of Students or designee. While no formal University disciplinary action may be taken, the individual impaired students may be required to

meet with a University staff member, participate in educational activities, and/or establish that the issues that contributed to the misconduct have been addressed.

b. Amnesty does not account for disciplinary actions regarding other violations, such as: conduct dangerous to others; sexual misconduct; damage to property; harassment; hazing; distribution of drugs or alcohol; or other violations stated in the Student Conduct Rule. Application of additional violations are at the discretion of the Dean of Students or designee.

### (3) Application of Medical Amnesty to Student Organizations

a. Student Organizations, including their officers and members, are also expected to take responsible action in emergency situations. While Medical Amnesty for individual Good Samaritans and students in need of emergency medical attention may not directly apply to SOs, actions taken or neglected as described above by an SO's officers and/or members will be considered either as a mitigating or aggravating factor when reviewing the situation and determining whether violations of the Student Conduct Rule should be addressed.

### (4) Legal Action or Law Enforcement Response

a. Medical Amnesty has no influence over legal action taken by law enforcement with jurisdiction for the location that the incident occurred.

Authority: T.C.A. § 49-8-203(a)(1)(D) and T.C.A. § 49-8-101(a)(2)(A).

0240-06-03-.08 Disciplinary Holds on Records is added to Chapter 0240-06-03 Student Conduct and shall read as follows:

#### **0240-06-01-.08 Disciplinary Holds on Records**

(1) ETSU may place a registration hold on a Student record when the Student has:

- a. Withdrawn from ETSU and a disciplinary meeting and/or proceeding is pending;
- b. Not responded to the Dean of Students Office's request for a meeting or a hearing, or;
- c. Been suspended or expelled.

(2) ETSU will not confer a degree when a Student has a pending disciplinary meeting and/or disciplinary proceeding.

Authority: T.C.A. § 49-8-203(a)(1)(D) and T.C.A. § 49-8-101(a)(2)(A).

0240-06-03-.09 Disciplinary Proceedings is added to Chapter 0240-06-03 Student Conduct and shall read as follows:

### **0240-06-03-.09 Disciplinary Proceedings and Appeals**

(1) General: In the implementation of regulations pertaining to discipline and conduct of students, the University shall ensure the constitutional rights of students by affording a system of constitutionally and legally sound procedures which provide the protection of due process of law. In furtherance of this mandate, East Tennessee State University has established the following policies setting forth the disciplinary procedures for the institution.

(2) UAPA: All cases which may result in: (a) suspension or expulsion of a student, or student organization, from the institution, for disciplinary reasons or (b) revocation of registration of a student organization, are subject to the contested case provisions of the Tennessee Uniform Administrative Procedures Act (UAPA), TCA § 9-8-01 et seq., and shall be processed in accord with the Uniform Contested Case procedures unless the student or organization, after receiving written notice, waives those procedures and elects to have the case disposed of in accord with institutional procedures or waives all right to contest the case under any procedure. These procedures shall be described in the institution's policy.

a. Pursuant to Tennessee Public Chapter 980, the following applies to UAPA cases involving charges of sexual misconduct. Hearing officers for UAPA cases will be subject to all requirements as outlined in Public Chapter 980. Additionally, in lieu of appointing an administrative judge or hearing officer to conduct a contested case pursuant to subsection (a) in Public Chapter 980, a public institution of higher education may make a request to the office of the Secretary of State to have the contested case heard by an administrative judge or hearing officer employed in the office of the Secretary of State pursuant to T.C.A. § 4-5-301(d).

(3) Institutional Procedures: For matters not subject to the requirements of UAPA, or matters in which a student has waived his/her right to a UAPA hearing, East Tennessee State University has established the following procedures to address complaints of student or student organization misconduct.

a. Determination of Procedure to be Used

i. A disciplinary case involving violations of university regulations or infringements upon student rights may be reviewed under Institutional Administrative Procedures or may be referred to the appropriate judicial board for review under Institutional Judicial Procedures, as determined by the appropriate university official.

ii. The university official who shall determine who shall hear a case and whether an alleged violation of university regulations shall be processed under the Institutional Administrative Procedures or the Institutional Judicial Procedures is as follows:

1. The Director of Housing or designee, where the alleged violation is of the regulations of the Residence Hall Association (RHA).

2. The Dean of Students or designee, where the alleged violation of university regulations is other than those of the RHA.

iii. Determinations of which procedures shall be utilized for processing an alleged violation of university regulations shall be at the discretion of the appropriate university official; provided, however, the relationship between the hearing officer and the respondent student must be one which is free from duress or coercion, and is a relationship which is objective and conducive to the purpose of an administrative hearing.

iv. If a student chooses to admit to a violation of law or university regulations, the student may request that the sanction be imposed by the appropriate university official. At this hearing, the student may present witnesses and other evidence relevant to the offense that may mitigate the disciplinary sanction in the student's favor.

b. Description of Institutional Administrative Procedures

i. The university official hearing each case, in cases held under Institutional Administrative Procedures, shall be as follows:

1. The Director of Housing, Associate Director of Housing, Area Coordinators, or Apartment Managers, or designee where the alleged violation is of the Residence Hall Association (RHA).

2. The Dean of Students or designee where the alleged violation is of university regulations other than those of the RHA.

3. Conflicts of any university official hearing the case will be addressed prior to the hearing, if known. Additionally, the hearing process itself allows for respondent student(s) to address concerns related to conflicts or bias.

ii. Due process procedures shall be observed in all administrative hearings under Institutional Administrative Procedures.

iii. Appeals Under Institutional Administrative Procedures

1. Cases heard by the Director of Housing or designee may be appealed to the Dean of Students or designee.

2. Cases heard by the Dean of Students or designee may be appealed to the Vice President for Student Affairs or designee.

c. Description of Institutional Judicial Procedures

i. Purpose of the Judiciary. The purpose of Institutional Judicial Procedures shall be to provide fair and just treatment in cases involving either violation of university regulations or infringements upon students' rights, and to take appropriate measures for those found responsible.

ii. Due process procedures shall be observed in all hearings under Institutional Judicial Procedures.

iii. Components of the Judiciary. The Judiciary of East Tennessee State University shall consist of the following components:

1. The University Judicial Committee shall be the highest court authorized by the university president.
2. The Student Court shall be the next highest court within the student judicial system.
3. The Residence Hall Association (RHA), Inter-Fraternity Council (IFC), Panhellenic Council (PC), and the Pan-Hellenic Council (PHC) Judicial Boards shall each be lower courts within the student judicial system.

d. Appeals

- i. All cases may be appealed by the student or organization in question to the next higher judicial authority in accordance with the Appeal Procedures provided below.
- ii. Appeals for decisions of the University Judicial Board will be reviewed by the Vice President for Student Life and Enrollment. The decision of the Vice President for Student Life and Enrollment is final.

iii. Appeal Procedures

1. If the respondent desires to appeal, a statement of reasons for appealing must be forwarded to the Dean of Students (or designated college official for academic misconduct cases). This statement must be filed within three (3) days following receipt by the respondent of a copy of the decision being appealed.
2. The statement of reasons for appeal will be forwarded to the appropriate appeal board or officer, which will set a date for reviewing the case and notify the complainant.
3. Appeal hearings are not new disciplinary hearings; they are a review of the existing case. It is not the function of the appeals process to permit a rehearing of the factual issues presented to the adjudicating body, but rather it is to ensure that the disciplinary procedures have been implemented fairly and consistently with these rules.
4. Grounds for Appeal. The appeal must specify grounds which would justify consideration. The written appeal must contain the substantive proof upon which the appellant is basing the appeal. Appeals that do not include the specific information that substantiates the appeal will be immediately denied. General dissatisfaction with the outcome of the decision shall not be accorded as a basis for consideration of an appeal. An appeal may be filed based on one of the following conditions:

A. an error in procedural due process by the body of original jurisdiction which prejudiced the disciplined student to the extent that he/she was denied a fundamentally fair hearing as a result of the error; or

B. the emergence of new evidence which could not have been previously discovered by the exercise of due diligence and which, had it been presented at the initial hearing, would have substantially affected the original decision of the adjudicating body; or

C. the respondent feels that the assigned sanctions are unduly harsh.

5. Appeals which do not allege sufficient grounds shall be denied consideration and dismissed. Appeals which do allege sufficient grounds will be accepted for consideration and forwarded to the appellate body. The appellate body may, at its own discretion, permit written or oral statements from the concerned parties at the time the appeal is considered.

6. The appeal board or officer, upon reviewing the case, will have several options. The original decision may be affirmed or reversed. In cases where the original action is inappropriate as a result of issues involved in the appeal, the appeal board or officer may revert the case back to the original board or hearing officer, modify the original action, or hold a completely new hearing.

7. The appeal board or officer will notify the respondent of the outcome of the appeal in writing within fifteen (15) business days.

8. Special Provisions Applicable to Both Institutional Administrative Procedures and Institutional Judicial Procedures

A. Failure to Appear. If the respondent student fails to appear at the scheduled hearing or provide adequate notice of excuse, the hearing officer or court may:

B. Reset a formal hearing of the case for the next scheduled meeting.

C. Dispose of the case in whatever manner it deems just based upon available information

#### (4) Institutional Judicial Hearings: Composition and Selection of the Courts.

a. The composition of the University Judiciary Courts shall be as follows:

i. The University Judicial Committee shall be composed of the Assistant Dean of Students or designee, President of the Student Government Association (SGA) or designee, Chief Justice of SGA, an Associate Justice, and three of the faculty members appointed to serve by the Vice President for Student Life and Enrollment. Alternates may be appointed. Members are appointed to renewable one year terms. Quorum is 2/3 of the composition of the court. Each member shall have (1) vote. Members may continue to serve until such time as their replacements are appointed or elected and receive all required training.

ii. The Student Court shall be composed of a Chief Justice and seven (7) Associate Justices, one of whom shall be designated to serve as the alternate Chief Justice. Alternates may be appointed. Each member shall be appointed by the SGA president

and confirmed by a majority of the Student Senate present and voting. Members are appointed to renewable one year terms. Quorum is 2/3 of the composition of the court. Each justice shall have (1) vote, with the Chief Justice voting only to break a tie. Alternate Justices may be appointed. Members may continue to serve until such time as their replacements are appointed or elected and receive all required training.

iii. The Residence Hall Association Judicial Board shall be composed of five members appointed by the Director of Housing after being confirmed by a majority of the Residence Hall Association present and voting. Alternates may be appointed. Members are appointed to renewable one year terms. At least three members must be present to have quorum. Each member shall have (1) vote. Alternate Justices may be appointed. Members may continue to serve until such time as their replacements are appointed or elected and receive all required training.

iv. The Inter-Fraternity Council Judicial Board shall be composed of one representative from each member organization. The Executive Vice President of IFC shall chair the Committee. Members are appointed to renewable one year terms. Alternates may be appointed. Quorum is 2/3 of the composition of the court. Each member shall have (1) vote, with the Chair voting only to break a tie.

v. The Panhellenic Council (PC) Judicial Board shall be composed of one representative from each member organization. The Executive Vice President of the PC shall chair the Committee. The Vice-President for Internal Communication shall serve as Vice-Chair. Members are appointed to renewable one year terms. Alternates may be appointed. Quorum is 2/3 of the composition of the court. Each member shall have (1) vote.

vi. The Pan-Hellenic Council (PHC) Judiciary Committee shall be composed of the president from each member organization. The Vice-President of the PHC shall chair the Committee. Members are appointed to renewable one year terms. Alternates may be appointed. Quorum is 2/3 of the composition of the court. Each member shall have (1) vote, with the Chair voting only to break a tie.

vi. Board members will receive annual training on the student conduct system process, due process, and the hearing of cases. Additionally, Student Court and University Judicial Committee members will receive specialized annual training related to hearing Sexual Misconduct cases.

b. Powers and Limitations. The relative powers of the components of the Judiciary are as follows:

i. The University Judicial Committee shall exercise the highest judicial authority for students on campus, next to that of the Vice President for Student Life and Enrollment and the University President or his/her designee. This committee's authority shall include the right to suspend or expel a student.

ii. The next highest judicial authority shall be vested in the Student Court. All sanctions, with the exception of suspension and expulsion, are available to the Student Court. The Student Court shall have the power to request any member of the student body, a

representative from any campus organization, or any faculty member or administrator to appear before the court, provided that the subpoena/request is issued in writing at least five (5) days prior to the appearance.

iii. The Residence Hall Association, the Inter-Fraternity, Panhellenic, and the Pan-Hellenic Judicial Boards shall provide, through their respective constitutions, the powers and limitations of their respective judicial boards, all of which shall be subordinate to the Student Court.

c. Operation of the Courts. All cases that enter the University Judiciary shall be administered through the appropriate channel:

i. Any member of the university community may file a complaint against any student for misconduct. Complaints shall be submitted in writing and directed to the Dean of Students. A complaint should be submitted as soon as possible after the event takes place, preferably within ten (10) days of the alleged misconduct.

1. Violations of official university regulations other than regulations of the RHA, IFC, the PC's, or General Policies on Student Organizations shall be reported directly to the Dean of Students, who shall either direct that the case be reviewed under the Institutional Administrative Procedures or referred to the appropriate judicial board.

A. Violations of the internal standards of the RHA, the IFC, or PC's shall be reported to the authorities designated in their respective constitutions. Violations of General Policies on Student Organizations shall be reported to the Director of Student Activities.

B. The RHA authorities shall report the case to the Housing office, where the Director of Housing or designee shall either direct that the case be reviewed under the Institutional Administrative Procedures or referred to the Residence Hall Judicial Board.

C. The IFC, PC, and PHC authorities shall report the case to the Director of Student Activities who shall refer the case to the Dean of Students who will either direct that the case be reviewed under the Institutional Administrative Procedures or referred to the Inter-Fraternity Judicial Board, the Panhellenic Judicial Board, or the Pan-Hellenic Judicial Committee.

D. Violations of the Student Government Constitution or Code of Laws shall be reported to the Student Government Vice President, who shall refer the case to the Dean of Students. The Dean of Students shall direct that the case be heard by the Student Court.

ii. All judicial decisions must be reported in writing to the Dean of Students within two (2) class days from such time as the decision has been reached.

iii. Due process procedures shall be observed in all hearings under Institutional Judicial Procedures.

iv. To the extent permitted by law, the circumstances surrounding all cases handled by the University Judiciary shall be confidential.

v. The official records of all cases shall be maintained by Student Life and Enrollment.

vi. All official correspondence concerning the decision of a judicial board, court, or committee shall be by the Dean of Students or designee, except in cases involving interpretation of the Student Government Constitution or Code of Laws. The Chief Justice of the Student Court shall make written report of the decision and the circumstances surrounding it, taking care to exclude any information of a personal nature, to the Attorney General of the SGA.

vii. All hearings by the judicial boards, court, or committee shall be held in closed session unless otherwise requested by the respondent.

viii. All subsequent meetings concerning readmission of students or reinstatement of organizational charters shall be initiated through the Dean of Students or designee.

#### d. Jurisdiction of the Courts

i. Each judicial board or court serves as a court of original jurisdiction.

1. The University Judicial Committee shall hear those cases involving a student who is accused of violating general university regulations, and if found responsible, may be subject to suspension or expulsion from the institution, who have waived their right to a hearing pursuant to UAPA procedures. The Committee shall also hear other cases deemed appropriate by the Dean of Students.

2. The Student Court shall have original jurisdiction in those cases involving alleged violations of general university regulations which do not warrant suspension or expulsion. The Student Court shall also hear those cases involving alleged violations of the Student Government Constitution or Code of Laws, and any other cases deemed appropriate by the Dean of Students.

3. The Residence Hall Judicial Board shall have the original jurisdiction in cases involving violation of Housing regulations, standards established by its constitution, and any other cases referred to it by the Director of Housing.

4. The IFC, the PC, or PHC Judicial Boards shall have the original jurisdiction only in cases involving violations of regulations specified in their own Constitution and By-Laws.

(5) Minimum Requirements of Due Process for Institutional Hearings: Students subject to any disciplinary sanction are entitled to a due process hearing unless that right is waived by the student after receiving written notice of the available procedures. For matters not subject to the requirements of UAPA, or matters in which a student has waived his/her right to a UAPA, East Tennessee State University

has established the following guidelines and rights to address complaints of student or student organization misconduct.

a. Hearing Guidelines

i. At least seventy-two (72) hours prior to the hearing the respondent student is entitled to written notification of the time, date, and place of the hearing; the names of the judicial board members who will hear the case; any witnesses who will be called; and of his or her rights as outlined below.

ii. At least seventy-two (72) hours prior to the hearing the respondent student is entitled to a written statement of the charges in sufficient detail as to enable the student to prepare a case, including how the alleged violation came to the attention of the university.

iii. All administrative hearings and hearings of judicial bodies will be closed, except to the respondent, his/her advisor, the complainant, his/her advisor, the members of the appropriate judicial board/committee, or individual administrator assigned to the case. Witnesses may also appear upon request of the members of the appropriate judicial board/committee, or individual administrator assigned to the case, the respondent, or the complainant.

iv. In hearings involving more than one respondent student, the chairperson of the judicial body or individual administrator assigned to the case, in his or her discretion, may permit the hearings concerning each student to be conducted separately.

v. In cases heard by a judicial board, the respondent student or complainant may challenge the ability of a judicial member to render an impartial judgment and may request the member's removal at or before the time of the hearing. The judicial board will rule on the request. If any members of a judicial board feel that their relationship with either the case or the individuals involved would affect their ability to render an impartial judgment, they may disqualify themselves.

vi. The complainant and the respondent have the right to be assisted by any advisor they choose, at their own expense. The advisor may be an attorney. In non-sexual misconduct cases, the respondent is responsible for presenting his or her own case and advisors are not permitted to speak or to participate directly in any hearing before a judicial body. In cases involving charges of sexual misconduct the following rights, pursuant to Tennessee Public Chapter 980, apply:

1. Complainants and respondents in cases involving charges of sexual misconduct are granted the right to have "active assistance of counsel." "Active assistance of counsel" means the right to be represented by a licensed attorney who is allowed to fully participate in the student disciplinary proceeding or an appeal of a result of a student disciplinary proceeding;

2. Counsel is allowed to "fully participate", i.e. allowed to engage in the following conduct in a student disciplinary proceeding on behalf of a party:

A. Make arguments to the hearing officer, including opening and closing arguments during a hearing and arguments on procedural and evidentiary issues; and

B. Examine and cross-examine witnesses, directly or indirectly, if live witness testimony is presented;

vii. Additionally, as outlined by Tennessee Public Chapter 980, the following apply to cases involving charges of sexual misconduct:

1. The complainant and respondent have the right to request a copy of the institution's investigative file, redacted in accordance with the Family Rights and Privacy Act of 1974 (20 U.S.C. § 12329), and the federal regulations implementing that statute, as amended;

2. The complainant and respondent have the right to request copies of all documents, copies of all electronically stored information, and access to tangible evidence that the institution has in its possession, custody, or control and may use to support claims or defenses, unless the use would be solely for impeachment; and

3. The judicial board members or hearing officer will have received sexual assault/misconduct adjudication training within 12 months prior to the hearing,

viii. The university, the respondent, the complainant and the judicial body shall all have the privilege of presenting witnesses, subject to the right of questioning by the judicial body.

ix. Pertinent records, exhibits and written statements may be accepted as evidence for consideration by a judicial body at the discretion of the chairperson. Formal rules of evidence do not apply.

x. The respondent student and the complainant are entitled to ask questions of the hearing officer, of the judicial board, and of any witnesses called before the administrative or judicial hearing.

xi. Hearings shall proceed in the following order:

1. Reading of the charges

2. The student's denial or admission of the charges

3. Presentation of evidence by the university and questions by the student charged and/or the hearing body

4. Presentation of evidence by the student charged and questions by the university and/or the hearing body, and

5. Closing statement by both parties

xii. After the hearing, the judicial body shall determine (by majority vote if the judicial body consists of more than one person) whether the student has violated each section of the Student Code of Conduct which the student is charged with violating.

xiii. The judicial body's determination shall be made on the basis of the "preponderance of the evidence", meaning, whether it is "more likely than not" that the respondent student violated the Student Code of Conduct.

xiv. The student shall be notified in writing of the decision of the hearing body/authority within five (5) days of the hearing or the judicial body's decision. Every attempt will be made to verbally notify the student of the decision prior to the five (5)-day period. In cases involving alleged sexual misconduct, both the respondent and complainant shall be notified in writing within five (5) days of the judicial body's decision.

xv. There shall be a single record, such as minutes or a tape recording, of all hearings before a judicial body. The record shall be the property of the university.

xvi. Any question of interpretation regarding the Student Code of Conduct shall be referred to the Vice President for Student Life and Enrollment or the Dean of Students.

xvii. The student shall be advised of the method and time limitations for appeal, if any is applicable.

#### b. Victim's Rights

i. Some actions that violate the university regulations involve victimization of one or more students by another student(s). This behavior may include acts of theft or damage to property, physical violence, and other acts that endanger the safety of others in the university community. If a student has filed a complaint and is identified as a victim, that student is entitled to certain rights during the disciplinary process.

ii. If a charge is filed with the appropriate judicial official, it is important to remember that the respondent student is being charged with violating a university rule or regulation. Although a victim's input may be sought during the disciplinary process, the ultimate disposition of the case rests with the university. If a victim withdraws his or her complaint during the course of the disciplinary proceeding, the university reserves the right to proceed with the case on the basis of evidence other than the testimony of the victim.

iii. During the course of a disciplinary proceeding, victims have the following rights:

1. To submit a written account of the alleged incident.
2. To be advised of the date, time and location of the disciplinary hearing, and to request rescheduling of the hearing for good cause.

3. To be accompanied by an advisor of the victim's choosing during the hearing process, although the advisor will not be permitted to speak for the victim during the hearing, except in cases involving alleged sexual misconduct.

4. To testify as a witness during the hearing.

5. To decline to testify, with knowledge that such action could result in dismissal of the university's charges for lack of evidence.

6. To submit a written impact statement to the hearing panel for consideration during the sanctioning phase of the disciplinary process

(6) Interim Suspension Hearings: Hearings conducted with regard to interim suspensions imposed pending the outcome of a disciplinary investigation or proceeding shall be conducted consistent with the minimum requirements of due process applicable to an institutional hearing, taking into account the need for a timely hearing. The evidence presented at the hearing shall be limited to that which is relevant to the basis asserted for imposition of the interim suspension.

(7) The President of East Tennessee State University is authorized, at his or her discretion, to intervene in order to negotiate a mutually acceptable resolution to any disciplinary proceeding, or, subsequently, to convert any finding or sanction imposed to a lesser finding or sanction, or to rescind any previous finding or sanction, in appropriate cases.

Authority: T.C.A. § 49-8-203(a)(1)(D) and T.C.A. § 49-8-101(a)(2)(A).

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: September 20, 2019

ITEM: Academic Action Notifications for the Periods of January 1, 2019 through July 31, 2019

COMMITTEE: Academic, Research, and Student Success

PRESENTED BY: Dr. Wilsie Bishop  
Senior Vice President for Academics and Interim Provost

The ETSU Board of Trustees has directed that staff provide periodic updates on select academic actions. The following agenda materials provide a memorandum outlining the academic action notifications for the period of January 1 to July 31, 2019.

## **Academic Actions Notifications**

### **For the Period of January 1, 2019 through July 31, 2019**

East Tennessee State University Board of Trustees  
Academic, Research, and Student Success Committee  
September 2019

[Internal Tracking Number], (AS) College of Arts and Sciences, BA – Bachelor of Arts, BBA – Bachelor Business Administration, BS – Bachelor of Science, BSEd – Bachelor of Science in Education, (BT) College of Business and Technology, C4 – Graduate Certificate, (CL) Clemmer College, (CR) Clinical and Rehabilitative Health Sciences, MA – Master of Arts, MBA – Master of Business Administration, MEd – Master of Education, MFA – Master of Fine Art, MS – Master of Science, (NU) Nursing, PhD – Doctor of Philosophy, (PU) Public Health

The ETSU Board of Trustees must be apprised of select academic actions taken by the university on a periodic basis. Frequently, broad-sweeping academic actions must occur in response to new or revised guidelines and expectations from sources outside of ETSU such as federal, state, industry, and accrediting agencies. Changes that occurred within the College of Public Health (8-11, 42, 45) and the College of Nursing (6, 20-22, 36-40) were a result of standards imposed from such outside sources. In addition, Federal Financial Aid restrictions prohibit students from receiving federal financial aid for any pre-program major, resulting in the need for more flexibility in current majors and the creation of minors that offer needed preparatory work (25, 31, 32-35). The MA in Criminal Justice and Criminology had substantive changes related to program review recommendations (41). All approvals have been obtained unless otherwise noted.

#### **Academic Actions Submitted to THEC via Notification Schedule**

##### **Establish a Free-Standing Academic Degree Program from an Existing Concentration**

- 1 **BS Health Administration.** The new free-standing degree will replace the BS Public Health/Health Administration concentration. [PU-02550]
- 2 **BS Microbiology.** The new free-standing program will replace the BS Health Sciences/Microbiology concentration. [PU-02400]

##### **Establish New Certificate (12-23 Credits)**

- 3 **C4 Healthcare Genetics and Genomics (12 Credits).** The new certificate – one of only two in the United States to date – provides for students in the health professions a pre-employment education in genetics and genomics. [NU-02628]

##### **Change Name/Title for Program or Concentration**

- 4 **BS Sport and Leisure Management (SALM) program name changed to BS Sport and Recreation Management (SARM).** The degree name change more accurately reflects the degree's focus on management and sport programming. [CL-03012]
- 5 **Construction Technology concentration name changed to Construction Engineering Technology (within the BS in Engineering Technology).** The new name better reflects the current curriculum and addresses an accrediting agency issue regarding the name of the program and the name on the ETSU transcripts. [BT-02568]
- 6 **C4 Family Nurse Practitioner name changed to C4 Post Graduate Family Nurse Practitioner.** Certification in this concentration may be obtained by students who already have a graduate degree in nursing. [NU-02968]

→See also Nursing-related Substantive Revisions for additional changes in name/title for program/concentrations.

### **Establish New Concentration**

- 7 **Cybersecurity and Modern Networks concentration in the BS in Computing.** This new concentration emerged due to expressed interest in the discipline, and headline data breaches underscore the need for advanced training in modern networking [BT-02350]

### **Change (Increase or Decrease) the Number of Credits in an Existing Program**

- 8 **C4 Health Care Management.** Credits changed from 18 to 16 [PU-02557]
- 9 **C4 Rural Health.** Credits changed from 15 to 17 [PU-02467]
- 10 **C4 Public Health.** Credits changed from 15 to 16 [PU-02466]
- 11 **C4 Epidemiology.** Credits changed from 15 to 16 [PU-02533]
- 12 **C4 School Library Professional.** Credits changed from 26 to 24 [CL-02798]

→See also Nursing-related Substantive Revisions for additional changes in number of credits.

### **Change the Primary Delivery Mode for an Existing Academic Program**

- 13 **BA/BS in Sociology.** Changed from Traditional to Traditional and Fully Online [AS-02539]
- 14 **MBA Business Administration.** Changed from Traditional to Traditional and Hybrid. Course offerings will transition over several semesters to the dual modality, allowing for the first graduate of the fully online MBA program to finish in May 2021 [BT-02769]
- 15 **MEd Reading.** Changed from Hybrid to Fully Online. Successful teachers with three or more years of experience are eligible for the Reading Specialist endorse upon completion of this program. [CL-02677]

### **Terminate an Academic Program or Concentration**

- 16 **C4 Business Administration.** This certificate's enrollment has declined to zero in the past two years because students select the master's program instead. Current students will be able to complete the certificate by 2022. [BT-02548]
- 17 **Pre-Collegiate Mathematics concentration in the MS in Mathematical Science.** This grant-initiated concentration started 14 years ago in an Abingdon cohort. Due to the lack of student interest over the past several years, department faculty recommended termination. A teach-out plan will be provided for the two current students. [AS-02280]
- 18 **School Library Media concentration in the MEd School Librarianship.** The degree name was changed to M.Ed. in School Librarianship, effective May 2018. Since all coursework in the School Library Media concentration is now in the MEd in School Librarianship degree, the concentration is no longer needed. [CL-01898]
- 19 **Studio Art concentration in the MFA in Studio Art.** In 2018, THEC approved a name change from an MFA in Art to an MFA in Studio Art. Therefore, the concentration in studio art is no longer needed. [AS-01953]
- 20 **Post DNP Family Nurse Practitioner.** See Nursing-related Substantive Revisions [NU-02607]. SACS approval pending.
- 21 **Post DNP Psychiatric Mental Health Nurse Practitioner.** See Nursing-related Substantive Revisions [NU-02966]. SACS approval pending.
- 22 **Post DNP Executive Leadership in Nursing.** See Nursing-related Substantive Revisions [NU-02960]. SACS approval pending.

## **Academic Action Notifications to the ETSU Board of Trustees**

### ***Establish Policy - Admissions***

- 23 ***BS Computing with a Concentration in Cybersecurity and Modern Networks.*** Establishes guidelines for admission to this selective, cohort-based program, to ensure that admitted students are academically prepared for the highly technical advanced coursework [BT-02569]

### ***Revise Policy - Admission***

- 24 ***All BBA Programs.*** Indicates that some majors or concentrations may specify higher-grade performance guidelines for courses in the shared B.B.A. core than the C stated in the current policy [BT-02992]
- 25 ***BS Human Services*** (admission and progression policy). Allows students to: 1) enroll in the majors or minor associated with teacher licensure at any time, 2) be formally admitted after reaching set criteria (eliminating the current boarding interview) and, 3) progress through specific well-defined requirements in order to progress through their program of study [CL-02749]
- 26 ***BSW Social Work.*** Permits students to transfer in up to nine social work credits when applying to the program. It replaces the policy that permitted a transfer of only six, which did not accommodate the full nine social work pre-requisites required for acceptance into the program [CR-02532]
- 27 ***MA Counseling.*** Includes a flexible GRE requirement, updated admission date, information about the background check policy, and clearer admission evaluation criteria [CL-02408]
- 28 ***MA/PhD Psychology.*** The revised policy aligns the Experimental Psychology concentration's application deadline with the Clinical Psychology PhD concentration's deadline of December 1 [AS-02956]
- 29 ***MS Computer and Information Sciences.*** Updates the GRE scoring information to current standards and aligns program English proficiency requirements with those posted by the ETSU School of Graduate Studies [BT-02771]

### ***Revise Program Progression Policy***

- 30 ***BBA Accountancy.*** Raises the required minimum score for students to be able to progress in the program, ensuring that only the students who remain in the program are academically prepared for the advanced coursework required [BT-02765]
- BS Human Services.*** See # 24
- 31 ***Educational Foundations & Special Education Programs: (1) BS Early Childhood, (2) BSEd Elementary Education, (3) BS Kinesiology, Physical Education K-12 Concentration, (4) BS Special Education, and (5) Secondary Education Minor.*** Permits students to enroll in the majors or minor associated with teacher licensure at any time, be formally admitted after reaching set criteria (eliminating the current boarding interview), and then progress through specific well-defined requirements to progress through their program of study [CL-02697]

### ***Establish Minor (18-21 Credits)***

- 32 ***Epidemiology.*** 18-credit minor designed to provide training to students who are pursuing public health or health sciences careers; four required courses and two electives [PU-02097]
- 33 ***Health Administration.*** 21-credit minor that covers the foundational concepts of health administration along with an understanding of the key roles of healthcare administrators [PU-02558]
- 34 ***Secondary Education Teacher Preparation.*** Adds Residency II and Seminar (9 + 3 credits) to the minor for students who may ultimately seek licensure [CL-02817]

### ***Substantive Revision - Degree***

- 35 ***Family Nurse Practitioner*** - substantive revision [NU-02584] with **title change** to ***Post Graduate Family Nurse Practitioner*** [NU-02968], and an **increase in credits** from 21 to 24 [NU-02969]
- 36 ***Psychiatric Mental Health Nurse Practitioner*** - substantive revision [NU-02597] with **title change** to ***Post Graduate Psychiatric Mental Health Nurse Practitioner*** [NU-02967], and an **increase of credits** from 21 to 24 [NU-02716]

- 37 ***Nursing Administration*** - substantive revision [NU-02620], with **title change** to ***Post Graduate Nursing Administration*** [NU-02623], and an **increase of credits** from 19 to 24 [NU-02622]
- 38 ***Post DNP Adult Gerontological Nurse Practitioner*** - substantive revision [NU-02626] with a **decrease in credits** from 40-32 [NU-02627]
- 39 ***Nursing Education*** - substantive revision [NU-02579] with a **title change** to ***Post MSN in Nursing Education*** [NU-02970]
- 40 ***MA Criminal Justice and Criminology***. Core curriculum updated to reflect all three components of the criminal justice system (law enforcement, courts, and corrections), and admissions requirements were updated to align with similar programs elsewhere in the discipline [AS-01755]

### ***Substantive Revision - Certificate***

- 41 ***C4 Health Care Management, C4 Rural Health, and C4 Public Health – and Change of Credits***. Revised to incorporate the new MPH foundational courses in its core curriculum, and elective options adjusted to incorporate new MPH concentration courses [PU-02556, PU-02461, and PU-02439]
- 42 ***School Library Professional Certificate – and Change of Credits*** – Change allows more time for students to complete Practicum hours while reducing the overall core hours. [CL-02535]

### ***Other***

- 43 ***Name Change of a Minor from Secondary Education to Secondary Education: Non-Licensure*** – Distinguishes the minor from the "Secondary Education Teacher Preparation" minor which leads to a teacher license. [CL-02843]
- 44 ***Revision of Articulation Agreement for the PharmD/MPH Program***. Required for consistency with the new MPH curriculum to ensure that all students receiving an MPH degree are taught and assessed in the required competencies. [PU-02497]

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: September 20, 2019

ITEM: Chairs of Excellence Update

COMMITTEE: Academic, Research, and Student Success

PRESENTED BY: Dr. Cheri Clavier  
Director of Institutional Effectiveness and  
Accreditation Liaison

SACSCOC Standard 7.3: Administrative effectiveness requires ETSU to identify expected outcomes of its administrative support services and demonstrate the extent to which the outcomes are achieved. At the September 2018 meeting of the ETSU Board of Trustees Academic and Student Affairs Committee, Dr. Bert Bach indicated that all ETSU Centers and Chairs of Excellence would be reviewed during the 2019 calendar year. Leaders of each of ETSU's Centers of Excellence were asked to provide an annual report or conduct a more detailed periodic review. Personnel evaluations are completed annually for all ETSU Chairs of Excellence, but more extensive periodic reviews were initiated this year. Dr. Cheri Clavier, Director of Institutional Effectiveness and Accreditation Liaison, will provide a status update for these ongoing reviews of ETSU's Centers and Chairs of Excellence.

# **Administrative Reviews: Centers and Chairs of Excellence**

*Presentation to the ETSU Board of Trustees:  
Academic and Student Affairs Committee*

**September 20, 2019**

Dr. Cheri Clavier, Director of Institutional Effectiveness and  
Accreditation Liaison



EAST TENNESSEE STATE  
UNIVERSITY

## **Process and Calendar**

- Developed by Office of Planning and Decision Support and approved by Provost
- Similar to academic program review
- Aligned with SACSCOC 7.3: Administrative effectiveness
  - Identify expected outcomes
  - Demonstrate extent to which outcomes are achieved
- Conducted during 2019 calendar year



# Reviews of Centers of Excellence



## Goals

- Evaluate quality and productivity
- Determine the extent to which Centers fulfil their original missions as funded by state and donor monies
- Provide information and/or support for new strategies, products, and technological innovations
- Ensure services provided are of the highest possible quality



## Types

- Annual Report
  - Submitted each spring
  - Internal process
  - Ensures all are operating according to their purpose
- Periodic Review
  - Occurs every 5 years
  - Includes
    - Self-study
    - On-site visit
    - Evaluation
  - Provides external perspective



## Annual Report

- Introduction and Executive Summary
  - Background and structure
  - Purpose/scope
  - Challenges/opportunities
- Mission and Goals
  - Alignment with original purpose and ETSU mission
  - Assessment measures used
  - Evidence of achievement
- Conclusion
  - Best practices to continue
  - Opportunities for improvement
  - Pressing needs
  - Future projects



## Periodic Review

- Introduction and Executive Summary
- Mission and Goals
- Conclusion
- Operational Processes
  - How things work
  - Decision-making process and priorities
  - Prevention vs. correction
  - Implementation of best practices
- Operational Environment
  - Collaboration with other units and stakeholders
  - Action on ideas
  - Response time and effectiveness
  - Service



## Status: Annual Reports

- Center for Community College Leadership
- Center of Excellence for Sport Science & Coach Education
- Center of Excellence in Paleontology
- Center of Excellence in Mathematics & Science Education



## Status: Periodic Reviews

- Center of Excellence for Appalachian Studies & Services
  - Self-study completed
  - Site visit scheduled for September 12-13
- Center of Excellence in Early Childhood Learning and Development
  - Self-study in progress
  - Site visit not yet finalized



## Reviews of Chairs of Excellence



## Goals

- Reflect adherence to the principles specified in the original proposal to establish the Chair

## Types

- Annual Review
  - Conducted each spring
  - Personnel evaluation
  - Required of all ETSU employees
  - Follows appropriate ETSU policy
- Periodic Review
  - Occurs every 4 years
  - Managed by Deans
  - Includes
    - Self-study narrative
    - Colleague recommendations
    - Stakeholder conversations
  - Provides external perspective

## Periodic Review

- Considers the appointee's
  - overall effectiveness in meeting the purpose and scope of the endowment
  - abilities of leadership and administration
  - managerial skill
  - fairness in making decisions
  - rapport with stakeholders
  - professional achievements



## Provisos

- Faculty rank/status not impacted by termination as Chair of Excellence
- Chair of Excellence may relinquish duties and withdraw from review process
- Unscheduled reviews may be conducted based on justifying information
- Persons planning to retire on/before the following September not evaluated



## Status

- Carroll H. Long Chair of Excellence in Surgical Research
- Cecile Cox Quillen Chair of Excellence in Geriatrics and Gerontology
- LeeAnne Brown and ETSU Physicians & Associates Chair of Clinical Excellence
- Paul Dishner Chair of Excellence in Medicine
- James H. Quillen Chair of Excellence in Education
  
- Wayne G. Basler Chair of Excellence for the Integration of the Arts, Rhetoric, and Science (rotating position)
  
- AFG Industries Chair of Excellence in Business and Technology
- Allen and Ruth Harris Chair of Excellence in Business



## Acknowledgements

- Planning and Decision Support staff
  - Dr. Mike Hoff, Associate VP
  - Ms. Leigh Lewis, Assistant Director of Assessment
  - Ms. Katalin Hajnal, Office Coordinator
- Deans
- Chairs of Excellence and Center Directors
- External reviewers



EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: September 20, 2019

ITEM: Student Success Work Update

COMMITTEE: Academic, Research, and Student Success

PRESENTED BY: Dr. Joe Sherlin, Vice President for Student Life and Enrollment

Dr. Sherlin will provide an update of four major reviews to support the institution's student success agenda. Dr. Sherlin will highlight institutional reviews of undergraduate enrollment services, university advising, tuition and financial aid optimization and the first year experience. Dr. Sherlin will review a number of early findings as well as next steps as the university pursues strategies to meet its strategic planning objectives.

# Student Success Work Update

Academic, Research, and Student Success Committee  
ETSU Board of Trustees  
September 20, 2019

Joe Sherlin  
Vice President for Student Life and Enrollment



## Undergraduate Metrics

- Six year graduation rate at 50%
- First year persistence rate at 75%
- Degree production increased by 16%
- Multifaceted Approach
  - We have picked the low hanging fruit
  - How can we do it better?



## Undergraduate Enrollment Services Review

- Review of ETSU's application of best practice in Strategic Enrollment Management
  - AACRAO Consulting (American Association of Collegiate Registrars and Admissions Officers)
    - Structure and Staffing
    - Policies and Practices
    - Technology Review
    - Marketing and Communication
    - Data and Strategy
    - Recruitment and Retention



## Early Findings and Next Steps

- Information
  - Data driven environment
- Integration
  - Break down silos
- Communication
  - Build a culture
- Personalization
  - Tell our story
    - ROI/Competitive advantages
- Report and Recommendations
  - 3, 6, 12 month
  - Long term



## Undergraduate Advising Review

- Review of ETSU's application of best practice in Undergraduate Advising
  - Education Advisory Board (EAB)
    - Structure and Staffing
    - Policies and Practices
    - Technology Optimization
    - Data and Strategy
    - Retention and Graduation



## Early Findings and Next Steps

- Quality Assurance
  - Policy and Practice
  - Metrics
- Prioritization
  - Utility Infielders
- Integration
  - Data System
- Leadership and Accountability
  - Model and Oversight
- Report and Recommendations
  - Operationalize



## First Year Experience Review

- Assure that every student has a first year that supports academic success, personal growth, and retention to the second year
  - First Year Experience Committee
    - Classroom engagement
    - Academic support
    - Social connection and belonging
    - Administrative service orientation
    - Scaled and integrated experiences
      - Preview, 1020, and BIGS



## Early Findings and Next Steps

- Coordination
  - Communication Inventory
- Scale
  - Replicate and grow what is working
- Investment
  - Time and resources
- Report and recommendations
  - Fall 19 – receive, review and phase 1 planning
  - Spring/Fall 20 – phase 1 implementation
    - Customer service training, financial process review, student on-boarding
  - Fall 21 – phase 2 implementation
    - Required Preview, first-year course, freshmen live-on



## Financial Aid and Scholarship Review

- Review pricing and aid strategy for optimal alignment with enrollment and success goals
  - Pricing and discount rate
  - Merit and need-based aid
  - In-state and out-of-state strategy
  - Price and tuition elasticity
  - Model of delivery
- Next Steps
  - Fall 19 – consultation and confirmation
  - Spring 20 – internal adjustment and communication
  - Fall 20/Spring 21 – external communication and marketing
  - Fall 21 - implementation



## Our Challenge – Get it Right!

- Undergraduate Enrollment Management
- Undergraduate Advising
- First Year Experience
- Financial Aid and Scholarship Optimization
  
- THEC Report on 2010 Cohort



EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES  
ACADEMIC, RESEARCH AND STUDENT SUCCESS COMMITTEE

INFORMATION ITEM

DATE: September 20, 2019

ITEM: Memorandum of Understanding with Ballad Health

COMMITTEE: Academic, Research, and Student Success

PRESENTED BY: Dr. Brian Noland  
President

East Tennessee State University and the health professions programs offered through its Academic Health Sciences Center have been affiliated with the hospitals within region for over sixty years. During the summer of 2016 discussions began with the leadership of Mountain States Health Alliance (MSHA), the health science center deans, President Noland, and Vice President Bishop to begin the development of a Memorandum of Understanding (MOU) that outlined the infrastructure, standing rules, and opportunities for collaboration going forward. At its June 9, 2017 meeting the Board of Trustees approved the MOU with MSHA. A similar MOU was developed with Wellmont Health System followed by Board of Trustees approval on November 10, 2017.

Based on these two agreements with the legacy systems of Ballad Health, the university's leadership worked to establish a similar MOU with Ballad. President Noland and Ballad CEO Alan Levine have signed an MOU that provides the university and Ballad a foundation for working collaboratively within the areas of education, clinical and community-based care and innovation, and research.

Specifically, the MOU:

- Affirms mutual commitment to providing medical and health professional education, conducting research and improving the health and welfare of the people of our region.
- Affirms commitment of the two institutions to develop a strategic relationship governed at a senior level which will benefit the respective goals of Ballad Health and ETSU.
- Identifies a joint purpose and common objectives including:
  - Educating and training current and future healthcare providers;
  - Improving the health of the region by addressing the leading health determinants and challenges of the region;
  - Providing high quality, affordable, and accessible healthcare across the clinical spectrum and lifespan;

- Advancing the understanding of health and disease through research
- Working toward interoperability of information, health records, clinical, and research platforms to support achievement of mutual goals.
- Provides an infrastructure for strategic initiatives as well as implementation of joint and mutually beneficial endeavors to include the following jointly staffed councils:
  - Coordinating Council
  - Joint Education Council
  - Joint Clinical Practice Council
  - Joint Research Council.
- Acknowledges importance of the primary relationship between Ballad Health and ETSU in developing an academic health center model for our region.

A copy of the MOU, as well as proposed members for each of the affiliated councils, is provided in the following agenda materials.

**OPERATING MEMORANDUM OF UNDERSTANDING**

**between**

**EAST TENNESSEE STATE UNIVERSITY**

**and**

**BALLAD HEALTH**

**PREAMBLE**

The parties hereto intend this Operating Memorandum Of Understanding ("MOU") for the purpose of formally recognizing the cooperative efforts of East Tennessee State University, a Tennessee state institution of higher education ("ETSU") and Ballad Health, a Tennessee not-for-profit corporation ("Ballad"), and to delineate the general responsibilities of each in a mutually beneficial agreement in order to improve medical and health professional education, research, academic enhancement and health care for citizens of this region and the State of Tennessee.

**RECITALS**

WHEREAS, ETSU, through the five colleges of its ETSU Academic Health Sciences Center (each a "College" and, collectively, "Colleges"), shares with Ballad Health a long-standing and highly effective commitment to providing medical and health professional education, conducting research and improving the health and welfare of the people of northeast Tennessee and southwest Virginia;

WHEREAS, through their health professional education, inter-professional delivery of health care, focused research, community service, and their long-standing contributions to the region, the Colleges are uniquely qualified to expand their existing collaborations with Ballad Health to more effectively and efficiently improve the lives of people living in the region;

WHEREAS, Ballad operates health care facilities and programs for the benefit of the citizens of northeast Tennessee, southwest Virginia and beyond, serves as a venue for the provision of health professional and medical education, conducts research, provides community service, and provides a unique and necessary outlet for the training and education of health professionals from the Colleges;

WHEREAS, Ballard and the Colleges have indicated an interest in jointly working to improve the health and welfare of the people in the region;

WHEREAS, the Medical Education Assistance Corporation ("MEAC") is a private non-profit corporation established to support ETSU's medical education-related objectives, and the parties intend Ballard's contractual relationship with MEAC, or any successor to MEAC, to be subject to this MOU in the same manner as ETSU;

WHEREAS, Ballard and ETSU believe that a strategic relationship between the two organizations governed at the senior level will benefit the respective goals of Ballard, ETSU and its Colleges.

WHEREAS, this MOU does not alter the responsibilities and authority of the governing bodies of the participating organizations.

THEREFORE, the parties agree as follows:

I. JOINT PURPOSE AND COMMON OBJECTIVES

Each party thereby commits to cooperative effort for the benefit of the region and the States of Tennessee and Virginia by improving healthcare through the following common objectives:

1. Educating and training current and future healthcare providers and related professionals in the region to possess the knowledge, skills, and abilities necessary to improve the health of the people living in the region;
2. Improving the health of the region by addressing the leading health determinants and challenges of the region through an integrated and collaborative program of inter-professional education, research, clinical care, and community-based activities;
3. Working together to provide, within the region, high quality, affordable, and accessible healthcare across the clinical spectrum and individual lifespan;
4. Advancing the understanding of health and disease through research and translating these advances into improved healthcare delivery and effective community health improvement programs.
5. Ballard and ETSU will work toward the adoption and development of inter-operability of information, health records, clinical, and research platforms that effect goals set forth in this

MOU to ensure clinical, financial and analytical data is available for patient care, research and quality improvement purposes.

## II. ORGANIZATION AND GOVERNANCE

The parties recognize that Ballad and its Medical Staff have sole responsibility for control of intra-hospital activities and that ETSU and its faculty have sole responsibility for the conduct of the educational activities of the Colleges. Each party agrees to respect these rights and ensure that the philosophy of this MOU is implemented.

## III. COORDINATING COUNCIL

1. Mission and Responsibilities. ETSU and Ballad agree to build on their existing relationships to create a robust collaboration by creating a senior level committee ("Coordinating Council") that will meet regularly to ensure close and on-going collaboration, explore and address current and future trends in healthcare and community health, evaluate the changing health status of the region, share best practices, and bridge the historical divide between "academia" and the "work-place."
2. Composition. The membership of the Coordinating Council will be comprised of the following:
  - a. one currently serving board member of Ballad;
  - b. one currently serving board member of ETSU;
  - c. the current Chief Executive Officer of Ballad;
  - d. the current President of ETSU;
  - e. a designee of the President of ETSU;
  - f. a senior administrator of Ballad with responsibilities for education mission;
  - g. one *ad hoc* representative of ETSU, identified annually by, and serving at the pleasure of, the President of ETSU; and
  - h. one *ad hoc* representative of Ballad, identified annually by, and serving at the pleasure of, the Chief Executive Officer of Ballad.
3. Duties and Responsibilities. The Coordinating Council will provide guidance to ETSU and Ballad leadership regarding strategy, policy, financial, and advocacy recommendations; make recommendations on education, clinical care, clinical training, research relationships, and perform conflict resolution. The Coordinating Council will also have responsibilities for

oversight of strategic initiatives, accountability for successful development of an academic health center, and advocacy for the common goals of the two organizations set forth in this MOU and its Exhibits. The Coordinating Council will annually establish a three to five year strategic plan for its collaborative goals and recommend an operating budget for same. The Coordinating Council will also approve the coordinating and operational arrangements of the committees tasked with fulfilling the goals set forth in this MOU, which will be attached as Exhibits, hereto, and as subsequently drafted and submitted to the Council in the future. The Coordinating Council will have the authority to review proposals and initiatives proposed by such committees, and will develop guidelines for review of same.

4. Meetings. The Coordinating Council will generally meet every two months, but not less than four times each year. The Council will establish appropriate rules of order for its meetings and may organize sub-committees with participation of non-members of the Coordinating Council from each institution as required to perform the business of the Council outlined in this section.
5. Charter. The Coordinating Council will adopt a charter to govern the scope and manner in which it conducts its business in accordance with the goals outlined within this MOU.

#### IV. APPOINTMENTS AND JOINT EMPLOYMENT

1. Appointment. As set out more fully in the attached Exhibits, Ballard will appoint appropriate professional personnel of ETSU (upon consultation with the President of ETSU) as voting members of Ballard' relevant board and professional committees and organizations, who will, participate as full members on such committees and organizations. Examples of such committees and organizations include, but are not limited to, Ballard' finance, social responsibility, quality and workforce board committees, and Ballard' professional committees such as Pharmacy and Therapeutics, Clinical Council, and similar committees according to the specific professional disciplines. Likewise, ETSU will appoint appropriate professional personnel of Ballard (upon consultation with the President of Ballard) to appropriate positions on advisory and/or administrative committees at ETSU, including, but not limited to, ETSU's professional admissions and inter-professional committees, as well as administrative councils within ETSU, its Academic Health Sciences Center ("AHSC") and its colleges. ETSU may grant Administrative and clinical personnel at Ballard adjunct or other faculty positions, as

appropriate. Participation by each party on the other's respective operations committees and various ad hoc committees will be addressed, as appropriate, by the respective committees.

2. Duties. The parties acknowledge that each's membership on committees of the other is intended to ensure collaboration and communication while also remaining compliant with the best practices of governance. As such, any personnel appointed to serve on a committee or organization must act, at all times during performance of such roles, in the best interest of the organization to which committee he/she is serving. To the extent any ETSU personnel serve on a committee of the Board of Directors of Ballad, or on any operating committee or organization, each such individual will be required to perform with a duty of care, loyalty and obedience to Ballad, and shall acknowledge compliance with such duties is mandatory for continued service. Similarly, to the extent any Ballad personnel serve on a committee or organization associated with ETSU, each such individual will ensure they act in the best interest of ETSU in carrying out their responsibility as a member of such committee.
3. Joint Employment. As set out more fully in the attached Exhibits, future hires of Ballad and ETSU may hold joint positions between Ballad and ETSU, with collaboration on employee performance assessments and evaluations, as appropriate.
4. Employee Recruitment. In accord with the strategic initiatives of both parties, efforts will be made to coordinate recruitment of professional employees to their respective organizations.

## V. EDUCATION AND TRAINING

1. ETSU and Ballad will create a joint education council, with representation from the leadership of both parties, to pursue superior educational environments for the benefit of students and trainees from ETSU, ensure that such educational environments align and support top decile patient care and efficiency at Ballad facilities, and ensure that the educational needs of Ballad employees are adequately addressed.
2. ETSU and Ballad will work to develop, implement and evaluate new models of collaborative care and inter-professional education.
3. The Council will receive input, advice, and suggestions, on ensuring the quality and relevance of training programs for meeting the health needs of the region, and to explore the need for new degrees, certificates, or other training opportunities to address regional health needs.

4. Ballard and ETSU will collaborate to ensure that opportunities for workforce development including developing new academic programs and formal academic training are made available to Ballard employees.
5. In developing an academic health center model, ETSU and Ballard recognize the other as a primary partner for their respective areas of expertise. ETSU training programs, including graduate medical education, will remain a priority within Ballard facilities located in Tennessee, and Ballard will collaborate with ETSU in any academic, research or clinical opportunity throughout the health system, as recommended by the Coordinating Council and approved according to the governing policies of each party. Likewise, clinical and academic program endeavors by Ballard will remain a priority within ETSU. To ensure sustainability for current ETSU programs (including student and resident enrollment and placement of ETSU students) and to promote opportunities for development of new programs that further the objectives set out in this MOU, Ballard shall provide a reasonable opportunity for ETSU to participate (or decline to participate) in amending existing programs or creating new programs proposed to be located in Tennessee prior to Ballard seeking collaborative opportunities with other academic institutions. Likewise, ETSU shall provide a reasonable opportunity to Ballard to participate (or decline to participate) in amending existing programs or creating new programs proposed to be located in Tennessee prior to ETSU seeking collaborative opportunities with other health care providers.
6. This relationship will not prevent students at other educational institutions from receiving training at Ballard sites nor prevent ETSU from engaging with other training sites. The process for pre-licensure clinical scheduling for nursing students will continue to follow the guidelines established by the Appalachian Consortium for Nursing Education and Practice.
7. The parties commit to providing a learning environment fully compliant with the criteria of the relevant accreditation and regulatory bodies for all training and related issues under the control of the respective party.

## VI. CLINICAL AND COMMUNITY-BASED CARE AND INNOVATION

1. The delivery of clinical care within each Ballard, ETSU and MEAC facility and program is governed by the respective medical staff bylaws and operating policies of each organization. There are a number of areas where, for the purposes of furthering the goals and objectives of

this MOU and its Exhibits, it is desirable for the clinical enterprises to meet collaboratively. ETSU and Ballad will create a joint clinical practice council with multi-disciplinary clinical and administrative representation from the leadership of both parties for the purposes of ensuring communication and coordination of all clinical activities that are jointly delivered in a high quality and efficient manner, including but not limited to:

- a. facilitating and simplifying transition of care, communications, and referrals between Ballad and ETSU clinics and facilities;
  - b. working together to develop patient care protocols across disciplines to support the delivery of high-value care across the clinical spectrum, and
  - c. working together to model innovative approaches to inter-professional care.
2. ETSU and Ballad will work to continue support for, and expansion of, the existing network of "safety net" clinics and related services provided by ETSU.
  3. As identified by the workforce needs assessment process, and where appropriate, Ballad will work with ETSU to identify and recruit health care professionals to provide care not adequately available for the citizens of the region and to provide training in those fields as appropriate.
  4. Ballad and ETSU will work together with relevant governmental and nongovernmental organizations to explore how best to provide community-based healthcare services in locations where such care is currently unavailable or insufficient.

## VII RESEARCH

1. ETSU and Ballad will create a joint research council that will meet regularly to explore potential opportunities to collaborate on the conduct of clinical and community-based research, grant writing, data analysis, and other areas of collaboration.
2. ETSU will use its unique position to assist in the integration of the research-infrastructure of Ballad and ETSU, in relation to both research in specific areas (e.g. translational biomedical research, nursing research, outcomes research, and population health research) and specific research functions (e.g., evaluation, trial design, data analysis, grant administration, and compliance).

3. ETSU and Ballard will work together to take advantage of the unique opportunities that a large data-set of clinical information offers for efforts to study, understand, and improve health outcomes in the region.
4. ETSU and Ballard will work together to identify and sponsor high-priority research areas where new knowledge and program interventions can significantly address the identified health challenges of the region, such as prescription drug abuse, obesity, cardiovascular disease, stroke, diabetes and other chronic conditions, and social determinants of health.

#### VIII. BALLAD RELATION WITH EACH COLLEGE

The parties recognize the unique relationship Ballard has with each College and their respective attributes and core services. The particular exchange of training and services for each College are further described in the attached Exhibits, which are fully incorporated hereby. Given the expected growth and development in the relationship of each College and Ballard, the Exhibits may be updated and amended from time to time.

#### IX. ENTIRE AGREEMENT

This MOU shall serve as the master governing document incorporating all current contracts and affiliation agreements until such time as it may be amended or terminated as outlined in this MOU.

X. EXHIBITS

It is the intent of the parties that any arrangement between the parties, or their affiliates or subsidiaries, be incorporated as an exhibit to this MOU, and that no arrangement be entered or maintained which has not been considered through the structure created by this MOU and reflected as an exhibit hereto. The Exhibits, to be entered into and subsequently incorporated into this MOU, will establish the coordinating and operational arrangements between the parties as negotiated by the applicable working groups, colleges, or divisions of the parties. Currently, such relationships are often reflected in affiliation agreements and program letters of agreement between the parties. These Exhibits, outlining the broad working relationship of the parties, will be reviewed and approved by the Coordinating Council, as set forth in this MOU. Each Exhibit should, at a minimum, detail specific goals of the joint effort to be pursued, operating procedures for the joint governing structure responsible for the oversight of the joint goals and efforts outlined in each Exhibit, standard progress measures and reporting requirements related to the joint goals and efforts, including mutual conditions of payment and compliance required of each particular agreement between the parties overseen by the Exhibit. Other detailed and particular agreements between the parties, such as joint employment and/or recruiting agreements, professional agreements, marketing and communications agreements, and joint ventures, are subject to this MOU, but will be reviewed and approved by appropriate internal processes of the parties, and will not be submitted directly for prior approval to the Coordinating Council, except on special request or to resolve a dispute between the parties. A complete and up to date inventory of all such agreements will be maintained and summaries of all upcoming new, expiring and agreement amendments will be available for review at each Coordinating Council meeting.

XI. MISCELLANEOUS

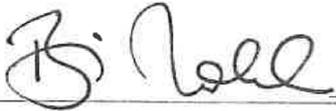
1. Any and all claims against the university for personal injury and/or property damage resulting from the negligence of the university in performing any responsibility specifically required under the terms of this MOU shall be submitted to the Board of Claims or the Claims Commission for the State of Tennessee. Damages recoverable against the university shall be expressly limited to claims paid by the Board of Claims or Claims Commission pursuant to T.C.A. Section 9.8.301 et seq.

2. This document may be modified and revised by mutual consent. It shall be reviewed at least annually by the Coordinating Council and the respective parties. Further, it is understood and agreed that this Operating MOU will be implemented by subsequent supplemental agreements, as necessary, between Ballad and each College regarding specific programs and responsibilities contemplated hereunder (which shall be attached as the Exhibits).
3. This Memorandum of Understanding shall be for a term of five (5) years, but may be terminated by either party upon one (1) year's written notice.
4. In the event any part of this MOU is declared illegal or unenforceable for any reason, then, in that event, that part of the MOU shall be deleted and the balance of the MOU shall remain in full force in issue; provided, however, the parties may renegotiate the portion declared illegal or unenforceable.
5. The parties acknowledge that they must comply with Title VI and VII of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, and Section 504 of the Rehabilitation Act of 1973, Executive Order 11, 246 and the related regulations to each. Each party ensures that it will not discriminate against any individual including, but not limited to employees of ETSU or applicants for employment with ETSU and/or students, because of race, religion, creed, color, sex, age, handicap or national origin.
6. The parties acknowledge that they must to take affirmative action to ensure that applicants are employed and that employees are treated during the employment without regard to their race, religion, creed, color, sex, handicap or national origin. Such action shall include, but not be limited by the following: Employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection available to employees and applicants for employment.
7. Ballad shall maintain documentation for all charges against the University under the MOU. The books, records, and documents of Ballad, insofar as they relate to work performed or money received under this MOU, shall be maintained for a period of three full years from the date of the final payment, and shall be subject to audit, at any reasonable time and upon notice, by the institution or the Comptroller of the Treasury, or their duly appointed representatives.

- 8. Ballard represents that it will not knowingly utilize the services of illegal immigrants in the performance of this MOU and will not knowingly utilize the services of any subcontractor, if permitted under this MOU, who will utilize the services of illegal immigrants in the performance of this MOU.
- 9. Ballard represents that it will not utilize the services of any individual required to register as a sex offender under Title 40, Chapter 39 of the Tennessee Code Annotated or any similar law.
- 10. This MOU shall be governed by the laws of the State of Tennessee.
- 11. The University will comply with the Tennessee Open Records Law in performing its duties under this MOU.

**THE UNDERSIGNED** do hereby agree to the provisions of this Operating Memorandum of Understanding by and between East Tennessee State University and Ballard Health.

EAST TENNESSEE STATE UNIVERSITY

BY: 

Print Name: Dr. Brian Noland

Title: President

Date: 3-12-19

BALLAD HEALTH

BY: 

Print Name: Alan Levine

Title: Chairman and Chief Executive Officer

Date: 3-12-19

EXHIBIT "A"  
OPERATIONS AGREEMENT  
BETWEEN  
BALLAD  
AND  
ETSU ON BEHALF OF ITS QUILLEN COLLEGE OF MEDICINE

# MEMORANDUM

**TO:** Mr. Alan Levine, Chairman and Chief Executive Officer, Ballad Health  
**FROM:** Dr. Brian Noland, President, East Tennessee State University  
**DATE:** September 20, 2019  
**SUBJECT:** MOU Committees and Council Appointments

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ESTU's proposed membership for the Coordinating Council and three operating councils:

## **Coordinating Council**

*Ron Ramsey – ETSU Board representative*  
*Brian Noland – ETSU President*  
*David Linville – designee of the President*  
*Bill Block – ad hoc member of ETSU*

## **Education Council**

*Wendy Nehring (lead)*  
*Debbie Byrd*  
*Don Samples*  
*Beth Fox*  
*Rob Pack*

## **Clinical and Community – Based Care and Innovation**

*Bill Block (lead)*  
*Wendy Nehring*  
*Debbie Byrd*  
*Sheri Holmes*  
*Don Samples*  
*Deb Slawson*

## **Research Council**

*Jon Moorman (lead)*  
*Randy Wykoff*  
*Wendy Nehring*  
*David Stewart*  
*Andy Clark*  
*Timir Paul*

I look forward to a meeting of the Coordinating Council in the near future that can provide the initial framework for the operating councils to stand up soon thereafter. Our staff can coordinate with yours to select an optimal date and time. Dr. Linville will currently serve as the point of contact for ETSU. Please let me know if you have any questions or concerns. We are looking forward to having these councils operational.

EAST TENNESSEE STATE UNIVERSITY  
BOARD OF TRUSTEES

INFORMATION ITEM

DATE: September 20, 2019

ITEM: Research and Innovation Working Group Report

COMMITTEE: Academic, Research, and Student Success

PRESENTED BY: Dr. Brian Noland  
President  
Dr. Wilsie S. Bishop  
Senior Vice President for Academics and Interim Provost

President Noland provided to the ETSU Board of Trustees in November 2018 a concept for a new position at ETSU that would strengthen the university's research footprint and alignment with the Ballad Health System. This position would be a senior/vice presidential level role to lead strategies in research, innovation, and economic development and to work with community partners for maximum synergies. Subsequent to this meeting, a work group was formed in May 2019 with a charge to provide two specific deliverables that would establish the role and organizational structure for the Vice President for Research and Innovation (VPRI) position. In addition, the work group was requested to also provide an updated Research Strategic Plan with fiscal notes that aligns with the University' Strategic Plan for 2016-2026 and the identified strategic initiatives related to research, innovation, and economic development.

This information item presents the reports from this work group in the form of two *Reports* for the Committee's information and discussion to include:

- 1) Position description with proposed qualifications for Vice President for Research and Innovation
- 2) Infrastructure and additional positions needed to support the office of the VPRI
- 3) Projected hire no later than July 2020
- 4) A one-page executive summary of a Research Planning Report that synthesizes major research studies conducted at the university over the past five years to identify research strengths and opportunities.
- 5) A set of theme-specific appendices that emerged from a compilation and distillation of recent reports, consultations, and strategic plans.

### ***Deliverable #1 Structure, Position Description, and Implementation***

*Working from the premise that a Vice President for Research and Innovation would be created, and using the Organizational Design Elements provided, the work group took the first steps of turning the concept of the VPRI role into reality by developing the position and its place in the ETSU organizational structure to include: (1) an organizational structure to support this function while collaborating with the academic enterprise of the University; (2) a description of the role and responsibilities for this position; and (3) a timeline/process for implementation.*

### ***Deliverable #2 Research Strategic Planning Report***

*The Working Group on Research and Innovation completed a review of the Research Strategic Plan developed in 2015 and other research related documents that have been compiled in the last five years to identify the scope and focus of research at ETSU. This report provides an updated Research Strategic Plan with fiscal notes that aligns with the University's Strategic Plan for 2016-2026 and the University's identified strategic initiatives related to research, innovation, and economic development.*



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EAST TENNESSEE STATE UNIVERSITY

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Working Group  
on Research and Innovation

Deliverable #1:  
Structure, Position Description, and  
Implementation

August 1, 2019

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*Deliverable #1 - Working from the premise that [a senior/vice presidential level role to lead strategies in research, innovation, and economic development] will be created, and using the Organizational Design Elements provided, turn this concept into reality by developing the position and its place in the ETSU organizational structure to include: (1) an organizational structure to support this function while collaborating with the academic enterprise of the University; (2) a description of the role and responsibilities for this position; and (3) a timeline/process for implementation.*

## Introduction

As stated in the charge to all working groups and task forces, “the purpose of this University-wide emphasis on operational alignment is to assure that the University’s organizational structure and leadership team is aligned with our mission and with our strategic initiatives. This intensive review will increase focus, reduce redundancy, identify accountability, and best position the institution for the next ten years.” The work of the Research and Innovation Working Group (RIWG) seeks to position ETSU to meet the institution’s regional stewardship mission as well as the ETSU 2036 vision of our institution becoming “a nationally preeminent center of research and scholarship that contributes to the intellectual, social, cultural, and economic benefit of our region.” To do so, the RIWG believes, will require significant investment in research and innovation infrastructure and a cultural shift among ETSU administrators, staff, faculty, departments and colleges. In alignment with the 2015 Research Strategic Plan, the RIWG defines research broadly to comprise traditional research, scholarship as defined by Boyer (1990), and creative activity that leverages university and regional intellectual, social, cultural, health and economic assets. Innovation, too, is defined broadly as the process of making changes to something established by introducing something new (O’Sullivan D & Dooley L, 2008). Despite broad definitions, the RIWG contends that, in a resource constrained environment, focusing research and innovation investments in ETSU’s current and potential strengths is necessary. The 2019 Research Strategic Plan outlines current and future strengths from the perspective of the RIWG.

The RIWG recognizes and appreciates the uniqueness of the institution. For example, ETSU is the only member of the Association of Academic Health Centers located in the Appalachian Region that is not located in a major metropolitan area. Identifying benchmark institutions that capture the college/school composition, regional mission, and student population in terms of number and demographics is difficult. Over the past 108 years, it has never been ETSU’s mission to be a research intensive (i.e., R1) institution. The recommendations of the RIWG do not position ETSU to be so. Importantly, however, the uniqueness of ETSU is a significant asset, and the institution is well positioned to advance research and innovation not only regionally, but nationally and internationally. To do this, our existing and potential strengths should be identified explicitly and provided with necessary and dedicated leadership and resources for growth. To this extent, the creation of Vice President for Research and Innovation (VPRI) position would foster warranted attention to and change in the research and innovation cultures at ETSU. The RIWG recognizes, however, that hiring of a VPRI alone is not sufficient to elicit large scale change. Additional infrastructure, including personnel resources, will be needed to position

the university for research and innovation growth. Per the charge to the RIWG, the report presented hereafter focuses on creation of the VPRI position and the associated Office of the VPRI (OVPRI) including suggestions as to how the OVPRI could operate based on a review of benchmark institutions.

## Position Description – Vice President for Research and Innovation

East Tennessee State University announces the search for its Vice President for Research and Innovation. As Chief Research Officer of the university, the VPRI will work closely with the President, college deans, department chairs, and faculty to establish ETSU's national prominence for research and knowledge. The VPRI will be responsible for championing and enhancing the research and innovation ecosystems of the institution.

The VPRI will be responsible for leading the transformation of ETSU's research and innovation profile, including enhancing research expenditures, extramural funding, and regional, national, and international public-private partnerships and technology transfers. As a member of the President's Executive Leadership Team, the VPRI will champion research and innovation activities emerging from regional health system partnerships, including creation and operation of a collaborative research institute. The VPRI will serve as the Chair of the Board of Directors of the ETSU Research Foundation and will advocate operational excellence in research and innovation on the University Council. The VPRI will be responsible for strategically optimizing research investments and expenditures (e.g., foundation funds, indirect cost allocation) to position the university for continued research growth. The VPRI will promote a research and innovation environment that values success, and attracts, rewards, and retains research and innovation excellence. The VPRI will provide oversight to ETSU's research and innovation physical and computational infrastructure, facilities, centers, and institutes, and foster development and growth of technology-based companies and economic development of the region. The VPRI will support cross-college research and innovation collaborations, coordinate institutional research and innovation endeavors and products from idea generation to market delivery, and ensure compliance with research and innovation policies and procedures.

### Minimum Qualifications:

- Doctoral degree, including M.D., M.D./Ph.D., or Ph.D. and eligibility for the rank of Professor in a discipline at the institution
- Minimum of 10 years administrative experience, including research administration, in a complex academic institution, or relevant government agency
- Demonstrated success in obtaining competitive extramural research funding
- Record of fostering an environment that promotes the growth of faculty scholarship, creative activity, innovation, and funded research
- Demonstrated success in building interdisciplinary teams and faculty research productivity across disciplines
- Demonstrated experience in developing research strategies, promoting entrepreneurship, and building corporate partnerships
- Experience in identification, protection, marketing, and licensing of intellectual property
- Experience interacting at the institutional level with major federal funding agencies and private funding sources
- Excellent verbal and written communication skills

## Preferred Qualifications:

### Demonstrated experience and success:

- developing research collaborations between academic institutions and health care systems
- taking thoughtful risks that rely on data and input from others to foresee possible threats or unintended consequences from decisions
- promoting innovation, establishment of start-up companies and managing technology transfer
- working with local, regional and state economic development agencies
- facilitating the recruitment of outstanding research faculty and/or research groups
- broadening participation in research, scholarship and creative activity
- implementing research compliance policies
- promoting the integration of the research and educational missions of the university
- engaging in professional societies, including one or more leadership roles

East Tennessee State University is a regional state-supported institution serving approximately 14,500 undergraduate, graduate, and professional students yearly across 11 schools and colleges. In addition, ETSU's Academic Health Science Center (ETSU Health), which is comprised of five colleges and multiple centers is the only Association of Academic Health Centers member institution located in Appalachia that serves a primarily rural area. Established in 1911, ETSU has a strong history of regional stewardship and a vision to improve the quality of life in the region by becoming a deeply engaged research institution. Strengths in Appalachian Studies, Creative Arts, Education, Health Sciences, Public Health, and Science contribute to research and educational environments well positioned for growth. ETSU is located in the beautiful, prosperous, Southern Appalachian Mountain community of Johnson City. The northeast corner of Tennessee, which surrounds Johnson City, is metropolitan in population (approximately one million people within a seventy-five mile radius) but provides a friendly, small town atmosphere. The area abounds in scenic beauty and in places of historical interest.

## Organizational Design Elements – Office of the Vice President for Research and Innovation

As requested in the charge to the Working Group, Meltsner and Bellavita's (1983) Organizational Design Elements were used to conceptualize the Office of the Vice President for Research and Innovation and components thereof. Element-specific questions proposed to the RIWG are provided below and responded to accordingly.

### Goals

*What are the operational goals of the unit?*

The mission of the OVPRI is to 1) advance ETSU's research and innovation culture, capacity, and enterprise through strategic planning, initiatives, and partnerships; 2) advocate for support and recognition of ETSU research and innovation activities; and 3) champion research and innovation dissemination.

With leadership from the VPRI, the OVPRI is expected to spend its time:

- Championing the research and innovation ecosystems of the institution (VPRI)
- Identifying and enabling innovative opportunities for sponsored research growth (VPRI)
- Optimizing research investments and expenditures (e.g., foundation funds, indirect cost allocation) to position the university for continued research growth
- Collaboratively fostering operational excellence across all offices and divisions engaged in research and innovation activities, including but not limited to the Offices of Research and Sponsored Programs, Finance and Accounting, Human Resources, and University Counsel
- Providing oversight to ETSU's research and innovation physical and computational infrastructure, facilities, centers, and institutes (VPRI)
- Creating a research and innovation environment that values success, and attracts, rewards, and retains research and innovation excellence (VPRI)
- Increasing the visibility of research and innovation (OVPRI)
- Providing oversight and visioning to the ETSU Research Foundation (VPRI)
- Strategically increasing the scale and impact of research and innovation at ETSU (OVPRI)
- Enabling success of faculty-driven research and innovation (OVPRI)
- Strategically expanding ETSU's research and innovation partnerships regionally, nationally, and internationally (OVPRI)
- Supporting cross-college research and innovation collaborations (OVPRI)
- Coordinating institutional research and innovation endeavors from idea generation to market delivery (e.g., patents, scholarly publications) (OVPRI)
- Leading and assuring institutional research compliance

In so doing, the OVPRI, under the leadership of the VPRI, is expected to advance ETSU's research and innovation outcomes. OVPRI metrics include:

- Number of extramural grant proposals submitted
- Number of PIs submitting extramural grant proposals
- Number of PIs receiving extramural funding
- Extramural funding secured across all funding types
- Intramural funding awarded annually and ROI for funded projects
- Startup funds for new hires
- Bridge funds for faculty
- Total research expenditures
- Number of centers/institutes at ETSU
- Number of IP disclosures annually
- Number of provisional patents filed annually
- Number of patents filed annually
- Funding for student, staff, and faculty innovation
- Number of colleges who have a college-level research officer (e.g., Associate Dean for Research)
- Alignment of research/innovation facilities space to coincide with funding metrics
- Identification and promotion of university research/innovation strengths
- SciVal<sup>®</sup> analytics
- ETSU research and innovation web and social media metrics
- ETSU core facility use
- Philanthropic support for research/innovation
- Faculty, staff, student satisfaction with OVPRI
- Research and innovation policies and procedures
- College-level research strategic plans
- Small business/start-up launches
- Partnerships with regional, national, and international businesses/organizations
- ETSU Research Foundation metrics
- Interdisciplinary and cross-disciplinary grant submissions

*How do the goals of the unit address the 2016-2026 Strategic Plan of East Tennessee State University?*

The 2016-2026 Strategic Plan includes as one of its six key areas *expanding the foundation for scholarly (research and creative activity) excellence and innovation in all disciplines*. The goals of the unit align directly with this strategic initiative, with an emphasis on research.

*Which goals directly address the Strategic Initiatives of the Strategic Plan?*

The RIWG considers the presence of a champion for research at the executive level as a key first step to address each of the six elements of the strategic framework for the aforementioned key area. The six Strategic Initiatives include:

- *Provide support and resources to colleges for stimulating and facilitating collaborative and interdisciplinary research among the colleges and encourage hiring college-level research officers who will act as a college-level resource for sponsored programs administration*
- *Target deficiencies in baseline space needs identified in the ETSU Facilities Master Plan (2014) to ensure the strength, quality, and growth of scholarly activities*
- *Review the availability of research instrumentation and determine whether new core facilities should be established to reduce ongoing expenditures and ensure availability to all faculty*
- *Increase the numbers of tenured/tenure-track faculty with terminal degrees and active research programs*
- *Expand research support (start-up funds) for incoming faculty and “bridge support” for faculty who lose funding but have high probability for new funding*
- *Develop interdisciplinary centers of research to promote sharing resources and increase depth of funding proposals*

Additionally, the OVPRI would facilitate meeting the following strategic initiatives under other key areas:

- *Supporting a strategic growth agenda that maximizes the student experience both inside and outside the classroom (1.c.i; 1.c.iii)*
- *Empowering employees to make ETSU a great place to learn, work, and grow (3.b.i; 3.c.i; 3.d.i)*
- *Supporting Excellence in Teaching (4.b; 4.d)*
- *Leading the region forward through community engagement and service (6.d; 6.e; 6.g)*

Considering Strategic Goals stated in the Strategic Plan, operationalizing the OVPRI would directly support:

- *Receiving \$60 million for research and extramurally sponsored activities (assumed by the RIWG to be on an annual basis)*

*How does the Vision for 125 inform the goals of the unit?*

The ETSU 125 Visioning Report calls for “quantifiable outcomes and measurable performance” across six major themes.

1. *Academically ETSU will be nationally recognized for its outstanding undergraduate and graduate education so that the entire region achieves higher educational attainment, knowledge and skills vital to their lives, careers and a thriving economy*
2. *The Health Sciences Center will be the premier national model for community-based health care, one that improves the health and well-being of the region and those who benefit from its far-reaching innovations*
3. *With a powerful university brand, ETSU will be recognized nationally as a student-centered university fostering a transformative educational experience that affirms the value and richness of diversity.*
4. *ETSU will be a model “Education Corridor” renowned for its constituent-based relationship, in which each individual has access to the knowledge they need, and for the “learning exchange” it has*

*developed with governments, businesses, other schools and colleges for shared resources and collaboration*

5. *Bringing the campus to the community and the community to campus, ETSU will be an even more significant partner in the region's thriving business and intellectual center, which serves as the foundation for a stronger economy and vitality in all areas of life in East Tennessee and neighboring states*
6. *Adopting a front-porch philosophy, ETSU Athletics will significantly engage the campus and the region so that a "culture of success" permeates its character and provides an inclusive community building experience through recreation and competitive sports*

Whereas operationalizing and investing in the OVPRI will arguably positively impact each theme, the RIWG anticipates significant return on investment in operationalizing the vision for theme 2 (e.g., "distinguished as a visible leader in rapidly translating discoveries") and theme 5 (e.g., "established national prominence for research and knowledge"). Without targeted investments in, and clearly articulated support for research and innovation by the President, VPRI, and academic deans, the RIWG perceives ETSU's ability to realize themes 2 and 5 of the Vision for 125 to be limited.

The aspirational Vision for ETSU in 2036 highlights both directly and indirectly the extent to which the university's mission has increasingly embraced research and innovation. Notably, the Vision for 2036 states that ETSU "has evolved into a deeply engaged research institution." Likewise, the Vision for 2036 states, "ETSU's impact on the economic health of the region has positioned the university at the intersection of significant economic development solutions and innovative industries or partnerships fostering a thriving regional business center. ETSU Health Sciences is the premier national model for community-based health care – from education to research to practice." Finally, the Vision for 2036 states, "Through comprehensive marketing and financial planning, ETSU has achieved a solid and continuous resource base that allows it to define opportunities, prioritize initiatives and pursue a strategic growth agenda. Critical to these financial resources are integrated institutional marketing activities, a robust Foundation that generates private support, [and] a Research Foundation that facilitates economic development and technology transfer."

Of the six Committee for 125 Task Forces, the Academics: Health Sciences and Extramural Resources statements point to the need for increased investment in research and innovation. The Academics: Health Sciences task force mentions, "strengthening education and practice would expand research in areas of existing strength." The Task Force envisions an ETSU in 2036 that: 1) develops a research infrastructure with identified centers that allow faculty and students to excel in interprofessional and translational research; and 2) creates identifiable space for interprofessional practice and research to fulfill ETSU's mission. The Extramural Resources task force highlights the need for "community, regional and other public and private partnerships; the fostering of partnerships with private developers to construct new facilities; the ETSU Research Foundation; the Innovation Laboratory, Valley Brook Campus and other potential revenue sites; sponsored programs and more." The Task Force continues, "It is imperative that linkages be developed with regional business, government and non-governmental organizations and that these linkages

influence the university's strategic plan in the coming years. ETSU must become an even greater factor in the regional economy, not only as a provider of higher education but as a major partner in its economic and entrepreneurship development. At the same time, in the short term, we aspire to increase targeted student enrollment, improve and influence pricing models, control academic program costs, grow academic program revenues, foster a culture of philanthropy and a culture of research and enhance research and service revenue. To become a nationally preeminent center of research and scholarship that contributes to the intellectual, social, cultural and economic benefit of our region will require sustained academic program cost controls, targeted program revenue growth and an improved research infrastructure." The Task Force envisions an ETSU in 2036 that: 1) becomes a significant player in the regional economy, not only as a provider of higher education, but as a major partner in its economic development; and 2) becomes a nationally preeminent center of research and scholarship that will contribute to the intellectual, social, cultural and economic benefit of the region.

Overall, the OVPRI, with leadership from the VPRI, will position ETSU to realize its vision as it relates to research and innovation. Just as Committee for 125 Task Forces were tasked with developing a vision in terms of core focus, differentiation, efficiency, and new revenues, the RIWG recognizes that OVPRI unit visioning and planning, absent resource investment, is simply a hallucination.

### **Members**

*Who are the people (or types of job/positions) that will accomplish the work of the unit? Do other units at the University have individuals tasked to perform similar work?*

Per the charge, the RIWG is to assume the Vice President for Research and Innovation position will be created and funded. The VPRI is ultimately responsible for accomplishing the aforementioned outcomes of the OVPRI. Per conversations with the VP for Academics, the RIWG assumes the current Office of the Vice Provost for Research and Sponsored Programs will report to the OVPRI as is operationalized in the proposed organizational chart (Appendix 1). The RIWG recognizes the potential redundancy in some of the current work of the Vice Provost for Research and Sponsored Programs and the proposed work of the VPRI. The RIWG also recognizes what could be perceived as senior research administrator redundancy in the VPRI and the current Vice Provost for Research and Sponsored Programs. However, the RIWG perceives there to be significant benefit to having both individuals involved in advancing the research and innovation agenda in the short term. While no specific implementation timeline was mentioned in the 2016-2026 Strategic Plan, nor in the Vision for 125, the RIWG purports that we are behind. Transitioning the Vice Provost for Research and Sponsored Programs to an Associate Vice President for Research (AVPR) with clearly assigned work for both the VPRI and AVPR, will facilitate meeting strategic plan and visioning goals. Whereas the expertise of the VPRI will determine, in part, the specific work of the AVPR, the RIWG suggests the work of the AVPR include overseeing all aspects of research integrity and sponsored programs.

Additional positions across the institution, some current and some proposed, will accomplish the work of the OVPRI. As described in the 2019 Research Strategic Plan, research and innovation operational excellence is necessary to position the university to meet its research mission and strategic planning goals. This operational excellence encompasses work from idea development to dissemination of results and everything along that continuum. To this end, personnel in multiple offices/divisions will be integral to the success of the OVPRI, including:

- Office of the VP for Business and Finance (post-award grant accounting)
- Office of Planning and Decision Support (data analysis)
- Office of the VP for University Advancement (philanthropy, development)
- ETSU Division of University Relations (marketing, dissemination)

While having a research and innovation advocate represented on the President's Executive Leadership Team is a necessary first step in changing the culture of research and innovation at ETSU, the RIWG strongly notes that additional investments will be necessary; most in the near term. Some of these investments will be and should be informed by the VPRI; however, the RIWG perceives some of the positions to be needed now. These positions are mentioned here and described in more detail in the 2019 Research Strategic Plan. When considering timing of additional investments, the VPRI hire date is considered Day 1.

In place before or on Day 1

- OVPRI Office Manager - The OVPRI Office Manager will ensure that the OVPRI operates effectively, efficiently, and professionally. An acting temporary Office Manager should fill this role until the VPRI selects and hires an Office Manager.
- Assistant Director, Compliance and Training - The Assistant Director for Compliance will provide operational oversight for and coordination of institutional research compliance programs that promote the highest standards of ethics, integrity and responsibility in the conduct of research. S/he will work with stakeholders to develop, implement, and monitor compliance programs to ensure that individuals and the institution carry out research in accordance with applicable federal and state laws and regulations, sponsor guidelines and policies, required protocols and federally mandated agency program requirements. S/he will develop and deliver a multifaceted educational and training program, and will author and disseminate content on relevant compliance issues to the campus community. This position should be filled prior to the arrival of the VPRI.
- Research Integrity Officer (20% effort of current ETSU faculty member) - The RIO facilitates policy development and investigations related to research and scholarly misconduct. This position should be filled prior to the arrival of the VPRI.

Years 1-2

- Subcontract Officer - The Subcontract Officer will assist in establishing, promoting and implementing best practices for sponsored programs subcontracting at ETSU. S/he will assist in developing subcontract templates, tools and resources to facilitate subcontract set-up and management from pre-award to closeout including preparing and negotiating

outgoing subcontracts. S/he will vet potential subrecipients by gathering, reviewing and analyzing subrecipient audit reports and financial documents, and recommending whether to take action in the form of management decisions, special contractual terms, or other subrecipient monitoring measures. S/he will prepare subrecipient monitoring plans; conduct subcontract monitoring in collaboration with project and finance staff, and document monitoring results including performance, compliance with terms and conditions, and budget management.

- Research/Grants Development Specialist – The Research/Grants Development Specialist will assist faculty in identifying, pursuing and securing external funding for sponsored projects from public and private sources. S/he will assist teams in writing, developing and submitting proposals, letters of inquiry and other correspondence to government agencies, foundations, corporations and other sponsors, and facilitate teams along the entire grants development process. S/he will research potential new grant opportunities, compile and analyze data for funding trends, assist in the preparation and delivery of grantsmanship training, and be responsible for the dissemination of funding opportunity information through various media including the web and email.

Years 3 through 5 (informed by VPRI):

- Assistant/Associate Vice Presidents
- Institute/Center Directors
- Research and innovation development specialists
- Core research/innovation personnel

As described in the Implementation Process and Timeline section of the report, the RIWG is hesitant to propose specific administrative personnel-heavy infrastructure absent input from the VPRI. With operational excellence as the target and desiring to be exceptional stewards of institutional resources, the RIWG encourages decision makers to consider developing positions that garner buy-in – both in percent effort and salary support – across colleges who will benefit from the positions.

### **Facilities/Environment**

*Where should this unit be located in relation to the work that it needs to accomplish (this includes both physical location and place on an organization chart)? Consider how the unit is connected to other units within the university and factors that will contribute to effective working relationships with those units. What are the physical characteristics of the space that is needed for the unit to achieve its goals?*

Like other ETSU vice presidents, the VPRI's office should be located in close proximity to the university president, preferably in Burgin Dossett. Other OVPRI key personnel work spaces could be located in other buildings on campus, preferably together as a unit or in subunits in a space that is conducive to serving the faculty and current and potential research and innovation partners. Potential physical space options include but are not limited to space on main campus (e.g., current ORSPA location in Ross Hall), space on the VA campus, or space in the Innovation

Lab. All options have positive and negative characteristics. The RIWG perceives the current ORSPA Ross Hall space to be “hidden” more so than would be desired when fostering partnerships. However, main campus space would likely facilitate faculty access, other than faculty on the VA campus. In the short term, office space for the VPRI is necessary. Per the organizational chart, additional space beyond that currently used by ORSPA staff would be necessary. Given the distinct roles of research and innovation personnel, separate offices may be warranted: the AVP for Research on campus and the future innovation lead in the Innovation Lab, for example. The RIWG suggests the VPRI inform physical placement of OVPRI personnel.

*What is the availability of resources – human and physical to support the work of the unit?*

Per the organizational chart, some human resources are currently available to support the work of the unit, and some human resources are needed. Essential to the success of the OVPRI, in our opinion, is the extent to which operational excellence is achieved as outlined in the 2019 Research Strategic Plan.

### **Structure**

*How should the unit be organized in order to achieve its goals? Consider the formal aspects of how the work is to be done as well as the informal aspects.*

See organizational chart for formal structure (Appendix 1)

VPRI Direct Reports

- Office Manager – OVPRI (current)
- Associate Vice President for Research (current)
- Director, ETSU Innovation Laboratory (current)
- Executive Director, ETSU Research Foundation (current)
- Executive Director, ETSU Collaborative Research Institute (future)

When considering the 3- to 5-year visioning of the OVPRI, the RIWG is reluctant to propose a personnel-heavy structure, especially pertaining to innovation. Per the organizational chart (Appendix 1), the RIWG proposes an emphasis on research in early years and increased emphasis on innovation infrastructure in years 3, 4 and 5. With leadership from the VPRI, an OVPRI strategic plan, as well as a Collaborative Research Institute strategic plan, would guide investments in personnel (e.g., directors, AVPs, support staff).

### **Resources**

*What funding is available to support the work of the unit (consider current budgetary assignments, any reallocation of funds, any new funding that will be needed and possible sources of such funding)? Describe how this unit fits within the existing budget. When and if appropriate, identify formal processes that must be completed to assure budgetary alignment and integration.*

Per the RIWG’s conversations with the VP for Academics, there are no resources allocated to support the work of the unit other than the funds that are currently being invested in ORSPA.

Per conversations with the VP for University Advancement, the ETSU Foundation (Office of University Advancement) does not engage in fundraising efforts for research and innovation. The ETSU Research Foundation does not have advancement personnel tasked with seeking funding to support research and innovation. No endowments exist that support research and innovation directly. Presently, hard dollar investments in research and innovation, other than faculty salary commitment (as percent research effort), is the funding of the RDC (~\$275,000 annually) and salaries for select ORSPA staff. Presently, approximately \$815,000 in state funds is allocated to research infrastructure (i.e., hard dollar investments), and \$545,000 in research infrastructure is funded through indirect cost recovery and the VA (i.e., soft dollar investments). Succinctly, hard dollar investment in research and innovation at ETSU is limited and will need to be increased to support the work of the OVPRI.

To “evolve into a deeply engaged research institution” will require significant investment on the part of the institution, including an investment of hard dollars. It is important to note that, as stated in the 19<sup>th</sup> report of the Blue Ridge Academic Health Group (2015), “research is not a self-supporting activity for any AHC [or institution]. It can be sustained only by a substantial institutional commitment and funds from other sources.” Presently, ETSU has limited institutional commitment and access to funds from other sources. While funds from other sources (e.g., Ballad) could theoretically become available, it is noteworthy that the Blue Ridge Group’s report used the conjunction “and” and not “or” when specifying how research must be sustained. Whereas there are potential mechanisms to increase the university’s stature from a research perspective, such as cluster research faculty hires, doing so requires “substantial investment” and arguably has limited impact on large-scale, university-wide, research and innovation culture change. Succinctly, “evolving into a deeply engaged research institution” will require substantial long-term investment of hard dollars. Therefore, given limited hard dollars with which to work, reallocation of resources will be necessary.

### **Tasks**

*What kind of “work” will be done by this unit? What kind of expertise is needed to accomplish the tasks? Are there position descriptions available? Is any special technology required? Are there university, state or federal regulations that will impact the work of this unit? Are there existing resources in the university that provide services or technology that will support the work of this unit?*

See Goals, Members and Structure sections.

### **Decision-Making**

*After determining the work and tasks of the unit, identify the standard operating procedures, or the processes and rules by which decisions will be made.*

The VPRI will report directly to the President and will have responsibility for institutional level decision making related to research and innovation. As Chair of the ETSU Research Foundation Board of Directors, the VPRI would have input in to ETSURF decisions, but ultimate authority rests with the Board. The VPRI would collaborate with college research officials (e.g., Associate

Deans for Research) via the University Research Advisory Council (URAC) to align college level research decisions with institutional research goals. While college and department level research space allocation decision making would rest with the colleges once assigned, the VPRI would be responsible for decisions about space allocated to specific colleges. The VPRI would also have decision-making authority through membership on boards for centers and institutes (e.g., future ETSU Collaborative Research Institute).

*Where does the unit fit within the governance structure of the University?*

See organizational chart (Appendix 1).

*What are the lines of authority?*

See organizational chart (Appendix 1).

*What decisions have final authority within the unit?*

Institutional research investments, including personnel and infrastructure

Institutional research space allocation

Institutional core research facility decision making

Current ORSPA decision making authority

### **Communications**

*How will this unit communicate with other units within the University?*

Up - Routine meetings with President

Lateral - President's Executive Leadership Team through scheduled meetings; University Council membership, engagement, and reporting

Down - Routine meetings with AVPR (and future OVPRI AVPs); research officers within colleges via the URAC; institute/center directors; core facility directors; email/website communication with faculty/staff/students

*Will this unit have any designated reporting functions with the university's governance system?*

The VPRI will serve on the University Council as an ex officio, voting member. With input from the URAC, the VPRI will routinely report to the University Council the work of the OVPRI and bring research and innovation-related proposals to the University Council that are under the purview of the Council (e.g., "proposals to pursue new strategic agendas that include creating new entities, pursuing new initiatives, approving new commitments to programs that require significant investments of university funds.").

*What opportunities will there be for formal and informal sharing of information, planning strategic initiatives, or common problem solving with other university units?*

One of the main reasons for placing the institutional research officer at the vice president level is to foster formal and informal sharing of information across offices. As stated in the 2019 Research Strategic Plan, interoffice communication is a requirement for research operations excellence. The VPRI will also inform strategic planning at the institutional and college levels and engage regularly with multiple governance organizations, including: Academic Council, Faculty

Senate, Graduate Council, High Performance Computer Cluster Advisory Committee, IRBs, Intellectual Property Advisory Committee, Research Development Committee, Student Government Association, and University Council.

*How will this unit communicate with units outside of the University? Can these outside units be identified now? What mechanisms will there be for formal and informal communication with outside organizations and affiliates?*

A key role of the VPRI is engaging units external to ETSU to champion research and innovation partnerships. Therefore, the VPRI will be responsible for establishing or bolstering communication mechanisms outside of ETSU. Of utmost importance is establishing communication mechanisms with Ballad Health. While ETSU/Ballad Health partnership proposals have been developed, a plan has yet to be operationalized. From a research and innovation perspective, the VPRI should inform these partnerships through communication with the ETSU President and Ballad Health. Ideally, a research and innovation champion would be identified within Ballad Health. Such a champion would work closely and collaboratively and communicate frequently with the ETSU VPRI.

An additional role of the VPRI is communicating and promoting ETSU's research and innovation efforts to constituents. The RIWG perceives this will be accomplished via face-to-face meetings, engagement of the VPRI in regional, state-level, and national research and innovation initiatives, programs, and conferences, and through ETSU's web and social media presence.

## Implementation Process and Timeline

Considering the charge to “position the University for excellence for the next decade,” the RIWG developed the proposed structure of the OVPRI in a manner that adds and transitions entities over a 5+ year timeframe. While the latter year additions and transitions offer a vision of what the OVPRI may be at that time, the RIWG strongly supports providing the VPRI with the resources and autonomy to develop the research and innovation ecosystems, including the personnel needed to do so, with input from the President, University Council, ETSU Research Foundation, and other external constituents as is applicable.

Once approved by the President’s Executive Leadership Team and other constituents as deemed appropriate, the RIWG proposes posting the VPRI position description via routine posting mechanisms. Ideally, the position would be posted Fall 2019 to recruit for a start date of Summer 2020 at the latest. An acting temporary OVPRI Office Manager should be in place on Day 1 and assist the VPRI until (s)he hires an Office Manager. Additionally, the RIWG strongly encourages investment in additional research personnel, described herein. Based on the RIWG’s analysis of peer and benchmark institutions, and as described in the 2019 Research Strategic Plan, the research personnel are warranted regardless of the hiring of the VPRI. The RIWG proposes hiring a Research Integrity Officer and Assistant Director of Compliance and Training prior to arrival of the VPRI. Additional positions are proposed during the 1-2 year timeframe with preference for earlier hiring. Early investments in research infrastructure would signify to VPRI applicants, as well as faculty researchers, that the university is serious about its desire to “establish national prominence for research and knowledge” (Vision for 2036).

The OVPRI implementation process and timeline should be informed by the VPRI and should be considered with regard to retirements, vacancies, and structural changes, as well as efficiencies and relationships developed across university offices to support research and innovation growth. The RIWG foresees addition of assistant/associate vice presidents, director-level positions, additional research and innovation development specialists, and other core personnel as growth occurs. Per the 2019 Research Strategic Plan, the RIWG encourages efficient, evidence (i.e., metric)-based investment of resources in infrastructure.

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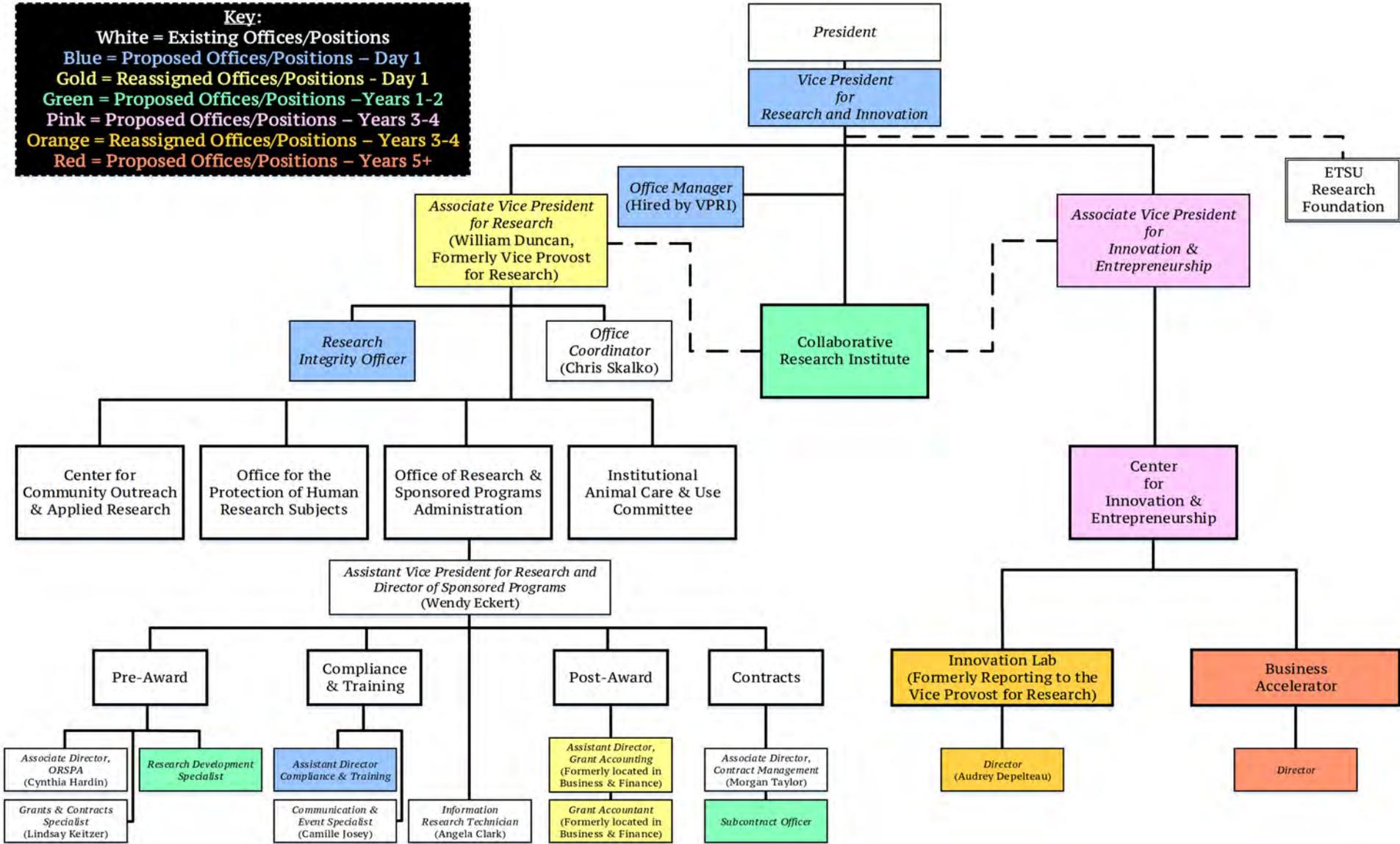
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## Appendix 1: Proposed Organizational Chart

**Key:**  
 White = Existing Offices/Positions  
 Blue = Proposed Offices/Positions – Day 1  
 Gold = Reassigned Offices/Positions – Day 1  
 Green = Proposed Offices/Positions – Years 1-2  
 Pink = Proposed Offices/Positions – Years 3-4  
 Orange = Reassigned Offices/Positions – Years 3-4  
 Red = Proposed Offices/Positions – Years 5+





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EAST TENNESSEE STATE UNIVERSITY

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Working Group  
on Research and Innovation

Deliverable #2:  
Research Strategic Planning Report

September 1, 2019

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## Introduction

As stated in the charge to all working groups and task forces, “the purpose of this University-wide emphasis on operational alignment is to assure that the University’s organizational structure and leadership team are aligned with our mission and with our strategic initiatives. This intensive review will increase focus, reduce redundancy, identify accountability, and best position the institution for the next ten years.” The second deliverable of the Research and Innovation Working Group (RIWG) is a Research Strategic Planning Report – a compilation and distillation of recent reports and strategic plans that brings focus to targeted, short-term research action items. The RIWG recognizes and appreciates the work of previous strategic planning task forces, committees, and working groups. In the past 5 years alone, much work has been done to identify research strengths and opportunities. This work includes:

- ETSU University Strategic Plan 2016-2026
- ETSU Strategic Research Plan 2015
- ETSU 125 Visioning Report
- Research and Economic Development at ETSU White Paper 2018
- ETSU Clinical Research Working Group Report 2018
- ETSU AIM Program Briefing Book
- ETSU AIM Program Site Visit Report

Importantly, there was consensus among the RIWG members that the 2015 ETSU Strategic Research Plan, developed by a diverse cadre of faculty and administrators who represented all schools and colleges, continues to be relevant. Many of the RIWG’s suggestions, therefore, reaffirm items in the 2015 Research Strategic Plan. There was also consensus among RIWG members that the Vice President for Research and Innovation (VPRI, see Deliverable #1) should inform ETSU’s next research strategic plan. Therefore, the RIWG, through reviewing all of the documents mentioned heretofore, developed a concise Research Strategic Planning Report that identifies action items for the next two years (Year 1 = 2019-2020; Year 2 = 2020-2021) and positions the university for research growth upon arrival of the VPRI (anticipated July 2020). Per the charge to the RIWG, the Report aligns with the ETSU University Strategic Plan 2016-2026 and cost estimates are provided. A one-page executive summary of action items is presented hereafter, followed by theme-specific appendices. Readers are referred to RIWG Deliverable #1: Office of the Vice President for Research and Innovation Structure, Position Description, and Implementation Report for additional context.

## Research Strategic Planning Report – Executive Summary

### **RSPR1. Foster institutional and college-level research infrastructure growth and operational excellence. (Supports University Strategic Plan items 5a, 5b, and 5c)**

1. In addition to the Vice President for Research and Innovation position, create and fill Research Integrity Officer, Assistant Director of Compliance and Training, and Subcontract Officer positions to bolster institutional research infrastructure.
2. Develop and fill college-level research leadership position (e.g., Associate Dean for Research) and research services manager position (shared or individual) in each college.
3. Establish ad hoc committee with representation from faculty who conduct externally funded research, college-level research leadership (e.g., Associate Dean for Research), the Office of Research and Sponsored Programs, the Office of the VP for Business and Finance (post-award grant accounting, procurement, budget development and control), the Office of Human Resources, the Office of Planning and Decision Support (data analysis), the Office of the VP for University Advancement (philanthropy, development), the Office of Facilities Management, Planning, Design and Construction, and the ETSU Division of University Relations (marketing, dissemination) to: 1) review, revise, and construct policies that position the institution to meet its research mission; and 2) establish interoffice research communication norms that foster operational excellence.
4. Transition grant accounting personnel from the Office of Business and Finance to the Office of the Vice President for Research and Innovation.

### **RSPR2. Identify, invest in, and increase the visibility of research strengths, growth areas, and partnerships. (Supports University Strategic Plan items 5b, 5c, 5d, 5e, and 5f)**

1. Actively promote and market ETSU's research successes and mission, including making research prominent on the ETSU web page.
2. Using key outcome measures for the OVPRI, engage the Office of Institutional Research to establish and maintain research data collection definitions and mechanisms, including undergraduate, graduate, and professional student research engagement metrics.
3. Cultivate development of interdisciplinary Centers and Institutes in strength areas, with particular emphases on regional health-system partnerships.
4. Create mechanism(s) to align faculty recruitment efforts with research strengths and growth areas.
5. Create and/or enforce college-specific bridge funding mechanisms for highly productive faculty.
6. Objectively analyze and optimize use of research space considering both funding metrics and engagement of students in research activities.
7. Evaluate and disseminate return on investment data for current research investments, including investments in start-up packages and Research Development Committee funding dedicated to research projects.

### **RSPR3. Link research to the educational experience (Supports University Strategic Plan item 1c)**

1. Explore barriers and facilitators to undergraduate student engagement in research.
2. Leverage undergraduate, graduate, and professional student research engagement data and downstream career successes to enhance student recruitment, student outcomes, and the overall university brand.
3. Promote and expand funding for student engagement in research activities.

## Appendix 1 – Foster institutional and college-level research infrastructure growth and operational excellence. (RSPR1)

***1.1. In addition to the Vice President for Research and Innovation position, create and fill Research Integrity Officer, Assistant Director of Compliance and Training, Subcontract Officer positions to bolster institutional research infrastructure.***

Justification: Additional infrastructure is needed prior to arrival of the VPRI to bolster capabilities of the Office of Research and Sponsored Programs. Compared to peer and benchmark institutions, ORSPA is understaffed. The Research Integrity Officer (RIO)(Year 1) will facilitate policy development and investigations related to research and scholarly misconduct. The Assistant Director of Compliance and Training (ADCT)(Year 1) will provide operational oversight for and coordination of institutional research compliance programs that promote the highest standards of ethics, integrity and responsibility in the conduct of research. The ADCT will work with stakeholders to develop, implement, and monitor compliance programs to ensure that individuals and the institution carry out research in accordance with applicable federal and state laws and regulations, sponsor guidelines and policies, required protocols and federally mandated agency program requirements. The ADCT will develop and deliver a multifaceted educational and training program and will author and disseminate content on relevant compliance issues to the campus community. The Subcontract Officer (SO)(Year 2) will assist in establishing, promoting and implementing best practices for sponsored programs subcontracting at ETSU. The SO will assist in developing subcontract templates, tools and resources to facilitate subcontract set-up and management from pre-award to closeout including preparing and negotiating outgoing subcontracts. The SO will vet potential subrecipients by gathering, reviewing and analyzing subrecipient audit reports and financial documents, and recommending whether to take action in the form of management decisions, special contractual terms, or other subrecipient monitoring measures. The SO will prepare subrecipient monitoring plans, conduct subcontract monitoring in collaboration with project and finance staff, and document monitoring results including performance, compliance with terms and conditions, and budget management.

### Timeframe:

Year 1 – Research Integrity Officer (20-33% effort of current ETSU faculty member); Assistant Director of Compliance and Training

Year 2 – Subcontract Officer

### Metrics:

Positions created and filled

### Estimated Annual Costs:

Research Integrity Officer: \$20,000; Assistant Director of Compliance and Training: \$75,000;

Subcontract Officer: \$75,000

Total Year 1: \$95,000

Total Year 2 and recurring: \$170,000

***1.2. Develop and fill college-level research leadership position (e.g., Associate Dean for Research) and Research Services Manager position (shared or individual) in each college.***

Justification: Presently, four colleges have Associate Deans for Research. Research officers are needed in colleges to advocate for the college's research agenda, communicate with, inform the work of, and collect college-level data for the Office of the Vice President for Research and Innovation, facilitate recruitment of faculty in alignment with research strengths and growth areas across colleges, and serve on the University Research Advisory Council (URAC). This action item directly aligns with University Strategic Plan item 5a. Three colleges presently employ Research Services Managers or equivalent personnel. RSMs facilitate the submission of grants by faculty in their colleges.

Timeframe:

Year 1 – Associate Deans for Research

Year 2 – Research Services Managers (shared or individual)

Metrics:

Positions created and filled

Estimated Annual Costs:

ADRs: \$140,000 (average of 30% effort of faculty member x 4 colleges); RSMs: \$375,000 (\$75,000 per RSM x 5 positions). The RIWG proposes that costs be shared by the colleges and the institution.

Total Year 1: \$140,000

Total Year 2 and recurring: \$515,000

***1.3. Establish ad hoc committee with representation from faculty who conduct externally funded research, college-level research leadership (e.g., Associate Dean for Research), the Office of Research and Sponsored Programs, the Office of the VP for Business and Finance (post-award grant accounting, procurement, budget development and control), the Office of Human Resources, the Office of Planning and Decision Support (data analysis), the Office of the VP for University Advancement (philanthropy, development), the Office of Facilities Management, Planning, Design and Construction, and the ETSU Division of University Relations (marketing, dissemination) to 1) review, revise, and construct policies that position the institution to meet its research mission; and 2) establish interoffice research communication norms that foster operational excellence.***

Justification: Changing the culture of research at ETSU necessitates operational excellence. Presently, there are inefficiencies, gaps in communication, and ineffective, outdated, and/or prohibitive policies across multiple offices that are well known to ETSU researchers.

Timeframe:

Year 1

Metrics:

1) Policy creation/revision; 2) Operationally excellent research communication

Estimated Annual Costs: No anticipated costs

***1.4. Transition grant accounting personnel from the Office of Business and Finance to the Office of the Vice President for Research and Innovation.***

Justification: Transitioning post-award grant management positions – positions funded by indirect cost recovery – will facilitate clear and consistent communication between the OVPRI and funded faculty.

Timeframe:

Year 2

Metrics:

Positions transitioned to OVPRI

Estimated Annual Costs:

No anticipated costs

## Appendix 2 – Identify, invest in, and increase the visibility of research strengths, growth areas, and partnerships. (RSPR2)

### ***2.1. Actively promote and market ETSU's research success and mission, including making research prominent on the ETSU web page.***

Justification: ETSU is currently home to multiple highly productive faculty members. Likewise, ETSU has current research strengths in multiple areas. However, research is not highlighted, and is arguably hidden, on the ETSU home page. Moreover, when research is found, the viewer is not taken to a page that describes our strengths. Peer and benchmark institutions consistently position research front and center on their webpages. Examples include [East Carolina University](#), [University of Missouri-Kansas City](#), and [Old Dominion University](#).

Timeframe:

Year 1

Metrics:

Updated web page; web-related metrics

Estimated Annual Costs:

No additional costs

### ***2.2. Using key outcome measures for the OVPRI, engage the Office of Institutional Research to establish and maintain research data collection definitions and mechanisms, including undergraduate, graduate, and professional student research engagement metrics.***

Justification: The RIWG proposed a comprehensive list of 27 key outcome measures the OVPRI is expected to champion and advance (see Deliverable #1). Presently, data governance is lacking, and collection mechanisms are reactive, incomplete, and shared across multiple offices.

Timeframe:

Year 1

Metrics:

Data governance, definitions, collection, availability, and reporting

Estimated Annual Costs:

Per Associate Vice President of Planning and Decision Support, no additional costs assuming college research officer engagement in data governance.

***2.3. Cultivate development of interdisciplinary Centers and Institutes in strength areas, with particular emphases on regional health-system partnerships.***

Justification: As described in the 2015 Research Strategic Plan, ETSU has notable research assets in multiple areas, including: Appalachian Studies, Creative Arts, Education, Health Sciences, Public Health, and Science. Additional, more specialized pockets of excellence also exist at ETSU. Cultivation of interdisciplinary Centers and Institutions – particularly those that engage regional partners – advances the research mission of the university and the stewardship of place for which the institution is known.

Timeframe:  
Ongoing

Metrics:  
Number of Centers; Number of Institutes; Number of regional health-system partnerships

Estimated Annual Costs:  
Variable

***2.4. Create mechanism(s) to align faculty recruitment efforts with research strengths and growth areas.***

Justification: There is presently not a systematic manner to evaluate the fit of potential faculty with the institution's research strengths and growth areas. Doing so would be mutually beneficial.

Timeframe:  
Year 2

Metrics:  
Presence of mechanism coordinated through Associate Deans for Research and OVPRI

Estimated Annual Costs:  
No additional costs

***2.5. Create and/or enforce college-specific bridge funding mechanisms for highly productive faculty.***

Justification: Productive investigators may episodically struggle to maintain continuous grant support. At these critical time-points, shifting effort from research to clinical activities or losing key research team members is counter-productive to successfully competing for grant funding. Institutional support to cover gaps in funding (i.e., bridge funding) is frequently determined in a case-by-case manner without clear guiding principles or procedures. A transparent and consistent

process would be beneficial both for the faculty principal investigators (PIs) and for college leadership. With this rationale, formal bridge funding policies should be developed, revised if needed, and enforced. The goal of such policies is to temporarily maintain PIs and programs with a high likelihood of funding success in the near future.

Timeframe:

Year 2

Metrics:

Number of college-specific mechanisms in place/enforced

Estimated Annual Costs:

College-specific

***2.6. Objectively analyze and optimize use of research space considering both funding metrics and engagement of students in research activities.***

Justification: The 2014 ETSU Facilities Master Plan indicates a need for a 14% increase in research space from 2014-2024. Presently, research space is allocated to faculty at the college level. The extent to which research space allocations consider both funding metrics and engagement of students in research activities is unknown.

Timeframe:

Year 2

Metrics:

Production of Research Space Report

Estimated Annual Costs:

Potential consultant costs; otherwise no additional costs

***2.7. Evaluate and disseminate return on investment data for current research investments, including investments in start-up packages and Research Development Committee funding dedicated to research projects.***

Justification: The return on investment of institutional resources in start-up packages and hard dollar research funding can and should inform future investments in projects and personnel. Understanding ROI for start-up packages, in particular, can inform faculty recruitment and hiring decisions.

Timeframe:

Year 2

Metrics:

Production of Research ROI Report

Estimated Annual Costs:

No additional costs

## Appendix 3. Link research to the educational experience. (RSPR3)

### *3.1. Explore barriers and facilitators to undergraduate student engagement in research.*

Justification: One element that robustly distinguishes ETSU from other educational institutions in the region is a strong faculty engaged in research. Engagement of undergraduate students in the scholarly and creative activities of university faculty has a proven positive impact on student retention, performance, success after graduation, and ultimately, alumni satisfaction and connectedness with the university. The success of our graduates defines the success of ETSU in accomplishing its primary mission. Hence, a greater emphasis on linking students to research and creative activities of ETSU faculty will make ETSU more competitive among its regional and peer institutions in the recruitment and retention of students and will result in graduation of students more competitive in the workforce marketplace. Understanding barriers and facilitators of engagement in undergraduate research – both from the student and faculty perspectives – would inform the university’s ability to accomplish its primary mission.

Timeframe:

Year 1

Metrics:

Production of report

Estimated Annual Costs:

No additional costs

### *3.2. Leverage undergraduate, graduate, and professional student research engagement data and downstream career successes to enhance student recruitment, student outcomes, and the overall university brand.*

Justification: As mentioned in the justification for 3.1, research capacity and engagement distinguish ETSU from other regional institutions. As an extension of 2.2, a structure for capturing undergraduate, graduate and professional student engagement in research activities, and the impact of research experiences on subsequent career successes, is warranted. Once captured, data should be used to inform recruitment, continuous quality improvement activities, and resource investments.

Timeframe:

Year 1

Metrics:

See metrics for 2.2; Research data incorporated into recruitment messaging; Research messaging incorporated in to ETSU webpage

Estimated Annual Costs:

No additional costs

***3.3. Promote and expand funding for student engagement in research activities.***

Justification: Based on the 2018-19 Annual Report of the Office of Undergraduate Research and Creative Services, there is a need to promote mechanisms that currently exist to engage undergraduate students in research activities, as well as to continue to expand funding for summer research experiences. Data collected from 2.2, 3.1 and 3.2 should be used to inform such investments and promote opportunities to future and current students.

Timeframe:

Year 2

Metrics:

Number of ETSU Summer Fellowship Award proposals funded

Number of colleges applying for and successfully competing for Office of Undergraduate Research & Creative Activities funding mechanisms

Estimated Annual Costs:

\$20,000 in Year 2. The RIWG encourages using data from 2.2, 3.1, and 3.2 to guide subsequent investments.

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