ORDER OF BUSINESS

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II. Roll Call

III. Introductions

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VI. Action Items from the Finance and Administration Committee

A. Amendment of Rule on Use of University Property — Roll Call Vote ........................................... Tab 3

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DATE: February 26, 2015

ITEM: Election of the Vice President for Development and Alumni Affairs

RECOMMENDATION: Approval

PRESENTED BY: Joseph A. DiPietro, President

[The Vice Chair has designated this item for action by the full Board without going through the Executive and Compensation Committee, which is not scheduled to meet again until April 7, 2015.]

Following a national search, Dr. DiPietro recommends the election of Rickey N. McCurry as the Vice President for Development and Alumni Affairs, effective May 15, 2015, with the following compensation:

- Base Salary: $25,583.33 per month (annualized salary of $307,000);
- Non-accountable Expense Allowance: $416.67 per month (annualized allowance of $5,000); and
- Moving Allowance: $20,000.

Copies of the offer letter and Mr. McCurry’s résumé appear on the following pages.

Mr. McCurry is an accomplished advancement professional with substantial senior-level experience in both development and alumni relations in public and private institutions of higher education. He also brings to the position leadership experience within the UT System, having served as Associate Vice Chancellor for Development and Alumni Affairs at UT Knoxville for seven years (including one year in which he also served as the Vice Chancellor in an interim capacity).

As Vice President for Development and Alumni Affairs, Mr. McCurry will also serve as President of UT Foundation, Inc.

MOTION:

That the Board elect Rickey N. McCurry as Vice President for Development and Alumni Affairs, with the initial compensation presented in the meeting materials.
Via Electronic Mail

February 5, 2015

Rickey N. McCurry
RNMcCurry@gmail.com

Dear Rickey:

It is my pleasure to offer you the position of Vice President for Development and Alumni Affairs for The University of Tennessee, effective May 15, 2015, subject to approval by the Board of Trustees and the terms and conditions outlined in this letter. I will recommend your election to this position at the Board of Trustees meeting on February 26, 2015. Your service in this position will be without tenure, without a definite term, and subject to the pleasure of the Board of Trustees.

The position of Vice President for Development and Alumni Affairs also serves as President of the University of Tennessee Foundation, Inc. (UTFI) and reports jointly to the President of the University and the UTFI Board of Directors. In accordance with the Affiliation and Services Agreement and the Employee Services Agreement between the University and the Foundation, simultaneously with your hiring by the University, you are leased to the Foundation under the terms and conditions of those agreements. However, your direct reporting relationship to the President of the University continues, and your service continues to be at the pleasure of the Board of Trustees, which has ultimate authority to set your compensation and to terminate your employment.

The rate of pay for this position is $25,583.33 per month ($307,000 annualized). To assist you in meeting expenses incurred in fulfilling your official responsibilities, you will receive a monthly non-accountable expense allowance of $416.67 ($5,000 annualized), which will be reported as taxable income and included on your W-2 statement, and FICA and Medicare taxes will be withheld. To assist you in relocating to Knoxville, the University will pay you a moving allowance of $20,000, which will also be reported as taxable income and included on your W-2 statement, and FICA and Medicare taxes will be withheld.

This offer is contingent upon documentation of citizenship and/or work authorization as required by the Immigration Reform and Control Act of 1986, successful completion of the required background check for all new employees, standard employee orientation, and disclosure of outside interests in compliance with the University’s Conflict of Interest Policy.
Rickey N. McCurry  
February 5, 2015  
Page 2

To indicate that you agree to these terms and will accept this appointment upon approval by the Board of Trustees, please sign in the space below and return the signed letter to me.

I look forward to working with you in this important leadership role.

Sincerely,

Joseph A. DiPietro  
President

Cc: Office of Equity and Diversity  
Human Resources, Office of Records

I agree to the terms outlined in this letter and will accept this appointment upon approval by the Board of Trustees.

Rickey N. McCurry

February 5, 2015  
Date
RICKEY N. McCURRY

Cell: (812)208-4816  
Office: (812)877-8211  
mccurry@rose-hulman.edu 

4459 South Willowbrook Court  
Terre Haute, IN  47802  
RNMccurry@gmail.com

EDUCATIONAL ADMINISTRATOR/CHIEF EXECUTIVE OFFICER

Accomplished advancement professional with a diverse background in higher education administration and teaching; Consistently successful in resource generation and financial management; Proven leader with a track record of consensus and team building; Strong communications, institutional advocacy, and public relations skills; Areas of expertise include:

- Fundraising
- Foundation Management
- Public Relations
- Leadership Development
- Strategic Planning
- Constituency Development
- Endowment Management
- Fiscal Management
- Conflict Resolution
- Government Relations
- Public Speaking
- Asset Management
- Board Development
- Staff Development
- Corporate Relations

EDUCATION

- Juris Doctorate, North Carolina Central University School of Law, Durham, North Carolina 1984  
  License:  State of Tennessee

- Bachelors of Arts Degree, History, Summa cum Laude, Lane College, Jackson, Tennessee 1981

Certifications


MLI’s purpose is to prepare, enhance and advance the prospect for qualified candidates, who have progressed in their professional careers, to compete successfully, for the positions of president or chancellor at universities or colleges, public or private.

- The Fund Raising School ®, Dallas, Texas 1984, now part of the Lilly School of Philanthropy.
The Fund Raising School teaches comprehensive, proven fundraising concepts and principles, incorporating the latest research. It offers specific tools and techniques that enable and empower fundraisers to effectively plan and manage developmental efforts.

**EXECUTIVE AND LEADERSHIP EXPERIENCE**

**ROSE-HULMAN INSTITUTE OF TECHNOLOGY, Terre Haute, Indiana** 2011- present

**Vice President for Institutional Advancement**

Responsible for the overall administration and management of alumni relations, constituent relations, fund-raising including athletic fund-raising and special events programs for Rose-Hulman Institute of Technology; Serve as a member of the executive management team and report directly to the President of the Institute; Manage a budget of $3 million and a staff of 25. Staff the advancement committee of the Board of Trustees; Recruited to rebuild a program which had undergone years of leadership transition and instability.

**Selected Accomplishments**

- Increased alumni giving percentage from 28 to 32 percent.
- Increased annual support from $4.5 million in 2011 to $13.3 million in 2014.
- Completed a feasibility study for a comprehensive campaign.
- Launched a $300 million comprehensive campaign with over $75 million raised to date in the silent phase.
- Recruited a talented staff including senior level positions in alumni relations, development and advancement services.

**SOUTHERN ILLINOIS UNIVERSITY CARBONDALE, Carbondale, Illinois** 2000-2011

**SOUTHERN ILLINOIS UNIVERSITY FOUNDATION, Carbondale, Illinois**

**Vice Chancellor for Institutional Advancement and Chief Executive Officer**

Responsible for the overall administration and management of alumni relations, constituent relations, fund-raising including athletic fund-raising and special events programs for Southern Illinois University; Served as a member of the executive management team of the University and reported directly to the Chancellor; as Chief Executive Officer reported to the Board of Directors of the SIU Foundation and the Board of Directors of the Alumni Association; Had responsibility for the management of all Foundation activities including a staff of 100, an annual budget of $7 million,
investments of $120 million and total Foundation assets of more than $135 million and all Alumni Association activities including a staff of 10 and a budget of $2 million.

Selected Accomplishments

- Led the Foundation Board in the development of a strategic plan for 2009-2012.
- Led the institution in its first comprehensive campaign to raise $100 million in private support. Exceeded goal securing more than $106 million.
- Built the University’s endowment from $42 million to nearly $90 million.
- Transformed the Foundation Board into an effective and efficient board.
- Strengthened relationship between Foundation Board, Alumni Board and University administrators.
- Managed and administered annual operating budget increase from $4 million to $7 million for the Foundation and $1.2 to $2 million for the Alumni Association.
- Increased total Foundation assets by 125%.
- Directed the cultivation and solicitation of several principal gifts including the single largest gift ($10.2 million) in the University’s history.
- Worked with the Chancellor and Provost to engage deans, faculty, and other academic leadership in the advancement process.

THE UNIVERSITY OF TENNESSEE, Knoxville, Tennessee 1993-2000

Associate Vice Chancellor for Development and Alumni Affairs (1993-2000)
Campaign Director (1995-1998)

Responsible for the identification, cultivation, and solicitation of major gift prospects; Worked with external constituencies such as the UT Development Council and the Chancellor Associates for the development of fund-raising strategies; Served on departmental and university wide committees; Provided coordination, management and leadership for the UT, Knoxville phase ($175 million goal) of the 21st Century Campaign, a 5-year $308 million effort.


Responsible for the overall leadership, management, and administration of the development, alumni affairs, and communications programs of the University of Tennessee, Knoxville; Served as a member of the executive management team and reported directly to the Chancellor; Responsible for a staff of 50 and an annual operating budget of $2 million.

Selected Accomplishments
• Led the University to a record $235 million (goal of $175 million) in the University’s 21st Century Campaign.
• Increased annual fundraising from $16 million a year to $50 million a year.
• Recruited and hired a diverse and talented alumni and development staff.
• Managed a portfolio of major and principal gift prospects.
• Cultivated and solicited several multi-million dollar gifts for the University.

**Meharry Medical College, Nashville, Tennessee 1990-1993**

**Assistant Vice President for Institutional Advancement**

Provided direct leadership and supervision for the Offices of Development, Planned Giving, Records and Research, Gift Accounting, Data Coordination, and Corporate and Foundation Relations; Provided strong institutional leadership in fund raising and development management; Interacted with members of the Executive Management Team and President on advancement issues; Participated in meetings of the Executive Management Team; Communicated with foundations, corporations, individuals, and Board of Trustee members on behalf of the Vice President and the institution; Served as executive staff to the Development and Planning Committee and the Trustee Committee of the Board of Trustees.

**Selected Accomplishments**

• Developed the initial plans for a multi-year $100 million fundraising campaign.
• Established a planned and deferred giving program for the institution.
• Wrote and developed an education and training program for the Board of Trustees on resource development and fundraising.

**The Pennsylvania State University, State College, Pennsylvania 1988-1990**

**Senior Development Officer, College of Communications**

Served as the major gifts fundraiser for the College of Communications and the National Cable Television Center and Museum; Identified, cultivated and solicited major gifts as part of the Campaign for Penn State.

**Selected Accomplishments**

• Secured over $6 million in gifts and pledges for the Campaign.
• Established a volunteer committee to assist the College with development efforts.
• Increased alumni giving to the college.
INDIANA UNIVERSITY OF PENNSYLVANIA, INDIANA, PENNSYLVANIA 1986-1988

**Associate Director of Annual and Planned Giving**

Served as the annual fund officer and the planned giving officer for the institution with responsibility for the direct mail, phone-a-thon, special events and planned giving programs; Supervised a staff of 60 student workers and one clerical staff member.

**Selected Accomplishments**

- Instituted the University’s first fundraising program for parents.
- Started a planned giving newsletter and developed planned giving vehicle specific brochures.
- Created the University Family Campaign for faculty and staff.

LANE COLLEGE, JACKSON, TENNESSEE 1984-1986

**Assistant Director of Development and Coordinator of Alumni Affairs**

Served as the institution’s first assistant director; Responsible along with the director for the fundraising, alumni relations, and communications program for the college; directly responsible for the student fundraising program, the direct mail program and the alumni newsletter.

**Selected Accomplishments**

- Assisted in the development of the first UNCF Lou Rawls Parade of Stars Telethon.
- Organized and supervised the Pre-Alumni chapter of the college.
- Created a Bequest Program for alumni.

**TEACHING EXPERIENCE**

SOUTHERN ILLINOIS UNIVERSITY, CARBONDALE

**Adjunct Professor,** Educational Administration and Higher Education Seminar: Institutional Advancement in Higher Education, College of Education and Human Services.
THE UNIVERSITY OF TENNESSEE, KNOXVILLE

Instructor, First Year Studies, University Core Curriculum

Faculty Member, The University of Tennessee Institute for Leadership Effectiveness, a statewide institute for middle and senior management from higher education institutions throughout the state.

Graduate Students Thesis and Dissertation Committees

Doctoral

Michael Dean (2009)

Masters

Sandra L. McCurry (2010)
Tanna Morgan (2010)

CONFERENCE PRESENTATIONS AND SPEAKING ENGAGEMENTS (SELECTED)

- Council for Advancement and Support of Education CASE) Districts II, III, V, VI
- CASE Corporate and Foundation Relations Conferences
- CASE Institutionally Related Foundations Conferences
- CASE Campaign Strategies Conference
- CASE Major Gifts Conference
- CASE Institute for Senior Advancement Professionals
- Association of Governing Board
- Tennessee Alumni Relations Council
- Southern Illinois University Fort Gordon Military Commencement Speaker, Augusta, GA
- Southern Illinois University Air Force Military Commencement Speaker, Little Rock, AR

UNIVERSITY, PROFESSIONAL AND COMMUNITY SERVICE (SELECTED)

- Member, Masters and Two Doctoral Committees
- Chair, Chancellor Inauguration Committee (2011)
- Member, Search Committee, Provost and Vice Chancellor (2002)
- Member, Search Committee, Director of Intercollegiate Athletics (2005)
- Member, Marketing and Image Task Force (2000-2002)
o Member, Naming University Facilities Committee (2000-2011)
o Member, Honorary Doctorate Degree and Distinguished Service Committee (2000-2011)
o National member, Council for Advancement and Support of Education Institutionally Related Foundation Board (2001-2008)
o National member, Council for Advancement and Support of Education Circle of Excellence Award Committee for Philanthropy (2002-2010)
o Board Member, Council for Advancement and Support of Education (District V) (2008-present)
o CASE District V Conference, Chair Executive in Advancement Track 2007, 2008; Co-Chair Development Track 2001
o Chair, Committee on Equity, CASE District V Board (2008-2012)
o Chair-elect, CASE District V Board of Directors (2009-2011)
o Executive Committee, Council on Strategic Communications and Advancement, Association of Public and Land Grant Universities (APLU) formerly known as (NASULGC) (2009-2014)
o CASE Philanthropy Commission (2008-2011)
o Chair, CASE District V Board of Directors (2012-2014)
o Member, Planning Committee, 2012 Summit for Advancement Leaders
o Immediate Past Chair, CASE District V Board of Directors (2014-2016)
o Rotary International (2000-present)
o Guys Who Give (2014-present)
o Regional Hospital of Terre Haute Board of Directors (2012-present)
o Vice Chair, Regional Hospital of Terre Haute Board (2014-present)
o Featured speaker at various community and service organizations (Rotary, Lions Club, Kiwanis, etc.)

PROFESSIONAL AFFILIATIONS (CURRENT AND FORMER)

o American Bar Association
o National Bar Association
o Tennessee Bar Association
o Knoxville Bar Association
o Delta Theta Phi Legal Fraternity
o Rotary International
o Council for the Advancement and Support of Education (CASE)
o Association of Governing Board (AGB)
o National Society of Fund Raising Executives (NSFRE)
o National College and University Attorneys (NACUA)
o Association of Public and Land Grant Institutions (formerly NASULGC)
HONORS AND AWARDS (SELECTED)

- CASE Commonfund Institutionally Related Foundation CEO of the Year Award (2009)
- Selected Participant, Big Ten Fund Raisers Institute (2000, 2005)
- Alumni Hall of Fame Inaugural Inductee, Lane College (1999)
- Who’s Who in the South and Southwest (1996, 1997)
- Alumnus, The University of Tennessee Institute for Leadership Effectiveness (1994)

REFERENCES

References available upon request
State appropriations to higher education have been stagnant or declining for several years. This is not the result of lack of support for higher education by the Governor or the General Assembly but more due to budget realities that we do not expect to improve. Revenue to the state from taxes, bonds, fees, federal support and other sources has been limited despite significant improvement in the economy since the 2008 recession. Demands for state services, particularly health care costs, pensions, and infrastructure needs, have outpaced state revenues and have created a structural deficit in the state budget.

Higher education has responded to the decline in state appropriations by increasing tuition, providing no salary increases to faculty and staff, not filling or eliminating vacant positions, and becoming more efficient in the delivery of instruction, research, and public service. We take responsibility for these decisions in the past, but as we look to the future, we have concluded that current resources to fulfill our mission are unsustainable. We own the fact that our business model is broken, and we are committed to fixing it.

This document outlines a model with conditions and boundaries that campus and institute executives will use to manage their units. It includes holding tuition increases at no more than the inflationary rate and assuming no further improvements or reductions in state appropriations. We will consider and develop entrepreneurial approaches to increase revenue, efficiently and effectively manage costs and continue to strive for programmatic excellence that enhances our reputation.

We fully support the Governor’s Drive to 55 and Tennessee Promise as they are without doubt Tennessee’s path to further economic development by having the workforce we need, better jobs, improved financial security and better quality of life for Tennesseans. Without a significant investment from the state, neither of these important, needed and unique initiatives will be successful. Therefore, when there is growth in state revenues, it is imperative for higher education to be a funding priority.

**Scenario & Boundaries**

*External*
- Estimated annual state appropriation increases will be 0%
- Higher education price index (HEPI) will average <3% (current 5yr. avg. is 1.9%)
- State capital outlay and maintenance will continue to be funded at historical averages (FY 2011-12 through FY 2014-15 yields $47.8M for outlay and $30.3M for annual maintenance)

*Internal*
- Assumption that funds realized from budget actions will be reallocated to higher-priority needs.
- Undergraduate Enrollments
• In-state enrollment should be greater than 2013-14 levels.
• Out-of-state enrollment may increase but not exceed 25% of total undergraduate enrollment.
• Annual goal setting will be done for growth in enrollment.

• Tuition
  • Tuition increases for undergraduates should be no more than the previous year’s HEPI rate change.
  • Graduate and professional tuition increases should be no more than the previous year’s HEPI rate change plus 2-3%.
  • Executive graduate programs may raise tuition based upon demand and the costs of similar programs at peer institutions.
  • Out-of-state tuition may be reduced on a regional basis to be more competitive as justified and with board of trustee action.
  • Tuition and other mandatory fees should be equal to or less than the peer average adjusted for state appropriations per student FTE.

• CCTA Performance Funding Model
  • Formula units should rank within the top 5 of the CCTA performance formula funding rankings annually.

• Research
  • UT research and sponsored program expenditures should increase 6% annually, based on a benchmark of the last five-year average.
  • Units should review direct and indirect cost sharing on grants and contracts and implement incentives for departments to minimize the level of cost sharing.

• Outreach
  • Number of customers/clients served should be ≥ than 2013-2014 levels based on a benchmark of the last five-year average.

• Development
  • Total number of gifts, pledges and bequests should grow > 15% per year based on a benchmark of the last five-year average.

Required Action Plan for All Units

• Conduct program realignment initiative to assess low performing programs to fund program(s) re-investment.

• Perform a feasibility analysis and develop a plan for program consolidation(s) that will produce cost savings.
• Develop a two-year allocation and reallocation plan based upon 6% of base year’s (FY14-15) total unrestricted E & G expenditures to address strategic initiatives, considering the “boundaries” stated above, and to address compensation gaps.

• Develop a two-year allocation and reallocation plan to address deferred maintenance needs based upon $25M minimum system wide including current efforts. The minimum allocation to the units would be as follows:
  
  o UTK/UTSI $15.75m  
  o UTC $ 2.50m  
  o UTM $ 2.00m  
  o UTHSC $ 3.75m  
  o UTIA $1.00m  
  
  *maintenance minimums as being proportional to capitalized facilities

• Using a workforce development program in concert with the above actions, identify amounts that can be redeployed to address strategic initiatives, compensation gaps, and deferred maintenance.

• Conduct a tuition structure review including expanding differential tuition implementation and/or increasing it, development and implementation of an enrollment growth plan for non-resident students, and further implementation of 15/4 tuition plan.

• Non-Formula units should review fee structures to ensure activity is capturing actual cost of delivery and should review services being provided for which a fee could be established.

• Undertake a study to identify and address unfunded mandates for tuition waivers/discounts. (This action will be led by the UT system administration.)

• Undertake a review of the tenure and post-tenure review processes. (This action will be led by the UT system administration.)
UNIVERSITY GAP PROJECTIONS
2016-2025
All Current Funds
“Sustainability Scenario – No Capital”

$377.4 M
Projected Gap
DATE: February 25, 2015

COMMITTEE: Finance and Administration

CAMPUS/INSTITUTE: All

ITEM: Amendment of Rule on Use of University Property

RECOMMENDATION: Approval

PRESENTED BY: Matthew M. Scoggins, Assistant General Counsel

At the 2014 Annual Meeting, the Board adopted Chapter 1720-01-2 of the Rules of The University, titled “Use of University Property,” under the formal rulemaking procedures of the Uniform Administrative Procedures Act (UAPA). The Rule superseded a one-sentence Rule, “Access to University Property,” which had been in existence for more than 40 years and no longer adequately addressed the variety of circumstances presented today. The new Rule attempted to state with greater particularity the University’s policies concerning use of its property.

In applying the new Rule, the administration has identified several gaps that need to be addressed as soon as possible. Therefore, the administration proposes amendments to the Rule to accomplish the following purposes:

- Further clarify of authorized users and permissible uses of University property;
- Establish standards for the issuance, appeal, and enforcement of a “no-trespass notice,” which is a written directive requiring a person to leave and/or not enter all or part of University property; and
- Establish restrictions on the use of unmanned aircraft on University property.

The Rule on Use of University Property appears in its entirety in the following pages, with the proposed revisions redlined.

Amendments to the Rule must be promulgated under the UAPA in the same manner as the original Rule was promulgated, including a roll call vote in the full Board meeting. Upon
adoption by the Board, the Rule will be submitted to the Attorney General for approval and, if approved, filed with the Secretary of State.

MOTION:

That the Board of Trustees adopt the amendment of Chapter 1720-01-2 of the Rules of The University of Tennessee as presented in the meeting materials.
1720-01-02-01 DEDICATION OF UNIVERSITY PROPERTY. The University of Tennessee (“University”) dedicates its property exclusively to the advancement of the University’s principal missions of teaching, research, and service. The University regulates its property to preserve it for the advancement of the University’s principal missions.

1720-01-02-02 DEFINITIONS

(1) The term “University property” means all land, grounds, structures, and any other physical property owned, controlled, or operated by the University of Tennessee.

(2) The term “University unit” means any academic, administrative, or auxiliary department or division of the University or any other official entity of the University, functioning through University employees acting within the scope of their University employment.

1720-01-02-03 AUTHORIZED USERS AND PERMISSIBLE USES.

(1) The following persons or groups may use University property, subject to Section .02(2); other University rules, policies, or procedures adopted by a University campus, center, or institute; and federal, state, and local laws: The use of University property is limited to the following persons, subject to Section .03(2) and Section .05:

(a) University students;

(b) University employees;

(c) Members of the Board of Trustees;

(d) Government officials acting in their official capacities;

(e) A person or entity invited by a University unit, including but not limited to, a person or entity who has a contract to provide services to the University, provided that the use of University property shall not exceed the scope of the University unit’s invitation; A person or entity invited by the University, including, but not limited to, a University contractor;

(f) A person who has been invited by a University student, a student organization, or an employee in his/her personal capacity, to join the student, student organization, or employee in the use of University property (e.g., friends and family), but not including the use of University property for free expression activities, provided that the use of University property shall not exceed the scope of the invitation;
Board of Trustees Meeting - Amendment of Rule on Use of University Property

(g) A non-affiliated person using University property for free expression activities pursuant to Chapter 1720-01-12 (Use of University Property by Non-Affiliated Persons for Free Expression Activities);

(h) Volunteers of the University, as defined by University policy, within the scope of their volunteer work;

(i) Prospective students visiting University property and persons accompanying prospective students for purposes reasonably necessary to evaluate the University as an educational institution;

(j) Alumni visiting University property and persons accompanying alumni;

(k) A person who has a right of access to University property under Tennessee Code Annotated § 8-50-1001 or any other statutory provisions permitting access to University property;

(l) Any person or entity engaged in one of the following uses of University property:

1. The use of University property for the purpose of attending a University activity or event that is open to attendance by the members of the general public at a designated place and time (e.g., athletic contests, plays, lectures, concerts);

2. The use of University-owned streets, or University-owned sidewalks bordering University-owned streets, as thoroughfares while traveling from one location to another location;

3. The use of University property that is open to the general public (e.g., campus bookstore, library, museum);

4. The use of University property consistent with the terms of a lease agreement with the University; or

5. The use of University property for a purpose relating to obtaining medical treatment from the University.

(2) The use of University property shall be consistent with the University’s principal missions of teaching, research, and service. A person using University property shall not:

(a) block or substantially impede vehicular, bicycle, pedestrian, or other traffic;

(b) block or substantially impede entrances or exits to University property;

(c) substantially disrupt or interfere with University operations, events, or activities;

(d) substantially disrupt or interfere with the ability of a student to sleep or study in a University residence hall between the hours of 10:00 p.m. and 6:00 a.m., during
(e) substantially disrupt or interfere with the ability of a student to study in a University library;

(f) violate a federal, state, or local law, rule, regulation, or ordinance;

(g) violate University rules, policies, or procedures;

(h) engage in speech that is obscene; is defamatory; consists of fighting words; communicates an objectively serious expression of intent to commit an act of unlawful violence to a particular individual or group; or is directed to inciting or producing imminent lawless action and is likely to incite or produce such action;

(i) engage in camping in violation of Tennessee law, the Equal Access to Public Property Act of 2012, unless the area on which camping occurs has been specifically designated by the University as available for camping;

(j) unreasonably threaten the health or safety of another person; or

(k) damage or deface University property, including, but not limited to, grass, shrubs, trees, or other landscaping.

(3) Nothing in Section .03(2) shall be construed to prohibit a use of University property that has been expressly authorized by the University (e.g., a construction project that temporarily interferes with the use of a street);

1720-01-02-.043 USE OF UNIVERSITY PROPERTY FOR FREE EXPRESSION ACTIVITIES.

Chapter 1720-01-12 (Use of University Property by Non-Affiliated Persons for Free Expression Activities) governs the use of University property for free expression activities by persons who are not affiliated with the University. To the extent of any conflict between this Chapter and Chapter 1720-01-12, Chapter 1720-01-12 shall control.

1720-01-02-.05 NO-TRESPASS NOTICES.

(1) A No-Trespass Notice (“Notice”) is a written directive requiring a person to leave and/or not enter all or part of University property.

(2) The following persons are authorized to issue a Notice:

(a) The President of the University;

(b) The chief executive officer of a University campus or institute (e.g., Chancellor);

(c) The chief academic officer of a University campus or institute;

(d) The chief business officer of a University campus or institute;
(e) The chief human resources officer of a University campus or institute;

(f) The chief student affairs officer of a University campus or institute; and

(g) Sworn law enforcement officers employed by the University.

(3) A University official authorized under Section .05(2) may issue a Notice to:

(a) a person who is not authorized to use University property under Section .03(1), and who has refused to leave University property, or a specified part of University property, within a reasonable time after the person has received an oral request to leave by a University official;

(b) a person who has engaged in a use of University property that is prohibited by Section .03(2), and who has refused to cease the prohibited conduct within a reasonable time after receiving an oral request to do so from a University official;

(c) a person who, in the good faith judgment of the University official issuing the Notice, poses an unreasonable threat to the health, safety, or welfare of a person(s) affiliated with the University while on University property;

(d) a person who, in the good faith judgment of the University official issuing the Notice, has engaged in conduct that substantially disrupts or interferes with University operations, events, or activities, or is likely to cause such a disruption or interference;

(e) a University student who has been suspended or expelled from the University in accordance with the University’s student conduct rules, policies, or procedures, and the suspension or expulsion has not been lifted;

(f) a University employee who, in accordance with the University’s employment policies and procedures, has been temporarily suspended, has been placed on administrative leave, or whose employment is being terminated; or

(g) a person who is a former employee or volunteer whose employment or volunteer status was terminated by the University for misconduct in accordance with University rules, policies, or procedures, or who resigned in lieu of termination.

(4) A Notice must specify: the reason for the Notice; the geographical scope of the restriction; the duration of the restriction, which may be for an indefinite period; the potential consequences of a violation of the Notice; and the process for appealing the issuance of the Notice. The scope and duration of the restriction imposed must be proportional to the underlying misconduct. In appropriate circumstances, with respect to conduct on University property, a Notice also may prohibit a person from contacting or being within a certain distance from a person affiliated with the University.

(5) Appeals
(a) A non-affiliated person to whom a Notice has been issued may appeal the decision to the University official who issued the Notice.

(b) A non-affiliated person must submit the appeal in writing. The written appeal must be received by the University official who issued the Notice within twenty (20) calendar days of the date on which the Notice was provided to the non-affiliated person. A Notice mailed (or e-mailed) to a non-affiliated person shall be deemed to have been provided on the date on which it was mailed (or e-mailed). The written appeal should include the person’s reason for being on University property, the person’s future need to be on University property, and any other information the person wishes the University official who issued the Notice to consider.

(c) Upon receipt of a written appeal, the University official who issued the Notice will consult as needed with other University officials to verify the non-affiliated person’s need for access to University property, to gather additional information or advice, or to review the impact that granting the appeal may have on persons affiliated with the University.

(d) Within twenty (20) calendar days of the receipt of an appeal submitted in accordance with this Chapter, the University official who issued the Notice will sustain, rescind or modify the Notice in a written decision that will be mailed to the address provided by the non-affiliated person. The decision of the University official who issued the Notice is final and not appealable within the University.

(e) The restrictions set forth in the Notice will remain in effect while an appeal of the Notice is pending.

(f) Other University rules, policies and procedures, rather than this Section .05(5), shall govern appeals filed by University students or employees.

(6) The University employee who issued a Notice may rescind or modify the Notice at any time. Notification of any such rescission or modification shall be provided to the person to whom the Notice was issued.

(7) The issuance a Notice for conduct relating to free expression activities shall be consistent with Chapter 1720-01-12 (Use of University Property by Non-Affiliated Persons for Free Expression Activities).

(8) Failure to comply with a Notice may result in issuance of a citation or an arrest for trespassing pursuant to applicable state criminal trespass statutes or local ordinances. Nothing in this Section .05 shall limit or be construed to limit the exercise of the statutory authority of sworn law enforcement officers of a campus police department to arrest in accordance with the laws of this state or local ordinances. Nor shall anything in this Section .05 limit or be construed to limit the authority of sworn law enforcement officers of a campus police department to issue an oral request instructing a person to leave and/or not enter all or part of University property.
(9) Nothing in this Section .05 shall limit or be construed to limit the ability of a University official to issue a lawful directive to an employee whom he/she supervises not to enter certain parts of University property.

(10) For purposes of this Section .05, the term “non-affiliated person” means any person who is not a University student, student organization, employee, or volunteer.

1720-01-02-.06 USE OF UNMANNED AIRCRAFT.

(1) The purpose of the restrictions in this Section .06 is to ensure the safe and orderly use of unmanned aircraft on, at, inside, or above University property.

(2) For purposes of this Section .06, the term “unmanned aircraft” means a device that is used or is intended to be used for flight in the air without an individual in or on the device (e.g., drone, model aircraft).

(3) Unmanned aircraft shall not be used:

(a) By a person who is not authorized to use University property under Chapter 1720-01-03.01;

(b) At a time, in a place, or in a manner prohibited under Chapter 1720-01-03-.02;

(c) Inside University buildings or facilities;

(d) On or above University-owned streets or University-owned sidewalks;

(e) Above a human being who is either not directly participating in the operation of the unmanned aircraft or not located under a covered structure that can provide reasonable protection from a falling unmanned aircraft;

(f) On or above a University campus within four hours prior to the scheduled kickoff time of an intercollegiate football game on that campus or within two hours after the conclusion of an intercollegiate football game on that campus;

(g) Outside the hours of official sunrise and sunset; or

(h) In a manner that violates federal or state law, including, without limitation, regulations issued by the Federal Aviation Administration.

(4) This Section .06 does not apply to unmanned aircraft used by a University unit, including faculty conducting research using unmanned aircraft, or a person or entity with whom the University has contracted to operate an unmanned aircraft; provided, however, that unmanned aircraft shall be used in accordance with federal and state law, including, without limitation, regulations issued by the Federal Aviation Administration.
In response to recent state and federal legislation, the University Rule on classifying students as in-state or out-of-state must be revised.

In response to a new state law, Public Chapter 745 (2014), Section .03(4) of the amended Rule would add language allowing a student to be classified as in-state if the student:

- is a U.S. citizen;
- resided in Tennessee for at least one year immediately prior to admission; and
- graduated from a public or private high school in Tennessee or earned a high school equivalency diploma in Tennessee.

Section .04(7) of the amended Rule would add language to comply with the Tennessee VETS Act, Public Chapter 612 (2014), which exempts a veteran from paying out-of-state tuition or any out-of-state fee if the veteran:

- has not been dishonorably discharged from a branch of the United States armed forces or the national guard;
- is eligible for Post 9/11 or Montgomery GI Bill Benefits;
- enrolls in a public institution of higher education within 24 months after the date of discharge and maintains continuous enrollment; and
- within one year of enrolling, either registers to vote in Tennessee or demonstrates intent to be a resident of Tennessee (through at least two of the statutorily-prescribed objective evidence of intent).
The amended Rule would also add language to comply with two federal laws regarding military members and veterans:

- Section .04(4) complies with Section 135 of the Higher Education Opportunity Act of 2008 concerning in-state tuition for certain members of the U.S. Armed Forces and their spouses and dependent children.

- Section .04(9) complies with the Veterans Access, Choice, and Accountability Act of 2014, which becomes effective July 1, 2015.

The amended Rule would also:

- clarify the definition of an emancipated person;
- include a statement that undocumented aliens cannot establish domicile in Tennessee;
- ensure that classifications are performed in accordance with the Eligibility Verification for Entitlements Act, Tennessee Code Annotated § 4-58-101 et seq.;
- delete language in Section .04 that relates only to the Tennessee Board of Regents; and
- harmonize certain language with the language of the Tennessee Board of Regents’ Rule on classifying students.

Changes in Residency Rules must be promulgated under the rulemaking procedures of the Tennessee Uniform Administrative Procedures Act (TUAPA), including a roll call vote in the full Board meeting. Chapter 1720-1-1 of the Rules of The University of Tennessee appears in its entirety in the following pages, with the proposed revisions redlined.

**MOTION:**

That the Board of Trustees adopt the amendment of Chapter 1720-1-1 of the Rules of The University of Tennessee as presented in the meeting materials.
RULES OF
THE UNIVERSITY OF TENNESSEE (ALL CAMPUSES)

CHAPTER 1720-1-1
CLASSIFYING STUDENTS
IN-STATE AND OUT-OF-STATE
RESIDENCY CLASSIFICATION

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1720-1-1-.01 INTENT.

(1) It is the intent that the public institutions of higher education in the State of Tennessee shall apply uniform rules, as described in these regulations and not otherwise, in determining whether students shall be classified “in-state” or “out-of-state” for fees and tuition purposes and for admission purposes.


1720-1-1-.02 DEFINITIONS. Wherever used in these regulations.

(1) “Public higher education institution” shall mean a university or community college supported by appropriations made by the Legislature of this State.

(2) “Residence” shall mean continuous physical presence and maintenance of a dwelling place within this State, provided that absence from the State for short periods of time shall not affect the establishment of a residence.

(3) “Domicile” shall mean a person’s true, fixed, and permanent home and place of habitation; it is the place where he or she intends to remain, and to which he or she expects to return when he or she leaves without intending to establish or having established a new domicile elsewhere. Undocumented aliens cannot establish domicile in Tennessee, regardless of length of residence in Tennessee.

(4) “Emancipated person” shall mean a person who is no longer in the care, custody and control of his or her parent has attained the age of eighteen (18) years and whose parents have entirely surrendered the right to the care, custody, and earnings of such person and are no longer under any legal obligation to support or maintain such person.

(5) “Parent” shall mean a person’s father or mother. If there is a non-parental guardian or legal custodian of an unemancipated person, then “parent” shall mean such guardian or legal custodian; provided, that there are not circumstances indicating that such guardianship or custodianship was created primarily for the purpose of conferring the status of an in-state student on such emancipated person.

(6) “Continuous enrollment” or “continuously enrolled” shall mean enrollment at a public higher educational institution or institutions of this State as a full-time student, as such term is defined by the governing body of said public higher education institution or institutions, for a normal academic year or years or the appropriate portion or portions thereof since the beginning of the period for
which continuous enrollment is claimed. Such person need not enroll in summer sessions or other such inter-sessions beyond the normal academic year in order that his or her enrollment be deemed continuous. Enrollment shall be deemed continuous notwithstanding lapses in enrollment occasioned solely by the scheduling of the commencement and/or termination of the academic years, or appropriate portion thereof, of the public higher educational institutions in which such person enrolls.

(7) “U.S. Armed Forces” shall mean the U.S. Army, Navy, Air Force, Marine Corps, and Coast Guard.

(8) “Veteran” means:

   (a) a former member of the U.S. Armed Forces; or
   (b) a former or current member of a reserve or Tennessee national guard unit who was called into active military service of the United States, as defined in Tennessee Code Annotated § 58-1-102.


1720-1-1-.03 RULES FOR DETERMINATION OF STATUS.

(1) Every person having his or her domicile in this State shall be classified “in-state” for fee and tuition purposes and for admission purposes.

(2) Every person not having his or her domicile in this State shall be classified “out-of-state” for fee and tuition purposes and for admission purposes.

(3) The domicile of an unemancipated person is that of his or her parent, except as provided in paragraph (4) of this Section. Unemancipated students of divorced parents shall be classified “in-state” when one (1) parent, regardless of custodial status, is domiciled in Tennessee, except as provided in paragraph (4) of this Section.

(4) A student shall be classified as “in-state” for fee and tuition purposes if the student is a citizen of the United States, has resided in Tennessee for at least one (1) year immediately prior to admission, and has:

   (a) Graduated from a Tennessee public secondary school;
   (b) Graduated from a private secondary school that is located in Tennessee; or
   (c) Earned a Tennessee high school equivalency diploma.

(5) The spouse of a student classified as “in-state” shall also be classified “in-state.”

(6) All classifications shall be subject to the Eligibility Verification for Entitlements Act, Tennessee Code Annotated § 4-58-101 et seq.


1720-1-1-.04 OUT-OF-STATE STUDENTS WHO ARE NOT REQUIRED TO PAY OUT-OF-STATE TUITION.
(1) An unemancipated, currently enrolled student shall be reclassified out-of-state should his or her parent, having theretofore been domiciled in the State, remove from the State. However, such student shall not be required to pay out-of-state tuition nor be treated as an out-of-state student for admission purposes so long as his or her enrollment at a public higher educational institution or institutions shall be continuous.

(2) An unemancipated person whose parent is not domiciled in this State but is a member of the armed forces and stationed in this State or at Fort Campbell pursuant to military orders shall be classified out-of-state, but shall not be required to pay out-of-state tuition. Such a person, while in continuous attendance toward the degree for which he or she is currently enrolled, shall not be required to pay out-of-state tuition if his or her parent thereafter is transferred on military orders.

(3) A person whose domicile is in a county of another state lying immediately adjacent to Montgomery County, or whose place of residence is within thirty (30) miles of Austin Peay State University shall be classified out-of-state but shall not be required to pay out-of-state tuition at Austin Peay State University. Provided, however, that there be no teacher college or normal school within the non-resident’s own state, of equal distance to said non-resident’s bona fide place of residence.

(4) Part-time students who are not domiciled in this State but who are employed full-time in the State or who are stationed at Fort Campbell pursuant to military orders shall be classified out-of-state but shall not be required to pay out-of-state tuition. This shall apply to part-time students who are employed in the State by more than one employer, resulting in the equivalent of full-time employment.

(5) Military personnel and their spouses: A member of the U.S. Armed Forces on active duty for more than thirty (30) days and who has a permanent duty stationed in the State of Tennessee or the spouse or dependent child of such a member) who should be classified out-of-state in accordance with other provisions of these regulations will be classified out-of-state but shall not be required to pay out-of-state tuition. This provision shall continue to apply to such a member, spouse, or dependent child while continuously enrolled at that public higher education institution, notwithstanding a subsequent change in the permanent duty station of the member to a location outside the State.

(6) A person who is domiciled in the Kentucky counties of Fulton, Hickman, or Graves shall be classified out-of-state and shall not be required to pay out-of-state tuition at The University of Tennessee at Martin if qualified for admission. This exemption is on condition that Murray State University in Murray, Kentucky, continue to admit Tennessee residents from selected Tennessee counties to enroll at that institution without payment of out-of-state tuition.

(7) Any dependent child not domiciled in Tennessee but who qualifies and is selected to receive a scholarship under the “Dependent Children Scholarship Act” (T.C.A. § 49-4-704) because his or her parent is a law enforcement officer, firefighter, or emergency medical service technician who was killed or totally and permanently disabled while performing duties within the scope of employment, shall be classified out-of-state but shall not be required to pay out-of-state tuition.

(8) The spouse of a student classified as “in-state” shall also be classified “in-state.” A veteran enrolled in any public institution of higher education in this state shall not be required to pay out-of-state tuition or any out-of-state fee, if the veteran:

   a) Has not been dishonorably discharged from a branch of the U.S. Armed Forces or the national guard;
   b) Is eligible for Post-9/11 GI Bill benefits or Montgomery GI Bill benefits; and
   c) Enrolls in a public institution of higher education, after satisfying all admission requirements, within twenty-four (24) months after the date of discharge as reflected on the
veteran’s certificate of release or discharge from active duty, Form DD-214, or an equivalent
document.

To continue to qualify for in-state tuition and fees under this subsection, a veteran shall:

(a) Maintain continuous enrollment (as defined by the public institution of higher education in
which the veteran is enrolled); and

(b) Within one (1) year of enrolling in the public institution of higher education:

   (A) Register to vote in the state of Tennessee; or

   (B) Demonstrate by objective evidence intent to be a resident of the state of Tennessee
by obtaining at least two (2) of the following:

      (i) A Tennessee driver’s license;

      (ii) A Tennessee motor vehicle registration;

      (iii) Proof of established employment in the state of Tennessee; or

      (iv) Other documentation clearly evidencing domicile or residence in this state,
as determined by the Tennessee Higher Education Commission.

(89) Students not domiciled in Tennessee but who are selected to participate in specified
institutional undergraduate honors programs specified by the public higher education institution in
which the student is enrolled shall be classified out-of-state but shall not be required to pay out-of-
state tuition.

(9) A “covered individual” under the federal Veterans Access, Choice, and Accountability Act of 2014,
Public Law 113-146, who maintains continuous enrollment at the same public institution of higher
education.

(10) A person whose domicile is in Mississippi County, Arkansas, or either Dunlin County or
Pemiscot County, Missouri, and who is admitted to Dyersburg State Community College, shall
be classified out-of-state but shall not be required to pay out of state tuition.

(11) A person who is not domiciled in Tennessee, but has a bona fide place of residence in a
county which is adjacent to the Tennessee state line and which is also within a 30 mile radius (as
determined by THEC) of a city containing a two year TBR institution and who is admitted to a two
year TBR institution, shall be classified out-of-state, but shall not be required to pay out of state
 tuition. The two year institution may admit only up to three percent (3%) of the full time equivalent
attendance of the institution without out of state tuition. (THEC may adjust the number of the
non-residents admitted pursuant to this section every three (3) years.) (See T.C.A. § 49-8-102)


1720-1-1.05 PRESUMPTION. Unless the contrary appears from clear and convincing evidence, it shall be
presumed that an emancipated person does not acquire domicile in this State while enrolled as a full-time or part-
time student at any public or private higher educational institution in this State, as such status is defined by such
institution.

1720-1-1-.06 EVIDENCE TO BE CONSIDERED FOR ESTABLISHMENT OF DOMICILE. If a person asserts that he or she has established domicile in this State he or she has the burden of proving that he or she has done so. Such a person is entitled to provide to the public higher educational institution by which he seeks to be classified or reclassified in-state, any and all evidence which he or she believes will sustain his or her burden of proof. Said institution will consider any and all evidence provided to it concerning such claim of domicile but will not treat any particular type or item of such evidence as conclusive evidence that domicile has or has not been established.


1720-1-1-.07 APPEAL. The classification officer of each public higher educational institution shall be responsible for initially classifying students “in-state” or “out-of-state.” Appropriate procedures shall be established by each such institution by which a student may appeal his or her initial classification.


1720-1-1-.08 EFFECTIVE DATE FOR RECLASSIFICATION. If a student classified out-of-state applies for in-state classification and is subsequently so classified his or her in-state classification shall be effective as of the date on which reclassification was sought. However, out-of-state tuition will be charged for any quarter or semester during which reclassification is sought and obtained unless application for reclassification is made to the classification officer on or before the last day of regular registration of that quarter or semester.


1720-1-1-.09 REPEALED.

The Fall Meeting of The University of Tennessee Board of Trustees was held at 1:15 p.m. EDT, on Friday, October 3, 2014, on the campus of the Institute of Agriculture in Knoxville, Tennessee.

I. CALL TO ORDER AND INVOCATION

J. Brian Ferguson, Vice Chair of the Board, called the meeting to order. Father Donald Andrie of St. John XXIII University Parish offered the invocation.

II. ROLL CALL

Secretary Catherine S. Mizell called the roll, and the following members were present:

- William E. Haslam, Chair
- J. Brian Ferguson, Vice Chair
- Charles C. Anderson, Jr.
- Shannon A. Brown
- George E. Cates
- Joseph A. DiPietro
- Spruell Driver, Jr.
- John N. Foy
- D. Crawford Gallimore
- David A. Golden
- Vicky B. Gregg
- Julius T. Johnson
- Raja J. Jubran
- Brad A. Lampley
- Bonnie E. Lynch
- James L. Murphy, III
- Sharon J. Pryse
- Richard G. Rhoda
- Rhedona Rose
- Julia T. Wells
- Charles E. Wharton
- Tommy G. Whittaker
- Thaddeus A. Wilson
The Secretary announced the presence of a quorum. Commissioner Huffman, Dr. Evans, and Mr. Duncan were unable to attend the meeting. Members of the administrative staff and media representatives were present. The meeting was also webcast for the convenience of the University community, the general public, and the media.

III. INTRODUCTIONS

Vice Chair Ferguson introduced new Trustees Shannon Brown, Rhedona Rose, and Julia Wells, and presented each with a Trustee lapel pin.

IV. GOVERNOR’S REMARKS

Governor Bill Haslam thanked the current Board and Emeriti Trustees for their continued willingness to serve The University of Tennessee in challenging but hopeful times. His remarks included the following:

- Funding higher education is an issue for Tennessee and across the nation.
- Applications for the Tennessee Promise last-dollar scholarship have surpassed 32,000 and likely to increase to 40,000, significantly over the goal of 25,000.
- The “Drive to 55” goal is to achieve 55 percent of Tennesseans equipped with a college degree or certificate by 2025, but there are financial challenges to achieving that goal in every public higher education institution in the state.
- The UT and TBR administrations have been good partners in working to meet the state’s revenue challenges.
- His administration fully understands that a great higher education system requires adequate funding. The challenge is to determine how to accomplish that in a very challenging revenue environment.

At the Governor’s request, Vice Chair Ferguson continue to chair the meeting.

V. PRESIDENT’S REPORT

President DiPietro reflected briefly on his past four years as president and said achieving the goals of stability, teamwork, and trust will provide momentum for the next four years.

The President then highlighted data regarding graduation rates, number of graduates, enrollment, research expenditures, outreach, and impact (Exhibit 1). He recapped the discussion from the Board’s workshop in September regarding realigning the business model. The President’s Budget Advisory Group will provide advice in reviewing the business model moving forward. Trustee Raja Jubran will chair the group, which includes Faculty, Trustees, Chancellors, and Staff members.
Dr. DiPietro acknowledged that the University will need to look different in the future. He stated UT will continue to be efficient, effective, entrepreneurial, and excellent going forward. Graduation rates, research, outreach, and fundraising will all need to increase. Rigorous K-12 standards are needed; revenue will be garnered from intellectual property through UT Research Foundation; UT Extension offices will continue to be the front door to UT in every Tennessee county; and fundraising is on track for a record year based on first quarter returns to date. The future is bright for education becoming a higher priority in the State of Tennessee.

The President closed with a video tribute to employees.

VI. CHANCELLOR CHEEK’S REPORT ON THE TOP-25 INITIATIVE

Chancellor Cheek reported on Knoxville’s Journey to the Top 25 (Exhibit 2). He recapped the history and shared progress of the journey, highlighting four-year and six-year graduation rates, second-year retention, research, growth, construction projects, and philanthropy. Dr. Cheek highlighted the success of the Bredesen Center, the ten percent increase in the freshman class, partnerships, and the tremendous momentum on the Knoxville campus. He also noted that UT Knoxville has been selected as one of three land grant institution finalists to receive the Trail Blazer Award for the last four years’ progress.

The Chancellor closed with a student video showing updates on the Knoxville campus.

VII. REPORT OF THE EXECUTIVE AND COMPENSATION COMMITTEE: COMPREHENSIVE PRESIDENTIAL PERFORMANCE REVIEW

After asking the President to recuse himself from the discussion, Vice Chair Ferguson summarized the report of Dr. Terry MacTaggart, Senior Fellow with the Association of Governing Boards, who was retained to assist the Vice Chair with this first-ever comprehensive presidential performance review. The Vice Chair described the extensive interview process conducted by Dr. MacTaggart, including at least 70 individuals from a broad range of constituencies. He reported that Dr. MacTaggart, who is very experienced in conducting presidential performance reviews, said he had never, in all his experience, encountered a president who was broadly supported by all constituents, especially this far into his term of service. He attributed this to Dr. DiPietro’s integrity, approachability, sincerity, willingness to make hard decisions, and ability to connect well with all constituents. Dr. MacTaggart gave the President the highest marks in terms of the retrospective review. With respect to the future, Dr. MacTaggart talked with the Vice Chair and the Executive and Compensation Committee about the matters the President has just mentioned in this report. The University’s path forward is on a collision course with the resources it will likely have in the future, and the University must reconcile resources and mission in a more creative way to make sure it delivers on its mission within constraints it faces. Dr. MacTaggart concluded that Dr. DiPietro is definitely the leader to
take the University through that process. Accordingly, the Executive and Compensation Committee has recommended that the Board accept Dr. MacTaggart’s report, approve the goal of a comprehensive initiative to address the unfavorable financial realities, and extend the President’s employment agreement for another term.

The Vice Chair called for three separate motions presented in the meeting materials:

1. Trustee Murphy moved that the Board approve Dr. Terrance MacTaggart’s Report of a Comprehensive Presidential Performance Review of President Joseph A. DiPietro (Exhibit 3). Trustee Pryse seconded, and the motion carried unanimously.

2. Trustee Murphy moved that the Board approve the goal of pursuing a systematic and comprehensive initiative to address unfavorable financial realities and trends by aligning the University with the state’s most compelling economic and educational needs and priorities. Trustee Lampley seconded the motion, and it carried unanimously.

The Vice Chair noted that this goal describes the fundamental objective of the President during his next term. He explained that that this goal will evolve into specific goals, objectives, and measures over the President’s next term to be promulgated through the President to the Chancellors and through the Chancellors to the campuses. Compensation programs will be designed for the President and Chancellors aligned with these specific goals, objectives, and measures. In effect, he said, the Board is approving an aspirational goal and kicking off a major initiative with aligned compensation.

3. Trustee Wharton moved that the Board approve an extension of the term of President DiPietro’s employment agreement through June 30, 2019. Trustee Murphy seconded, and the motion carried unanimously.

Trustee Murphy commented that these motions reflect that the Board and the President are working together to move this University to a place it has never been before but needs to be, and he commended the Vice Chair for his leadership in bring the Board to this point. As he returned to the meeting, President DiPietro was greeted by a standing ovation as he learned of the vote to extend his presidential term.

VIII. REPORT OF THE AUDIT COMMITTEE

Committee Chair Gallimore reported that two major projects were reviewed by the Audit Committee at the September meeting, IT Security and Institutional Compliance.
IT Security Progress:

- efforts to develop seven new information technology policies, three of which were in the final review stages;
- work toward a revised governance structure;
- formation of a single business intelligence team to provide managerial and analytical reporting including dashboards, decision support, and to meet regulatory reporting requirements;
- alignment of programming resources with functional owners of the supported systems;
- expanded customer support; and
- streamlined operations that resulted in an annual salary savings in excess of $400,000.

Trustee Gallimore thanked Butch Peccolo and Les Matthews for their work on reorganizing the System Administration IT function to improve operations and the security posture of the University. The Audit Committee will review status reports from all campus chief information officers at future meetings and will continue to provide oversight to ensure progress continues. He noted that two IT staff members were transferred to Audit and Consulting and will be conducting security assessments, IT audits, and performing follow up on the IT security recommendations. The alignment of these positions within Audit and Consulting provides the independence and authority needed to perform this type of assessment.

Institutional Compliance:

UT Knoxville, UT Martin, UT Institute of Agriculture, and the Health Science Center all have committees working to identify and mitigate compliance risks on their respective campuses. In the spring, the Institutional Compliance team will begin working with UT Chattanooga on a compliance risk assessment and help facilitate a compliance committee on that campus.

IX. ADOPTION OF HONORARY RESOLUTIONS

Chancellor Angle presented the Resolution honoring Victoria Steinberg for her service as a Faculty Trustee. Trustee Foy moved adoption of the Resolution, Trustee Gregg seconded, and the Resolution (Exhibit 4) was adopted unanimously. Dr. Steinberg was unable to attend the meeting. Chancellor Angle accepted the Resolution and a framed photograph of the Board of Trustees on her behalf.

Trustee Cates presented the Resolution honoring Monice Hagler for her service as a Trustee. Trustee Cates moved adoption of the Resolution, Trustee Lynch seconded, and the Resolution (Exhibit 5) was adopted unanimously. Trustee Cates presented Ms. Hagler with the Resolution and a framed photograph of the Board of Trustees.

Accepting the Resolution, Ms. Hagler shared her appreciation for the other Trustees and staff. She thanked President DiPietro for his leadership and challenged the Trustees to
continue to create ways to assure students’ timely completion of their studies and graduate workforce-ready, allowing the state to compete for industries that will bring jobs to the state. In closing, she urged the Board to continue to improve diversity efforts for equity and participation.

Trustee Gallimore presented the Resolution honoring Betty Ann Tanner for her service as a Trustee. Trustee Gallimore moved adoption of the Resolution, Trustee Murphy seconded, and the Resolution (Exhibit 6) was adopted unanimously. Trustee Gallimore presented Mrs. Tanner with the Resolution and a framed photograph of the Board of Trustees.

Accepting the Resolution, Ms. Tanner stated her experience as a Trustee has been intellectually challenging, memorable, and heart-warming. She praised the commitment of her fellow Trustees and challenged the Trustees to continue to promote efficiency and effectiveness. She mentioned Dr. Dan Mote, former president of the University of Maryland, who initiated the efficiency and effectiveness initiative at that institution, and quoted his remarks upon his retirement: “A university becomes a great university when and only when an expectation of greatness is embedded in its culture. A university must replicate this belief in every decision it makes—in who it hires, in what is taught, in how it is led and in what standards of achievement are expected among others.” Ms. Tanner closed by urging Trustees to heed those words in leading the University forward.

The Vice Chair recognized Trustee Cates to present the Resolution honoring Karl Schledwitz for his service as a Trustee. Trustee Cates moved adoption of the Resolution, Trustee Driver seconded, and the Resolution (Exhibit 7) was adopted unanimously. Trustee Cates presented Mr. Schledwitz with the Resolution and a framed photograph of the Board of Trustees.

Mr. Schledwitz shared his appreciation for Emeriti Trustees Andrea Loughry and Don Stansberry for mentoring him through his early years. He reviewed Andrea Loughry’s remarks from October 2011, challenging the Trustees to strive to achieve two goals: working with the state legislature to reform the sunshine law to allow executive sessions to deal with sensitive human resource matters, such as performance reviews and high profile searches; and provide for at least two seats on the Board to be filled by outstanding alumni who do not reside in Tennessee. Going forward, he suggested the Board consider the following goals: increasing diversity in leadership, avoid being Knoxville-centric, asking questions that challenge management, and improving student retention.

The Vice Chair recognized Trustee Murphy, who presented the Resolution honoring Don Stansberry for his service as a Trustee. Trustee Murphy moved adoption of the Resolution, Trustee Driver seconded, and the Resolution (Exhibit 8) was adopted unanimously. Trustee Murphy presented Mr. Stansberry with the Resolution and a framed photograph of the Board of Trustees.
Accepting the Resolution, Mr. Stansberry stated that his time on the Board was a time of both great progress and reorganization for UT. He noted how wonderful the past four years have been as all constituents have come together and under Dr. DiPietro's leadership. In closing, he thanked everyone for supporting him during his two terms as Vice Chair of the Board.

X. UT KNOXVILLE NAMING

Chancellor Jimmy Cheek announced that the Haslam family has recently given the UT Knoxville College of Business a gift of $50 million, which will accelerate the transformation of the college already in progress. He recommended the college be named in recognition of the gift and stated this would be the first college in the UT System to be named for an individual. President DiPietro said the generosity of the Haslam family, particularly Jim and Natalie Haslam, is making possible the further transformation of the college through a gift of this magnitude and structured as it is. The President said he particularly appreciates that the gift sets goals the college is expected to achieve with the resources so generously provided.

President DiPietro moved that the Board approve naming the UT Knoxville College of Business Administration the “James A. Haslam II College of Business” in recognition of the Haslam family’s transformational gift of $50 million for the College and in recognition of Jim Haslam’s lifetime of exemplary leadership, consistent adherence to strong core values, selfless service, and passion for excellence (Exhibit 9). Trustee Murphy seconded the motion and commented that when he first became a Trustee in 2003, Mr. Haslam was the longest serving member of the Board (as Mr. Murphy is now), and he thanked Mr. Haslam for helping him and the Board through some difficult times and for always being willing to give whenever needed. He described Jim and Natalie Haslam as the perfect donors, always giving as needed and never expecting anything in return. Trustee Wharton noted that General Neyland did the University a great favor by offering Mr. Haslam a scholarship so many years ago. The motion carried unanimously.

Mr. Haslam said he and his family are humbled by this recognition, saying his family owes everything to the University. He came to the University in 1948 as a student in the College of Business and a member of General Robert R. Neyland’s Volunteer football team. As he was preparing to graduate, he thought he wanted to be a high school football coach, and General Neyland arranged for him to be interviewed for a coaching job in South Pittsburg. When school officials said he would not receive his first paycheck for several months, he concluded, as an astute College of Business student, that working without pay was not a good thing. Later, Howard Lumsden, Director of the UT Placement Service, sent him to LaFollette to interview with Sam Claiborne, who owned a chain of gas stations and was looking for management trainees. He went to work there and three years later started the Pilot Oil Company. If he had not come to UT, that might never have happened. In that way, the University has made his family what it is today.
Mr. Haslam closed by saying that because state resources for the University have been shrinking and will probably continue to shrink, he and his family hope their gift to the College of Business will inspire others to make transformational gifts. Mr. Haslam then yielded the podium to Mrs. Haslam, who said that other than family, nothing has ever meant more to Jim Haslam than UT, and naming of this wonderful College of Business for him is a gift that will never be surpassed.

XI. CONSENT AGENDA

The Vice Chair directed the Board’s attention to the Consent Agenda and called for any requests to remove items. Hearing none, the Vice Chair called for a motion to approve the Consent Agenda, consisting of the following items:

A. Minutes of the Last Meeting

B. Ratification of the Vice Chair’s Appointments to Standing Committees and the UT Martin Athletics Board (Exhibit 10)

C. Resolution on Integrity in Research (Exhibit 11)

D. Real Property Transactions (Exhibit 12)

E. Policy on the Process for Submitting Legislative Proposals and Funding Requests to the General Assembly (Exhibit 13)

F. FY 2015-16 Operating Budget Appropriations Request for Non-Formula Units (Exhibit 14)

G. FY 2015-16 Capital Outlay and Capital Maintenance Projects (Exhibit 15)

H. FY 2015-16 Revenue/Institutionally Funded Projects (Exhibit 16)

I. FY 2014 Annual Flight Operations Report (Exhibit 17)

J. Grant of Tenure to Six UT Knoxville Faculty Members under Expedited Procedures (Exhibit 18)

K. Grant of Tenure to an Institute of Agriculture Faculty Member under Expedited Procedures (Exhibit 19)

L. Annual Report to the General Assembly (Exhibit 20)
M. UT Knoxville Transfer Admission Requirements (Exhibit 21)

N. Revised Dates for the 2015 Fall Meeting – DEFERRED

A motion was made to approve the Consent Agenda, seconded, and carried unanimously.

XI. ANNOUNCEMENTS

The Vice Chair announced that future meetings of the Board would be added to the Diligent Boardbook and thanked the staff for coordinating logistics. He again thanked the Haslam family for their support of the University

XII. ADJOURNMENT

With no further business to come before the Board, the meeting was adjourned.

Respectfully Submitted,

____________________________
Catherine S. Mizell, Secretary
In June 2014, the Board approved the 2015 dates for regular meetings of the Board, with the October 15-16 dates for the Fall Meeting noted as tentative because the 2015 Volunteer football schedule had not been released. When the schedule was finally released in late Fall of 2014, it did not include a home game on October 17, and therefore the administration recommends that the 2015 Fall Meeting dates be changed to October 8-9 preceding the Vols’ home game against Georgia on October 10.

MOTION:

That the Board approve October 8-9, 2015 as dates for the 2015 Fall Meeting.
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 25, 2015
COMMITTEE: Finance and Administration
CAMPUS/UNIT: UTHSC
ITEM: Acquisition of 20 Dudley Street, Memphis
RECOMMENDATION: Approval
PRESENTED BY: Charles M. Peccolo, Treasurer and Chief Financial Officer

The University of Tennessee Health Science Center seeks approval to acquire 0.81+/- acres and building improvements located at 20 Dudley Street in Memphis, Tennessee (see attached map).

The property fronts Dudley Street and is located on the eastern edge of campus. It is improved with a 10-story office building containing approximately 85,000 square feet and a parking garage. The building was constructed in 1957. The property is adjacent to the core of the UTHSC campus and is being acquired for parking and the control and future use of the land base as anticipated in the UTHSC Campus Master Plan currently under development.

The administration requests approval to acquire the property located at 20 Dudley Street in Memphis, Tennessee, at a purchase price equal to or less than the appraised value. The administration also requests approval to revise the UTHSC Campus Master Plan to include this property. Upon approval by the Board, the administration will seek all necessary state government approvals.

MOTION:

That acquisition of the property located at 20 Dudley Street in Memphis, Tennessee, is approved; and

that revision of the UTHSC Campus Master Plan to include the property located at 20 Dudley Street in Memphis, Tennessee, is approved.
The UT Memphis Health Science Center

Disclaimers:
- Parcel geometry current 1/1/2012
- Ownership data current 4/1/2012
- Data provided by Shelby County ReGIS
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 25, 2015

COMMITTEE: Finance and Administration

CAMPUS/UNIT: UTHSC

ITEM: Acquisition of 45 South Dudley Street, Memphis

RECOMMENDATION: Approval

PRESENTED BY: Charles M. Peccolo, Treasurer and Chief Financial Officer

The University of Tennessee Health Science Center seeks approval to acquire 0.88+/- acres and building improvements located at 45 South Dudley Street in Memphis, Tennessee (see attached map).

The property fronts South Dudley Street and is located on the eastern edge of campus. It is improved with a building containing approximately 38,000 square feet of vivarium/office space. The building was constructed in 2013. The property is adjacent to the core of the UTHSC campus and is being acquired for use as a vivarium and office space. This property is within the proposed boundary of the UTHSC Campus Master Plan currently under development.

The administration requests approval to acquire the property located at 45 South Dudley Street in Memphis, Tennessee, at a purchase price equal to or less than the appraised value. The administration also requests approval to revise the UTHSC Campus Master Plan to include the property. Upon approval by the Board, the administration will seek all necessary state government approvals.

MOTION:

That acquisition of the property located at 45 South Dudley Street in Memphis, Tennessee, is approved; and

that revision of the UTHSC Campus Master Plan to include the property located at 45 South Dudley Street in Memphis, Tennessee, is approved.
The University of Tennessee, Knoxville seeks approval to acquire approximately 0.26+/- acres and building improvements located at 1302 White Avenue, Knoxville, Tennessee (see attached map) at $50,000 (4.8%) above the appraised value of $1,050,000.

The property fronts White Avenue west of 13th Street. It is improved with a converted three story, 12-unit multi-family dwelling with a finished basement. This property is needed for the construction of UTK’s new classroom/laboratory facility. The facility will house research and teaching laboratories, associated support services, faculty and departmental offices, and a vivarium. The funding request for construction of the 200,000 gross square foot multidisciplinary science laboratory facility is included in the 2015-2016 Capital Budget request, and the property is in the UT Knoxville Campus Master Plan.

The administration requests approval to acquire the property located at 1302 White Avenue, Knoxville, Tennessee at a purchase price of $1,100,000. Upon approval by the Board, the University will seek all necessary state government approvals.

MOTION:

That acquisition of the property located at 1302 White Avenue in Knoxville, Tennessee, is approved at the purchase price of $1,100,000.
FY 2014-2015 Revised Budget

February 25 – 26, 2015
Total Current Funds

Restricted
Unrestricted
Educational & General (E&G)
Auxiliary

FY 2014-2015 Revised Budget
## Current Fund Revenues

<table>
<thead>
<tr>
<th>All Current Funds (millions)</th>
<th>FY2015 Original Budget</th>
<th>FY2015 Revised Budget</th>
<th>Change</th>
</tr>
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<tbody>
<tr>
<td>Unrestricted E&amp;G</td>
<td>$ 1,230.3</td>
<td>$ 1,235.1</td>
<td>$ 4.8</td>
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<tr>
<td>Restricted E&amp;G</td>
<td>615.2</td>
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<tr>
<td>Auxiliary</td>
<td>203.1</td>
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<td><strong>Total Revenues</strong></td>
<td><strong>$ 2,048.6</strong></td>
<td><strong>$ 2,055.5</strong></td>
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## Current Fund Expenditures & Transfers

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<tr>
<th>All Current Funds (millions)</th>
<th>FY2015 Original Budget</th>
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<td>203.1</td>
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<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td><strong>$ 2,051.1</strong></td>
<td><strong>$ 2,097.7</strong></td>
<td><strong>$ 46.6</strong></td>
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</table>
Expenditure Trends
All Current Funds
Unrestricted, Restricted, E&G, and Auxiliary

FY 2014-2015 Revised Budget

- $500,000,000
- $1,000,000,000
- $1,500,000,000
- $2,000,000,000


- 34%
- 16%
- 9%
- 8%
- 5%
- 6%
- 6%
- 8%
- 8%

- 33%
- 14%
- 7%
- 9%
- 4%
- 7%
- 6%
- 13%
- 7%
Unrestricted E&G Funds
## Unrestricted E&G Revenues

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<th>Unrestricted E&amp;G Funds (millions)</th>
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<th>FY2015 Revised Budget</th>
<th>Change</th>
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<td>Tuition &amp; Fees</td>
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<td>State Appropriations</td>
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<td>Other Revenues</td>
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**FY 2014-2015 Revised Budget**
## Unrestricted E&G Expenditures

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<tr>
<th>Functional Area</th>
<th>FY2015 Original Budget ($millions)</th>
<th>FY2015 Revised Budget ($millions)</th>
<th>Change</th>
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<td><strong>TOTAL</strong></td>
<td><strong>$ 1,235.1</strong></td>
<td><strong>$ 1,323.5</strong></td>
<td><strong>$ 88.4</strong></td>
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**FY 2014-2015 Revised Budget**
Expenditure Trends
Unrestricted E&G Funds

FY 2014-2015 Revised Budget

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<tr>
<th>Year</th>
<th>Instruction</th>
<th>Research</th>
<th>Public Service</th>
<th>Academic Support</th>
<th>Student Services</th>
<th>Institutional Support</th>
<th>Scholarships/Fellowships</th>
<th>Op/Maint Physical Plant</th>
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<td>11%</td>
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<td>11%</td>
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<tr>
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<td>54</td>
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<td>11%</td>
<td>6%</td>
<td>11%</td>
<td>10%</td>
<td>7%</td>
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<tr>
<td>2010</td>
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<td>10%</td>
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<tr>
<td>2014</td>
<td>64</td>
<td>41%</td>
<td>6%</td>
<td>11%</td>
<td>6%</td>
<td>11%</td>
<td>10%</td>
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<tr>
<td>2015</td>
<td>66</td>
<td>41%</td>
<td>6%</td>
<td>11%</td>
<td>6%</td>
<td>11%</td>
<td>10%</td>
<td>7%</td>
</tr>
</tbody>
</table>
FY 2014-2015 Revised Budget

- The Revised Budget recommended for Board approval is balanced and within available resources.
- There are no significant changes to recurring revenues, expenditures and transfers.
- Consistent with past practice, a large increase in non-recurring funds were allocated to over 1,400 projects/programs through normal mid-year budget procedures.
Revised
Budget
Document
FY 2014 – 2015
THE UNIVERSITY of TENNESSEE

University of Tennessee at Chattanooga

University of Tennessee, Knoxville

University of Tennessee at Martin

University of Tennessee Space Institute

University of Tennessee Health Science Center
  Memphis Other Specialized Units
  College of Medicine Units
  Family Medicine Units

University of Tennessee Institute of Agriculture
  Agricultural Experiment Station
  Extension
  College of Veterinary Medicine

University of Tennessee Institute for Public Service
  Institute for Public Service
  Municipal Technical Advisory Service
  County Technical Assistance Service

University of Tennessee System Administration
FY2015 REVISED BUDGET

THE UNIVERSITY OF TENNESSEE

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RECOMMENDATION 11

SUPPORTING BUDGET SCHEDULES 12
Message from the CFO

The FY 2015 revised operating budget reflects operating plans and financial projections as of October 31, 2014. The University develops a revised budget each fiscal year to adjust to the following changes that occur during the year after the original budget is adopted in June:

1. The university’s original budget is developed before the end of the previous fiscal year and uses budgeted net assets as its starting point. The revised budget uses actual net assets as its starting point. In most years, this change in net assets is offset by an increase to non-recurring expenditure budgets.
2. State appropriations are adjusted in September, requiring minor adjustments in most years.
3. Other adjustments may be needed if there are material changes to operating plans, organizational structure, revenue projections, or fixed costs.

Revised total revenues are $2.056 billion, a 0.3% increase over the original budget. Revised expenses total $2.096 billion, a 4.5% increase. These revisions include all current funds: unrestricted educational and general (E&G) funds, restricted E&G funds, and auxiliary funds.

Unrestricted E&G funds finance the University’s core operations. The revised unrestricted E&G revenue budget increased only $4.8 million or 0.4%. It is common to see revenue adjustments in this range between original and revised budgets. Budgets for recurring unrestricted E&G expenditures and transfers showed very little change, but total recurring and non-recurring expenditures and transfers are up $44.4 million (3.6%), reflecting carry-overs of unspent non-recurring funds from FY 2014.

The revised budget unrestricted E&G beginning balance is $39.0 million higher than original budget. These include one-time funds that were budgeted to be spent in FY 2014 that have been carried over to be spent in FY 2015 and a modest reserve used to absorb year-to-year fluctuations. Campuses and institutes are using these one-time funds to upgrade technology in classrooms, fund energy efficiency projects, and address critical maintenance needs; prudent one-time investments that increase capacity and improve long-term effectiveness and efficiency.

Revenue and expenditure data for each operating unit is provided in this budget document. Also included is information on athletics and auxiliary budgets. A separate publication containing detailed supporting schedules is available in electronic format.

Respectfully,

Charles M. Peccolo
Treasurer and Chief Financial Officer
Overview

The University of Tennessee FY 2015 revised budget revenues total $2.056 billion: $1.235 billion in unrestricted educational and general (E&G), $617.2 million in restricted E&G funds and $203.3 million in auxiliary funds. This is a 0.3% increase from the FY 2015 original budget. A change of this magnitude is typical for the annual revised budget and reflects no material changes to plans or operations for FY 2015. The adjustments ensure that our revised expenditure and transfer budgets for FY 2015 remain within available resources.

### TOTAL REVENUE ($ millions)

<table>
<thead>
<tr>
<th>Revenue Source</th>
<th>FY2015 Original</th>
<th>FY2015 Revised</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unrestricted E&amp;G</td>
<td>$ 1,230.3</td>
<td>$ 1,235.1</td>
<td>$ 4.8</td>
</tr>
<tr>
<td>Restricted E&amp;G</td>
<td>615.2</td>
<td>617.2</td>
<td>2.0</td>
</tr>
<tr>
<td>Auxiliaries</td>
<td>203.1</td>
<td>203.3</td>
<td>0.2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$ 2,048.6</strong></td>
<td><strong>$ 2,055.5</strong></td>
<td><strong>$ 6.9</strong></td>
</tr>
</tbody>
</table>

Amounts may not add due to rounding.

Unrestricted education and general funds (Unrestricted E&G) support the core operations of the university: instruction, research, public service, academic support, student services, institutional support, facilities operations and maintenance, and scholarships and fellowships. They are funded primarily though tuition and student fees, state appropriations, and other sources including grants and contracts, federal and local appropriations, sales and services, investment income, and endowment distributions.

Restricted funds must be used in accordance with purposes established by an external party; primarily grants, contracts, gifts and endowments. Auxiliaries are self-supporting enterprises which furnish services to students, faculty, and staff such as housing, bookstores, food service and UTK athletics.
FY2015 REVISED BUDGET

Unrestricted E&G Revenues

Unrestricted E&G Revenue Summary

<table>
<thead>
<tr>
<th>Revenue Source</th>
<th>FY2015 Original</th>
<th>FY 2015 Revised</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition &amp; Fees</td>
<td>$607,115,225</td>
<td>$609,276,522</td>
<td>$2,161,297</td>
</tr>
<tr>
<td>State Appropriations</td>
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<tr>
<td>Other Revenues</td>
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<td>151,506,607</td>
<td>2,480,574</td>
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<tr>
<td><strong>Total E&amp;G Revenues</strong></td>
<td><strong>$1,230,305,970</strong></td>
<td><strong>$1,235,064,641</strong></td>
<td><strong>$4,758,671</strong></td>
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</tbody>
</table>

Revenues may not add due to the rounding.

FY 2015 unrestricted E&G revenues are $4.8 million higher than the original budget. Tuition and fee revenue budgets were adjusted up 0.4% based on actual enrollments. State appropriation budgets are essentially unchanged. Other revenues are up 1.7% and are discussed more fully below. These kinds of minor adjustments to budgeted revenues are routinely reflected in the University’s revised budget.

Unrestricted E&G Revenue History

($ millions)

Trends in state appropriations and tuition and fees are critical to the core operations of the university. Their share of total revenues changed very little over recent years - 86.5% in FY 2011 compared to 87.7% in FY 2015. The most striking trend is the reversed relationship between the two. In FY 2011, appropriations exceeded tuition and fees by nearly $100 million. In FY 2015, tuition and fees exceed appropriations by $135 million.
FY2015 REVISED BUDGET

Change in Unrestricted E&G State Appropriations

<table>
<thead>
<tr>
<th>Adjustments</th>
<th>Base (Recurring)</th>
<th>Non-Recurring</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2015 Original Budget</td>
<td>$ 472,465,835</td>
<td>$ 1,698,877</td>
<td>$ 474,164,712</td>
</tr>
<tr>
<td>Fee Waiver Estimate Adjustment</td>
<td></td>
<td>123,600</td>
<td>123,600</td>
</tr>
<tr>
<td>Claims Adjustments</td>
<td></td>
<td>(46,800)</td>
<td>(46,800)</td>
</tr>
<tr>
<td>Feasibility Study (UTK)</td>
<td></td>
<td>40,000</td>
<td>40,000</td>
</tr>
<tr>
<td>FY 2015 Revised Budget</td>
<td>$ 472,419,035</td>
<td>$ 1,862,477</td>
<td>$ 474,281,512</td>
</tr>
</tbody>
</table>

Minor adjustments to state appropriations include claims premiums (-$46,800), partial funding for state-mandated fee waivers ($123,600), and one-time funds for an economic feasibility study to be conducted by UTK’s Howard Baker Center for Public Policy.

Unrestricted E&G State Appropriations

($ millions)

<table>
<thead>
<tr>
<th>Year</th>
<th>Regular Appropriations</th>
<th>Stimulus Related Appropriations</th>
</tr>
</thead>
<tbody>
<tr>
<td>2008</td>
<td>509.4</td>
<td></td>
</tr>
<tr>
<td>2009</td>
<td>475.5</td>
<td></td>
</tr>
<tr>
<td>2010</td>
<td>425.7</td>
<td></td>
</tr>
<tr>
<td>2011</td>
<td>412.1</td>
<td>135.8</td>
</tr>
<tr>
<td>2012</td>
<td>410.7</td>
<td>2.6</td>
</tr>
<tr>
<td>2013</td>
<td>431.9</td>
<td></td>
</tr>
<tr>
<td>2014</td>
<td>466.8</td>
<td></td>
</tr>
<tr>
<td>2015 Revised</td>
<td>474.3</td>
<td></td>
</tr>
</tbody>
</table>

(1) Does not include appropriations restricted for Centers of Excellence & Governor’s Chairs.
(2) Stimulus related appropriations include federal ARRA funding, MOE appropriations, and regular non-recurring state funds used to replace 2011 ARRA.

The long-term trend in appropriations has been, and continues to be, the most significant financial challenge facing UT. Current appropriations are lower than the all-time high in FY 2008. The gradual growth seen since FY 2012 reflects routine adjustments that partially fund increased costs for insurance premiums, retirement plans, and periodic state-funded salary plans, as well as outcome productivity gains calculated by the state’s formula funding model. This has not restored any of the $125 million in recurring reductions to UT’s base appropriations made from FY 2009 to FY 2013. Planning over the previous five years focused on how to respond in the near term. Planning has now shifted to explore how UT can restructure its business model for the long-term.
FY2015 REVISED BUDGET

Tuition and Fee Revenues

<table>
<thead>
<tr>
<th>Fee Type</th>
<th>FY15 Original</th>
<th>FY15 Revised</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>In-State Maintenance Fees</td>
<td>$434,830,280</td>
<td>$435,318,440</td>
<td>$488,160</td>
</tr>
<tr>
<td>Non-Resident Fees &amp; Tuition</td>
<td>66,825,156</td>
<td>66,993,344</td>
<td>168,188</td>
</tr>
<tr>
<td>Program and Service Fees</td>
<td>59,941,385</td>
<td>60,458,806</td>
<td>517,421</td>
</tr>
<tr>
<td>Extension Enrollment Fees</td>
<td>7,501,917</td>
<td>7,501,917</td>
<td>0</td>
</tr>
<tr>
<td>Other Student Fees</td>
<td>38,016,487</td>
<td>39,004,015</td>
<td>987,528</td>
</tr>
<tr>
<td>Total Tuition and Fees</td>
<td>$607,115,225</td>
<td>$609,276,522</td>
<td>$2,161,297</td>
</tr>
</tbody>
</table>

Tuition and fee budgets increased only 0.4% from Original Budget, reflecting minor refinements to projected enrollments and revised expectations for various student fees, such as course and lab fees.

Other Revenues

<table>
<thead>
<tr>
<th>Revenue Source</th>
<th>FY15 Original</th>
<th>FY15 Revised</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grants &amp; Contracts</td>
<td>$44,190,219</td>
<td>$44,300,586</td>
<td>$110,367</td>
</tr>
<tr>
<td>Sales &amp; Services</td>
<td>52,458,151</td>
<td>53,748,933</td>
<td>1,290,782</td>
</tr>
<tr>
<td>Other Sources</td>
<td>52,377,663</td>
<td>53,457,088</td>
<td>1,079,425</td>
</tr>
<tr>
<td>Total Revenues</td>
<td>$149,026,033</td>
<td>$151,506,607</td>
<td>$2,480,574</td>
</tr>
</tbody>
</table>

There is little change in budgeted revenues from other sources. Sales and service revenue budgets were adjusted up by 2.5%. These are sales from operations that generally provide services to the public (this does not include auxiliary enterprises, which typically provide services to faculty, staff, and students). Examples include medical clinics, 4-H camps, theaters, child development centers, training programs, sales of agricultural products, and sports camps.

Grant and contract revenues are up 0.2%. These revenues are the portion of payments from grant and contract sponsors allocated to cover general facilities and administration costs incurred to support grant and contract programs.

The revised budget for other miscellaneous revenues is up 2.1%. These include revenue sources such as interest earnings, conference revenues, federal appropriations (Smith-Lever, Hatch), local appropriations, UT-Battelle management fees, trademark licensing revenues, unrestricted gifts, and unrestricted endowment earnings.
Unrestricted E&G expenditures are budgeted at $1,323.5 million among the eight functional areas shown in the chart above. Instruction accounts for over 40%. Unrestricted E&G budgets for research do not include funds from restricted grants, contracts, gifts, and endowments. Institutional Support and Operation & Maintenance of Physical Plant support all operations, including those funded through restricted and auxiliary funds.

Over five years, each major expense category has grown gradually. The jump in Operating & Equipment for FY 2015 reflects non-recurring funds, which are discussed in the following pages.
**FY2015 REVISED BUDGET**

Unrestricted E&G Expenditures by Functional Category

<table>
<thead>
<tr>
<th>Functional Category</th>
<th>FY 2015 Original</th>
<th>FY 2015 Revised</th>
<th>Change Amount</th>
<th>Change %</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instruction</td>
<td>$531,510,941</td>
<td>$546,132,992</td>
<td>$14,622,051</td>
<td>2.8 %</td>
</tr>
<tr>
<td>Research</td>
<td>70,683,096</td>
<td>101,723,608</td>
<td>31,040,512</td>
<td>43.9 %</td>
</tr>
<tr>
<td>Public Service</td>
<td>71,415,142</td>
<td>80,570,121</td>
<td>9,154,979</td>
<td>12.8 %</td>
</tr>
<tr>
<td>Academic Support</td>
<td>132,809,206</td>
<td>147,306,378</td>
<td>14,497,172</td>
<td>10.9 %</td>
</tr>
<tr>
<td>Student Services</td>
<td>77,859,611</td>
<td>79,786,388</td>
<td>1,926,777</td>
<td>2.5 %</td>
</tr>
<tr>
<td>Institutional Support</td>
<td>132,567,485</td>
<td>146,646,123</td>
<td>14,078,638</td>
<td>10.6 %</td>
</tr>
<tr>
<td>Operation &amp; Maint.of Plant</td>
<td>130,334,008</td>
<td>131,546,171</td>
<td>1,212,163</td>
<td>0.9 %</td>
</tr>
<tr>
<td>Scholarships and Fellowships</td>
<td>87,972,283</td>
<td>89,823,800</td>
<td>1,851,517</td>
<td>2.1 %</td>
</tr>
<tr>
<td><strong>Total E&amp;G Expenditures</strong></td>
<td>$1,235,151,772</td>
<td>$1,323,535,581</td>
<td>$88,383,809</td>
<td>7.2 %</td>
</tr>
<tr>
<td>Transfers</td>
<td>(1,791,130)</td>
<td>(45,789,949)</td>
<td>(43,998,819)</td>
<td>-2.457%</td>
</tr>
<tr>
<td><strong>Expenditures &amp; Transfers</strong></td>
<td>$1,233,360,642</td>
<td>$1,277,745,632</td>
<td>$44,384,990</td>
<td>3.6 %</td>
</tr>
</tbody>
</table>

Amounts may not add due to rounding.

Budgeted expenditures increased $88.4 million. This increase is funded by transfers of $44.0 million, an increase in the beginning fund balance of $39.0 million, and a small increase in revenues. The increase was allocated through campus and institute budgeting procedures to over 1,400 non-recurring projects and programs such as facility maintenance, equipment replacements, faculty start-up packages, bridge funding for research operations, lab upgrades, faculty incentives, campus improvements, energy conservation projects, and IT infrastructure. Unused non-recurring funds will be carried forward to FY 2016 for use on similar non-recurring projects and improvements in the future.

The large increase in research is typical since a good portion of these increases come from non-recurring facilities and administration recoveries generated in previous years by research grants and contracts. Budgets for public service, academic support, and institutional support also have significant increases for non-recurring expenditures.
FY2015 REVISED BUDGET

Auxiliary Enterprises

Auxiliary enterprises furnish services to students, faculty, and staff. Each auxiliary enterprise is self-funded through sales, fees, and private gifts. These stand-alone operations include housing, food services, bookstores, parking, and other miscellaneous operations. It also includes UTK athletics since it is a self-supporting operation. (The athletic programs at Chattanooga and Martin are included in unrestricted E&G funds.)

Revised budget auxiliary revenues are $203.3 million, an increase of $195,213 over original budget. This is offset by a $195,213 net increase in budgeted expenditures and transfers.

Auxiliary Revenues by Enterprise

(\$ millions)

<table>
<thead>
<tr>
<th>Enterprise</th>
<th>Original FY 2015</th>
<th>Revised FY 2015</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>UTK Athletics</td>
<td>$101.5</td>
<td>$58.4</td>
<td></td>
</tr>
<tr>
<td>Housing</td>
<td>$20.3</td>
<td>$13.2</td>
<td></td>
</tr>
<tr>
<td>Bookstores</td>
<td>$6.1</td>
<td>$3.8</td>
<td></td>
</tr>
<tr>
<td>Parking</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Food Services</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Auxiliary Fund Summary

<table>
<thead>
<tr>
<th>Revenues, Expenditures, and Transfers</th>
<th>FY 2015 Original</th>
<th>FY 2015 Revised</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenues</td>
<td>$203,083,436</td>
<td>$203,278,649</td>
<td>$195,213 0.1 %</td>
</tr>
<tr>
<td>Expenditures</td>
<td>$155,176,263</td>
<td>$155,399,637</td>
<td>$223,374 0.1 %</td>
</tr>
<tr>
<td>Transfers</td>
<td>$47,907,173</td>
<td>$47,879,012</td>
<td>(28,161) -0.1 %</td>
</tr>
<tr>
<td>Total Expenditures and Transfers</td>
<td>$203,083,436</td>
<td>$203,278,649</td>
<td>$195,213 0.1 %</td>
</tr>
</tbody>
</table>
Unrestricted Net Assets

The University’s practice is to maintain 2-5 percent of unrestricted educational and general (E&G) expenditures and 3-5 percent of unrestricted auxiliary enterprise funds in its unallocated fund balance as a “rainy day” fund. It is needed in case of a downturn in enrollment, sharp decline in appropriations, or other situations that cause expenditures to exceed available revenues to provide short-term funding while adjustments are made to bring the budget back into balance.

Encumbrances are funds carried over from the previous fiscal year for purchases and commitments that were not received before the close of the fiscal year. These funds are budgeted in the appropriate expenditure accounts as the items or services are received. Reappropriations are funds reserved from FY 2014 for allocation to specific programs and initiatives in FY 2015 or in subsequent fiscal years.

The FY 2015 revised budget projects a June 30, 2015 unrestricted E&G unallocated fund balance of $43.5 million, or 3.41% of expenditures and transfers. The unrestricted auxiliary enterprises unallocated balance is $4.2 million, 2.09% of expenditures and transfers. The total unallocated balance projected for June 30, 2015 is $47.7 million, which is 3.23% of expenditures and transfers.

FY 2015 Revised Budget Unrestricted Net Assets

($ millions)

<table>
<thead>
<tr>
<th>E&amp;G</th>
<th>Auxiliaries</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unallocated</td>
<td>$43.5</td>
<td>$47.7</td>
</tr>
<tr>
<td>Working Capital</td>
<td>$23.2</td>
<td>$32.7</td>
</tr>
<tr>
<td>Revolving Funds</td>
<td>$17.2</td>
<td>$20.8</td>
</tr>
<tr>
<td>Reappropriations</td>
<td>$14.8</td>
<td>$14.8</td>
</tr>
<tr>
<td>Encumbrances</td>
<td>$4.0</td>
<td>$4.0</td>
</tr>
</tbody>
</table>

$43.5 million 3.41%  $4.2 million 2.09%  $47.7 million 3.23%  Unallocated Balance % of Expenditures & Transfers
FY2015 REVISED BUDGET

Recommendation

The FY 2015 Educational and General (E&G) and Auxiliary Enterprises revised budgets are balanced and within available resources. The Revised Budget complies with all applicable policies and guidelines. The following action by the Board of Trustees is recommended:

1. The FY 2015 revised budget be approved with the understanding that if the General Assembly or the Department of Finance and Administration further alters the FY 2015 appropriations or if changes in estimated resources require, the budget shall be modified accordingly so expenditures will not exceed available resources.

2. The Board of Trustees expressly authorizes the campus, institute, and unit administrations, in response to budget reductions or a budgetary shortfall, to implement mandatory furloughs without pay, reduction of time worked, across-the-board salary reductions, and similar salary-related measures during FY 2015, subject to approval by the Executive and Compensation Committee, the President, and the Treasurer and Chief Financial Officer in consultation with the General Counsel and Human Resources.

3. Any remaining balance of Net Assets may be considered as reserve for contingencies to be used for:
   a) Employing additional staff where enrollments and reorganization requirements warrant;
   b) Modifying departmental operating budgets where changing conditions during the year require funding adjustments;
   c) Funding to make salary adjustments for personnel as may be necessary during the year in keeping with state and university salary guidelines;
   d) Improving physical facilities as opportunities arise;
   e) Mandated cost increases; and
   f) State impoundment of funds or appropriations rescission during the budget year.
## FY2015 REVISED BUDGET

<table>
<thead>
<tr>
<th>Schedule</th>
<th>FY 2015 Revised Budget Schedule Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chart 1</td>
<td>Unrestricted and Restricted Current Funds – Graphical Presentation</td>
<td>13</td>
</tr>
<tr>
<td>Chart 2</td>
<td>Unrestricted E&amp;G Current Funds – Graphical Presentation</td>
<td>14</td>
</tr>
<tr>
<td>1</td>
<td>State Appropriations Summary</td>
<td>15</td>
</tr>
<tr>
<td>2</td>
<td>State Appropriations Five-Year History</td>
<td>16</td>
</tr>
<tr>
<td>3</td>
<td>State Appropriations – Access &amp; Diversity</td>
<td>17</td>
</tr>
<tr>
<td>4</td>
<td>E&amp;G Unrestricted Net Assets</td>
<td>18</td>
</tr>
<tr>
<td>5</td>
<td>Auxiliary Unrestricted Net Assets</td>
<td>19</td>
</tr>
<tr>
<td>6</td>
<td>Revised Budget – Unrestricted Current Funds</td>
<td>20</td>
</tr>
<tr>
<td>7</td>
<td>Revised Budget – Unrestricted and Restricted Current Funds</td>
<td>21</td>
</tr>
<tr>
<td>8</td>
<td>Five-Year Summary Comparison – Unrestricted Current Funds</td>
<td>22</td>
</tr>
<tr>
<td>9</td>
<td>Five-Year Summary Comparison – Unrestricted and Restricted Current Funds</td>
<td>23</td>
</tr>
<tr>
<td>10</td>
<td>Revised Budget Summary – Unrestricted and Restricted Current Funds</td>
<td>24</td>
</tr>
<tr>
<td>11</td>
<td>Natural Classifications – Unrestricted Current Funds</td>
<td>25</td>
</tr>
<tr>
<td>12</td>
<td>Natural Classifications – Unrestricted Current Funds – Summary</td>
<td>26</td>
</tr>
<tr>
<td>13</td>
<td>Auxiliaries – Revised Budget Summary</td>
<td>27</td>
</tr>
<tr>
<td>14</td>
<td>Athletics – Five-Year Summary Comparison</td>
<td>28</td>
</tr>
<tr>
<td>15</td>
<td>Revised Budget Summaries:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total University of Tennessee System</td>
<td>29</td>
</tr>
<tr>
<td></td>
<td>Chattanooga</td>
<td>30</td>
</tr>
<tr>
<td></td>
<td>Knoxville</td>
<td>31</td>
</tr>
<tr>
<td></td>
<td>Martin</td>
<td>32</td>
</tr>
<tr>
<td></td>
<td>Space Institute</td>
<td>33</td>
</tr>
<tr>
<td></td>
<td>Health Science Center (Total, MOSU, COMU, FMU)</td>
<td>34</td>
</tr>
<tr>
<td></td>
<td>Institute of Agriculture (Total, Experiment Station, Extension, Vet Med)</td>
<td>38</td>
</tr>
<tr>
<td></td>
<td>Institute for Public Service (Total, IPS, MTAS, CTAS)</td>
<td>42</td>
</tr>
<tr>
<td></td>
<td>System Administration</td>
<td>46</td>
</tr>
</tbody>
</table>
The University of Tennessee
FY 2015 Revised Budget
Unrestricted & Restricted Funds

### Revenues

- **State Appropriations**
  - $501.2
  - 24%
- **Grants & Contracts**
  - $567.4
  - 27%
- **Other**
  - $120.6
  - 6%
- **Tuition & Fees**
  - $609.3
  - 30%
- **Sales & Services**
  - $53.7
  - 3%
- **Auxiliaries**
  - $203.3
  - 10%

Total Revenues: $2.1 billion

### Expenditures

- **Instruction**
  - $700.0
  - 33%
- **Research**
  - $288.1
  - 14%
- **Public Service**
  - $138.6
  - 7%
- **Institutional Support**
  - $148.9
  - 7%
- **Student Services**
  - $81.4
  - 4%
- **Academic Support**
  - $179.4
  - 9%
- **Oper./Maint.**
  - $155.4
  - 7%
- **Scholarships**
  - $271.8
  - 13%

Total Expenditures: $2.1 billion

### Fall 2014 Headcount Enrollment

- **Knoxville**
  - 26,923
- **Chattanooga**
  - 11,670
- **Martin**
  - 7,042
- **Health Science Center**
  - 2,976
- **Vet Med**
  - 357
- **Space Institute**
  - 130

Total: 49,098

### FTE Positions

- **Faculty**
  - 4,173
- **Administrative**
  - 833
- **Professional**
  - 3,945
- **Cler/Tech/Maint**
  - 6,024

Total: 14,975

### Unrestricted & Restricted Revenues

<table>
<thead>
<tr>
<th>Location</th>
<th>Revenues ($millions)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chattanooga</td>
<td>$210.8</td>
</tr>
<tr>
<td>Knoxville</td>
<td>1,013.0</td>
</tr>
<tr>
<td>Martin</td>
<td>140.5</td>
</tr>
<tr>
<td>Space Institute</td>
<td>11.2</td>
</tr>
<tr>
<td>Health Science Center</td>
<td>459.3</td>
</tr>
<tr>
<td>Institute of Agriculture</td>
<td>170.6</td>
</tr>
<tr>
<td>Inst. for Public Service</td>
<td>21.7</td>
</tr>
<tr>
<td>System Administration</td>
<td>28.2</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$2,055.5</strong></td>
</tr>
</tbody>
</table>
The University of Tennessee
FY 2015 Revised Budget
Unrestricted E&G Funds

Current Fund
Revenues
($millions)

<table>
<thead>
<tr>
<th>Location</th>
<th>Revenues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chattanooga</td>
<td>$143.1</td>
</tr>
<tr>
<td>Knoxville</td>
<td>578.8</td>
</tr>
<tr>
<td>Martin</td>
<td>92.3</td>
</tr>
<tr>
<td>Space Institute</td>
<td>9.6</td>
</tr>
<tr>
<td>Health Science Center</td>
<td>246.2</td>
</tr>
<tr>
<td>Institute of Agriculture</td>
<td>126.7</td>
</tr>
<tr>
<td>Inst. for Public Service</td>
<td>17.1</td>
</tr>
<tr>
<td>System Administration</td>
<td>21.4</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$1,235.1</strong></td>
</tr>
</tbody>
</table>

Fall 2014 Headcount
Enrollment

<table>
<thead>
<tr>
<th>Location</th>
<th>Enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knoxville</td>
<td>26,923</td>
</tr>
<tr>
<td>Chattanooga</td>
<td>11,670</td>
</tr>
<tr>
<td>Martin</td>
<td>7,042</td>
</tr>
<tr>
<td>Health Science Center</td>
<td>2,976</td>
</tr>
<tr>
<td>Vet Med</td>
<td>357</td>
</tr>
<tr>
<td>Space Institute</td>
<td>130</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>49,098</strong></td>
</tr>
</tbody>
</table>

FTE Positions
(Unrestricted E&G)
October 31, 2014

<table>
<thead>
<tr>
<th>Category</th>
<th>FTE Positions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty</td>
<td>3,237</td>
</tr>
<tr>
<td>Administrative</td>
<td>688</td>
</tr>
<tr>
<td>Professional</td>
<td>2,017</td>
</tr>
<tr>
<td>Cler/Tech/Maint</td>
<td>3,888</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>9,830</strong></td>
</tr>
</tbody>
</table>

Revenues
$1.2 billion

- Tuition & Fees
  - $609.3
  - 49%
- State Appropriations
  - $474.3
  - 39%
- Grants & Contracts
  - $44.3
  - 4%
- Other
  - $53.5
  - 4%
- Sales & Services
  - $53.7
  - 4%

Expenditures
$1.3 billion

- Instruction
  - $546.1
  - 41%
- Institution Support
  - $147.3
  - 11%
- Student Services
  - $79.8
  - 6%
- Public Service
  - $80.6
  - 6%
- Academic Support
  - $146.6
  - 11%
- Research
  - $101.7
  - 8%
- Oper./Maint.
  - $131.5
  - 10%
- Scholarships/Fellowships
  - $89.8
  - 7%
- Other
  - $53.5
  - 4%

Current Fund
Revenues
($millions)

<table>
<thead>
<tr>
<th>Location</th>
<th>Revenues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chattanooga</td>
<td>$143.1</td>
</tr>
<tr>
<td>Knoxville</td>
<td>578.8</td>
</tr>
<tr>
<td>Martin</td>
<td>92.3</td>
</tr>
<tr>
<td>Space Institute</td>
<td>9.6</td>
</tr>
<tr>
<td>Health Science Center</td>
<td>246.2</td>
</tr>
<tr>
<td>Institute of Agriculture</td>
<td>126.7</td>
</tr>
<tr>
<td>Inst. for Public Service</td>
<td>17.1</td>
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<td>System Administration</td>
<td>21.4</td>
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<td><strong>TOTAL</strong></td>
<td><strong>$1,235.1</strong></td>
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Fall 2014 Headcount
Enrollment

<table>
<thead>
<tr>
<th>Location</th>
<th>Enrollment</th>
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<tbody>
<tr>
<td>Knoxville</td>
<td>26,923</td>
</tr>
<tr>
<td>Chattanooga</td>
<td>11,670</td>
</tr>
<tr>
<td>Martin</td>
<td>7,042</td>
</tr>
<tr>
<td>Health Science Center</td>
<td>2,976</td>
</tr>
<tr>
<td>Vet Med</td>
<td>357</td>
</tr>
<tr>
<td>Space Institute</td>
<td>130</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>49,098</strong></td>
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FTE Positions
(Unrestricted E&G)
October 31, 2014

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<th>FTE Positions</th>
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<td>Faculty</td>
<td>3,237</td>
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<tr>
<td>Administrative</td>
<td>688</td>
</tr>
<tr>
<td>Professional</td>
<td>2,017</td>
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<tr>
<td>Cler/Tech/Maint</td>
<td>3,888</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>9,830</strong></td>
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</table>
# University of Tennessee System

## FY 2015 Revised State Appropriations Summary

Unrestricted Current Funds (Educational and General)

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUAL</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chattanooga</td>
<td>$37,467,181</td>
<td>$38,443,181</td>
<td>$38,456,781</td>
<td>$13,600</td>
<td>-%</td>
</tr>
<tr>
<td>Knoxville</td>
<td>$177,568,343</td>
<td>$182,161,643</td>
<td>$182,317,943</td>
<td>$156,300</td>
<td>0.1%</td>
</tr>
<tr>
<td>Martin</td>
<td>$26,359,667</td>
<td>$27,013,167</td>
<td>$27,036,367</td>
<td>$23,200</td>
<td>0.1%</td>
</tr>
<tr>
<td>Space Institute</td>
<td>$7,995,412</td>
<td>$8,011,212</td>
<td>$8,015,212</td>
<td>$4,000</td>
<td>-%</td>
</tr>
<tr>
<td>Health Science Center</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Memphis Other Specialized Units</td>
<td>$71,883,051</td>
<td>$72,438,940</td>
<td>$72,430,740</td>
<td>$(108,600)</td>
<td>(0.2)%</td>
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<tr>
<td>College of Medicine Units</td>
<td>$47,116,500</td>
<td>$47,116,500</td>
<td>$47,007,900</td>
<td>$7,400</td>
<td>0.1%</td>
</tr>
<tr>
<td>Family Medicine Units</td>
<td>$10,470,800</td>
<td>$10,510,600</td>
<td>$10,518,000</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Subtotal Health Science Center</td>
<td>$129,470,351</td>
<td>$130,066,040</td>
<td>$129,956,640</td>
<td>$(109,400)</td>
<td>(0.1)%</td>
</tr>
<tr>
<td><strong>Agricultural Units</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Agricultural Experiment Station</td>
<td>$25,579,486</td>
<td>$25,692,086</td>
<td>$25,698,486</td>
<td>$6,400</td>
<td>-%</td>
</tr>
<tr>
<td>Extension</td>
<td>$30,987,767</td>
<td>$31,165,967</td>
<td>$31,195,267</td>
<td>$29,300</td>
<td>0.1%</td>
</tr>
<tr>
<td>College of Veterinary Medicine</td>
<td>$16,796,354</td>
<td>$16,877,654</td>
<td>$16,874,254</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Subtotal Agricultural Units</td>
<td>$73,363,607</td>
<td>$73,735,707</td>
<td>$73,768,007</td>
<td>$32,300</td>
<td>-%</td>
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<tr>
<td><strong>Public Service Units</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Institute for Public Service</td>
<td>$5,249,898</td>
<td>$5,267,698</td>
<td>$5,265,298</td>
<td>$(2,400)</td>
<td>-%</td>
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<tr>
<td>Municipal Technical Advisory Service</td>
<td>$2,892,013</td>
<td>$2,903,713</td>
<td>$2,903,313</td>
<td>(400)</td>
<td>-%</td>
</tr>
<tr>
<td>County Technical Assistance Service</td>
<td>$1,758,013</td>
<td>$1,768,113</td>
<td>$1,767,913</td>
<td>(200)</td>
<td>-%</td>
</tr>
<tr>
<td>Subtotal Public Service Units</td>
<td>$9,899,924</td>
<td>$9,939,524</td>
<td>$9,936,524</td>
<td>$(3,000)</td>
<td>-%</td>
</tr>
<tr>
<td><strong>System Administration</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Appropriations</td>
<td>$466,846,023</td>
<td>$474,164,712</td>
<td>$474,281,512</td>
<td>$116,800</td>
<td>-%</td>
</tr>
</tbody>
</table>

State Appropriations for Centers of Excellence and Research Initiatives are allocated to restricted accounts and is not included in this schedule.

State appropriations for UTHSC-MOSU in the amount of $1,068,888 is allocated to the restricted Mouse Genome Consortium and is not included in this schedule.

State Appropriations for the year 2 non-recurring $3.0 million in matching funds by St. Judes for pediatric physicians is allocated to restricted funds and is not included in this schedule.
## University of Tennessee System

### State Appropriations Five Year History
Unrestricted Current Funds (Educational and General)

<table>
<thead>
<tr>
<th></th>
<th>FY 2011 ACTUAL</th>
<th>FY 2012 ACTUAL</th>
<th>FY 2013 ACTUAL</th>
<th>FY 2014 ACTUAL</th>
<th>FY 2015 REVISED</th>
<th>AMOUNT</th>
<th>%</th>
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<td><strong>STATE APPROPRIATIONS</strong></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chattanooga</td>
<td>$ 48,591,279</td>
<td>$ 35,088,738</td>
<td>$ 35,523,864</td>
<td>$ 37,467,181</td>
<td>$ 38,456,781</td>
<td>($10,134,498)</td>
<td>(20.9)</td>
</tr>
<tr>
<td>Knoxville</td>
<td>226,416,954</td>
<td>147,947,704</td>
<td>156,439,550</td>
<td>177,568,343</td>
<td>182,317,943</td>
<td>($44,099,011)</td>
<td>(19.5)</td>
</tr>
<tr>
<td>Martin</td>
<td>35,319,979</td>
<td>25,195,511</td>
<td>26,186,217</td>
<td>26,359,667</td>
<td>27,036,367</td>
<td>($8,283,612)</td>
<td>(23.5)</td>
</tr>
<tr>
<td>Space Institute</td>
<td>9,013,601</td>
<td>7,392,569</td>
<td>7,700,101</td>
<td>7,995,412</td>
<td>8,015,212</td>
<td>($998,389)</td>
<td>(11.1)</td>
</tr>
<tr>
<td><strong>Health Science Center</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Memphis Other Specialized Units</td>
<td>$ 77,546,026</td>
<td>$ 64,831,856</td>
<td>$ 67,383,999</td>
<td>$ 71,883,051</td>
<td>$ 72,430,740</td>
<td>($5,115,286)</td>
<td>(6.6)</td>
</tr>
<tr>
<td>College of Medicine Units</td>
<td>51,848,114</td>
<td>44,093,363</td>
<td>44,934,400</td>
<td>47,116,500</td>
<td>47,007,900</td>
<td>($4,840,214)</td>
<td>(9.3)</td>
</tr>
<tr>
<td>Family Medicine Units</td>
<td>11,096,225</td>
<td>9,386,338</td>
<td>9,882,100</td>
<td>10,470,800</td>
<td>10,518,000</td>
<td>($366,561)</td>
<td>(3.1)</td>
</tr>
<tr>
<td><strong>Subtotal Health Science Center</strong></td>
<td>$ 140,490,364</td>
<td>$ 118,311,558</td>
<td>$ 122,200,499</td>
<td>$ 129,470,351</td>
<td>$ 129,956,640</td>
<td>($10,533,724)</td>
<td>(7.5)</td>
</tr>
<tr>
<td><strong>Agricultural Units</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Agricultural Experiment Station</td>
<td>$ 25,635,108</td>
<td>$ 23,333,760</td>
<td>$ 24,480,573</td>
<td>$ 25,579,486</td>
<td>$ 25,698,486</td>
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<td>Extension</td>
<td>31,082,557</td>
<td>28,160,380</td>
<td>29,580,016</td>
<td>30,987,767</td>
<td>31,195,267</td>
<td>112,710</td>
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<tr>
<td>Veterinary Medicine</td>
<td>17,416,903</td>
<td>14,823,603</td>
<td>15,720,772</td>
<td>16,796,354</td>
<td>16,874,254</td>
<td>($542,649)</td>
<td>(3.1)</td>
</tr>
<tr>
<td><strong>Subtotal Agricultural Units</strong></td>
<td>$ 74,134,568</td>
<td>$ 66,317,743</td>
<td>$ 69,781,361</td>
<td>$ 73,363,607</td>
<td>$ 73,768,007</td>
<td>($366,561)</td>
<td>(0.5)</td>
</tr>
<tr>
<td><strong>Public Service Units</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Institute for Public Service</td>
<td>$ 4,920,285</td>
<td>$ 4,368,582</td>
<td>$ 5,058,459</td>
<td>$ 5,249,898</td>
<td>$ 5,265,298</td>
<td>345,013</td>
<td>7.0</td>
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<tr>
<td>Municipal Technical Advisory Service</td>
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<td>2,571,285</td>
<td>2,737,969</td>
<td>2,892,013</td>
<td>2,903,313</td>
<td>($20,252)</td>
<td>(0.8)</td>
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<td>County Technical Assistance Service</td>
<td>1,708,028</td>
<td>1,534,985</td>
<td>1,650,969</td>
<td>1,758,013</td>
<td>1,767,913</td>
<td>59,885</td>
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<td><strong>Subtotal Public Service Units</strong></td>
<td>$ 9,553,651</td>
<td>$ 8,474,852</td>
<td>$ 9,447,397</td>
<td>$ 9,899,924</td>
<td>$ 9,936,524</td>
<td>($382,873)</td>
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<tr>
<td>System Administration</td>
<td>4,384,283</td>
<td>4,614,770</td>
<td>4,571,278</td>
<td>4,721,538</td>
<td>4,794,038</td>
<td>409,755</td>
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<tr>
<td><strong>Total State Appropriations</strong></td>
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<td>$ 431,850,267</td>
<td>$ 466,846,023</td>
<td>$ 474,281,512</td>
<td>($73,623,167)</td>
<td>(13.4)</td>
</tr>
</tbody>
</table>

Schedule 2
## University of Tennessee System

### FY 2015 Revised State Appropriations Summary

**Access & Diversity (Educational and General)**

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 Actual</th>
<th>FY 2015 Original</th>
<th>FY 2015 Revised</th>
<th>CHANGE Original to Revised</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Amount</td>
<td></td>
<td></td>
<td>Amount</td>
</tr>
<tr>
<td><strong>STATE APPROPRIATIONS (Access &amp; Diversity)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chattanooga</td>
<td>$648,281</td>
<td>$648,281</td>
<td>$648,281</td>
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<tr>
<td>Knoxville</td>
<td>$2,270,343</td>
<td>$2,270,343</td>
<td>$2,270,343</td>
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<tr>
<td>Martin</td>
<td>$547,167</td>
<td>$547,167</td>
<td>$547,167</td>
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<tr>
<td>Space Institute</td>
<td>$86,512</td>
<td>$86,512</td>
<td>$86,512</td>
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<tr>
<td>Health Science Center</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Memphis Other Specialized Units</td>
<td>$1,504,028</td>
<td>$1,504,028</td>
<td>$1,504,028</td>
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</tr>
<tr>
<td>College of Medicine Units</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Family Medicine Units</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subtotal Health Science Center</td>
<td>$1,504,028</td>
<td>$1,504,028</td>
<td>$1,504,028</td>
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<tr>
<td>Agricultural Units</td>
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<td></td>
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<tr>
<td>Agricultural Experiment Station</td>
<td>$111,186</td>
<td>$111,186</td>
<td>$111,186</td>
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<tr>
<td>College of Veterinary Medicine</td>
<td>$318,954</td>
<td>$318,954</td>
<td>$318,954</td>
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<tr>
<td>Subtotal Agricultural Units</td>
<td>$538,807</td>
<td>$538,807</td>
<td>$538,807</td>
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<tr>
<td>Public Service Units</td>
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<tr>
<td>Institute for Public Service</td>
<td>$13,898</td>
<td>$13,898</td>
<td>$13,898</td>
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<tr>
<td>Municipal Technical Advisory Service</td>
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<td>$1,813</td>
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<tr>
<td>County Technical Assistance Service</td>
<td>$1,813</td>
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<tr>
<td>Subtotal Public Service Units</td>
<td>$17,524</td>
<td>$17,524</td>
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<tr>
<td>System Administration</td>
<td>$76,238</td>
<td>$76,238</td>
<td>$76,238</td>
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<tr>
<td>Total State Appropriations - Access &amp; Diversity</td>
<td>$5,688,900</td>
<td>$5,688,900</td>
<td>$5,688,900</td>
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</tr>
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</table>
## University of Tennessee System
### Educational and General Unrestricted Net Assets

<table>
<thead>
<tr>
<th>Total System</th>
<th>Chattanooga</th>
<th>Knoxville</th>
<th>Martin</th>
<th>Space Institute</th>
<th>Health Science Center</th>
<th>Institute of Agriculture</th>
<th>Institute for Public Service</th>
<th>System Administration</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2015-16 ACTUAL</td>
<td>$145,933,226</td>
<td>$8,567,727</td>
<td>$28,852,251</td>
<td>$9,257,572</td>
<td>$511,437</td>
<td>$51,258,134</td>
<td>$19,826,910</td>
<td>$1,449,693</td>
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<td>Operating Funds Revenue</td>
<td>$1,143,156,781</td>
<td>127,974,032</td>
<td>$513,650,550</td>
<td>$86,575,908</td>
<td>$9,750,584</td>
<td>247,913,602</td>
<td>122,561,132</td>
<td>$16,450,313</td>
</tr>
<tr>
<td>Carryover Funds To/(From) Net Assets</td>
<td>$11,708,137</td>
<td>(49,940)</td>
<td>$2,409,807</td>
<td>($73,575)</td>
<td>($4,490)</td>
<td>$17,167,831</td>
<td>$2,987,949</td>
<td>($356,414)</td>
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<tr>
<td>Net Assets Detail:</td>
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<td></td>
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<td></td>
</tr>
<tr>
<td>ALLOCATED</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Working Capital</td>
<td>$25,996,185</td>
<td>$2,815,312</td>
<td>$6,166,269</td>
<td>$3,166,161</td>
<td>$30,821</td>
<td>$5,850,208</td>
<td>$5,584,825</td>
<td>$70,685</td>
</tr>
<tr>
<td>Revolving Funds</td>
<td>18,079,674</td>
<td>459,848</td>
<td>2,182,042</td>
<td>15,437,784</td>
<td>10,347,784</td>
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</tr>
<tr>
<td>Encumbrances</td>
<td>5,904,570</td>
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<td>1,750,075</td>
<td>414,347</td>
<td>1,322,793</td>
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</tr>
<tr>
<td>Unexpended Gifts</td>
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<tr>
<td>Reserve for Reappropriations</td>
<td>65,483,454</td>
<td>3,000,000</td>
<td>48,724,440</td>
<td>12,210,000</td>
<td>400,000</td>
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</tr>
<tr>
<td>Total Allocated Net Assets</td>
<td>(115,283,619)</td>
<td>2,817,758</td>
<td>8,326,142</td>
<td>37,262,951</td>
<td>50,697,691</td>
<td>19,997,476</td>
<td>400,000</td>
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<tr>
<td>UNALLOCATED</td>
<td>42,437,520</td>
<td>3,700,000</td>
<td>18,680,183</td>
<td>12,210,000</td>
<td>1,198,964</td>
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<tr>
<td>Total Net Assets</td>
<td>$157,691,363</td>
<td>$8,517,786</td>
<td>$26,386,355</td>
<td>$8,526,661</td>
<td>$506,978</td>
<td>$68,425,965</td>
<td>$22,814,859</td>
<td>$1,093,279</td>
</tr>
</tbody>
</table>

*Recommended percent unallocated of expenditures and transfers is 2% to 5%. For UWA, transfers-in for system charge is excluded from this calculation.*

<table>
<thead>
<tr>
<th>Total System</th>
<th>Chattanooga</th>
<th>Knoxville</th>
<th>Martin</th>
<th>Space Institute</th>
<th>Health Science Center</th>
<th>Institute of Agriculture</th>
<th>Institute for Public Service</th>
<th>System Administration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Funds Revenue</td>
<td>$1,202,493,370</td>
<td>137,762,775</td>
<td>$557,023,838</td>
<td>$87,308,819</td>
<td>$9,575,205</td>
<td>244,224,676</td>
<td>125,194,525</td>
<td>17,342,379</td>
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<tr>
<td>Less: Expenditures and Transfers</td>
<td>(1,214,176,204)</td>
<td>(137,241,779)</td>
<td>(556,228,102)</td>
<td>(89,313,526)</td>
<td>(9,930,593)</td>
<td>(250,586,667)</td>
<td>(130,658,769)</td>
<td>(17,242,328)</td>
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<td>Carryover Funds To/(From) Net Assets</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Allocated Net Assets</td>
<td>(151,601,961)</td>
<td>2,308,783</td>
<td>8,485,951</td>
<td>14,282,415</td>
<td>11,259,113</td>
<td>51,660,620</td>
<td>12,142,182</td>
<td>53,017</td>
</tr>
<tr>
<td>UNALLOCATED</td>
<td>44,324,078</td>
<td>6,100,001</td>
<td>18,336,210</td>
<td>3,814,296</td>
<td>203,691</td>
<td>10,393,353</td>
<td>4,956,481</td>
<td>637,115</td>
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<tr>
<td>Total Net Assets</td>
<td>$101,926,437</td>
<td>$8,517,786</td>
<td>$26,386,355</td>
<td>$8,526,661</td>
<td>$506,978</td>
<td>$68,425,965</td>
<td>$22,814,859</td>
<td>$1,093,279</td>
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</tbody>
</table>

*Recommended percent unallocated of expenditures and transfers is 2% to 5%. For UWA, transfers-in for system charge is excluded from this calculation.*

<table>
<thead>
<tr>
<th>Total System</th>
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<th>Martin</th>
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<th>Health Science Center</th>
<th>Institute of Agriculture</th>
<th>Institute for Public Service</th>
<th>System Administration</th>
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<tbody>
<tr>
<td>Operating Funds Revenue</td>
<td>$1,235,064,641</td>
<td>$143,085,378</td>
<td>$578,766,711</td>
<td>$92,264,257</td>
<td>$9,575,205</td>
<td>246,219,012</td>
<td>126,729,107</td>
<td>17,068,780</td>
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<tr>
<td>Less: Expenditures and Transfers</td>
<td>(1,277,145,620)</td>
<td>(140,018,798)</td>
<td>(578,766,711)</td>
<td>(92,264,257)</td>
<td>(9,575,205)</td>
<td>(276,367,125)</td>
<td>(137,900,153)</td>
<td>(17,185,945)</td>
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<td>Carryover Funds To/(From) Net Assets</td>
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</tr>
<tr>
<td>Total Allocated Net Assets</td>
<td>(59,484,527)</td>
<td>$2,308,783</td>
<td>8,485,951</td>
<td>14,282,415</td>
<td>11,259,113</td>
<td>51,660,620</td>
<td>12,142,182</td>
<td>53,017</td>
</tr>
<tr>
<td>UNALLOCATED</td>
<td>43,331,097</td>
<td>6,100,001</td>
<td>18,336,210</td>
<td>3,814,296</td>
<td>203,691</td>
<td>10,393,353</td>
<td>4,956,481</td>
<td>637,115</td>
</tr>
<tr>
<td>Total Net Assets</td>
<td>$59,484,527</td>
<td>$8,517,786</td>
<td>$26,386,355</td>
<td>$8,526,661</td>
<td>$506,978</td>
<td>$68,425,965</td>
<td>$22,814,859</td>
<td>$1,093,279</td>
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</tbody>
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*Recommended percent unallocated of expenditures and transfers is 2% to 5%. For UWA, transfers-in for system charge is excluded from this calculation.*
### University of Tennessee System
#### Auxiliary Unrestricted Net Assets

<table>
<thead>
<tr>
<th>FY 2012-13 ACTUAL</th>
<th>Total System</th>
<th>Chattanooga</th>
<th>Knoxville</th>
<th>Martin</th>
<th>Space Institute</th>
<th>Health Science Center</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimated Net Assets at Beginning of Year</td>
<td>$14,897,522</td>
<td>$1,204,386</td>
<td>$12,617,165</td>
<td>$941,133</td>
<td>$22,579</td>
<td>$112,259</td>
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<tr>
<td>Operating Funds</td>
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</tr>
<tr>
<td>Revenue</td>
<td>$199,171,124</td>
<td>$12,457,401</td>
<td>$173,429,399</td>
<td>$10,830,742</td>
<td>$206,244</td>
<td>$2,247,338</td>
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<tr>
<td>Less: Expenditures and Transfers</td>
<td>(193,507,343)</td>
<td>(12,393,610)</td>
<td>(167,674,306)</td>
<td>(10,975,800)</td>
<td>(216,159)</td>
<td>(2,247,468)</td>
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<tr>
<td>Carryover Funds To(From) Net Assets</td>
<td>$5,663,781</td>
<td>$63,791</td>
<td>$5,755,093</td>
<td>(145,058)</td>
<td>(9,915)</td>
<td>(130)</td>
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<tr>
<td>UNALLOCATED</td>
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</tr>
<tr>
<td>Total Allocated Net Assets</td>
<td>$20,561,303</td>
<td>$1,268,178</td>
<td>$12,832,413</td>
<td>$288,553</td>
<td>$5,428</td>
<td>$112,129</td>
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<tr>
<td>Percent Unallocated of Expend. &amp; Transfers</td>
<td>3.41%</td>
<td>3.63%</td>
<td>3.30%</td>
<td>4.62%</td>
<td>3.35%</td>
<td>3.94%</td>
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<table>
<thead>
<tr>
<th>FY 2013-14 ACTUAL</th>
<th>Total System</th>
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<th>Knoxville</th>
<th>Martin</th>
<th>Space Institute</th>
<th>Health Science Center</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimated Net Assets at Beginning of Year</td>
<td>$20,561,307</td>
<td>$1,268,178</td>
<td>$18,372,259</td>
<td>$796,077</td>
<td>$12,664</td>
<td>$112,129</td>
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<tr>
<td>Operating Funds</td>
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</tr>
<tr>
<td>Revenue</td>
<td>$206,143,803</td>
<td>$13,733,782</td>
<td>$178,979,903</td>
<td>$11,711,339</td>
<td>$168,557</td>
<td>$1,550,222</td>
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<tr>
<td>Less: Expenditures and Transfers</td>
<td>(209,421,823)</td>
<td>(13,611,794)</td>
<td>(182,279,230)</td>
<td>(11,807,256)</td>
<td>(149,489)</td>
<td>(1,574,054)</td>
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<tr>
<td>Carryover Funds To(From) Net Assets</td>
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<td>3,604,396</td>
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<tr>
<td>UNALLOCATED</td>
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<td></td>
</tr>
<tr>
<td>Total Allocated Net Assets</td>
<td>$13,009,709</td>
<td>871,026</td>
<td>$11,686,008</td>
<td>$407,138</td>
<td>$27,180</td>
<td>$18,356</td>
</tr>
<tr>
<td>Percent Unallocated of Expend. &amp; Transfers</td>
<td>2.04%</td>
<td>3.81%</td>
<td>2.48%</td>
<td>3.04%</td>
<td>4.44%</td>
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<table>
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<tr>
<th>FY 2014-15 REvised BUDGET</th>
<th>Total System</th>
<th>Chattanooga</th>
<th>Knoxville</th>
<th>Martin</th>
<th>Space Institute</th>
<th>Health Science Center</th>
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<tbody>
<tr>
<td>Estimated Net Assets at Beginning of Year</td>
<td>$17,283,287</td>
<td>$1,390,166</td>
<td>$15,072,933</td>
<td>$700,160</td>
<td>$31,732</td>
<td>$88,297</td>
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<td>Operating Funds</td>
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<tr>
<td>Revenue</td>
<td>$202,658,649</td>
<td>$9,597,605</td>
<td>$179,640,457</td>
<td>$11,451,645</td>
<td>$170,691</td>
<td>$1,798,251</td>
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<tr>
<td>Less: Expenditures and Transfers</td>
<td>(202,658,649)</td>
<td>(9,597,605)</td>
<td>(179,640,457)</td>
<td>(11,451,645)</td>
<td>(170,691)</td>
<td>(1,798,251)</td>
</tr>
<tr>
<td>Carryover Funds To(From) Net Assets</td>
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<tr>
<td>UNALLOCATED</td>
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<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Total Allocated Net Assets</td>
<td>$13,054,708</td>
<td>916,026</td>
<td>$11,686,008</td>
<td>$407,138</td>
<td>$27,180</td>
<td>$18,356</td>
</tr>
<tr>
<td>Percent Unallocated of Expend. &amp; Transfers</td>
<td>2.04%</td>
<td>3.81%</td>
<td>2.48%</td>
<td>3.04%</td>
<td>4.44%</td>
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*Recommended percent unallocated of expenditures and transfers is 3% to 5%*
### University of Tennessee System

**FY 2015 Revised Budget Summary**

**Current Funds Revenues, Expenditures, and Transfers - UNRESTRICTED**

<table>
<thead>
<tr>
<th>Total System</th>
<th>Chattanooga</th>
<th>Knoxville</th>
<th>Martin</th>
<th>Space Institute</th>
<th>Health Science Center</th>
<th>Institute of Agriculture</th>
<th>Institute for Public Service</th>
<th>System Administration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenues</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Appropriations</td>
<td>$474,281,512</td>
<td>$38,456,781</td>
<td>$182,317,943</td>
<td>$27,036,367</td>
<td>$8,015,212</td>
<td>$129,856,640</td>
<td>$73,768,007</td>
<td>$9,936,524</td>
</tr>
<tr>
<td>Grants &amp; Contracts</td>
<td>$44,300,586</td>
<td>$621,721</td>
<td>$25,660,000</td>
<td>$198,400</td>
<td>$204,816</td>
<td>$16,288,733</td>
<td>$4,179,794</td>
<td>$247,122</td>
</tr>
<tr>
<td>Sales &amp; Service</td>
<td>$53,748,933</td>
<td>$4,866,312</td>
<td>$4,573,307</td>
<td>$2,651,327</td>
<td>$19,728,486</td>
<td>$20,929,501</td>
<td>$19,728,486</td>
<td>$20,929,501</td>
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<tr>
<td>Other Sources</td>
<td>$53,457,088</td>
<td>$237,200</td>
<td>$10,207,244</td>
<td>$602,300</td>
<td>$14,922</td>
<td>$2,589,747</td>
<td>$16,357,388</td>
<td>$6,885,134</td>
</tr>
<tr>
<td>Total Revenues</td>
<td>$1,235,064,641</td>
<td>$143,085,378</td>
<td>$578,766,711</td>
<td>$92,264,257</td>
<td>$9,575,205</td>
<td>$246,219,012</td>
<td>$126,729,107</td>
<td>$17,068,760</td>
</tr>
</tbody>
</table>

| Expenditures and Transfers |           |           |        |                |                       |                          |                           |                        |
| Research | $101,723,608 | $1,698,558 | $41,848,637 | $303,875 | $2,036,261 | $10,452,549 | $45,383,724 |                        |
| Public Service | $80,570,123 | $2,676,223 | $11,287,642 | $571,116 | $72,433 | $6,273,968 | $15,462,386 |                        |
| Academic Support | $146,646,123 | $12,250,579 | $45,015,257 | $6,351,298 | $255,669 | $32,519,433 | $19,728,486 | $20,929,501 |                        |
| Student Services | $79,786,388 | $23,770,772 | $67,888,051 | $11,152,037 | $2,036,261 | $10,452,549 | $45,383,724 |                        |
| Institutional Support | $131,546,171 | $13,270,772 | $67,888,051 | $11,152,037 | $2,036,261 | $10,452,549 | $45,383,724 |                        |
| Scholarship & Fellowships | $89,823,800 | $12,250,579 | $45,015,257 | $6,351,298 | $255,669 | $32,519,433 | $19,728,486 | $20,929,501 |                        |
| Subtotal Expenditures | $1,277,745,632 | $143,018,798 | $578,766,711 | $92,264,257 | $9,575,205 | $278,367,125 | $137,090,157 | $17,165,545 | $21,497,834 |                        |

| Fund Balance Addition/(Reduction) | $42,680,991 | $66,580 | - | - | - | - | - |                        |

| TOTALS |           |           |        |                |                       |                          |                           |                        |
| Revenues | $1,437,723,290 | $152,682,983 | $758,407,168 | $103,715,902 | $9,745,896 | $248,017,263 | $126,729,107 | $17,068,760 | $21,356,191 |                        |
| Expenditures and Transfers | $1,478,315,218 | $151,572,217 | $737,901,444 | $100,499,250 | $10,204,194 | $273,115,148 | $142,784,301 | $16,788,677 | $45,449,987 |                        |
| Mandatory Transfers | $36,456,562 | $2,577,945 | $25,806,237 | $3,894,852 | $4,042,528 | $135,000 |                        |
| Non-Mandatory Transfers | $29,513,827 | $1,803,780 | $24,164,986 | $3,180,152 | $135,000 |                        |
| Total Expenditures & Transfers | $1,480,404,281 | $152,682,983 | $758,407,168 | $103,715,902 | $9,745,896 | $280,165,376 | $137,090,157 | $17,165,545 | $21,497,834 |                        |

| Fund Balance Addition/(Reduction) | $42,680,991 | $66,580 | - | - | - | - | - |                        |

---

**Board of Trustees Meeting - FY 2015 Revised Operating Budget**

<table>
<thead>
<tr>
<th>Schedule 6</th>
<th>20</th>
</tr>
</thead>
</table>
## University of Tennessee System

**FY 2015 Revised Budget Summary**

Current Funds Revenues, Expenditures and Transfers - UNRESTRICTED AND RESTRICTED

<table>
<thead>
<tr>
<th>Total System</th>
<th>Chattanooga</th>
<th>Knoxville</th>
<th>Martin</th>
<th>Space Institute</th>
<th>Health Science Center</th>
<th>Institute of Agriculture</th>
<th>Institute for Public Service</th>
<th>System Administration</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Revenues</strong></td>
<td>$1,852,241,783</td>
<td>$201,214,532</td>
<td>$832,806,711</td>
<td>$129,088,709</td>
<td>$11,042,354</td>
<td>$457,542,087</td>
<td>$170,609,039</td>
<td>$21,732,160</td>
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<tr>
<td><strong>Expenditures and Transfers</strong></td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Instruction</td>
<td>$699,969,220</td>
<td>$69,285,031</td>
<td>$273,257,573</td>
<td>$44,986,504</td>
<td>$64,161,277</td>
<td>$273,852,457</td>
<td>$34,502,947</td>
<td>$249,975</td>
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<td>Research</td>
<td>288,099,926</td>
<td>33,362,825</td>
<td>133,298,400</td>
<td>267,669</td>
<td>6,368,444</td>
<td>55,652,549</td>
<td>6,271,968</td>
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<td>138,571,248</td>
<td>3,752,022</td>
<td>33,787,642</td>
<td>72,433</td>
<td>13,046,973</td>
<td>26,577,950</td>
<td>20,125,766</td>
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<td>179,360,611</td>
<td>16,296,565</td>
<td>79,088,051</td>
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<td>8,050,616</td>
<td>6,660,000</td>
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<td>Student Services</td>
<td>81,385,972</td>
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<td>170,609,039</td>
<td>8,000.00</td>
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<td></td>
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<tr>
<td>Instructional Support</td>
<td>148,909,254</td>
<td>21,732,160</td>
<td>28,206,191</td>
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<td></td>
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<td></td>
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<tr>
<td>Op/Maint Physical Plant</td>
<td>132,093,370</td>
<td>180,870,089</td>
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</tr>
<tr>
<td>Scholarships/Fellowships</td>
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<td>28,347,834</td>
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<tr>
<td>Subtotal Expenditures</td>
<td>$1,894,388,469</td>
<td>200,814,722</td>
<td>832,806,711</td>
<td>129,088,709</td>
<td>11,042,354</td>
<td>489,589,128</td>
<td>180,870,089</td>
<td>21,732,160</td>
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<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
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<tr>
<td><strong>TOTALS</strong></td>
<td>$2,055,520,432</td>
<td>210,412,327</td>
<td>1,013,067,168</td>
<td>140,540,354</td>
<td>170,609,039</td>
<td>491,387,376</td>
<td>180,870,089</td>
<td>21,732,160</td>
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<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td></td>
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## AUXILIARIES

<table>
<thead>
<tr>
<th>Total System</th>
<th>Chattanooga</th>
<th>Knoxville</th>
<th>Martin</th>
<th>Space Institute</th>
<th>Health Science Center</th>
<th>Institute of Agriculture</th>
<th>Institute for Public Service</th>
<th>System Administration</th>
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<td>$203,278,649</td>
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<td><strong>Fund Balance Addition/(Reduction)</strong></td>
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## TOTALS

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<td>$2,055,520,432</td>
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<td><strong>Expenditures</strong></td>
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<td>$491,387,376</td>
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### Educational and General

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<td>$448,985,458</td>
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<td>Public Service</td>
<td>$67,160,007</td>
<td>$65,533,281</td>
<td>$70,315,078</td>
<td>$71,820,469</td>
<td>$80,576,217</td>
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<td>$7,159,721</td>
<td>$6,273,292</td>
<td>$6,498,442</td>
<td>$6,942,735</td>
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<tr>
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<td>$(146,534,964)</td>
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<td><strong>Total Expenditures &amp; Transfers</strong></td>
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<td>$1,277,745,632</td>
<td>$135,008,230</td>
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**Fund Balance Addition/(Reduction)**
- $10,183,039
- $(13,287,242)
- $11,798,136
- $(12,293,853)
- $(42,680,991)

### University of Tennessee System

**Five Year Budget Summary Comparison**
Current Funds, Revenues, Expenditures and Transfers - UNRESTRICTED

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<tr>
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<tr>
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<td>$(3,278,018)</td>
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### Board of Trustees Meeting - FY 2015 Revised Operating Budget

**Schedule 8 - UT Total**
### University of Tennessee System

**Five Year Budget Summary Comparison**

Current Funds Revenues, Expenditures and Transfers - UNRESTRICTED ANDRESTRICTED

<table>
<thead>
<tr>
<th>FY 2011 Actual</th>
<th>FY 2012 Actual</th>
<th>FY 2013 Actual</th>
<th>FY 2014 Actual</th>
<th>FY 2015 Revised</th>
<th>FIVE YEAR CHANGE</th>
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<td>AMOUNT</td>
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<td><strong>EDUCATIONAL AND GENERAL</strong></td>
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<td>Revenues</td>
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</tr>
<tr>
<td>Tuition &amp; Fees</td>
<td>$448,985,458</td>
<td>$503,560,202</td>
<td>$533,809,389</td>
<td>$573,319,528</td>
<td>$609,276,522</td>
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<td>$567,407,737</td>
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<td>Sales &amp; Service</td>
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<td>$55,117,066</td>
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<td>$1,852,241,783</td>
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<td>Instruction</td>
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<td>$138,571,248</td>
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<td>$1,788,709,696</td>
<td>$1,940,178,418</td>
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<td>Mandatory Transfers</td>
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<td>$7,159,721</td>
<td>$6,273,292</td>
<td>$6,498,442</td>
<td>$6,942,735</td>
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<tr>
<td>Non-Mandatory Transfers</td>
<td>$93,802,280</td>
<td>$31,628,923</td>
<td>$17,254,499</td>
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<td>$(24,923,748)</td>
<td>$15,332,656</td>
<td>$(17,900,184)</td>
<td>$(42,146,686)</td>
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</table>

### AUXILIARIES

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<th>FY 2012 Actual</th>
<th>FY 2013 Actual</th>
<th>FY 2014 Actual</th>
<th>FY 2015 Revised</th>
<th>FIVE YEAR CHANGE</th>
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<td></td>
<td>AMOUNT</td>
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<td><strong>Expenditures and Transfers</strong></td>
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<td>$9,407,879</td>
<td>$(24,923,748)</td>
<td>$15,332,656</td>
<td>$(17,900,184)</td>
<td>$(42,146,686)</td>
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### TOTALS

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<tr>
<th>FY 2011 Actual</th>
<th>FY 2012 Actual</th>
<th>FY 2013 Actual</th>
<th>FY 2014 Actual</th>
<th>FY 2015 Revised</th>
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<td></td>
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<tr>
<td><strong>Expenditures and Transfers</strong></td>
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<tr>
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<td>$34,367,499</td>
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<td>$1,965,421,086</td>
<td>$1,937,462,530</td>
<td>$1,945,038,926</td>
<td>$2,025,578,060</td>
<td>$2,097,667,118</td>
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<td>$(42,146,686)</td>
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## University of Tennessee System
### FY 2015 Revised Budget Summary

#### Unrestricted and Restricted Current Funds Revenues, Expenditures and Transfers

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<th>Category</th>
<th>Unrestricted</th>
<th>Restricted</th>
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<td>$573,319,528</td>
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<td>466,846,023</td>
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<td>$1,202,493,370</td>
<td>$595,669,417</td>
<td>$1,798,162,787</td>
</tr>
</tbody>
</table>

| **Expenditures and Transfers**         |              |            |             |
| Research                               | 82,247,060   | 19,276,093  | 101,523,153 |
| Public Service                         | 71,218,916   | 35,033,665  | 106,252,581 |
| Student Services                       | 20,827,540   | 1,470,671   | 22,298,211 |
| Institutional Support                  | 132,833,682  | 127,928,093 | 260,761,775 |
| Operation & Maintenance of Plant       | 121,814,088  | 122,466,472 | 244,280,560 |
| **Subtotal Expenditures**              | $1,187,433,948 | $601,275,748 | $1,788,709,696 |

| **Mandatory Transfers**                | 6,498,442    | 6,498,442   | 12,996,884  |
| **Non-Mandatory Transfers**            | 20,854,833   | (8,733,865) | 12,120,968  |
| **Total Expenditures & Transfers**     | $1,214,787,223 | $93,268     | $1,228,055,491 |

| **Fund Balance Addition / (Reduction)** |            |            |             |
| Fund Balance Additions / (Reduction)   | (12,293,353) | (5,606,331) | (17,900,684) |

| **Total FUNDS**                        |            |            |             |
| Revenues                               | 1,206,143,803 | 1,120,874   | 2,327,018,677 |
| Expenditures and Transfers             | 207,264,677  | 207,264,677 | 414,539,354  |
| **Fund Balance Addition / (Reduction)**|            |            |             |
| Fund Balance Additions / (Reduction)   | (5,278,018)  | (1,027,606) | (6,305,624)  |

| **Expenses**                           | 206,747,599  | 93,268     | 300,016,867  |
| Mandatory Transfers                    | 207,264,677  | 207,264,677 | 414,539,354  |
| Non-Mandatory Transfers                | 207,264,677  | 207,264,677 | 414,539,354  |
| **Total Expenditures & Transfers**     | $1,228,055,491 | $93,268     | $1,228,055,491 |

| **Fund Balance Additions / (Reduction)** |            |            |             |
| Fund Balance Additions / (Reduction)   | (12,293,353) | (5,606,331) | (17,900,684) |

| **Change**                             |            |            |             |
| Original to Revised                    |            |            |             |
| Amount %                               |            |            |             |

### EDUCATION AND GENERAL

<table>
<thead>
<tr>
<th>Category</th>
<th>Unrestricted</th>
<th>Restricted</th>
<th>Total</th>
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</thead>
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<td>Tuition &amp; Fees</td>
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<td>$573,319,528</td>
<td>607,115,225</td>
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<td>466,846,023</td>
<td>501,302,444</td>
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<td>Grants &amp; Contracts</td>
<td>47,701,692</td>
<td>512,495,738</td>
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<td>Sales &amp; Service</td>
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<td>56,782,696</td>
<td>522,709,593</td>
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<td>Other Sources</td>
<td>57,843,432</td>
<td>63,897,587</td>
<td>121,741,019</td>
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<td><strong>Total Revenues</strong></td>
<td>$1,202,493,370</td>
<td>$595,669,417</td>
<td>$1,798,162,787</td>
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| **Expenditures and Transfers**                |              |            |             |
| Research                                     | 82,247,060   | 19,276,093  | 101,523,153 |
| Public Service                               | 71,218,916   | 35,033,665  | 106,252,581 |
| Student Services                             | 20,827,540   | 1,470,671   | 22,298,211 |
| Institutional Support                        | 132,833,682  | 127,928,093 | 260,761,775 |
| Operation & Maintenance of Plant             | 121,814,088  | 122,466,472 | 244,280,560 |
| **Subtotal Expenditures**                    | $1,187,433,948 | $601,275,748 | $1,788,709,696 |

| **Mandatory Transfers**                      | 6,498,442    | 6,498,442   | 12,996,884  |
| **Non-Mandatory Transfers**                  | 20,854,833   | (8,733,865) | 12,120,968  |
| **Total Expenditures & Transfers**           | $1,214,787,223 | $93,268     | $1,228,055,491 |

| **Fund Balance Addition / (Reduction)**      |            |            |             |
| Fund Balance Additions / (Reduction)         | (12,293,353) | (5,606,331) | (17,900,684) |

| **Total FUNDS**                              |            |            |             |
| Revenues                                     | 1,206,143,803 | 1,120,874   | 2,327,018,677 |
| Expenditures and Transfers                   | 207,264,677  | 207,264,677 | 414,539,354  |
| **Fund Balance Additions / (Reduction)**     |            |            |             |
| Fund Balance Additions / (Reduction)         | (5,278,018)  | (1,027,606) | (6,305,624)  |

| **Change**                                   |            |            |             |
| Original to Revised                          |            |            |             |
| Amount %                                     |            |            |             |

### Board of Trustees Meeting - FY 2015 Revised Operating Budget
## University of Tennessee System
### FY 2015 Revised Budget - Natural Classifications

#### Unrestricted Current Funds Expenditures

<table>
<thead>
<tr>
<th>System</th>
<th>Educational and General</th>
<th>Auxiliary</th>
<th>Total</th>
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<tr>
<td>Total System</td>
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<tr>
<td>Chattanooga</td>
<td>$331,825,384 $</td>
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<tr>
<td>Knoxville</td>
<td>$39,456,822 $</td>
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<tr>
<td>Martin</td>
<td>$153,644,068 $</td>
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<tr>
<td>Space Institute</td>
<td>$24,010,417 $</td>
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<tr>
<td>Health Science Center</td>
<td>$83,737,853 $</td>
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<tr>
<td>Institute of Agriculture</td>
<td>$2,205,045 $</td>
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<tr>
<td>Institute for Public Service</td>
<td>$28,239,560 $</td>
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<tr>
<td>Administration</td>
<td>$291,537 $</td>
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</tbody>
</table>

### Salaries and Benefits

**Educational and General**

- **Salaries**
  - Academic: $332,389,429 $  
  - Non-Academic: $344,433,507 $  
  - Students: $13,415,523 $  
  - Total Salaries: $690,238,469 $  
  - Staff Benefits: $277,626,249 $  
- **Total Salaries and Benefits**: $967,864,718 $  

**Auxiliary**

- **Salaries**
  - Academic: $564,045 $  
  - Non-Academic: $4,467,994 $  
  - Students: $4,467,994 $  
  - Total Salaries: $9,875,934 $  
  - Staff Benefits: $12,469,237 $  
- **Total Salaries and Benefits**: $22,345,171 $  

### Operating and Equipment and Capital Outlay

- **Total Expenditures**: $1,323,621,579 $  

### Totals

- **Salaries and Benefits**: $1,550,119,889 $  
- **Operating**: $556,748,452 $  
- **Equipment and Capital Outlay**: $24,638,837 $  
- **Total Expenditures**: $2,131,507,178 $
### University of Tennessee System

FY 2015 Revised Budget Summary - Natural Classifications

Unrestricted Current Funds Expenditures

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUAL</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE AMOUNT</th>
<th>%</th>
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<td><strong>EDUCATIONAL AND GENERAL</strong></td>
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<td>Salaries and Benefits</td>
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<tr>
<td>Salaries</td>
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<tr>
<td>Academic</td>
<td>$327,837,139</td>
<td>$327,204,213</td>
<td>$331,825,384</td>
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<td>Non-Academic</td>
<td>298,049,132</td>
<td>293,920,955</td>
<td>300,589,817</td>
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<td>Students</td>
<td>10,682,189</td>
<td>7,708,685</td>
<td>8,947,529</td>
<td>1,238,844</td>
<td>16.1 %</td>
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<td>Total Salaries</td>
<td>$636,568,460</td>
<td>$628,833,853</td>
<td>$641,362,730</td>
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<td>214,913,432</td>
<td>212,528,827</td>
<td>215,157,012</td>
<td>2,628,185</td>
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<td>Total Salaries and Benefits</td>
<td>$851,481,892</td>
<td>$841,362,680</td>
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<td>Operating</td>
<td>306,746,784</td>
<td>372,318,714</td>
<td>443,244,670</td>
<td>70,925,956</td>
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<td>Equipment and Capital Outlay</td>
<td>29,205,272</td>
<td>21,470,378</td>
<td>23,857,167</td>
<td>2,386,789</td>
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<td>$1,235,151,772</td>
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<td><strong>AUXILIARIES</strong></td>
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<tr>
<td>Salaries</td>
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<td>Academic</td>
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<td>$564,045</td>
<td>$564,045</td>
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<td>44,674,747</td>
<td>43,812,353</td>
<td>43,843,690</td>
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<td>0.9 %</td>
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<td>Students</td>
<td>3,915,316</td>
<td>4,429,994</td>
<td>4,467,994</td>
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<td>Total Salaries</td>
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<td>$48,806,392</td>
<td>$48,875,729</td>
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<td>Staff Benefits</td>
<td>13,838,091</td>
<td>12,451,300</td>
<td>12,469,237</td>
<td>17,937</td>
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<td>Total Salaries and Benefits</td>
<td>$62,889,843</td>
<td>$61,257,692</td>
<td>$61,344,966</td>
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<td>Operating</td>
<td>93,524,509</td>
<td>92,514,401</td>
<td>92,653,001</td>
<td>138,600</td>
<td>0.1 %</td>
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<tr>
<td>Equipment and Capital Outlay</td>
<td>333,247</td>
<td>784,170</td>
<td>781,670</td>
<td>(2,500)</td>
<td>(0.3)</td>
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<td>$156,747,599</td>
<td>$154,556,263</td>
<td>$154,779,637</td>
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<td>0.1 %</td>
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<td><strong>TOTALS</strong></td>
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<tr>
<td>Salaries and Benefits</td>
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<td></td>
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<tr>
<td>Salaries</td>
<td>$328,298,828</td>
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<td>$332,389,429</td>
<td>$4,621,171</td>
<td>1.4 %</td>
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<tr>
<td>Non-Academic</td>
<td>342,723,879</td>
<td>337,733,308</td>
<td>344,433,507</td>
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<tr>
<td>Students</td>
<td>14,597,505</td>
<td>12,138,679</td>
<td>13,415,523</td>
<td>1,276,844</td>
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<td>Total Salaries</td>
<td>$685,620,212</td>
<td>$677,640,245</td>
<td>$690,238,459</td>
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<td>1.9 %</td>
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<td>Staff Benefits</td>
<td>228,751,523</td>
<td>224,980,127</td>
<td>227,626,249</td>
<td>2,646,122</td>
<td>1.2 %</td>
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<td>Total Salaries and Benefits</td>
<td>$914,371,735</td>
<td>$902,620,372</td>
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<td>Equipment and Capital Outlay</td>
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<td>$1,478,401,216</td>
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</tbody>
</table>
## University of Tennessee System

### FY 2015 Revised Budget Summary

#### Auxiliary Enterprises Funds Revenues, Expenditures and Transfers

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 Actual</th>
<th>FY 2015 Original</th>
<th>FY 2015 Revised</th>
<th>Change Original to Revised Amount %</th>
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<tbody>
<tr>
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<td>Expenditures and Transfers</td>
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<tr>
<td>Expenditures</td>
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<td>$36,217,157</td>
<td>$36,219,237</td>
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<tr>
<td>Mandatory Transfers</td>
<td>11,295,489</td>
<td>11,706,804</td>
<td>11,706,804</td>
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<td>Non-Mandatory Transfers</td>
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<td>10,512,479</td>
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<td>$58,438,520</td>
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<td>$(49,792)</td>
<td>$(51,872)</td>
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<td><strong>FOOD SERVICE</strong></td>
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<td>Expenditures</td>
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<td>Mandatory Transfers</td>
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<td>Non-Mandatory Transfers</td>
<td>4,034,304</td>
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<td>2,889,138</td>
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<td>Total Expenditures and Transfers</td>
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<tr>
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<td>$13,150,077</td>
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<tr>
<td>Expenditures and Transfers</td>
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<tr>
<td>Expenditures</td>
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<td>$8,275,403</td>
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<td>Mandatory Transfers</td>
<td>2,199,679</td>
<td>3,217,227</td>
<td>3,072,605</td>
<td>(144,622) (4.5 %)</td>
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<tr>
<td>Non-Mandatory Transfers</td>
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<td>1,528,350</td>
<td>1,415,839</td>
<td>112,511 7.0 %</td>
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<td>Total Expenditures and Transfers</td>
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<td>$13,560</td>
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<td>Revenues</td>
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<tr>
<td>Expenditures and Transfers</td>
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<td>Expenditures</td>
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<td>Non-Mandatory Transfers</td>
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<td></td>
</tr>
<tr>
<td>Total Expenditures and Transfers</td>
<td>$101,995,588</td>
<td>$100,675,000</td>
<td>$100,860,000</td>
<td>205,000 0.2 %</td>
</tr>
<tr>
<td>Fund Balance Addition/(Reduction)</td>
<td>$(612,372)</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td><strong>OTHER</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
<td>$4,295,414</td>
<td>$3,795,448</td>
<td>$3,797,322</td>
<td>1,874 0.0 %</td>
</tr>
<tr>
<td>Expenditures and Transfers</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expenditures</td>
<td>$4,334,926</td>
<td>$3,762,385</td>
<td>$3,764,259</td>
<td>1,874 0.0 %</td>
</tr>
<tr>
<td>Mandatory Transfers</td>
<td>3,232,953</td>
<td>45,066</td>
<td>45,066</td>
<td></td>
</tr>
<tr>
<td>Non-Mandatory Transfers</td>
<td>3,232,953</td>
<td>45,066</td>
<td>45,066</td>
<td></td>
</tr>
<tr>
<td>Total Expenditures and Transfers</td>
<td>$7,567,889</td>
<td>$3,807,451</td>
<td>$3,809,325</td>
<td>1,874 0.0 %</td>
</tr>
<tr>
<td>Fund Balance Addition/(Reduction)</td>
<td>$(3,372,475)</td>
<td>$(12,003)</td>
<td>$(12,003)</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
<td>$206,143,803</td>
<td>$202,463,436</td>
<td>$202,658,649</td>
<td>195,213 0.1 %</td>
</tr>
<tr>
<td>Expenditures and Transfers</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expenditures</td>
<td>$156,747,599</td>
<td>$154,556,263</td>
<td>$154,779,637</td>
<td>223,074 0.1 %</td>
</tr>
<tr>
<td>Mandatory Transfers</td>
<td>27,638,251</td>
<td>29,658,449</td>
<td>29,513,827</td>
<td>(144,622) (0.5 %)</td>
</tr>
<tr>
<td>Non-Mandatory Transfers</td>
<td>27,638,251</td>
<td>30,353,782</td>
<td>30,353,782</td>
<td></td>
</tr>
<tr>
<td>Total Expenditures and Transfers</td>
<td>$209,421,821</td>
<td>$202,463,436</td>
<td>$202,658,649</td>
<td>195,213 0.1 %</td>
</tr>
<tr>
<td>Fund Balance Addition/(Reduction)</td>
<td>$(3,378,018)</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
</tbody>
</table>
Board of Trustees Meeting - FY 2015 Revised Operating Budget

University of Tennessee System
Athletics Five Year Budget Summary Comparison
E&G and Auxiliary Funds for Men's and Women's Athletics

FY 2011
ACTUAL

FY 2012
ACTUAL

FY 2013
ACTUAL

FY 2014
ACTUAL

CHANGE
FY 2011 to FY 2015
AMOUNT
%

FY 2015
REVISED

KNOXVILLE
Revenues
General Funds
Student Fees for Athletics
Ticket Sales
Gifts
Other
Total Revenues

$

1,000,000
34,799,207
26,554,657
40,141,340
102,495,204

$

$

$

38,361,583
6,835,168
8,873,639
28,958,686
83,029,076
10,142,066
9,309,616
102,480,758

$

$

14,446

$

(3,981,275)

$

5,034,581
3,070,180
637,888
1,285,002
1,747,848
11,775,499

$

4,726,977
833,639
3,287,149
2,460,702
11,308,467
168,680

$

$

$

1,000,000
33,156,097
25,038,370
42,693,539
101,888,006

$

1,000,000
32,291,776
24,189,845
52,443,730
109,925,350

$

37,285,629
6,617,308
9,529,062
33,801,080
87,233,079
10,523,880
8,112,322
105,869,281

$

$

$

37,284,852
5,787,589
10,338,711
39,913,529
93,324,680
11,772,046
4,803,035
109,899,762

$

25,589

5,072,219
4,127,744
712,167
1,305,324
1,758,309
12,975,763

$

5,130,281
1,003,626
3,895,434
2,554,483
12,583,824
169,610

$

$

1,000,000
31,823,399
25,891,613
43,464,506
102,179,518

$

$

$

35,090,919
5,700,839
11,529,932
20,852,142
73,173,832
14,143,083
665,946
87,982,861

$

34,760,708
8,065,350
13,534,234
30,160,231
86,520,523
14,625,000
1,001,977
102,147,500

$

14,196,657

$

-

5,636,090
5,180,579
709,642
1,096,841
1,576,653
14,199,805

$

6,302,997
4,908,216
801,413
1,367,255
1,869,167
15,249,048

$

6,175,275
4,991,503
909,000
1,430,000
1,986,700
15,492,478

$

5,587,489
1,089,801
4,291,836
2,996,823
13,965,949
165,136

$

5,948,777
1,245,673
4,661,141
3,421,063
15,276,655
165,187

$

5,593,350
1,673,116
5,566,603
2,489,409
15,322,478
170,000

$

$

15,492,478

$

-

5,623,002
1,923,262
131,823
812,107
1,758,643
10,248,837

$

3,580,850
954,470
4,166,127
1,318,643
10,020,090
154,388
131,084
10,305,562

$

$

$

1,000,000
31,182,000
25,050,000
44,915,500
102,147,500

$

(3,617,207)
(1,504,657)
4,774,160
(347,704)

(10.4)
(5.7)
11.9
(0.3)

%
%
%
%

(3,600,875)
1,230,182
4,660,595
1,201,545
3,491,447
4,482,934
(8,307,639)
(333,258)

(9.4)
18.0
52.5
4.1
4.2
44.2
(89.2)
(0.3)

%
%
%
%
%
%
%
%

1,140,694
1,921,323
271,112
144,998
238,852
3,716,979

22.7
62.6
42.5
11.3
13.7
31.6

%
%
%
%
%
%

$
$

866,373
839,477
2,279,454
28,707
4,014,011
1,320

18.3
100.7
69.3
1.2
35.5
0.8

$

4,015,331

%
%
%
%
%
%
%
35.0 %

5,712,360
1,955,000
164,640
701,061
1,890,484
10,423,545

$
$
$
$
$
$

1,281,021
(126,875)
57,044
31,333
505,878
1,748,401

28.9
(6.1)
53.0
4.7
36.5
20.2

%
%
%
%
%
%

3,698,476
799,023
4,453,210
1,247,836
10,198,545
225,000

$

886,307
41,845
1,021,724
(319,326)
1,630,550
200,797

31.5
5.5
29.8
(20.4)
19.0
829.6

%
%
%
%
%
%

$

Expenditures and Transfers
Salaries and Benefits
Travel
Student Aid
Other Operating
Subtotal Expenditures
Debt Service Transfers
Other Transfers
Total Expenditures and Transfers

Fund Balance Addition / (Reduction)

$

$

$

$

$

$

$

$

$

CHATTANOOGA
Revenues
General Funds
Student Fees for Athletics
Ticket Sales
Gifts
Other
Total Revenues

$

$

$

$

$

$

Expenditures and Transfers
Salaries and Benefits
Travel
Student Aid
Other Operating
Subtotal Expenditures
Debt Service Transfers
Other Transfers
Total Expenditures and Transfers

Fund Balance Addition / (Reduction)

$

$

$

$

$

$

11,477,147

$

12,753,434

$

14,131,085

$

$

298,352

$

222,329

$

68,720

$

$

4,431,339
2,081,875
107,596
669,728
1,384,606
8,675,144

$

4,959,761
2,011,149
136,237
474,787
1,357,216
8,939,150

$

5,173,844
1,981,413
123,245
512,187
1,604,348
9,395,037

$

2,812,169
757,178
3,431,486
1,567,162
8,567,995
24,203

$

3,060,136
735,058
3,724,320
1,643,789
9,163,303
72,489

$

3,210,920
781,674
3,860,770
1,450,467
9,303,830
160,137

$

15,441,842
(192,794)

$

MARTIN
Revenues
General Funds
Student Fees for Athletics
Ticket Sales
Gifts
Other
Total Revenues

$

$

$

$

$

Expenditures and Transfers
Salaries and Benefits
Travel
Student Aid
Other Operating
Subtotal Expenditures
Debt Service Transfers
Other Transfers
Total Expenditures and Transfers

Fund Balance Addition / (Reduction)

$

$

$

$

8,592,198

$

$

82,946

$

$

9,465,920
6,152,055
35,544,691
28,509,387
43,273,794
122,945,847

$

9,235,792
(296,642)

$

$
$

9,463,967
(68,930)

$

$
$

(56,725)

$

$

10,423,545

$

-

$

11,887,635
7,946,503
32,255,640
27,181,061
48,792,684
128,063,523

$

$

1,831,347

21.3 %

$

2,421,715
1,794,448
(3,289,051)
(1,328,326)
5,518,890
5,117,676

25.6
29.2
(9.3)
(4.7)
12.8
4.2

%
%
%
%
%
%

(1,848,195)
2,111,504
7,961,773
910,926
9,136,008
4,685,051
(8,307,639)
5,513,420

(4.0)
25.1
51.1
2.8
8.9
45.3
(89.2)
4.5

%
%
%
%
%
%
%
%

TOTAL ATHLETICS
Revenues
General Funds
Student Fees for Athletics
Ticket Sales
Gifts
Other
Total Revenues

$

$

10,031,980
7,138,893
34,004,501
26,818,481
45,809,064
123,802,919

$

$

10,809,934
8,161,992
33,124,663
25,798,873
55,624,731
133,520,192

$

$

11,925,999
7,831,478
32,756,635
28,070,975
47,092,316
127,677,403

$

$

Expenditures and Transfers
Salaries and Benefits
Travel
Student Aid
Other Operating
Subtotal Expenditures
Debt Service Transfers
Other Transfers
Total Expenditures and Transfers

Fund Balance Addition / (Reduction)

$

$

45,900,729
8,425,985
15,592,274
32,986,550
102,905,538
10,334,949
9,309,616
122,550,103

$

$

395,744

$

$

$

$

45,476,046
8,355,992
17,148,816
37,999,352
108,980,206
10,765,979
8,112,322
127,858,507
(4,055,588)

$

$

46,083,261
7,659,063
18,491,316
44,360,819
116,594,460
12,097,319
4,803,035
133,494,814

$

25,379

$

$

$

44,620,546
7,900,982
20,357,200
25,591,848
98,470,576
14,462,658
797,030
113,730,264

$

44,052,534
10,537,489
23,554,047
33,897,476
112,041,546
15,020,000
1,001,977
128,063,523

$

-

$

-

$

$

$

$

$

$

NOTES: Data includes unrestricted and restricted funds. Other revenue sources include NCAA conference income, tournament income, program sales, concessions, parking, broadcasting, television,
radio, internet, endowments, investments, royalties, advertisements, sponsorships, game guarantees, licensing fees, and sports camps.

28
90

Schedule 14

10


University of Tennessee System  
FY 2015 Revised Budget Summary  
Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EDUCATIONAL AND GENERAL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
<td>$ 573,319,528</td>
<td>$ 607,115,225</td>
<td>$ 609,276,522</td>
<td>$ 2,161,297</td>
</tr>
<tr>
<td>Tuition &amp; Fees</td>
<td>$ 573,319,528</td>
<td>$ 607,115,225</td>
<td>$ 609,276,522</td>
<td>$ 2,161,297</td>
</tr>
<tr>
<td>State Appropriations</td>
<td>$ 466,846,023</td>
<td>$ 474,164,712</td>
<td>$ 474,281,512</td>
<td>$ 116,800</td>
</tr>
<tr>
<td>Grants &amp; Contracts</td>
<td>$ 47,701,692</td>
<td>$ 44,190,219</td>
<td>$ 44,300,586</td>
<td>$ 110,367</td>
</tr>
<tr>
<td>Sales &amp; Service</td>
<td>$ 56,782,696</td>
<td>$ 52,458,151</td>
<td>$ 53,748,933</td>
<td>$ 1,290,782</td>
</tr>
<tr>
<td>Other Sources</td>
<td>$ 57,843,432</td>
<td>$ 52,377,663</td>
<td>$ 53,457,088</td>
<td>$ 1,079,425</td>
</tr>
<tr>
<td><strong>Total Revenues</strong></td>
<td>$ 1,202,493,370</td>
<td>$ 1,230,305,970</td>
<td>$ 1,235,064,641</td>
<td>$ 4,758,671</td>
</tr>
<tr>
<td><strong>Expenditures and Transfers</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Instruction</td>
<td>$ 483,317,352</td>
<td>$ 531,510,941</td>
<td>$ 546,132,992</td>
<td>$ 14,622,051</td>
</tr>
<tr>
<td>Research</td>
<td>$ 82,247,060</td>
<td>$ 70,683,096</td>
<td>$ 101,723,608</td>
<td>$ 31,040,512</td>
</tr>
<tr>
<td>Public Service</td>
<td>$ 71,218,916</td>
<td>$ 71,415,142</td>
<td>$ 79,786,388</td>
<td>$ 9,154,979</td>
</tr>
<tr>
<td>Academic Support</td>
<td>$ 134,931,552</td>
<td>$ 132,809,206</td>
<td>$ 147,306,378</td>
<td>$ 14,497,172</td>
</tr>
<tr>
<td>Student Services</td>
<td>$ 82,207,540</td>
<td>$ 77,859,611</td>
<td>$ 89,823,800</td>
<td>$ 1,926,777</td>
</tr>
<tr>
<td>Institutional Support</td>
<td>$ 132,823,682</td>
<td>$ 132,567,485</td>
<td>$ 131,546,121</td>
<td>$ 10,017,364</td>
</tr>
<tr>
<td>Operation &amp; Maintainance of Plant</td>
<td>$ 121,814,088</td>
<td>$ 130,334,008</td>
<td>$ 80,570,121</td>
<td>$ 9,154,979</td>
</tr>
<tr>
<td>Scholarships &amp; Fellowships</td>
<td>$ 78,873,759</td>
<td>$ 89,823,800</td>
<td>$ 1,926,777</td>
<td>$ 1,926,777</td>
</tr>
<tr>
<td><strong>Subtotal Expenditures</strong></td>
<td>$ 1,187,433,948</td>
<td>$ 1,235,151,772</td>
<td>$ 1,323,535,581</td>
<td>$ 88,383,809</td>
</tr>
<tr>
<td>Mandatory Transfers</td>
<td>$ 6,498,442</td>
<td>$ 6,942,735</td>
<td>$ 6,942,735</td>
<td>$ 0.0</td>
</tr>
<tr>
<td>Non-Mandatory Transfers</td>
<td>$ 20,854,833</td>
<td>(8,733,865)</td>
<td>(52,732,684)</td>
<td>(43,998,819)</td>
</tr>
<tr>
<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>$ 1,214,787,223</td>
<td>$ 1,233,360,642</td>
<td>$ 1,277,745,632</td>
<td>$ 44,384,990</td>
</tr>
<tr>
<td>Fund Balance Addition/(Reduction)</td>
<td>$ (12,293,853)</td>
<td>$ (3,054,672)</td>
<td>$ (42,680,991)</td>
<td></td>
</tr>
</tbody>
</table>

**AUXILIARIES**

| Revenues             | $ 206,143,803   | $ 202,463,436    | $ 202,658,649   | $ 195,213 | 0.1 % |
| Expenditures and Transfers | $ 156,747,599 | $ 154,556,263 | $ 154,779,637 | $ 223,374 | 0.1 % |
| Mandatory Transfers  | $ 27,638,251    | $ 29,658,449     | $ 29,513,827    | $ 144,622 | (0.5) % |
| Non-Mandatory Transfers | $ 20,854,833 | $ 18,248,724 | $ 18,365,185 | $ 116,461 | 0.6 % |
| **Total Expenditures & Transfers** | $ 209,421,821 | $ 202,463,436 | $ 202,658,649 | $ 195,213 | 0.1 % |
| Fund Balance Addition/(Reduction) | $ (3,278,018) | $ - | $ - | |

**TOTALS**

| Revenues             | $ 1,408,637,174 | $ 1,432,769,406 | $ 1,437,723,290 | $ 4,953,884 | 0.3 % |
| Expenditures and Transfers | $ 1,344,181,548 | $ 1,389,708,035 | $ 1,478,315,218 | $ 88,607,183 | 6.4 % |
| Mandatory Transfers  | $ 34,136,693    | $ 36,601,184     | $ 36,456,562    | $ 144,622 | (0.4) % |
| Non-Mandatory Transfers | $ 45,890,804 | $ 9,514,859 | $ 34,367,499 | $ 43,882,358 | (461.2) % |
| **Total Expenditures & Transfers** | $ 1,424,209,045 | $ 1,435,824,078 | $ 1,480,404,281 | $ 44,580,203 | 3.1 % |
| Fund Balance Addition/(Reduction) | $ (15,571,871) | $ (3,054,672) | $ (42,680,991) | |

Schedule 15 - UT Total

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# Chattanooga

## FY 2015 Revised Budget Summary

### Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EDUCATIONAL AND GENERAL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition &amp; Fees</td>
<td>$94,436,452</td>
<td>$98,598,645</td>
<td>$98,903,364 $</td>
<td>$304,719 $</td>
</tr>
<tr>
<td>State Appropriations</td>
<td>37,467,181</td>
<td>38,443,181</td>
<td>38,456,781</td>
<td>13,600 $</td>
</tr>
<tr>
<td>Grants &amp; Contracts</td>
<td>912,181</td>
<td>453,856</td>
<td>621,721</td>
<td>167,865 $</td>
</tr>
<tr>
<td>Sales &amp; Service</td>
<td>4,725,277</td>
<td>4,787,672</td>
<td>4,866,312 $</td>
<td>78,640 $</td>
</tr>
<tr>
<td>Other Sources</td>
<td>221,685</td>
<td>237,200</td>
<td>237,200</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Revenues</strong></td>
<td>$137,762,775 $</td>
<td>$142,520,554 $</td>
<td>$143,085,378 $</td>
<td>$564,824 $</td>
</tr>
<tr>
<td>Expenditures and Transfers</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Instruction</td>
<td>$57,801,004</td>
<td>$62,041,250 $</td>
<td>$62,444,633 $</td>
<td>$403,383 $</td>
</tr>
<tr>
<td>Research</td>
<td>3,212,076</td>
<td>1,890,428</td>
<td>1,698,558</td>
<td>(191,870) $</td>
</tr>
<tr>
<td>Public Service</td>
<td>2,387,884</td>
<td>2,310,559</td>
<td>2,676,223 $</td>
<td>365,664 $</td>
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<tr>
<td>Academic Support</td>
<td>11,023,003</td>
<td>9,817,880</td>
<td>13,270,772 $</td>
<td>3,452,892 $</td>
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<tr>
<td>Student Services</td>
<td>23,193,377</td>
<td>22,053,970</td>
<td>22,438,766</td>
<td>384,796 $</td>
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<tr>
<td>Institutional Support</td>
<td>10,892,431</td>
<td>11,070,543</td>
<td>12,250,579</td>
<td>1,180,036 $</td>
</tr>
<tr>
<td>Operation &amp; Maintenance of Plant</td>
<td>14,806,376</td>
<td>18,996,112</td>
<td>18,681,687</td>
<td>(314,425) $</td>
</tr>
<tr>
<td>Scholarships &amp; Fellowships</td>
<td>10,821,928</td>
<td>12,322,509</td>
<td>12,336,952</td>
<td>14,443 $</td>
</tr>
<tr>
<td><strong>Subtotal Expenditures</strong></td>
<td>$134,138,078 $</td>
<td>$140,503,251 $</td>
<td>$145,798,170 $</td>
<td>$5,294,919 $</td>
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<tr>
<td>Mandatory Transfers</td>
<td>687,455</td>
<td>774,165</td>
<td>774,165</td>
<td>-</td>
</tr>
<tr>
<td>Non-Mandatory Transfers</td>
<td>2,416,245</td>
<td>1,176,558</td>
<td>2,019,778 $</td>
<td>165,211 $</td>
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<tr>
<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>$137,241,794</td>
<td>$142,453,974 $</td>
<td>$143,018,798 $</td>
<td>$564,824 $</td>
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<tr>
<td>Fund Balance Addition/(Reduction)</td>
<td>$520,997</td>
<td>$66,580 $</td>
<td>$66,580 $</td>
<td>-</td>
</tr>
</tbody>
</table>

### AUXILIARIES

|                         |                  |                  |                 |                             |
| Revenues                | $13,733,782 $    | $9,404,266 $    | $9,597,605 $    | $193,339 $                  | 2.1 %  |
| Expenditures and Transfers |                 |                  |                 |                             |
| Expenditures            | 9,003,458       | 5,601,297       | 5,774,047       | 172,750 $                   | 3.1 %  |
| Mandatory Transfers     | 1,399,953       | 1,948,402       | 1,803,780 $     | (144,622) $                 | (7.4) %|
| Non-Mandatory Transfers | 3,208,383       | 1,854,567       | 2,019,778 $     | 165,211 $                   | 8.9 %  |
| **Total Expenditures & Transfers** | $13,611,794 | $9,404,266 $    | $9,597,605 $    | $193,339 $                  | 2.1 %  |
| Fund Balance Addition/(Reduction) | $121,988  | $- $            | $- $           | -                           | -     |

### TOTALS

|                         |                  |                  |                 |                             |
| Revenues                | $151,496,558 $   | $151,924,820 $   | $152,682,983 $  | $758,163 $                  | 0.5 %  |
| Expenditures and Transfers |                 |                  |                 |                             |
| Expenditures            | $143,141,536 $  | $146,104,548 $  | $151,572,217 $  | $5,467,669 $                | 3.7 %  |
| Mandatory Transfers     | 2,087,408       | 2,722,567       | 2,577,945       | (144,622) $                 | (5.3) %|
| Non-Mandatory Transfers | 5,624,628       | 3,031,125       | (1,533,759) $   | (4,564,884) $               | (150.6) %|
| **Total Expenditures & Transfers** | $150,853,572 | $151,858,240 $  | $152,616,403 $  | $758,163 $                  | 0.5 %  |
| Fund Balance Addition/(Reduction) | $642,986  | $66,580 $       | $66,580 $       | -                           | -     |
## FY 2015 Revised Budget Summary

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE AMOUNT</th>
<th>CHANGE %</th>
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<tbody>
<tr>
<td><strong>EDUCATIONAL AND GENERAL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Revenues</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition &amp; Fees</td>
<td>$332,420,932</td>
<td>$356,682,954</td>
<td>$359,108,217</td>
<td>$2,425,263</td>
<td>0.7 %</td>
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<td>State Appropriations</td>
<td>177,568,343</td>
<td>182,161,643</td>
<td>182,317,943</td>
<td>156,300</td>
<td>0.1 %</td>
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<td>Grants &amp; Contracts</td>
<td>27,731,017</td>
<td>22,560,000</td>
<td>22,560,000</td>
<td>-</td>
<td>0.0 %</td>
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<tr>
<td>Sales &amp; Service</td>
<td>7,131,134</td>
<td>4,573,307</td>
<td>4,573,307</td>
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<td>Other Sources</td>
<td>12,172,412</td>
<td>10,207,244</td>
<td>10,207,244</td>
<td>-</td>
<td>0.0 %</td>
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<td><strong>Total Revenues</strong></td>
<td>$557,023,838</td>
<td>$576,185,148</td>
<td>$578,766,711</td>
<td>$2,581,563</td>
<td>0.4 %</td>
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<tr>
<td><strong>Expenditures and Transfers</strong></td>
<td></td>
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<td>Instruction</td>
<td>$230,436,968</td>
<td>$260,510,955</td>
<td>$263,257,573</td>
<td>$2,746,618</td>
<td>1.1 %</td>
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<td>Research</td>
<td>30,367,552</td>
<td>21,688,036</td>
<td>41,848,637</td>
<td>20,160,601</td>
<td>93.0 %</td>
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<td>Public Service</td>
<td>12,994,444</td>
<td>10,087,503</td>
<td>11,287,642</td>
<td>1,200,139</td>
<td>11.9 %</td>
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<tr>
<td>Academic Support</td>
<td>62,483,109</td>
<td>66,094,541</td>
<td>67,888,051</td>
<td>1,793,510</td>
<td>2.7 %</td>
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<tr>
<td>Student Services</td>
<td>42,042,131</td>
<td>39,259,243</td>
<td>39,438,427</td>
<td>179,191</td>
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<td>Institutional Support</td>
<td>42,602,462</td>
<td>42,547,834</td>
<td>45,015,257</td>
<td>2,467,423</td>
<td>5.8 %</td>
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<tr>
<td>Operation &amp; Maintenance of Plant</td>
<td>61,585,123</td>
<td>68,584,759</td>
<td>69,694,749</td>
<td>1,109,990</td>
<td>1.6 %</td>
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<td>Scholarships &amp; Fellowships</td>
<td>50,930,642</td>
<td>58,032,268</td>
<td>59,827,375</td>
<td>1,795,107</td>
<td>3.1 %</td>
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<tr>
<td><strong>Subtotal Expenditures</strong></td>
<td>$533,442,430</td>
<td>$566,805,132</td>
<td>$598,257,711</td>
<td>$31,452,579</td>
<td>5.5 %</td>
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<tr>
<td>Mandatory Transfers</td>
<td>1,677,409</td>
<td>1,641,251</td>
<td>1,641,251</td>
<td>-</td>
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<tr>
<td>Non-Mandatory Transfers</td>
<td>21,108,263</td>
<td>7,738,765</td>
<td>(21,132,251)</td>
<td>(28,871,016)</td>
<td>(373.1) %</td>
</tr>
<tr>
<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>$556,228,102</td>
<td>$576,185,148</td>
<td>$578,766,711</td>
<td>$2,581,563</td>
<td>0.4 %</td>
</tr>
<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td>$795,736</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<tr>
<td>** AUXILIARIES**</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Revenues</strong></td>
<td>$178,979,903</td>
<td>$179,640,457</td>
<td>$179,640,457</td>
<td>-</td>
<td>0.0 %</td>
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<tr>
<td><strong>Expenditures and Transfers</strong></td>
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</tr>
<tr>
<td>Expenditures</td>
<td>139,179,254</td>
<td>139,643,733</td>
<td>139,643,733</td>
<td>-</td>
<td>0.0 %</td>
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<tr>
<td>Mandatory Transfers</td>
<td>22,816,983</td>
<td>24,164,986</td>
<td>24,164,986</td>
<td>-</td>
<td>0.0 %</td>
</tr>
<tr>
<td>Non-Mandatory Transfers</td>
<td>20,282,992</td>
<td>15,831,738</td>
<td>15,831,738</td>
<td>-</td>
<td>0.0 %</td>
</tr>
<tr>
<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>$182,279,229</td>
<td>$179,640,457</td>
<td>$179,640,457</td>
<td>-</td>
<td>0.0 %</td>
</tr>
<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td>$(3,299,326)</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td><strong>TOTALS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Revenues</strong></td>
<td>$736,003,741</td>
<td>$755,825,605</td>
<td>$758,407,168</td>
<td>$2,581,563</td>
<td>0.3 %</td>
</tr>
<tr>
<td><strong>Expenditures and Transfers</strong></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expenditures</td>
<td>$672,621,684</td>
<td>$706,448,865</td>
<td>$737,901,444</td>
<td>$31,452,579</td>
<td>4.5 %</td>
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<tr>
<td>Mandatory Transfers</td>
<td>24,494,392</td>
<td>25,806,237</td>
<td>25,806,237</td>
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<td>0.0 %</td>
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<tr>
<td>Non-Mandatory Transfers</td>
<td>41,391,255</td>
<td>23,570,503</td>
<td>(5,300,513)</td>
<td>(28,871,016)</td>
<td>(122.5) %</td>
</tr>
<tr>
<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>$738,507,331</td>
<td>$755,825,605</td>
<td>$758,407,168</td>
<td>$2,581,563</td>
<td>0.3 %</td>
</tr>
<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td>$(2,503,590)</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
</tbody>
</table>
## FY 2015 Revised Budget Summary

### Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 Actuals</th>
<th>FY 2015 Original</th>
<th>FY 2015 Revised</th>
<th>ORIGINAL TO REVISED</th>
<th>AMOUNT</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EDUCATIONAL AND GENERAL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Tuition &amp; Fees</td>
<td>$57,162,082</td>
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<td>$60,775,863</td>
<td>$(384,700)</td>
<td>(0.6)</td>
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<tr>
<td>State Appropriations</td>
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<td>27,036,367</td>
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<tr>
<td>Grants &amp; Contracts</td>
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<td>198,400</td>
<td>$(112,100)</td>
<td>(36.1)</td>
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<tr>
<td>Sales &amp; Service</td>
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<td>3,153,555</td>
<td>3,651,327</td>
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<td>Other Sources</td>
<td>609,591</td>
<td>656,800</td>
<td>602,300</td>
<td>$(54,500)</td>
<td>(8.3)</td>
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<tr>
<td><strong>Total Revenues</strong></td>
<td>$87,843,576</td>
<td>$92,294,585</td>
<td>$92,264,257</td>
<td>$(30,328)</td>
<td>0.0</td>
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<tr>
<td><strong>Expenditures and Transfers</strong></td>
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<td></td>
<td></td>
<td></td>
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<tr>
<td>Instruction</td>
<td>$39,180,993</td>
<td>$42,235,809</td>
<td>$43,129,780</td>
<td>$893,971</td>
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<td>Research</td>
<td>459,124</td>
<td>297,077</td>
<td>303,875</td>
<td>$6,798</td>
<td>2.3</td>
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<tr>
<td>Public Service</td>
<td>675,732</td>
<td>560,112</td>
<td>571,116</td>
<td>11,004</td>
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<tr>
<td>Academic Support</td>
<td>10,629,292</td>
<td>11,300,921</td>
<td>11,152,037</td>
<td>$(148,884)</td>
<td>(1.3)</td>
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</tr>
<tr>
<td>Student Services</td>
<td>11,123,933</td>
<td>10,817,887</td>
<td>11,562,794</td>
<td>744,907</td>
<td>6.9</td>
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<tr>
<td>Institutional Support</td>
<td>5,027,293</td>
<td>5,960,631</td>
<td>6,351,298</td>
<td>390,667</td>
<td>6.6</td>
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<tr>
<td>Operation &amp; Maintenance of Plant</td>
<td>10,845,353</td>
<td>11,298,387</td>
<td>11,396,083</td>
<td>97,696</td>
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<tr>
<td>Scholarships &amp; Fellowships</td>
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<td>8,423,193</td>
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<tr>
<td><strong>Subtotal Expenditures</strong></td>
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<td>$92,900,176</td>
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<tr>
<td>Mandatory Transfers</td>
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<td>714,700</td>
<td>714,700</td>
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<td>0.0</td>
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<tr>
<td>Non-Mandatory Transfers</td>
<td>1,685,315</td>
<td>697,349</td>
<td>(1,340,619)</td>
<td>(2,037,968)</td>
<td>(292.2)</td>
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<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>88,313,543</td>
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<td>$92,900,176</td>
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<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td>$(469,967)</td>
<td>$-</td>
<td>$-</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Auxiliaries**

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 Actuals</th>
<th>FY 2015 Original</th>
<th>FY 2015 Revised</th>
<th>ORIGINAL TO REVISED</th>
<th>AMOUNT</th>
<th>%</th>
</tr>
</thead>
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<tr>
<td>Revenues</td>
<td>$11,711,339</td>
<td>$11,449,771</td>
<td>$11,451,645</td>
<td>$1,874</td>
<td>0.0</td>
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<td>Expenditures and Transfers</td>
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<td></td>
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<td></td>
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<tr>
<td>Expenditures</td>
<td>6,956,242</td>
<td>7,607,200</td>
<td>7,609,074</td>
<td>1,874</td>
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<tr>
<td>Mandatory Transfers</td>
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<td>0.0</td>
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<tr>
<td>Non-Mandatory Transfers</td>
<td>1,807,194</td>
<td>662,419</td>
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<tr>
<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>$11,807,255</td>
<td>$11,449,771</td>
<td>$11,451,645</td>
<td>$1,874</td>
<td>0.0%</td>
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<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td>$(95,916)</td>
<td>$-</td>
<td>$-</td>
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<td></td>
</tr>
</tbody>
</table>

**Totals**

<table>
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<th></th>
<th>FY 2014 Actuals</th>
<th>FY 2015 Original</th>
<th>FY 2015 Revised</th>
<th>ORIGINAL TO REVISED</th>
<th>AMOUNT</th>
<th>%</th>
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<tr>
<td>Revenues</td>
<td>$99,554,915</td>
<td>$103,744,356</td>
<td>$103,715,902</td>
<td>$(28,454)</td>
<td>0.0</td>
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<td>Expenditures and Transfers</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Expenditures</td>
<td>$92,922,943</td>
<td>$98,489,736</td>
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<td>$2,009,514</td>
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<tr>
<td>Mandatory Transfers</td>
<td>3,705,346</td>
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<td>3,894,852</td>
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<td>0.0</td>
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<tr>
<td>Non-Mandatory Transfers</td>
<td>3,492,509</td>
<td>1,359,768</td>
<td>(678,200)</td>
<td>(2,037,968)</td>
<td>(149.9)</td>
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<tr>
<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>$100,120,798</td>
<td>$103,744,356</td>
<td>$103,715,902</td>
<td>$(28,454)</td>
<td>0.0%</td>
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</tr>
<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td>$(565,884)</td>
<td>$-</td>
<td>$-</td>
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</tr>
</tbody>
</table>
Space Institute

FY 2015 Revised Budget Summary

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 REVISIONS</th>
<th>CHANGE</th>
</tr>
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<tbody>
<tr>
<td><strong>EDUCATIONAL AND GENERAL</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Revenues</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition &amp; Fees</td>
<td>$1,329,067</td>
<td>$1,340,255</td>
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<tr>
<td>State Appropriations</td>
<td>7,995,412</td>
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<td>Grants &amp; Contracts</td>
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<td>Sales &amp; Service</td>
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<td><strong>Total Revenues</strong></td>
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<td><strong>Expenditures and Transfers</strong></td>
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<tr>
<td>Instruction</td>
<td>$4,316,257</td>
<td>$4,280,675</td>
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<td>961,548</td>
<td>111.8</td>
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<td>Public Service</td>
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<tr>
<td>Academic Support</td>
<td>325,317</td>
<td>317,852</td>
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<td>Student Services</td>
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<td>33,375</td>
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<td>Institutional Support</td>
<td>1,500,259</td>
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<td>Operation &amp; Maintenance of Plant</td>
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<td>Scholarships &amp; Fellowships</td>
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<td>285,112</td>
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<td><strong>Subtotal Expenditures</strong></td>
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<td><strong>Mandatory Transfers</strong></td>
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<tr>
<td><strong>Non-Mandatory Transfers</strong></td>
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<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>$10,007,167</td>
<td>10,204,194</td>
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<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td>$ (279,191)</td>
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</tbody>
</table>

| **AUXILIARIES** |                  |                   |        |
| Revenues        | $168,557         | $170,691          | 0.0    |
| Expenditures and Transfers |       |                   |        |
| Expenditures    | 327,872          | 319,441           | 18.0   |
| Mandatory Transfers | (178,383) | (148,750) | (28.8) |
| **Total Expenditures & Transfers** | $149,489 | 170,691 | 0.0    |
| **Fund Balance Addition/(Reduction)** | $ 19,067 | - | - |

| **TOTALS** |                  |                   |        |
| Revenues    | $9,819,958       | $9,745,896        | 0.0    |
| Expenditures and Transfers |       |                   |        |
| Expenditures | $10,007,167 | $10,204,194 | 7.5    |
| Mandatory Transfers | 72,915 | (250,286) | (283.1) |
| **Total Expenditures & Transfers** | $10,080,082 | 9,745,896 | 0.0    |
| **Fund Balance Addition/(Reduction)** | $ (260,124) | - | - |
## Health Science Center Total

### FY 2015 Revised Budget Summary

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<tbody>
<tr>
<td><strong>EDUCATIONAL AND GENERAL</strong></td>
<td></td>
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<tr>
<td>Revenues</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Tuition &amp; Fees</td>
<td>$76,610,797</td>
<td>$77,570,466</td>
<td>$77,654,406</td>
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<td>19,728,486</td>
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<td>2,566,466</td>
<td>2,590,747</td>
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<td><strong>Total Revenues</strong></td>
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<td>$246,055,045</td>
<td>$246,219,012</td>
<td>$163,967</td>
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<td><strong>Expenditures and Transfers</strong></td>
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<tr>
<td>Instruction</td>
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<td>Research</td>
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<td>8,034,970</td>
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<td>Non-Mandatory Transfers</td>
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<td>$(32,148,113)</td>
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### AUXILIARIES

<table>
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<tr>
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<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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</thead>
<tbody>
<tr>
<td>Revenues</td>
<td>$1,550,222</td>
<td>$1,798,251</td>
<td>$1,798,251</td>
<td>-</td>
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<tr>
<td><strong>Expenditures and Transfers</strong></td>
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<td></td>
<td></td>
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</tr>
<tr>
<td>Expenditures</td>
<td>1,280,773</td>
<td>1,433,342</td>
<td>1,433,342</td>
<td>-</td>
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<tr>
<td>Mandatory Transfers</td>
<td>377,496</td>
<td>364,909</td>
<td>364,909</td>
<td>-</td>
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<tr>
<td>Non-Mandatory Transfers</td>
<td>(84,215)</td>
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<tr>
<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>$1,574,054</td>
<td>$1,798,251</td>
<td>$1,798,251</td>
<td>-</td>
</tr>
<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td>$(23,831)</td>
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### TOTALS

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<tr>
<td>Revenues</td>
<td>$245,774,899</td>
<td>$247,853,296</td>
<td>$248,017,263</td>
<td>$163,967</td>
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<td><strong>Expenditures and Transfers</strong></td>
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<tr>
<td>Expenditures</td>
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<td>$240,803,068</td>
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<td>$32,312,080</td>
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<td>4,042,528</td>
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<td>Non-Mandatory Transfers</td>
<td>7,257,816</td>
<td>3,007,700</td>
<td>3,007,700</td>
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<tr>
<td><strong>Total Expenditures &amp; Transfers</strong></td>
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<td>$280,165,376</td>
<td>$32,312,080</td>
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<tr>
<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td>$(6,385,822)</td>
<td>-</td>
<td>$(32,148,113)</td>
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### Health Science Center - Memphis Other Specialized Units

**FY 2015 Revised Budget Summary**

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
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<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<tbody>
<tr>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>EDUCATIONAL AND GENERAL</strong></td>
<td></td>
<td></td>
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<tr>
<td>Revenues</td>
<td></td>
<td></td>
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<tr>
<td>Tuition &amp; Fees</td>
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<td>1,891,466</td>
<td>1,932,098</td>
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<tr>
<td><strong>Expenditures and Transfers</strong></td>
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<td>Instruction</td>
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<td>Student Services</td>
<td>22,752,957</td>
<td>22,157,470</td>
<td>31,603,369</td>
<td>9,445,899</td>
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<td>Institutional Support</td>
<td>28,735,477</td>
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<td>Operation &amp; Maintenance of Plant</td>
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<td>Scholarships &amp; Fellowships</td>
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<td><strong>Subtotal Expenditures</strong></td>
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<td>($7,935,888)</td>
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**AUXILIARIES**

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
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</thead>
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<tr>
<td>Revenues</td>
<td>$1,550,222</td>
<td>$1,798,251</td>
<td>$1,798,251</td>
<td>-</td>
</tr>
<tr>
<td>Expenditures and Transfers</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Expenditures</td>
<td>1,280,773</td>
<td>1,433,342</td>
<td>1,433,342</td>
<td>-</td>
</tr>
<tr>
<td>Mandatory Transfers</td>
<td>377,496</td>
<td>364,909</td>
<td>364,909</td>
<td>-</td>
</tr>
<tr>
<td>Non-Mandatory Transfers</td>
<td>(84,215)</td>
<td></td>
<td></td>
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</tr>
<tr>
<td><strong>Total Expenditures &amp; Transfers</strong></td>
<td>$1,574,054</td>
<td>$1,798,251</td>
<td>$1,798,251</td>
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</tr>
<tr>
<td>Fund Balance Addition/(Reduction)</td>
<td>($23,831)</td>
<td>($23,831)</td>
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**TOTALS**

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<th>FY 2015 REVISED</th>
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<tr>
<td>Non-Mandatory Transfers</td>
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<td>666,743</td>
<td>10,233,539</td>
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</table>

Schedule 15 - MOSU
## Health Science Center - College of Medicine

**FY 2015 Revised Budget Summary**

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
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<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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</tr>
<tr>
<td>Revenues</td>
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<td></td>
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<td></td>
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<tr>
<td>Tuition &amp; Fees</td>
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<td>Sales &amp; Service</td>
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<td>1,775,000</td>
<td>1,847,904</td>
<td>72,904</td>
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<td><strong>Expenditures and Transfers</strong></td>
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## Health Science Center - Family Medical Units

**FY 2015 Revised Budget Summary**

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<td>Revenues</td>
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<td>$21,822,984</td>
<td>($8,951)</td>
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<td><strong>Expenditures and Transfers</strong></td>
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<td>Public Service</td>
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<td>Academic Support</td>
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<td>Student Services</td>
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<td>Scholarships &amp; Fellowships</td>
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<td>Subtotal Expenditures</td>
<td>$20,515,735</td>
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# Institute of Agriculture Total

FY 2015 Revised Budget Summary

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE AMOUNT</th>
<th>CHANGE %</th>
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<td><strong>EDUCATIONAL AND GENERAL</strong></td>
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<tr>
<td>Revenues</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Tuition &amp; Fees</td>
<td>$11,360,199</td>
<td>$11,762,342</td>
<td>$11,494,417</td>
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<td>(2.3%)</td>
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<td>73,735,707</td>
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<td>21,022,516</td>
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<td>15,228,531</td>
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<td><strong>Total Revenues</strong></td>
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<td>$124,973,622</td>
<td>$126,729,107</td>
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<td>1.4%</td>
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<td>Expenditures and Transfers</td>
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<td>Instruction</td>
<td>$28,095,485</td>
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<td>$32,971,426</td>
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<td>40,397,891</td>
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<td>7,640,957</td>
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<td>Institutional Support</td>
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<tr>
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<td>(6,839,301)</td>
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<td>$(2,905,522)</td>
<td>$(10,361,050)</td>
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### Agricultural Experiment Station

FY 2015 Revised Budget Summary

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th>Revenues</th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED AMOUNT</th>
<th>%</th>
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<tbody>
<tr>
<td>Educational and General</td>
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<tr>
<td>Tuition &amp; Fees</td>
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<td>$38,504,788</td>
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<td>Operation &amp; Maintenance of Plant</td>
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<td>Scholarships &amp; Fellowships</td>
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<tr>
<td>Non-Mandatory Transfers</td>
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## UT Extension

### FY 2015 Revised Budget Summary

Unrestricted Current Funds Revenues, Expenditures, and Transfers

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<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<td></td>
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<td>AMOUNT</td>
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<tr>
<td>Tuition &amp; Fees</td>
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<td><strong>Expenditures and Transfers</strong></td>
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<td>Instruction</td>
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<td>Research</td>
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<td>Public Service</td>
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<td>Scholarships &amp; Fellowships</td>
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### College of Veterinary Medicine
#### FY 2015 Revised Budget Summary
Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
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<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<td>AMOUNT</td>
<td>%</td>
<td>AMOUNT</td>
<td>%</td>
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<tr>
<td><strong>EDUCATIONAL AND GENERAL</strong></td>
<td></td>
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<td></td>
</tr>
<tr>
<td><strong>Revenues</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition &amp; Fees</td>
<td>$11,360,199</td>
<td>$11,762,342</td>
<td>$11,494,417</td>
<td>($267,925) (2.3)%</td>
</tr>
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<td>State Appropriations</td>
<td>$16,796,354</td>
<td>$16,877,654</td>
<td>$16,874,254</td>
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<td>Grants &amp; Contracts</td>
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<td>Sales &amp; Service</td>
<td>$12,662,820</td>
<td>$12,440,812</td>
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<td>Other Sources</td>
<td>$238,294</td>
<td>$225,018</td>
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<tr>
<td><strong>Total Revenues</strong></td>
<td>$41,953,889</td>
<td>$42,275,620</td>
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<td><strong>Expenditures and Transfers</strong></td>
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<td>Instruction</td>
<td>$28,095,996</td>
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<td>Research</td>
<td>$3,572,252</td>
<td>$3,556,203</td>
<td>$3,792,480</td>
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<td>$113,578</td>
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<td>$5,276,570</td>
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<td>$689,276</td>
<td>$800,271</td>
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<td>Operation &amp; Maintenance of Plant</td>
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<td>Scholarships &amp; Fellowships</td>
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<td><strong>Subtotal Expenditures</strong></td>
<td>$40,711,072</td>
<td>$44,977,629</td>
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<td>$1,155,835 2.6%</td>
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<td>Mandatory Transfers</td>
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<td>Non-Mandatory Transfers</td>
<td>$3,398,703</td>
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<td><strong>Total Expenditures &amp; Transfers</strong></td>
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<td>Fund Balance Addition/(Reduction)</td>
<td>($2,471,307)</td>
<td>($2,851,466)</td>
<td>($3,666,799)</td>
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</table>
### Institute for Public Service Total

**FY 2015 Revised Budget Summary**

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
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<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<td><strong>EDUCATIONAL AND GENERAL</strong></td>
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<tr>
<td><strong>Revenues</strong></td>
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<tr>
<td>Tuition &amp; Fees</td>
<td>$ 9,899,924</td>
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<td>22,360</td>
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<td>Grants &amp; Contracts</td>
<td>7,109,470</td>
<td>6,885,134</td>
<td>6,885,134</td>
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<td>Sales &amp; Service</td>
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<td>Other Sources</td>
<td>7,109,470</td>
<td>6,885,134</td>
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<td><strong>Total Revenues</strong></td>
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<td>$ 17,049,420</td>
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<td><strong>Expenditures and Transfers</strong></td>
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<td>Instruction</td>
<td>$ 14,735,439</td>
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<td>246,311</td>
<td>249,975</td>
<td>3,664</td>
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<tr>
<td>Academic Support</td>
<td>1,166,371</td>
<td>1,175,307</td>
<td>1,076,316</td>
<td>$(98,991)</td>
</tr>
<tr>
<td>Student Services</td>
<td></td>
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<tr>
<td>Institutional Support</td>
<td>1,166,371</td>
<td>1,175,307</td>
<td>1,076,316</td>
<td>$(98,991)</td>
</tr>
<tr>
<td>Operation &amp; Maintenance of Plant</td>
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<tr>
<td>Scholarships &amp; Fellowships</td>
<td>$ 16,189,790</td>
<td>$ 16,792,071</td>
<td>$ 16,788,677</td>
<td>$(3,394)</td>
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<td>Subtotal Expenditures</td>
<td>$ 16,189,790</td>
<td>$ 16,792,071</td>
<td>$ 16,788,677</td>
<td>$(3,394)</td>
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<td>Mandatory Transfers</td>
<td>1,052,539</td>
<td>357,192</td>
<td>376,868</td>
<td>19,676</td>
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<td>Non-Mandatory Transfers</td>
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<td>Total Expenditures &amp; Transfers</td>
<td>$ 17,242,329</td>
<td>$ 17,149,263</td>
<td>$ 17,165,545</td>
<td>$ 16,282</td>
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<td><strong>Fund Balance Addition/(Reduction)</strong></td>
<td>$ 80,150</td>
<td>$(99,843)</td>
<td>$(96,765)</td>
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</table>
### Institute for Public Service

**FY 2015 Revised Budget Summary**

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th></th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<tbody>
<tr>
<td><strong>EDUCATIONAL AND GENERAL</strong></td>
<td></td>
<td></td>
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<tr>
<td>Revenues</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Tuition &amp; Fees</td>
<td>$5,249,898</td>
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<td>Grants &amp; Contracts</td>
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<td>Sales &amp; Service</td>
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<td>Other Sources</td>
<td>837,426</td>
<td>603,371</td>
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<td>Total Revenues</td>
<td>$6,380,191</td>
<td>$6,090,416</td>
<td>$6,088,016</td>
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</tr>
<tr>
<td>Instruction</td>
<td></td>
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</tr>
<tr>
<td>Research</td>
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<tr>
<td>Public Service</td>
<td>$4,164,483</td>
<td>$4,481,135</td>
<td>$4,618,672</td>
<td>$137,537</td>
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<td>Academic Support</td>
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<td>(3.1)</td>
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<tr>
<td>Student Services</td>
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<tr>
<td>Institutional Support</td>
<td>$1,157,338</td>
<td>$1,158,572</td>
<td>$1,059,581</td>
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<td>Operation &amp; Maintenance of Plant</td>
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<td></td>
<td>(8.5)</td>
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<tr>
<td>Scholarships &amp; Fellowships</td>
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<td>Subtotal Expenditures</td>
<td>$5,321,822</td>
<td>$5,639,707</td>
<td>$5,678,253</td>
<td>$38,546</td>
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<td>Mandatory Transfers</td>
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<tr>
<td>Non-Mandatory Transfers</td>
<td>961,047</td>
<td>443,760</td>
<td>401,515</td>
<td>$(42,245)</td>
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<td>Total Expenditures &amp; Transfers</td>
<td>$6,282,869</td>
<td>$6,083,467</td>
<td>$6,079,768</td>
<td>$(3,699)</td>
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<td>Fund Balance Addition/(Reduction)</td>
<td>$97,323</td>
<td>$6,949</td>
<td>$8,248</td>
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</table>
# Municipal Technical Advisory Service

**FY 2015 Revised Budget Summary**

Unrestricted Current Funds Revenues, Expenditures, and Transfers

<table>
<thead>
<tr>
<th>EDUCATIONAL AND GENERAL</th>
<th>FY 2014 ACTUALS</th>
<th>FY 2015 ORIGINAL</th>
<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<tbody>
<tr>
<td>Revenues</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Tuition &amp; Fees</td>
<td></td>
<td></td>
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<tr>
<td>State Appropriations</td>
<td>$ 2,892,013</td>
<td>$ 2,903,713</td>
<td>$ 2,903,313</td>
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<tr>
<td>Grants &amp; Contracts</td>
<td>20,218</td>
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<td>27,775</td>
<td>22,360 412.9 %</td>
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<td>Sales &amp; Service</td>
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<td>Other Sources</td>
<td>3,267,493</td>
<td>3,201,729</td>
<td>3,201,729</td>
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<tr>
<td>Total Revenues</td>
<td>$ 6,179,724</td>
<td>$ 6,110,857</td>
<td>$ 6,132,817</td>
<td>21,960 0.4 %</td>
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<td>Expenditures and Transfers</td>
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<tr>
<td>Instruction</td>
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</tr>
<tr>
<td>Research</td>
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<tr>
<td>Public Service</td>
<td>$ 5,725,726</td>
<td>$ 5,981,909</td>
<td>$ 5,906,642</td>
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<td>Academic Support</td>
<td>287,979</td>
<td>246,311</td>
<td>249,975</td>
<td>3,664 1.5 %</td>
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<td>Student Services</td>
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<td>Institutional Support</td>
<td>5,297</td>
<td>8,900</td>
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<td>Operation &amp; Maintenance of Plant</td>
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<tr>
<td>Scholarships &amp; Fellowships</td>
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<td>Subtotal Expenditures</td>
<td>$ 6,019,002</td>
<td>$ 6,237,120</td>
<td>$ 6,165,517</td>
<td>$(71,603) (1.1) %</td>
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<td>Mandatory Transfers</td>
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<tr>
<td>Non-Mandatory Transfers</td>
<td>138,107</td>
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<td>$ 22,615</td>
<td>$(150,473)</td>
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</table>
## County Technical Assistance Service

### FY 2015 Revised Budget Summary

Unrestricted Current Funds Revenues, Expenditures, and Transfers

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<th></th>
<th>FY 2014 ACTUALS</th>
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<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<td>Revenues</td>
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<tr>
<td>Tuition &amp; Fees</td>
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<tr>
<td>State Appropriations</td>
<td>$ 1,758,013</td>
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<td>Grants &amp; Contracts</td>
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<tr>
<td>Sales &amp; Service</td>
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<td>Instruction</td>
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<tr>
<td>Research</td>
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<td>Public Service</td>
<td>$ 4,845,230</td>
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<td>Student Services</td>
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<td>Institutional Support</td>
<td>3,736</td>
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<td>Operation &amp; Maintenance of Plant</td>
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<td>Scholarships &amp; Fellowships</td>
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<td>Subtotal Expenditures</td>
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<td>Non-Mandatory Transfers</td>
<td>(46,615)</td>
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<td>(485)</td>
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## System Administration
### FY 2015 Revised Budget Summary
Unrestricted Current Funds Revenues, Expenditures, and Transfers

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<th>FY 2014 ACTUALS</th>
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<th>FY 2015 REVISED</th>
<th>CHANGE ORIGINAL TO REVISED</th>
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<tr>
<td>Revenues</td>
<td></td>
<td></td>
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<tr>
<td>Tuition &amp; Fees</td>
<td>$ 4,721,538</td>
<td>$ 4,794,238</td>
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<tr>
<td>State Appropriations</td>
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<td></td>
</tr>
<tr>
<td>Grants &amp; Contracts</td>
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</tr>
<tr>
<td>Sales &amp; Service</td>
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<td>18,748,561</td>
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<tr>
<td><strong>Expenditures and Transfers</strong></td>
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</tr>
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<td>Instruction</td>
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</tr>
<tr>
<td>Research</td>
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</tr>
<tr>
<td>Public Service</td>
<td></td>
<td></td>
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<tr>
<td>Academic Support</td>
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<tr>
<td>Student Services</td>
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<td>Institutional Support</td>
<td>45,707,635</td>
<td>44,844,150</td>
<td>45,449,987</td>
<td>605,837 1.4%</td>
</tr>
<tr>
<td>Operation &amp; Maintenance of Plant</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scholarships &amp; Fellowships</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subtotal Expenditures</td>
<td>$ 45,934,938</td>
<td>$ 44,844,150</td>
<td>$ 45,449,987</td>
<td>605,837 1.4%</td>
</tr>
<tr>
<td>Mandatory Transfers</td>
<td>135,209</td>
<td>135,000</td>
<td>135,000</td>
<td>- 0.0%</td>
</tr>
<tr>
<td>Non-Mandatory Transfers</td>
<td>(21,484,705)</td>
<td>(23,206,872)</td>
<td>(24,087,153)</td>
<td>(880,281) (3.8)%</td>
</tr>
<tr>
<td>Total Expenditures &amp; Transfers</td>
<td>$ 24,585,442</td>
<td>$ 21,772,278</td>
<td>$ 21,497,834</td>
<td>(274,444) (1.3)%</td>
</tr>
<tr>
<td>Fund Balance Addition/(Reduction)</td>
<td>$ (1,115,343)</td>
<td>(115,887)</td>
<td>(141,643)</td>
<td></td>
</tr>
</tbody>
</table>

Schedule 15 - UWA
The University of Tennessee
FY 2014-15 Revised Budget Document
Charles M. Peccolo, Treasurer & Chief Financial Officer

System Budget and Finance Office
Ron Maples, Controller
Ron Loewen, Budget Director
John Bodin-Henderson

We gratefully acknowledge the effort and cooperation of the campus and unit budget staff and the IRIS staff who contribute to the preparation of the University budget.

Knoxville
Chris Cimino, Chief Business Officer
Jonee Daniels Lindstrom
James Price
Suzan Thompson
Gary Gray
David Price

Chattanooga
Richard Brown, Chief Business Officer
Vanasia Parks
Danny Grant
Tyler Forrest

Martin
Nancy Yarbrough, Interim Chief Business Officer
Petra McPherson
Charles Covington

Space Institute
Penny Oliver

Health Science Center
Anthony Ferrara, Chief Business Officer
Charles Cossar
Kimberly Mays
Betty Lee Pace

Institute for Agriculture
Tim Fawver, Chief Business Officer
Cynthia Nichols
David Stone
Missy Kitts
Tonya Kenley
Kathy Yates

Institute for Public Service
Gail White, Chief Business Officer

IRIS
Jim Sauceman, Director
Mark Hall
Laurie Rees
Denise Haley
David Goforth

The University of Tennessee does not discriminate on the basis of race, sex, color, religion, national origin, age, disability or veteran status in provision of educational programs and services or employment opportunities and benefits. This policy extends to both employment by and admission to the University.

The University does not discriminate on the basis of race, sex, or disability in its education programs and activities pursuant to the requirements of Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Americans with Disabilities Act (ADA) of 1990.

Inquiries and charges of violation concerning Title VI, Title IX, Section 504, ADA or the Age Discrimination in Employment Act (ADEA) or any of the other above referenced policies should be directed to the Office of Equity and Diversity (OED), 1840 Melrose Avenue, Knoxville, TN 37996-3560, telephone (865) 974-2498 (V/TTY available) or 974-2440. Requests for accommodation of a disability should be directed to the ADA Coordinator at the UT Knoxville Office of Human Resources, 600 Henley Street, Knoxville, TN 37996-4125.

Publication Authorization Number: E17-0140-002-15
RESOLUTION
OF
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES
February 26, 2015

REVISED FY 2015 Operating Budget

WHEREAS, the Bylaws require the Board of Trustees to approve an annual operating budget for the University; and

WHEREAS, the Board approved the FY 2015 operating budget in June 2014; and

WHEREAS, the operating budget must be revised during the year to update revenue and expenditure projections for the remainder of the fiscal year, taking into consideration final fall enrollments (which are estimated when the original budget is prepared), the impact of the prior year’s activities carried forward into the current year, and adjustments in state appropriations occurring since the budget was approved in June 2014; and

WHEREAS, the FY 2015 Revised Operating Budget includes adjustments allocating minor revisions to budgeted revenues and a significant carry forward of unexpended non-recurring funds from FY 2014; and

WHEREAS, the administration needs to be able to respond quickly and effectively to a significant budget shortfall due to any state impoundment of funds or appropriation rescission; and

WHEREAS, mandatory furloughs without pay, reduction of time worked, across-the-board salary reductions, and similar salary-related measures may be required to address budget reductions or a budgetary shortfall; and

WHEREAS, the FY 2015 Revised Budgets for Education and General (E&G) and Auxiliary Enterprises are balanced and within available resources and comply with all applicable policies and guidelines;

NOW THEREFORE BE IT RESOLVED that:

1. The FY 2015 Revised Budget is approved with the understanding that if the General Assembly or the Department of Finance and Administration further alter the FY 2015 appropriations, or if changes in estimated resources require, the budget shall be modified accordingly so expenditures will not exceed available resources.

2. The Board of Trustees expressly authorizes the campus, institute, and unit administrations, in response to budget reductions or a budgetary shortfall, to implement mandatory furloughs without pay, reduction of time worked, across-
the-board salary reductions, and similar salary-related measures during the remainder of FY 2015, subject to approval by the Executive and Compensation Committee, the President, and the Treasurer and Chief Financial Officer, in consultation with the General Counsel and Human Resources.

3. Any remaining balance of Unrestricted Net Assets may be considered as a reserve for contingencies to be used for:
   
   a. Employing additional staff where enrollments and reorganization requirements warrant;
   
   b. Modifying departmental operating budgets where changing conditions during the year require funding adjustments;
   
   c. Funding to make salary adjustments for personnel as may be necessary during the year in keeping with state and university salary guidelines;
   
   d. Improving physical facilities for academic and research departments as opportunities arise;
   
   e. Mandated cost increases; and
   
   f. State impoundment of funds or appropriations rescission during the budget year

Adopted by the Board of Trustees, this 26th day of February, 2015.
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 25, 2015

COMMITTEE: Finance and Administration

CAMPUS/INSTITUTE: UTC

ITEM: 2015 UTC Voluntary Retirement Incentive Program

RECOMMENDATION: Approval of the Program and Authorization to Take All Steps Necessary to Implement the Program

PRESENTED BY: Steven R. Angle, Chancellor, UTC

In an effort to promote efficient alignment of demand with resources, UTC proposes to offer the 2015 UTC Voluntary Retirement Incentive Program for faculty and staff members, as described in the following plan document and pro forma. The program would offer a lump sum incentive payment of six months’ base salary, and retirements under the program would be effective June 30, 2015.

The pro forma includes the cost of a 13.5% surcharge, which is mandated by the Tennessee Consolidated Retirement System (TCRS). TCRS governs all University retirement plans, including the TCRS plan, the Optional Retirement Plan (ORP), and the now-closed Joint Contributory Retirement System plan (JCRS).

According to the pro forma, the estimated cost of the program would be $4,180,093, and the estimated maximum savings in FY 2016 would be $5,562,680. The savings will be partially allocated to overall budget reduction measures. Any remaining savings will be held at the campus level (e.g., faculty lines) and re-allocated as needed to achieve a better alignment of campus resources with instructional needs.

The administration requests approval of the proposed 2015 UTC Voluntary Retirement Incentive Program and authorization to take all steps necessary to implement the program.

MOTION:

That the 2015 UTC Voluntary Retirement Incentive Program be approved with authorization for the administration to take all steps necessary to implement the Program.
2015 UTC Voluntary Retirement Incentive Program

**Purpose:** The 2015 UTC Voluntary Retirement Incentive Program (the Program) is a proactive measure designed to promote efficient alignment of demand (e.g., student demand) with campus resources. Participation in the Program is strictly voluntary.

**Eligibility:** The Program is open to employees who meet the following eligibility criteria as of June 30, 2015:

1. Eligible for either Service Retirement or Early Retirement under the Tennessee Consolidated Retirement System (TCRS) or the Joint Contributory Retirement System (JCRS-A); OR

2. A participant in the Optional Retirement Program (ORP) who meets one of the following age and service milestones:
   - 55 or older with at least 10 years of service; OR
   - 60 or older with at least 5 years of service; OR
   - any age with at least 25 years of service.

UTC reserves the right to limit the number of participants in this Program. If the number of applicants exceeds the established limit, participation will be based on years of creditable service (whether under TCRS or the ORP creditable service equivalent calculation). UTC further reserves the right to discontinue this Program at any time, without notice.

**Terms of the Incentive:**

- **Applicability to retirements currently in process:** This Program is open to employees who may have submitted retirement paperwork to Human Resources, or otherwise provided written notice to UTC administration of the intent to retire, so long as the employee has not yet separated from University service at the time of his/her application for participation in this Program.

- **Incentive pay:** Participants will receive a lump sum incentive payment of 50% of the employee’s annualized base salary (not including any administrative or other stipend amounts) in effect on June 30, 2015 or the separation date, if sooner.

---

1 Retirement eligibility is established by TCRS and may be changed without notice to the University or to employees. The terms Service Retirement and Early Retirement carry the meanings assigned by TCRS.

2 Service Retirement (with unreduced benefits) under TCRS/JCRS is open to vested members aged 60 or older with at least 5 years of creditable service, or any age with at least 30 years of creditable service.

3 Early Retirement (reduced benefits) under TCRS/JCRS is open to vested members aged 55 or older with at least 10 years of creditable service, or any age with at least 25 years of creditable service.

4 These age and service requirements are intended to correlate with the requirements for TCRS/JCRS retirement. For purposes of this Program, “years of service” or “service” for a participant in ORP will be determined by the calculation of a service equivalent to the TCRS “creditable service” calculation (ORP creditable service equivalent).
• **Dedicated benefits consultant:** Jonathan Gushen, Director of the university-wide Benefits and Retirement office is available to assist employees eligible for participation in this Program. Mr. Gushen and members of his staff will coordinate this Program on the retirement side.

• **Faculty Emeritus/a:** Faculty members who retire at the rank of Professor or Associate Professor may request the title of Professor Emeritus/a, which will be reviewed under the normal procedures.

• **Separation date:** Participants will retire under this Program with a separation date no later than June 30, 2015. All rights and obligations described in University policies and procedures remain unaffected by this Program and will continue to apply regardless of an employee’s application or participation.

• **Application process:** Eligible employees will receive an e-mail attaching the application, disclosures required by law, and a sample Retirement Incentive Agreement and Release for review. Eligible employees interested in participating must complete the 2015 UTC Voluntary Retirement Incentive Program Application and return it to Dan Webb or Kathy Taylor, UTC Human Resources, located at 720 McCallie Avenue, or by e-mail attachment at dan-webb@utc.edu. For more information on this Program or how to submit an application, please contact either the campus Human Resources office or Jonathan Gushen, Director of Benefits and Retirement, (865) 946-8847.

• **Notice of acceptance:** Applicants who are accepted for participation in the Program will be notified of acceptance by e-mail and regular U.S. mail. A Retirement Incentive Agreement and Release will be provided with the notice of acceptance. Participants will have 45 days from the date of the acceptance letter to submit the signed and notarized agreement. If a signed agreement is not submitted by the close of business on the 45th day, the offer of participation in this Program is revoked and may be offered to another applicant.

**Projected Timetable (subject to revision):**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Date(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration receives, reviews, and acknowledges applications</td>
<td>March 2, 2015 – March 31, 2015</td>
</tr>
<tr>
<td><strong>Application Deadline – Applications must be received by the UTC Office of Human Resources</strong></td>
<td>By 5:00 p.m. March 31, 2015</td>
</tr>
<tr>
<td>Administration provides notice to Participants accepted for Program</td>
<td>By April 10, 2015</td>
</tr>
<tr>
<td>Participant packets available</td>
<td>Beginning April 10, 2015</td>
</tr>
<tr>
<td>Participants may review packet and standard Retirement Incentive Agreement and Release for up to 45 days</td>
<td>April 11-May 29, 2015</td>
</tr>
<tr>
<td>Deadline for submission of signed Retirement Incentive Agreement and Release</td>
<td>May 29, 2015</td>
</tr>
<tr>
<td>Separation date from full-time employment</td>
<td>June 30, 2015</td>
</tr>
<tr>
<td>First day in retirement status</td>
<td>July 1, 2015</td>
</tr>
</tbody>
</table>
## The University of Tennessee at Chattanooga
Voluntary Retirement Incentive Plan (VRIP) Pro Forma
FY 2015-16

<table>
<thead>
<tr>
<th>Expense</th>
<th>Estimated Payments</th>
<th>Explanation</th>
<th>Source of Funds</th>
<th>Maximum FY 2016 Savings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plan Participants</td>
<td>100</td>
<td>Roughly 340 employees would be eligible to participate in the proposed retirement incentive program. This pro forma is based on participation by 100 (or 29%) of eligible employees.</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Plan Participants Payments (50% of Current Salary)</td>
<td>$3,184,850</td>
<td>The average employee salary of eligible employees is $63,697. If 100 employees participate, 50% of the total average salary amount is $3,184,850.</td>
<td>Positions Being Vacated by VRIP Participants</td>
<td>$3,184,850</td>
</tr>
<tr>
<td>Annual Leave Payments</td>
<td>$258,390</td>
<td>12-month faculty and staff, which is approximately 57% of VRIP eligible employees, are eligible to accrue annual leave up to a maximum of 336 hours. This is paid upon retirement. The average salary for this group is $47,959 and it is estimated that the average annual leave balance of the group is 198 hours.</td>
<td>Positions Being Vacated by VRIP Participants</td>
<td>$0</td>
</tr>
<tr>
<td>TCRS, ORP and JCRS Retirement Surcharge Payments</td>
<td>$464,837</td>
<td>A 13.5% surcharge payment will be made for VRIP participants enrolled in the TCRS, ORP and JCRS retirement programs.</td>
<td>Benefit Pools (Central and Self-Funded)</td>
<td>$0</td>
</tr>
<tr>
<td>FICA Payments</td>
<td>$263,408</td>
<td>7.65% of the total payments to VRIP participants will be made for FICA.</td>
<td>Benefit Pools (Central and Self-Funded)</td>
<td>$243,641</td>
</tr>
<tr>
<td>Worker’s Compensation Payments</td>
<td>$8,608</td>
<td>0.25% of the total payments to VRIP participants will be made for Worker’s Compensation.</td>
<td>Benefit Pools (Central and Self-Funded)</td>
<td>$7,962</td>
</tr>
<tr>
<td>Other Benefit Payments</td>
<td>$0</td>
<td>No payments will be made for other employer related benefits.</td>
<td>Benefit Pools (Central and Self-Funded)</td>
<td>$2,126,327</td>
</tr>
<tr>
<td>Total</td>
<td>$4,180,093</td>
<td></td>
<td></td>
<td>$5,562,780</td>
</tr>
</tbody>
</table>
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 25, 2015

COMMITTEE: Finance and Administration

CAMPUS/UNIT: All

ITEM: Revised Policy on Approval of Student Fees

RECOMMENDATION: Approval

PRESENTED BY: Charles M. Peccolo, Treasurer and Chief Financial Officer

The Board of Trustees adopted a formal policy on approval of student fees in March 2007 to promote a consistent administration of student fees throughout the UT System. The policy describes the various categories of student fees and identifies the highest approval level—Board, system administration, or campus administration—for each category.

The administration has identified needed revisions to the policy and presents the following revised policy for adoption. Most of the revisions are technical or editorial in nature but are needed to ensure greater clarity and, therefore, more consistent application. Substantive revisions are shown in underline and strike-out. The most significant revisions are a new section on Differential Tuition and clarification of the section on Online and Distance Education Course Fees, both of which appear on the second page of the revised policy.

Upon adoption by the Board, the revised policy will be incorporated into University Fiscal Policies.

MOTION:

That the policy titled “Approval of Student Fees” is adopted as presented in the meeting materials.
1. OBJECTIVE

To provide for the consistent administration of student fees and charges.

2. INTRODUCTION

a. This policy applies to student fees, fines, room and board, and other charges students may incur while attending or applying for admission to a University of Tennessee campus. The policy identifies the highest level of approval needed to enact a new fee or to change an existing fee.

b. Fee waiver and fee discount programs established by state statute provide reduced fees for specific groups of students. The University shall implement these programs in accordance with state laws, rules, and regulations. The Board of Trustees must approve any student fee discount other than one established by statute.

c. The University recognizes that adjustments to original charges may be appropriate based on dropping a course or a student’s withdrawal from the University. Campuses have the authority to establish refund procedures for this purpose.

d. Students with outstanding debts are not permitted to register for subsequent terms until all outstanding debts are paid or arrangements have been made with the University to pay the debt.

3. STUDENT COURSE-RELATED FEES

Student Course-Related Fees represent the University’s core charges for instructional offerings. The following Student Course-Related Fees are approved by the Board of Trustees:

a. Maintenance Fees
A Maintenance Fee is assessed to students enrolled in credit courses, including courses in which the student is enrolled only on an audit basis. A Maintenance Fee is established for undergraduate students, and a separate Maintenance Fee is established for graduate students. All students, both in-state and out-of-state, are assessed the established Maintenance Fee.
b. Out-of-State Tuition
Out-of-State Tuition is an additional fee assessed to undergraduate and graduate students who are classified as non-residents of the State of Tennessee for fee assessment purposes and who are enrolled in credit courses, including courses in which the student is enrolled only on an audit basis.

c. Differential Tuition
Differential Tuition is a per-credit-hour fee assessed for a specific course or group of courses as dictated by increasing demand for educational excellence in specific areas. Examples include specific Business, Engineering, and Nursing courses. Differential Tuition proposals and requests should be prepared and submitted according to the same schedule as other fee requests each year. Once approved, future percentage increases in Maintenance Fees automatically apply to the Differential Tuition for these specific courses. Increases to Differential Tuition exceeding the percentage increases proposed for Maintenance Fees must be approved by the Board of Trustees.

d. Professional Program Fees
Professional Program Fees apply to specialized programs that prepare students for professional careers. These fees include both the Maintenance Fee and Out-of-State Tuition components as applicable. Examples include Executive and Professional MBA Program fees and the fees assessed to students in the College of Law; the College of Veterinary Medicine; and the Health Science Center Colleges of Medicine, Health Professions, Dentistry, Nursing, Pharmacy, and Graduate Health Sciences.

e. Online and Distance Education Course Fees
Online and distance education courses are provided for undergraduate and graduate students, which may have separate rates established for in-state and out-of-state students. Each of these modes of delivery may have different Maintenance Fee and Out-of-State Tuition rates and additional fees. The additional fees are generally assessed based on the location of the course/program and delivery mode and are currently called Online Support Fee, Distance Education Fee and Access Fee.

4. DEDICATED STUDENT FEES
The following Dedicated Student Fees are mandatory student fees that fund specific activities of the University. Dedicated student fees are approved by the Board of Trustees:

a. Student Programs and Services Fee
The Student Programs and Services Fees are dedicated to supporting student-related services, including, but not limited to, student activities, student health clinics, debt service for designated buildings, and student government association activities. Student input on the use of fee revenues is desired, but it is not necessary to have a student referendum or other vote to effect a fee request. Campuses are authorized to assess.
use, and allocate a student activity fee only in accordance with the Board of Trustees Policy on a Student Programs and Services Fee [insert link].

b. Other Dedicated Student Fees
Other Dedicated Student Fees include, but are not limited to, the following fees: Athletic Fees, Technology Fees, Facilities Fees, Transportation Fees, Library Fees, Study Abroad Fees and Yearbook Fees.

Revenues from these fees provide additional resources and services to the students as designated by the assessed fee. Student input on the use of fee revenues is desired, but it is not necessary to have a student referendum or other vote to effect a fee request.

5. SPECIAL COURSE FEES
Special Course Fees are approved by the President, or his/her designee, each year. These fees cover additional instructional costs not covered by the Maintenance and Out-of-State Tuition. Examples include fees charged for labs, music lessons, field trips, international travel, and program materials and equipment.

6. APPLICATION FEES
Undergraduate and graduate Application Fees are approved by the President, or his/her designee. Undergraduate application fees for Knoxville, Chattanooga, and Martin campuses must be the same amount. An application fee, which is non-refundable, must be submitted with the first-time admissions application before an individual will be permitted to become a University of Tennessee student or attend classes. This fee is not required for undergraduate program transfers within the University. Campuses may assess a re-admissions fee.

7. ROOM AND BOARD
Room and Board rates are established at the campus level and approved by the chief executive officer for each campus.

a. Student Housing
Institutional residential facilities are available to students, which include rooms and apartments.

b. Housing Deposits
In addition to signing a housing contract, students must pay a housing deposit before a residence hall assignment will be made.

c. Room Damages
Residents are responsible for the condition and care of the accommodations to which they are assigned and shall reimburse the University for damages to their room. Charges for damages and cleaning will be assessed to the student.
d. **Meal Plans**
   Students may choose from a variety of meal plans, or dining options, at the beginning of each semester.

8. **OTHER STUDENT FEES**
   Other Student Fees are approved by the campus or institute chief executive officer. Other Student Fees include fees and charges based on a student’s specific needs or individual program requirements.

   a. **Non-credit Fees**
      Fees are established for various non-credit courses and programs based on the delivery cost of the course or program.

   b. **Contractual Course Fees**
      The University may enter into contractual agreements with customers for the delivery of credit courses and programs. Prior to offering a contractual course, the department shall consult with the chief business officer or his/her designee to review the financial feasibility of offering the course.

   c. **Returned Check Fees**
      Each returned check is subject to a University administrative fee. In addition to the returned check administrative fee, late payment fees may be assessed as of the date the check is redeemed. Returned check fees cannot exceed the maximum amount established in accordance with the applicable state statute.

   d. **Miscellaneous Student Fees**
      Miscellaneous Student Fees include, but are not limited to, late registration fees, add/drop fees, late exam fees, special exam fees, ID replacement, orientation fees, diploma fee, parking fees, motor vehicle registration, student insurance, housing application fee, collection fees, payment processing fees, and program deposits or seat fees for programs such as Law School, Nursing, Art, and Architecture Law, Nursing, Social Work, and Architecture at UT Knoxville and Physical Therapy and Occupational Therapy at UT Chattanooga.

9. **FINES**
   Fines include traffic fines, parking fines, parking fine late fees and library fines. Fines must be promulgated as “rules” under the Tennessee Uniform Administrative Procedures Act and require approval by the Board of Trustees. Rules of the University of Tennessee are published in Chapter 1720 of the *Tennessee Rules and Regulations*.

10. **REFUNDS**
    The campus or institute chief executive officer shall develop appropriate refund procedures and publish these procedures in catalogs or online. The procedures shall include, at a minimum, the following provisions:
a. A percentage of Maintenance Fees, Out-of-State Tuition, Differential Tuition, and any Mandatory Dedicated Fees will be charged unless the student officially drops courses or withdraws from the University by the deadline set by the campus or institute. Failure to promptly notify the appropriate campus or institute office for withdrawals will result in increased fee assessments. The drop/add procedure cannot be used to withdraw for a semester, and withdrawal does not cancel fees or charges already incurred.

b. Refunds and repayments to the Title IV programs (Return to Title IV Aid) shall be determined according to the formula published in the current "Federal Student Financial Aid Handbook," located in the Financial Aid office of each campus and institute, which is responsible for calculating the amount of the refund and/or repayment and for distributing the correct amount back to the financial aid program(s) according to the Refund/Repayment Allocation Policy.

c. University of Tennessee campuses and institutes shall follow the applicable federal policy and procedures for calculating refunds and repayments for financial aid. For this purpose, refunds are defined as the portion of the Maintenance Fee, Differential Tuition, and/or Out-of-State Tuition and University housing/meal charges due when a student withdraws or drops a portion of class hours. Once a refund is determined to be appropriate, any amount will be applied toward other outstanding fees owed to the University at the time the refund is issued.

11. REPORTING CAMPUS-APPROVED AND CAMPUS-SPECIFIC FEES
The campus or institute chief executive officer shall file with the President a list report of campus-approved fees for each coming academic year. The report shall contain all board of trustees and campus-approved fees except the charges for non-credit courses and contractual courses. The report shall also include all campus-specific fees requiring approval by the Board of Trustees. The report will be presented to the Board of Trustees for information at the annual meeting each year.

12. ADMINISTRATIVE ADJUSTMENTS
The President, or his/her designee, may make administrative adjustments to this policy if necessary to comply with statutory or regulatory requirements, to ensure the policy is carried out with the Board of Trustees’ direction, and to ensure the policy is consistent with other University policies.
## APPENDIX

### POLICY ON APPROVAL OF STUDENT FEES

#### APPROVAL MATRIX

<table>
<thead>
<tr>
<th>FEE</th>
<th>Board</th>
<th>System</th>
<th>Campus</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. STUDENT COURSE FEES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a: Maintenance Fee</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>b: Out-of-State Tuition</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>c: Differential Tuition</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>d: Professional Program Fees</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>e: Online and Distance Education Courses</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>4. DEDICATED STUDENT FEES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a: Programs and Services Fees</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>b: Other Dedicated Student Fees</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>5. SPECIAL COURSE FEES</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>6. APPLICATION FEES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. ROOM AND BOARD</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a: Student Housing</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b: Housing Deposits</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c: Room Damages</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d: Meal Plans</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. OTHER STUDENT FEES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a: Non-credit Fees</td>
<td>X</td>
<td></td>
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<td>b: Contractual Course Fees</td>
<td>X</td>
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<td>c: Returned Check Fees</td>
<td>X</td>
<td></td>
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<tr>
<td>d: Miscellaneous Student Fees</td>
<td>X</td>
<td></td>
<td></td>
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<td>9. FINES</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>10. REFUNDS</td>
<td></td>
<td></td>
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<tr>
<td>11. ADMINISTRATIVE ADJUSTMENTS</td>
<td></td>
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</tr>
</tbody>
</table>
The following proposal requests a discounted out-of-state tuition rate for students enrolled in certain programs in the College of Nursing and the College of Health Professions in Memphis who reside in Mississippi or Arkansas within a 50-mile radius of Memphis. Eligible students would receive a 75% discount on out-of-state tuition, effective Fall 2015 (FY 2016). The discounted rate would apply to students in the following degree programs:

- College of Nursing: Bachelor of Science in Nursing (including RN to BSN); Master of Science in Nursing; and Doctor of Nursing Practice; and
- College of Health Professions: Clinical Laboratory Science (BS and MS); Master of Science in Occupational Therapy; and Doctor of Physical Therapy.

The proposal is for a three-year trial period to review the impact on enrollment.

The discounted out-of-state tuition is proposed to address increased competition for the best students in the Mid-South area. The discounted out-of-state tuition is expected to increase both applications and enrollment of these regional students, with break-even or positive revenue implications.

MOTION:

That, effective Fall 2015, the UT Health Science Center is authorized to implement a three-year program for the College of Nursing and the College of Health Professions in Memphis to provide a 75% discount of the out-of-state tuition charge for students residing in Mississippi or Arkansas within a 50-mile radius of Memphis who are enrolled in the following degree programs: Bachelor of Science in Nursing (including RN to BSN); Master of Science in Nursing; Doctor of Nursing Practice; Clinical Laboratory Science (BS and MS); Master of Science in Occupational Therapy; and Doctor of Physical Therapy.
REGIONAL TUITION
PROPOSAL FOR NURSING
AND HEALTH PROFESSIONS

Presented to the Board of Trustees
Finance & Administration Committee
February 26, 2015
REGIONAL TUITION FOR PHARMACY

- June BOT approval for Regional Tuition for Pharmacy students living within 50 miles of Memphis
- Results have been better than expected
- 11 students enrolled including new and existing students
- Applications from the region significantly up for the entering Fall 2015 class
50-MILE RADIUS
PHARMACY OUT-OF-STATE ADMISSIONS (WITHIN 50-MILE RADIUS)

50-mile radius policy in effect for student recruitment

No 50-mile radius policy in effect for student recruitment

- Applications
- Offered Admission
- Confirmed/Enrolled

* 2014-15 enrollment not yet finalized
COLLEGE OF NURSING

- Competition for the best and brightest students is strong, particularly for the BS in Nursing
- Other local programs are lower cost for out of state students than UTHSC
- *Academic Common Market* qualified programs are shrinking as other states expand program offerings
  - *ACM* provides in-state tuition where neighboring states do not have a similar program
Of the currently enrolled out-of-state students, approximately half are from the Memphis regional area.
BS NURSING TUITION COMPARISON

### CURRENT

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>In-State Maintenance Fee</td>
<td>$8,000</td>
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<tr>
<td>Out-of-State Tuition</td>
<td>$16,000</td>
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<tr>
<td>TOTAL</td>
<td>$24,000</td>
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### PROPOSED

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<tr>
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<td>$12,000</td>
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## GRADUATE NURSING ENTERING CLASS

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<td>DNP</td>
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<td>130</td>
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<td>87</td>
<td>89</td>
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**GRADUATE NURSING TUITION COMPARISON**

### CURRENT

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<tr>
<th>In-State Maintenance Fee</th>
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<td>$16,560</td>
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### PROPOSED

<table>
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<td>$4,140</td>
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A REDUCED TUITION CHARGE WILL:

- Make the Nursing programs more price competitive with other local programs
- Attract top quality Nursing students improving Board pass rates
- Increase class sizes within capacity
- Increase tuition revenue without increasing costs
- Improve workforce supply for our local hospital partners
Several issues face the College as it looks to the future:

- Clinical Laboratory Science graduates are highly sought after by hospitals, but class sizes are small.
- Physical Therapy programs are being created in TN (South College), AR, and MS.
- As programs expand, *Academic Common Market* options for regional students are no longer available.
- High quality regional students are being lost because of tuition costs.

The College is looking to get ahead of the curve and adapt in order to strengthen their programs and class sizes.
Each program has the capacity to increase enrollment.

<table>
<thead>
<tr>
<th></th>
<th>Fall 2013</th>
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<th></th>
<th>Fall 2014</th>
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<th>Capacity</th>
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## CHP Tuition Proposal

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<td>BS – Clinical Lab Sciences</td>
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<td>MS – Occupational Therapy</td>
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<td>MS – Clinical Lab Sciences</td>
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<td>D – Physical Therapy</td>
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</table>

<table>
<thead>
<tr>
<th>PROPOSED</th>
<th>In-State Maintenance Fee</th>
<th>Out-of-State Tuition</th>
<th>TOTAL Out-of-State</th>
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<tbody>
<tr>
<td>BS – Clinical Lab Sciences</td>
<td>$7,550</td>
<td>$4,505</td>
<td>$12,055</td>
</tr>
<tr>
<td>MS – Occupational Therapy</td>
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<td>MS – Clinical Lab Sciences</td>
<td>$9,120</td>
<td>$4,430</td>
<td>$13,550</td>
</tr>
<tr>
<td>D – Physical Therapy</td>
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</table>
PROPOSAL

- The Health Science Center requests approval to create a Regional Tuition Program for the College of Nursing and Health Professions providing a 75% discount on the Out-of-State tuition for students residing in Mississippi or Arkansas within 50 miles of Memphis.
- The Program would include the BSN, MSN, and DNP programs in the College of Nursing and the CLS, OT, and PT programs in the College of Health Professions.
- Effective for the Fall 2015 (FY 2016) for all eligible current and new enrollees.
- The Program would run for three years with an evaluation of results for the FY 2019 budget.
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2015
COMMITTEE: Academic Affairs and Student Success
CAMPUSS/INSTITUTE: UT Knoxville
ITEM: Honorary Degree, Doctor of Humane Letters
RECOMMENDATION: Approval
PRESENTED BY: Jimmy G. Cheek, Chancellor, UT Knoxville

The Board of Trustees Policy on Awarding Honorary Degrees allows each campus to award up to three honorary degrees each year. In accordance with the Board policy, each campus developed specific procedures for nominating and considering honorary degrees. The nominating committee includes a representative faculty group, the campus Chancellor, and the Chair of the Academic Affairs and Student Success Committee of the Board. The awarding of honorary degrees must be approved by the Board of Trustees upon the recommendation of the President.

UT Knoxville proposes to award an Honorary Doctor of Humane Letters to Marian Wright Edelman. Mrs. Edelman has been an advocate for disadvantaged Americans throughout her career and is the founder and president of the Children’s Defense Fund (CDF), a non-profit organization whose purpose is to ensure a level playing field for all children. She began her career in the mid-1960s as director of the NAACP Legal Defense and Education Fund and was the first African-American woman to be admitted to the Mississippi Bar.

A trailblazer in many respects, Mrs. Edelman has been nationally recognized for her service and leadership. She was the first woman elected to the Yale University Corporation. She served on the Board of Trustees for Spelman College, her alma mater. In 2000 she received the Presidential Medal of Freedom and the Robert F. Kennedy Lifetime Achievement Award.

Mrs. Edelman and the CDF have deep connections to East Tennessee. The mission of the CDF is “To Leave No Child Behind.” Since 1994, the permanent home for the Leave No
Child Behind movement resides at the Alex Haley Farm in Clinton, Tennessee. For more than twenty years, the CDF and its programs have transformed Haley Farm into a vibrant training ground for the next generation of leaders and advocates to serve on behalf of children and families.

The proposal has been approved at all administrative levels and is in accordance with Board policy and campus procedures. Upon the Board’s approval, the degree will be conferred at the Spring 2015 commencement ceremony. Supporting documentation on awarding an honorary degree to this outstanding individual is provided in the following materials.

MOTION:

That the Honorary Degree of Doctor of Humane Letters be awarded to Marian Wright Edelman.
February 4, 2015

President Joseph A. DiPietro
University of Tennessee System
800 Andy Holt Tower
Knoxville, TN 37996-0180

Dear President DiPietro:

It is especially important for the University of Tennessee, Knoxville to recognize the achievements of select individuals who make important contributions to the university and our world. As such, I am pleased to nominate Mrs. Marian Wright Edelman to receive an Honorary Doctor of Humane Letters from the University of Tennessee, Knoxville at the spring 2015 commencement ceremony.

Mrs. Edelman has been an advocate for disadvantaged Americans throughout her career and is the founder and president of Children’s Defense Fund ("CDF"), a non-profit advocacy organization whose purpose is to ensure a level playing field for all children. Mrs. Edelman is a graduate of Spelman College and later received her law degree from Yale University. She began her career in the mid-1960’s, as director of the NAACP Legal Defense and Education Fund in Jackson, Mississippi. At the time, she was the first African-American woman to be admitted to the Mississippi Bar. In 1968, she moved to Washington D.C. to become counsel for the Poor People’s Campaign, an initiative that Dr. Martin Luther King Jr. began organizing before his death. She then served as the Director of the Center for Law and Education at Harvard University and later founded CDF in 1973.

A trailblazer in many respects, Mrs. Edelman has been nationally recognized for her service and leadership. She was the first woman elected by alumni to the Yale University Corporation. She also served on the Board of Trustees for Spelman College, which she chaired from 1976-1987. She has received over one hundred honorary degrees and many awards including the following: the Albert Schweitzer Humanitarian Prize, the Heinz Award, and a MacArthur Foundation Prize Fellowship. In 2000, she received the Presidential Medal of Freedom, the nation’s highest civilian award and the Robert F. Kennedy Lifetime Achievement Award for her writings which include: *Families in Peril: An Agenda for Social Change; The Measure of Our Success: A Letter to My Children and Yours; Guide My Feet: Meditations and Prayers on Loving and Working for Children; Stand for Children; Lanterns: A Memoir of Mentors; Hold My Hand: Prayers for Building a Movement to Leave No Child Behind; I'm Your Child, God: Prayers for Our Children; I Can Make a Difference: A Treasury to Inspire Our Children; and The Sea is so Wide and My Boat is so Small: Charting a Course for the Next Generation.*

Mrs. Edelman currently serves on the Robin Hood Foundation and the Association to Benefit Children. She is also a member of the Council on Foreign Relations, the American Philosophical
Society, the American Academy of Arts and Sciences, and the National Academy of Sciences’ Institute of Medicine.

Mrs. Edelman and the CDF are also deeply connected to East Tennessee. The mission of the Children’s Defense Fund is “To Leave No Child Behind” and to ensure every child “a Healthy Start, a Head Start, a Fair Start, a Safe Start and a Moral Start in life and successful passage to adulthood with the help of caring families and communities.” Since 1994, the permanent home for the “Leave No Child Behind” movement is nestled at Haley Farm in Clinton, Tennessee. For more than twenty years, the CDF and its programs have transformed Haley Farm into a vibrant training ground for the next generation of leaders and advocates to serve on behalf of children and families.

The University’s Honorary Degree Nominating Committee unanimously approved the nomination of Mrs. Edelman, which was submitted by Dr. Ed Cortez, Professor & Director of the School of Information Sciences, and forwarded by the Dean of the College of Communication & Information, Dr. Mike Wirth. The Nominating Committee consisted of Trustee Vicky Gregg, chair of the Academic Affairs & Student Success Committee, myself, as well as five faculty members selected by the Faculty Senate: Drs. Gordon Burghardt, Daniela Corbetta, Carole Myers, Hairong Qi, and Professor Beauvais Lyons, who served as chair of the Nominating Committee.

Furthermore, a Special Committee received the recommendation from the Honorary Degree Nominating Committee. The Special Committee consisted of five individuals, Provost Susan Martin and four tenured faculty members appointed by the Chair of the Graduate Council and who are not members of the Nominating Committee. The faculty members included the following individuals: Drs. Stephanie Bohon, Ed Cortez, David Houston, and Donald Hodges. The Special Committee, chaired by Dr. David Houston, was also unanimous in its recommendation of Mrs. Edelman for an honorary degree.

The entire nomination process is set out on the Chancellor’s website (http://chancellor.utk.edu/honorary-degrees/nomination-selection/) and is modeled on, and consistent with, the University of Tennessee Board of Trustees’ policy for granting honorary degrees.

I request approval to honor Mrs. Marian Wright Edelman with this distinction.

Sincerely,

[Signature]

Jimmy G. Cheek
Chancellor
Enclosures (3)

Cc: Members of the Honorary Degree Nominating Committee
    Members of the Special Committee
    Mike Wirth, Dean, College of Communication & Information
    Ed Cortez, Professor & Director of the School of Information Sciences

Approved: [Signature]

Joseph A. DiPietro
President, University of Tennessee System
January 28, 2015

Dr. Jimmy G. Cheek, Chancellor
527 Andy Holt Tower
CAMPUS

Dear Dr. Cheek:

I am pleased to inform you that the Special Committee supports the recommendation by the Honorary Degree Nominating Committee to award an Honorary Doctor of Humane Letters to Mrs. Marian Wright Edelman. The committee met via conference call on January, 22, 2015, to review the materials forwarded to it by the Nominating Committee in support of this recommendation.

Per University of Tennessee procedures, the Special Committee is comprised of five members: Dr. Susan Martin (Provost), Dr. Ed Cortez (Director, School of Information Sciences, College of Communication & Information), Dr. Stephanie Bohon (Associate Professor, Department of Sociology), Dr. Donald Hodges (Professor, Department of Forestry, Wildlife & Fisheries), and Dr. David Houston (Professor, Department of Political Science).

In keeping with the recognition accorded by an honorary degree, committee members agreed that Marian Edelman’s professional career is characterized by distinguished service of national and international significance. This is exemplified by her leadership with the Children’s Defense Fund, work with NAACP Legal Defense Fund, and as the Director of the Center for Law Education at Harvard University. It was further noted that Mrs. Edelman’s contributions have received national and international attention as she is a recipient of a Presidential Medal of Freedom, a MacAurthur Foundation Prize Fellowship, the Ghandi Peace Prize, the Albert Schweitzer Humanitarian Prize, as well as other awards and numerous honorary degrees.

Following our discussion, committee members voted unanimously to support the Nominating Committee’s recommendation to award an Honorary Degree of Human Letters to Marian Wright Edelman.

Please let me know if additional information is needed regarding the Special Committee’s deliberation in support of granting Mrs. Edelman this recognition.

Sincerely,

David J. Houston
Chair, Special Committee

cc: Dr. Susan Martin, Dr. Ed Cortez, Dr. Stephanie Bohon, Dr. Donald Hodges
Dear Susan,

On behalf of the Honorary Degree Nominating Committee, it is my pleasure to report that there was unanimous support for awarding an Honorary Doctor of Humane Letters to Mrs. Marian Wright Edelman. The committee met yesterday to discuss this candidate and review the nomination packet submitted by Dean Mike Wirth.

The Committee (along with Chancellor Cheek) was engaged in meaningful discussion about the significance and history of awarding honorary degrees at The University of Tennessee. There was broad agreement that our recent recipients offer evidence of individuals who reflect our commitment to teaching, service and research and creative activity. Mrs. Marian Wright Edelman will make an important addition to our recent roster of honorary degree recipients, principally due to her leadership as founder of the Children's Defense Fund, now based in Clinton, Tennessee. In addition, her record of scholarship and service is noteworthy, and includes her work on behalf of the NAACP Legal Defense Fund, as the Director of the Center for Law Education at Harvard University, as a key advocate during the Civil Rights Movement, and through her many published writings. Marian Wright Edelman is a recipient of a Presidential Medal of Freedom, a MacArthur Foundation Fellowship, the Gandhi Peace Prize, and numerous honorary degrees. I have enclosed the nomination materials prepared for the Committee for your review.

All of the members of the Nominating Committee voted in favor of awarding this honorary doctorate to Mrs. Edelman, either in person at our meeting on December 17th or through email communications.

Please let me know if you need any additional information as you move forward with this recommendation. Thank you for the opportunity to participate in this process.

Sincerely,

Beauvais Lyons
Chair, Honorary Degree Nominating Committee

Copy: Nominating Committee
MEMORANDUM

University of Tennessee, Knoxville

October 28, 2014

To: Russ Swafford, Manager, Special Projects, Office of the Chancellor

From: Mike Wirth, Dean, College of Communication and Information

Re: Nomination of Marian Wright Edelman for an Honorary Degree from the University of Tennessee, Knoxville

All of the materials required to nominate Marian Wright Edelman for an honorary degree from the University of Tennessee, Knoxville are attached. Dr. Ed Cortez, professor and director of the School of Information Sciences in the College of Communication and Information, wrote the letter of nomination.

Please know that this nomination has my full support. If Marian Wright Edelman is selected to receive an honorary degree, the College of Communication and Information would be honored to have her receive the honorary degree at its Spring Commencement Ceremony on Friday, May 8 at 8:30 a.m. Likewise, we would be honored to have her serve as our Commencement speaker.

Big Orange. Big Ideas.
November 1, 2014

Dear UTK Honorary Degree Nominating Committee:

This letter serves as my nomination of Marian Wright Edelman for a University of Tennessee, Knoxville Honorary Degree.

I met Marian Wright Edelman on a food line. It was about 10 years ago, on the rare occasion when Mrs. Edelman was on the receiving end of a bountiful lunch buffet, spread with sumptuous casseroles, fried chicken, pot pies, pastries and one of the Farm’s specialties—ambrosia! “The Farm” is how the locals refer to the former studio, writer’s colony and home of author and Pulitzer Prize winner Alex Haley. Located in Clinton, Tennessee, it’s now the official retreat facility for the Children’s Defense Fund (CDF), whose founder and president is Mrs. Edelman. On that beautiful fall day, I was leading a faculty retreat from the School of Information Sciences, University of Tennessee. My event coincided with a meeting of the CDF trustees and, as always, all guests eat their meals together, which are prepared by the Farm’s chefs using many fresh ingredients grown right there on site. In a modest, homey dining room filled with chatter and laughter, Mrs. Edelman’s dynamic and engaged presence was still felt. I was receiving its full thrust as I sat across from her. On this occasion, I came to know and admire this remarkable woman. Her groundbreaking work has created decades of positive change for society, and improved the lives of generations of Americans.

Marian Wright Edelman has been an advocate for disadvantaged Americans for her entire professional life. Under her leadership, CDF has become the nation’s strongest voice for children and families. The Children’s Defense Fund’s “Leave No Child Behind® mission is to ensure every child a Healthy Start, a Head Start, a Fair Start, a Safe Start, and a Moral Start in life, and successful passage to adulthood with the help of caring families and communities”.

Mrs. Edelman, a graduate of Spelman College and Yale Law School, began her career in the mid-60s when, as the first black woman admitted to the Mississippi Bar, she directed the NAACP Legal Defense and Educational Fund office in Jackson, Mississippi. In 1968, she moved to Washington, D.C., as counsel for the Poor People’s Campaign that Dr. Martin Luther King, Jr. began organizing before his death. She founded the Washington Research Project, a public interest law firm and the parent body of the Children’s Defense Fund. For two years she served as the Director of the Center for Law and Education at Harvard University, and in 1973, she started CDF.

Mrs. Edelman served on the Board of Trustees of Spelman College, which she chaired from 1976 to 1987, and was the first woman elected by alumni as a member of the Yale University Corporation,
on which she served from 1971 to 1977. She has received over a hundred honorary degrees and many awards, including the Albert Schweitzer Humanitarian Prize, the Heinz Award, and a MacArthur Foundation Prize Fellowship. In 2000, she received the Presidential Medal of Freedom, the nation’s highest civilian award, and the Robert F. Kennedy Lifetime Achievement Award for her writings, which include: Families in Peril: An Agenda for Social Change; The Measure of Our Success: A Letter to My Children and Yours; Guide My Feet: Meditations and Prayers on Loving and Working for Children; Stand for Children; Lanterns: A Memoir of Mentors; Hold My Hand: Prayers for Building a Movement to Leave No Child Behind; I’m Your Child, God: Prayers for Our Children; I Can Make a Difference: A Treasury to Inspire Our Children; and The Sea Is So Wide and My Boat Is So Small: Charting a Course for the Next Generation.

She is a board member of the Robin Hood Foundation and the Association to Benefit Children, and is a member of the Council on Foreign Relations, the American Philosophical Society, the American Academy of Arts and Sciences, and the Institute of Medicine of the National Academy of Sciences.

In sum, Marian Wright Edelman is a very accomplished individual deserving of receiving an Honorary Doctorate from the University of Tennessee.

Sincerely,

Ed Cortez, Director & Professor
MARIAN WRIGHT EDELMAN

Marian Wright Edelman, founder and president of the Children's Defense Fund (CDF), has been an advocate for disadvantaged Americans for her entire professional life. Under her leadership, CDF has become the nation's strongest voice for children and families. The Children's Defense Fund's Leave No Child Behind® mission is to ensure every child a Healthy Start, a Head Start, a Fair Start, a Safe Start, and a Moral Start in life and successful passage to adulthood with the help of caring families and communities.

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She is a board member of the Robin Hood Foundation and the Association to Benefit Children, and is a member of the Council on Foreign Relations, the American Philosophical Society, the American Academy of Arts and Sciences, and the Institute of Medicine of the National Academy of Sciences.

Marian Wright Edelman is married to Peter Edelman, a Professor at Georgetown University Law Center. They have three sons and four grandchildren.
MARIAN WRIGHT EDELMAN

Founder and President
CHILDREN'S DEFENSE FUND
25 E Street, NW
Washington, D. C. 20001
(202) 628-8787

PERSONAL:

Date of Birth: June 6, 1939

Place of Birth: Bennettsville, South Carolina

Married to Peter Benjamin Edelman; Mother of three sons:
Joshua Robert, Jonah Martin, and Ezra Benjamin;

PRESENT POSITION:

June 1973
President, Children's Defense Fund

PRIOR POSITIONS:

1971 - May 1973
Director, Center for Law and Education,
Harvard University

1968 - 1973
Field Foundation Fellow and Founder,
Washington Research Project of the
Southern Center for Public Policy
(a public interest law firm and the parent body of the
Children's Defense Fund)

Summer 1968
Congressional and Federal Agency Liaison,
Poor People's Campaign

1964 - 1968
Director, NAACP Legal Defense and
Educational Fund, Inc., Jackson,
Mississippi

1963 - 1964
Staff Attorney, NAACP Legal Defense and
Educational Fund, Inc., New York

EDUCATION:

1960
B.A., Spelman College, Atlanta, Georgia
(Junior Year, University of Geneva,
Switzerland)

1963
L.L.B., Yale Law School
HONORARY DEGREES:

SPECIAL RECOGNITIONS (Selected):

1958-1959
Merrill Scholarship for a year's study at the Universities of Paris and Geneva, Switzerland

1959-1960
Who's Who in American Colleges and Universities

1960
Valedictorian, college graduating class

1960-1961
John Hay Whitney Fellowship, Yale Law School

1965
Mademoiselle Magazine Award as one of the four most exciting young women in America

1965-1966
Outstanding Young Woman of America

1969
Honorary Fellow, University of Pennsylvania Law School

1970
Louise Waterman Wise Award

1971
Time Magazine list of 200 Young American Leaders

1979
Presidential Citation, American Public Health Association Outstanding Leadership Award of the National Alliance of Black School Educators Distinguished Service Award of the National Association of Black Women Attorneys National Award of Merit of the National Council on Crime and Delinquency Washingtonian of the Year

1980
Whitney M. Young Memorial Award (Washington Urban League) Black Enterprise Magazine Professional Achievement Award National Women's Political Caucus/Black Caucus Outstanding Leadership Achievement Award National Hookup of Black Women's Outstanding Community Service Award Big Sisters' Woman of the Year Award

1981
American Academy of Pedodontics, Award of Recognition Honorary Membership, Delta Sigma Theta Sorority Rockefeller Public Service Award

1982
Gertrude Zimand Award (National Child Labor Committee) Florina Lasker Award (New York Civil Liberties Union) MacArthur Foundation Prize Fellow

1984
Anne Roe Award (Harvard University Graduate School of Education) Roy Wilkins Civil Rights Award (NAACP Image Awards) Women's Legal Defense Fund Award Hubert H. Humphrey Award (Leadership Conference on Civil Rights) Teachers College Medal for Distinguished Service to Education

1986
Grenville Clark Prize, Dartmouth College

1987
Compostela Award (The Cathedral of St. James) A. Philip Randolph Award (The National Urban Coalition) The Achievement Award (The American Association of University Women)
The William P. Dawson Award (The Congressional Black Caucus)
The Trumpeter Award (National Consumer League)
Colleague, St. John the Divine
Catherine Dunfey Award: New England Circle
Honorary Membership, American Society of Dentistry for Children

1988
Albert Schweitzer Humanitarian Prize, Johns Hopkins University

1989
Radeliffe Medal
The AFL-CIO Award
Honorary Membership, Phi Beta Kappa Honor Society
(University of South Carolina)
The Fordham Stein Prize

1990
Gandhi Peace Prize
Frontrunner Award (Sara Lee Foundation)

1991
M. Carey Thomas Award (Bryn Mawr College)
Robie Award for Humanitarianism (Jackie Robinson Foundation)

1992
Asian Americans for Equality
Perlman Award from B'Nai B'rith Women
The John Dewey Award (United Federation of Teachers)
Thomas Jefferson Award in Law (Univ. of Virginia)
Essence Magazine Award
Boys' and Girls' Club of Newark Award for Caring
Iphigene Ochs Sulzberger Award (Barnard College)

1993
Dr. Martin Luther King, Jr., Medal for Outstanding Professional Service in Civil and Human Rights
(George Washington University)
Outstanding Mother Award (National Mother's Day Committee)
Legacy of Leadership Award (Howard University Hospital)
American Woman Award (Women's Research & Education Institute)
Child Health Day Leadership Award (American Health Foundation)
Lawyer of the Year (D.C. Bar Association)
Inducted in National Women's Hall of Fame
National Freedom Award (National Civil Rights Museum)

1994
Lucretia Mott Award (Women's Way, Philadelphia)
Silver Buffalo Award (Boy Scouts of America)
One of the Year's Most Influential Black Americans and subsequent years (Ebony Magazine)
President's Award (Southern Bell Calendar of Black History)
Henry W. Edgerton Civil Liberties Award (American Civil Liberties Union)

1995
Heinz Award
Trumpet Award (Turner Broadcasting Systems)

1996
Distinguished Service Award for Children (National Association of Elementary School Principals)

1997
Otis Social Justice Award (Wheaton College)
1998
The Crystal Stair Award (University of Pennsylvania)
Chairman’s Award (NAACP)
Chicago Great Friend to Kids (Chicago Children’s Museum)
Mary Church Terrell Award (National Association of Colored Women’s Clubs)

1999
Charles Evans Hughes Gold Medal (The National Conference for Community and Justice)
Uncommon Height Award (National Council of Negro Women)
Reinhold and Richard Niebuhr Award (Elmhurst College)

2000
Presidential Medal of Freedom
Robert F. Kennedy Lifetime Achievement Award for writings
Women Who Shaped our World Award (L’eggs Products)
Union Medal (Union Theological Seminary)
Jane Addams Distinguished Leadership Award

2001
The Legacy of Ida B Wells: Courage and Leadership Award
Tulane University President’s Medal
Africa’s Children’s Fund: International Children’s Champion
Citizen of the Carolinas Award (Chamber of Commerce of the Carolinas)

2009
Nelson Mandela’s Children’s Fund Award

2011
Turquoise Chalice Award (New Mexico Conference of Churches)
John Jay College’s Justice Award

TRAVEL:

June 1958-
June 1959
Summer 1959
 Universities of Paris and Geneva, Switzerland
Participant in Lisle Fellowship’s Second U.S.-U.S.S.R. Student Exchange, a study tour of
East Germany, Poland, and Czechoslovakia, spending six weeks in the Soviet Union

Summer 1962
Participant, Operations Crossroads Africa work project in the Ivory Coast, West Africa

1966
Three-month Ford Foundation travel-study grant to Israel to study cooperative economic development

July-
Dec. 1968
Around the world tour including Eastern Europe, Scandinavia, India, Israel, East Africa, Southeast Asia, and Japan

1985
Japan Society Fellow (three months in Japan looking at family and child policies)

COMMISSIONS/COMMITTEES/OFFICES HELD:

1977
Member, Presidential Commission on Americans Missing
and Unaccounted For in Southeast Asia (Woodcock Commission)

1977
United States-South Africa Leadership Exchange Program to explore role of women leaders in South Africa

1979
National Commission on the International Year of the Child

1979
President's Commission for a National Agenda for the Eighties

1989
National Commission on Children

1993-1996
U. S. Olympic Committee

1993-1996
U. S. Representative to UNICEF

1998-
John F. Kennedy Library Foundation’s Profiles in Courage Award Committee Member

1994-
National Academy of Social Insurance

1999
U. S. Representative to Geneva Conventions

2000
UN Goodwill Ambassador for World Conference Against Racism

AFFILIATIONS:

Member, American Philosophical Society
Member, District of Columbia Bar
Member, State of Mississippi Bar
Member, Commonwealth of Massachusetts Bar
Member, The Council on Foreign Relations
Member, Institute of Medicine – National Academy of Sciences
Member, National Academy of Arts and Sciences

BOARD MEMBERSHIPS (*current):

Yale Corporation (1971-1977)
Spelman College Board of Trustees (1972-on; Life Trustee) (Chair, 1976-87)
Aetna Life and Casualty Foundation
NAACP Legal Defense and Educational Fund, Inc.
U. S. Committee for UNICEF
*Robin Hood Foundation
City Lights School
Leadership Conference on Civil Rights
Parents as Teachers National Center, Inc.
Outward Bound
*Drug Strategies
*Women’s Learning Partnership
*Association to Benefit Children
Aaron Diamond Foundation
Tariq Khamisa Foundation
*Center on Budget and Policy Priorities

PUBLICATIONS: (Selected)

Principal Author for CDF Publication:
Children Out of School in America. (1974)

School Suspensions: Are They Helping Children? (1975)


Author of:


The Sea is So Wide and My Boat Is So Small: Charting a Course for the Next Generation. Hyperion (2008)

Selected Articles and Papers:

"Twenty Years After Brown: Where Are We Now?" New York University Education Quarterly (Summer, 1974), p. 2


"Winson and Dovie Hudson's Dream." (an analysis of the status of school desegregation and myths of resistance); Harvard Educational Review (November 1975)


"Today's Promises - Tomorrow's Children: Putting Children First on the National Agenda." Young Children, the Journal of the National Association for the Education of Young Children (March 1978)

"In Defense of Children's Rights." Yale Alumni Magazine (February 1978)


Contact Information for Recommendation Letters for Marian Wright Edelman

- Donna Shalala, president, University of Miami, former U.S. Secretary of Health and Human Services, and former chair of the Children’s Defense Fund Board of Directors, dshalala@miami.edu
- Geoffrey Canada, president of the Harlem Children’s Zone, and chair of the Children’s Defense Fund Board of Directors, tfountain@hcz.org (212-360-3255)
- Angela Glover Blackwell, founder and president of PolicyLink, co-author of Searching for Uncommon Common Ground, and vice chair of the Children’s Defense Fund Board of Directors, otilla@policylink.org (510-663-4301)
- Lan Bentsen, co-founder, director and executive vice president of Frontera Resources, and vice chair of the Children’s Defense Fund Board of Directors, lanbentsen@gmail.com (713-240-3086)
November 1, 2014

Nominators Relationship with Marian Wright Edelman

I first met Mrs. Edelman in 2006 when the School of Information Sciences began to participate in the annual CDF Freedom School’s Program. In 2007 I was invited by Mrs. Edelman to give a keynote address at the program’s annual event. Additionally, the School of Information Sciences continues to hold many of its retreats at the Haley Farm. We also have an ongoing relationship with Mrs. Edelman through Theresa Venable, one of our alums who is the librarian at the Haley Farm Research Library and a member of the College of Communication and Information Board of Visitors. The School of Information Sciences has an ongoing interest in obtaining the Marian Wright Papers for the University of Tennessee, Knoxville.

Ed Cortez, Director
School of Information Sciences
The Board of Trustees Policy on Awarding Honorary Degrees allows each campus to award up to three honorary degrees each year. In accordance with the Board policy, each campus developed specific procedures for nominating and considering honorary degrees. The nominating committee includes a representative faculty group, the campus Chancellor, and the Chair of the Academic Affairs and Student Success Committee of the Board. The awarding of honorary degrees must be approved by the Board of Trustees upon the recommendation of the President.

UTK proposes to award an honorary Master of Fine Arts in Acting to Dale Dickey, an exceptional actress, a Knoxville native, and an alumna of the University of Tennessee, Knoxville.

Ms. Dickey has been featured in several long-running television series, including My Name is Earl, True Blood, Breaking Bad, and Christy. She has appeared with some of the most accomplished actors in the film industry including Jack Nicholson, Robert DeNiro, Barbara Streisand and Robert Downey Jr. For her role in Winter’s Bone, Ms. Dickey won the Independent Spirit Award for “Best Supporting Female.”

She has maintained her ties to the University has returned to the Clarence Brown Theatre on multiple occasions, starring in the Clarence Brown Theatre’s productions of Rainman, Steel Magnolias, A Streetcar Named Desire and Sweeney Todd. In 2010, she received a Distinguished Alumni Award in recognition of her service to her alma mater.
The proposal has been approved at all administrative levels and is in accordance with Board policy and campus procedures. Upon the Board’s approval, the degree will be conferred at the Spring 2015 commencement ceremony. Supporting documentation on awarding an honorary degree to this outstanding individual is provided in the following materials.

MOTION:

That the Honorary Degree of Master of Fine Arts in Acting be awarded to Dale Dickey.
February 3, 2015

President Joseph A. DiPietro
University of Tennessee System
800 Andy Holt Tower
Knoxville, TN 37996-0180

Dear President DiPietro:

In accordance with the University of Tennessee Board of Trustees’ policy in awarding honorary degrees, it is my pleasure to nominate Ms. Dale Dickey for an honorary Master in Fine Arts (MFA) in Acting from the University of Tennessee, Knoxville.

A Knoxville native and graduate of the University of Tennessee, Knoxville, Ms. Dickey is an exceptional actress. She has been featured in several long-running television series, including: *My Name is Earl*, *True Blood*, *Breaking Bad*, and *Christy*. Furthermore, she has appeared with some of the most accomplished actors in the film industry, such as: Jack Nicholson in *The Pledge*, Robert DeNiro in *Being Flynn*, Barbara Streisand in *The Guilt Trip*, Robert Downey Jr. in *Iron Man 3*, and Jennifer Lawrence in *Winter's Bone*. For her role in *Winter's Bone*, Ms. Dickey won the Independent Spirit Award for “Best Supporting Female.”

In addition to her immense success as an actress, she also maintains ties to the University and our students. She is not only an encouragement to aspiring actors, but she has returned to the Clarence Brown Theatre on multiple occasions to work directly with our students. She has even starred in several of the theatre’s productions, including: *Rainmaker*, *Steel Magnolias*, *A Streetcar Named Desire*, and *Sweeney Todd*. In 2010, she received a Distinguished Alumni Award in recognition of her service to the University of Tennessee, Knoxville.

The University’s Honorary Degree Nominating Committee unanimously approved the nomination of Ms. Dickey, which was submitted by Mr. Calvin MacLean, Department Head and Artistic Director of the Clarence Brown Theatre. The Nominating Committee consisted of Trustee Vicky Gregg, chair of the Academic Affairs & Student Success Committee, myself, as well as five faculty members selected by the Faculty Senate: Drs. Gordon Burghardt, Daniela Corbetta, Carole Myers, Hairong Qi, and Professor Beauvais Lyons, who served as chair of the Nominating Committee.

Furthermore, a Special Committee received the recommendation from the Honorary Degree Nominating Committee. The Special Committee consisted of five individuals, Provost Susan Martin and four tenured faculty members appointed by the Chair of the Graduate Council and
who are not members of the Nominating Committee. The Special Committee’s faculty members included the following individuals: Drs. Stephanie Bohon, David Houston, Donald Hodges, as well as Mr. Calvin MacLean. The Special Committee, chaired by Dr. David Houston, was unanimous in its recommendation of Ms. Dickey for an honorary degree.

The entire nomination process is set out on the Chancellor’s website (http://chancellor.utk.edu/honorary-degrees/nomination-selection/) and is consistent with the University of Tennessee Board of Trustees’ policy for granting honorary degrees.

I request approval to honor Ms. Dickey with this distinction.

Sincerely,

[Signature]

Jimmy G. Cheek
Chancellor

Enclosures (3)

Cc: Members of the Honorary Degree Nominating Committee
    Members of the Special Committee
    Theresa Lee, Dean, College of Arts & Sciences
    Calvin MacLean, Department Head and Artistic Director, Clarence Brown Theatre

Approved:

[Signature]

Joseph A. DiPietro
President, University of Tennessee System
January 27, 2015

Dr. Jimmy G. Cheek, Chancellor
527 Andy Holt Tower
CAMPUS

Dear Dr. Cheek:

I am pleased to inform you that the Special Committee supports the recommendation by the Honorary Degree Nominating Committee to award an Honorary Master of Fine Arts to Ms. Dale Dickey. The committee met via conference call on January 21, 2015, to review the materials forwarded to it by the Nominating Committee in support of this recommendation. While not all members of the committee were able to participate in the conference call, a summary of the discussion that took place was circulated to the entire committee. All members were then afforded the opportunity via e-mail to share their thoughts and vote on the nomination.

Per University of Tennessee procedures, the Special Committee is comprised of five members: Dr. Susan Martin (Provost), Mr. Calvin MacLean (Head and Professor, Department of Theatre), Dr. Stephanie Bohon (Associate Professor, Department of Sociology), Dr. Donald Hodges (Professor, Department of Forestry, Wildlife & Fisheries), and Dr. David Houston (Professor, Department of Political Science).

In keeping with the recognition accorded by an honorary degree, committee members agreed that Ms. Dickey’s professional accomplishments merit such recognition. It was noted that her list of accomplishments is impressive as she has over 90 motion picture and television acting credits. Her roles in feature films include Winter’s Bone (for which she received the Independent’s Spirit Award for Best Supporting Actress), Iron Man 3, and Super 8. Her television credits include roles in My Name is Earl, True Blood, Justified, and Breaking Bad. Furthermore, as a native of Knoxville and an alumnus of the University of Tennessee, Ms. Dickey has supported the University by participating in Clarence Brown Theater productions, working alongside UT students.

Committee members voted unanimously to support the Nominating Committee’s recommendation to award an Honorary Master of Fine Arts to Ms. Dale Dickey.

Please let me know if additional information is needed regarding the Special Committee’s deliberation in support of granting Ms. Dickey this recognition.

Sincerely,

David J. Houston
Chair, Special Committee

cc: Dr. Susan Martin, Mr. Calvin MacLean, Dr. Stephanie Bohon, Dr. Donald Hodges
January 12, 2015

Dr. Susan Martin
Provost and Senior Vice Chancellor
525 Andy Holt Tower
CAMPUS

Dear Susan,

On behalf of the Honorary Degree Nominating Committee, it is my pleasure to report that there was unanimous support for awarding an Honorary Master of Fine Arts in Acting to Ms. Dale Dickey.

The nomination of Ms. Dickey was sent to our committee by Dean Theresa Lee in the College of Arts and Sciences. I have enclosed the nomination materials. The committee reviewed these materials over the past week, with most of the members communicating by email in advance of our meeting held earlier today. Members of the committee include Trustee Vicky Gregg, and faculty members Gordon Burghardt, Daniela Corbetta, Carol Myers, Hairong Qi, and myself. Also involved in the process was Chancellor Jimmy Cheek and we were assisted by Russ Swafford.

Dale Dickey, a native of Knoxville, is a notable University of Tennessee alumna who is internationally recognized for her work in theatre, in mainstream and independent films, as well as television. We also believe that her connections to our university through the Clarence Brown Theatre are notable. Dickey’s career offers evidence of someone who has taken a variety of roles, but often depicts characters that survive on the margins of society. She is able to give these characters depth, and to call on our understanding of their motivations and conditions. As a benchmark of her significance, in 2010 she was awarded the Independent’s Spirit Award for Best Supporting Actress for her role as Merab in the film Winter’s Bone. Other recipients of this prestigious award have included Monique (Precious), Penelope Cruz (Vicky Cristina Barcelona), Kate Blanchette (I’m Not There), Frances McDormand (Friends with Money) and Amy Adams (Junebug), among others. She is indeed in excellent company. Many of the students graduating will be able to relate to her through her roles in television series such as Justified, True Blood and My Name is Earl.

The Committee (along with Chancellor Cheek) expressed strong support for this nomination based on her professional career and advocate that Dale Dickey be awarded an Honorary Master of Fine Arts in Acting at the Spring 2015 Arts and Sciences Convocation. We believe the MFA is most appropriate degree to award, as it is a terminal degree (on par with the PhD) and based in creative practice.

Please let the committee know if you need any additional information regarding our recommendation.

Sincerely,

Beauvais Lyons
Chair, Honorary Degree Nominating Committee

Copy: Honorary Degree Nominating Committee, Chancellor Cheek, Russ Swafford
TO: Provost Susan Martin
FROM: Dean Theresa Lee
DATE: January 5, 2015
RE: Recommendation of Ms. Dale Dickey for Honorary Degree

Please find attached a recommendation for a candidate for an honorary degree. Ms. Dale Dickey, a well-known actress who has maintained her attachment with the University of Tennessee and the local area. She has come back to campus to play several roles at the CBT over the years, somehow fitting us into her busy schedule. When I asked her to be our graduation speaker this spring, she commented that while she is not wealthy (most actors are not), she loves to be able to give back to the students by acting with them and teaching them. Col MacLean, department head, has written a glowing recommendation to which I have little to add, except that it would be nice to be the first to so honor a candidate, and to do so at the height of her career.

The College of Arts and Sciences dean’s council discussed Prof. MacLean’s recommendation and unanimously and enthusiastically concurred.

Cc: Vice-Provost John Zomchick
MEMO

December 31, 2014

To: Theresa Lee, Dean
College of Arts and Sciences

From: Calvin MacLean
Head of Theatre

Re: Honorary Master of Fine Arts in Acting
Dale Dickey

The Department of Theatre requests that the University of Tennessee bestow an honorary Master of Fine Arts (MFA) in Acting to alumna Dale Dickey during the commencement ceremony for the College in May, 2015.

Ms. Dickey is well known to East Tennessee. As a graduate of our department, earning her BA in 1983, Ms. Dickey has gone on to an exceptional career as a character actor in films and television. Some of her best known roles are in long running television series: “Patty the Daytime Hooker” in My Name is Earl, “Martha Bozeman” in True Blood, “Skank” in Breaking Bad, and “Opal McHone” in Christy. But it is perhaps her film work that has most distinguished her, appearing with some of the most accomplished actors in film: as “Strom” in The Pledge with Jack Nicholson, as “Marie” in Being Flynn with Robert DeNiro, as “Mrs. Davis” in Iron Man 3 with Robert Downey, Jr., and most significantly, with Jennifer Lawrence in Winter’s Bone.

For her performance as “Merab” in Winter’s Bone, Ms. Dickey won the Independent Spirit Award for “Best Supporting Female.” A significant honor, the Independent Spirit Award is for independent films what the Oscars are for the major film studios – not as well known, perhaps, but equally prestigious to the Hollywood film community.

Ms. Dickey has always claimed the University of Tennessee in her biography, and she has made a long practice of returning to work with our students when her busy career allows her. In 2009 Ms. Dickey was awarded one of the University of Tennessee’s Accomplished Alumna awards both for her professional profile and for the frequent returns to the Clarence Brown’s stage. As an undergraduate student in the late 1970’s and early 1980’s Ms. Dickey remembers working with Anthony Quayle and Zoe Caldwell – actors with inspiring professional experience. Now, she is in the position to inspire young actors with her own professionalism and perspective. Her performances in CBT’s The Rainmaker, with fellow alum David Keith, and more recently her “Blanche” in A Streetcar Named Desire, and her “Mrs. Lovett” in Sweeney Todd, hold the same impact for our students now as Dale remembers from her time as a student at UT.
The review of CBT’s Streetcar in The Metropulse dated September 10, 2009 sums up Dale Dickey’s talent and professional ability as well as anything I have ever read:

As Blanche descends into frailty and fantasy, the demands of the part escalate, and the final act is a responsibility harrowing enough to make even and exceptionally strong actor uneasy. [Dale Dickey] ploughs an increasingly ruthless furrow through the heart of the play, demonstrating a startling range and a first-class sensibility. Like many great actors, Dickey is actually not very impressive in her early scenes. This, however, is all part of the plan. By forgoing instant fireworks and instead building assiduously, her selflessness pay off as we witness a deterioration as credible as it is tragic, and during her later monologues one barely dares take a breath for fear of destroying the perfection of mood.

I have consulted with Jed Diamond, head of our MFA program in Acting, he is fully in support of the request and notes that both ACT in San Francisco and NYU have granted honorary MFA degrees to outstanding alumni. Ms. Dickey is a remarkable asset to the University and to the Department of Theatre. As you already know, the importance of our relationships with working professional actors, directors and designers is essential to our educational mission. That one of our alums is not only “the real deal” in our profession, but is also such an outstanding mentor and role model to our students makes her an asset of incalculable value. The “teaching” that I witnessed during rehearsals of Streetcar or Sweeney Todd cannot be overstated. Everyone in our department, students and faculty, wants to work sometime with Dale Dickey.

I strongly urge that the University of Tennessee consider awarding Dale this honorary degree at the commencement ceremony in which she will be giving the Commencement Address. Her professional career demonstrates all the accomplishments, skills, and most importantly, the values of our Master of Fine Arts degree. Her commitment of our department’s educational and professional missions is unparalleled. Her reputation as a trusted and inspiring mentor is unmatched.

We would be proud to have her receive this distinction from us.
The Board Policy on Academic Freedom, Responsibility and Tenure provides for expedited consideration and grant of tenure in exceptional circumstances, such as when an individual with outstanding credentials is recruited from another institution where he or she holds tenure or its equivalent. The policy calls for completion of all the steps in the normal review process—review by tenured professors in the base department followed by formal recommendations by the department head, dean, chief academic officer, Chancellor, and President—but allows those steps to be accomplished on an accelerated schedule.

By supporting materials summarized in the following memorandum, Chancellor Jimmy Cheek has recommended to President DiPietro that two members of the UT Knoxville faculty who meet the above criteria be granted tenure under the expedited procedures. The faculty members being recommended for tenure are:

**Dr. John Zhanhu Guo**, Associate Professor, Department of Chemical and Biomolecular Engineering

**Dr. Subimal Datta**, Professor, Department of Psychology

All the steps in the tenure review process outlined in Board policy have been completed for these faculty members, and they have received strong support at each level of review. President DiPietro fully concurs in the Chancellor’s recommendation and requests that tenure be granted to these outstanding faculty members who have been recruited to key positions at the University.
MOTION:

(1) That tenure be granted to John Zhanhu Guo in his faculty appointment in the Department of Chemical and Biomolecular Engineering at The University of Tennessee, Knoxville.

(2) That tenure be granted to Subimal Datta in his faculty appointment in the Department of Psychology at The University of Tennessee, Knoxville.
MEMORANDUM

January 12, 2015

TO: President Joe DiPietro
FROM: Katie High
SUBJECT: Expedited Tenure Recommendations for Academic Affairs and Student Success Committee and Winter Board of Trustees Meetings on February 26, 2015

The Board policy on Academic Freedom, Responsibility and Tenure (Appendix D) provides for expedited consideration and grant of tenure in exceptional circumstances. The policy calls for completion of all the steps in the normal review process but allows those steps to be accomplished on an accelerated schedule.

UT, Knoxville has presented two exceptional candidates for expedited approval this winter. Both individuals started their appointments at UTK in January, 2015. The candidates are:

**Dr. John Zhanhu Guo**, Associate Professor, Department of Chemical and Biomolecular Engineering

**Dr. Subimal Datta**, Professor, Department of Psychology

Chancellor Cheek has provided additional information on each candidate (attached). I have reviewed the documentation. All appropriate levels of review have occurred and resulted in unanimous support for these two candidates.

If you concur in Chancellor Cheek’s recommendation, please sign below and I will transmit to Catherine Mizell for inclusion on the agenda of the appropriate Board committee at the earliest opportunity.

I recommend the above individuals for tenure at The University of Tennessee.

[Signature]
Joseph A. DiPietro
President

[Date]

Attachments
January 5, 2015

TO: Joseph A. DiPietro, President
FROM: Jimmy G. Cheek, Chancellor
RE: Tenure Review for the Executive and Compensation Committee Meeting on February 25, 2015

The University of Tennessee at Knoxville is requesting expedited tenure review for two new faculty members according to Appendix D of the University of Tennessee, Board of Trustees Policies on Academic Freedom, Responsibility, and Tenure: Dr. John Zhanhu Guo, Associate Professor of Chemical and Biomolecular Engineering, in the College of Engineering and Dr. Subimal Datta, Professor of Psychology, in the College of Arts and Sciences.

**Dr. John Zhanhu Guo** was recruited from Lamar University, in Beaumont, Texas, as Associate Professor of Chemical and Biomolecular Engineering, in the College of Engineering, beginning January 1, 2015. He was hired by Lamar University, in 2008, as an Assistant Professor of Chemical Engineering, and was promoted to Associate Professor in 2013. Prior to that, he was a postdoctoral fellow at the University of California, Los Angeles, from 2005-2008. He completed his Ph.D. in Chemical Engineering, from Louisiana State University, in 2005.

Dr. Guo’s research focus is in the area of polymer nanocomposites. He has a strong national and international reputation in his field and has an impressive record. He has co-authored 191 peer-reviewed papers in many top journals, has 5 book chapters, has 116 presentation and conference abstracts, and has given 44 invited talks. He also has five patents and IP disclosures. He has a strong service and a solid funding record. He has also mentored several graduate and undergraduate students. At Lamar University, in recognition of a lifetime of outstanding scholarly and creative achievements, he was named a University Research Scholar. He also received a University Merit award, at Lamar, for excellence in teaching, along with other awards.

The unanimous vote of the tenured Chemical and Biomolecular Engineering faculty (8-0-0), along with the support of the Department Head and Dean warrant his being awarded tenure at the University of Tennessee.

**Dr. Subimal Datta** was recruited from the Boston University School of Medicine, in Boston, Massachusetts, as a Professor with joint appointments in Psychology, in the College of Arts and Sciences, and in Anesthesiology at the University of Tennessee Medical Center, beginning January 1, 2015. He was hired by the Boston University School of Medicine, in 1996, as an Associate Professor of Psychiatry and Director of the
Executive and Compensation, Tenure Review  
January 5, 2015

Dr. Datta is a renowned expert in the neuroscience of sleep and has a strong national and international reputation in his field of research. He has 80 peer-reviewed journal articles, at least 57 abstracts published in conference proceedings, has given 42 invited lectures, and has 26 book chapters, published reviews, and commentaries. He has a solid funding record for the past 23 years, bringing with him an NIH grant for $250,000/year (active through 2018). His service record is equally strong and includes grant reviewer for the NIH, NSF, Department of Veterans Affairs, and the Air Force, as well as with international groups in the Netherlands, Great Britain, and Italy. He has served in significant editorial roles and chaired the Worldsleep 2011 Symposium at the World Federation of Sleep Society in Kyoto, Japan. He is currently serving a 5-year term as a Fulbright Scholar Specialist. He has an impressive teaching record and has served as a reader and committee member for 12 doctoral students at Boston University. He has also advised the theses of 10 bachelor’s and master’s level students at both Boston and Harvard Universities. His external letter writers noted his strong commitment to teaching and mentoring and his high level of effectiveness in both roles.

The unanimous vote of both the tenured Psychology faculty (12-0-0) and the College Promotion and Tenure Committee (7-0-0), along with the support of the Department Head and Dean warrant his being awarded tenure at the University of Tennessee.

These individuals were carefully selected for their positions. However, the search process and subsequent negotiations with the candidates did not conclude in time to present them to the Board of Trustees at its last meeting. Therefore, I request their review at the next meeting of the Executive and Compensation committee of the University Of Tennessee Board Of Trustees. Please do not hesitate to contact me if you have any questions.

cc: Katie High  
   Susan Martin
### 2015 Positive Recommendations for Tenure at all Ranks

<table>
<thead>
<tr>
<th>Name</th>
<th>Race</th>
<th>Gender</th>
<th>Department</th>
<th>Initial Appointment Date</th>
<th>Present* Academic Rank</th>
<th>IRIS Appointment Date at Present Rank</th>
<th>Years in Present Rank</th>
<th>Highest Degree Earned</th>
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<tr>
<td>Guo, John Zhanhu</td>
<td>Unknown</td>
<td>Male</td>
<td>Chemical &amp; Biomolecular Engineering</td>
<td>1/1/2015</td>
<td>Associate Professor</td>
<td>1/1/2015</td>
<td>1.5</td>
<td>PhD</td>
<td>Yes</td>
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<tr>
<td>Datta, Subimal</td>
<td>Unknown</td>
<td>Male</td>
<td>Psychology</td>
<td>1/2/2015</td>
<td>Professor</td>
<td>1/2/2015</td>
<td>12</td>
<td>PhD</td>
<td>Yes</td>
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### 2015 Probationary Faculty NOT Recommended for Tenure

<table>
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<th>Name</th>
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<th>Initial Appointment Date</th>
<th>Present* Academic Rank</th>
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**University of Tennessee 2015 Expedited Tenure Recommendations - February**

Name of UT Unit: Knoxville Campus

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**Board of Trustees Meeting - Grant of Tenure to Two UT Knoxville Faculty Members under Expedited Procedures**

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THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2015
COMMITTEE: Academic Affairs and Student Success
CAMPUS/INSTITUTE: UT Martin
ITEM: Revised UT Martin Faculty Handbook
RECOMMENDATION: Approval
PRESENTED BY: Thomas A. Rakes, Chancellor

The UT Martin Faculty Senate initiated a comprehensive review of the UT Martin Faculty Handbook in 2012. The review focused initially on verifying that language conformed to Board policy. As the review progressed, the decision was made to undertake a complete reorganization of the handbook. Objectives for the reorganization included:

- organization of content in a logical, user-friendly manner;
- elimination of redundancy and clarification of unclear language;
- addition of new topics identified in faculty handbooks from other campuses considered to reflect best practices;
- differentiation of policies and procedures that apply to tenure-track and tenured faculty from those pertinent to non-tenure-track faculty; and
- use of links to pertinent policies and procedures without incorporating the entire content of that information in the handbook to ensure faculty access to the most current version of the information.

The most significant proposed revisions to the handbook (other than major reorganization and use of links to replace content) are:

- **Five-point Rating Scale for Faculty Performance Reviews** (Section 2.5.2) – At its 2013 Winter Meeting, the Board of Trustees revised its tenure policy to allow campuses, with prior Board approval, to adopt a campus-specific rating scale for annual performance reviews of tenured faculty in lieu of the four-point rating scale set out in the tenure policy (Exceeds Expectations for Rank, Meets Expectations for Rank, Needs Improvement for Rank, or Unsatisfactory for Rank). The proposed
revisions to the UT Martin Faculty Handbook include adoption of a five-point rating scale to add clarity by distinguishing performance moderately above expectations (Exceeds Expectations for Rank) from performance significantly above expectations (Outstanding for Rank). The five-point scale would be:

5 Outstanding for Rank
4 Exceeds Expectations for Rank
3 Meets Expectations for Rank
2 Needs Improvement for Rank
1 Unsatisfactory Performance for Rank

The rankings Outstanding for Rank and Exceeds Expectations for Rank would both be treated as equivalent to Exceeds Expectations for Rank under the four-point rating scale set out in the tenure policy.

- **Non-Tenure Track Faculty Duty and Workload** (Section 3.3) – A section has been added to delineate the faculty duty and workload expectations for non-tenure track faculty.

- **Freedom as a Citizen** (Section 4.1.3) – A new section adapted from the UT Knoxville 2014 Faculty Handbook addresses faculty members communicating as citizens on matters of public concern.

- **Revision of the Faculty Handbook** (Chapter 7) – A new chapter outlines the process to be followed in revising the Faculty Handbook, adapted from the UT Knoxville 2014 Faculty Handbook.

The revised UT Martin Faculty Handbook is presented in its entirety on the following pages. It has been reviewed and approved by the UT Martin Faculty Senate and Chancellor Rakes. It has also been reviewed, and is recommended for approval, by the Office of the General Counsel, the Vice President for Academic Affairs and Student Success, and the President.

**MOTION:**

That the five-point rating scale for annual performance reviews of tenured faculty at UT Martin be approved.

**MOTION:**

That the revised UT Martin Faculty Handbook be approved.
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PREFACE

The Faculty Handbook is intended to be a general summary of university policies, guidelines, services, and resources. The Faculty Handbook, along with the UT Code of Conduct\(^1\) and the first chapters of the UT Martin Catalog, should be read carefully by all members of the faculty.

In the event of any conflict or inconsistency between the UT Board’s policy and this handbook, the board’s policy will control. Current versions of the University of Tennessee Policies are available on the University of Tennessee System website.\(^2\) The University maintains a copy of the current Faculty Handbook on the Faculty Senate page of the UT Martin website. The procedures for updating this handbook are located in Chapter Seven.

The 2015 Revision

A thorough revision of this handbook was completed in 2015. This revision took five years of concerted effort by the Personnel Policies Committee and the Office of Academic Affairs.

The key goal of this revision was to make it easier to maintain a correct and current version of the handbook. Towards this end Board of Trustees policy has been separated from UT Martin procedure, block quoted, and linked. Much of the text was made more concise and unnecessary or variable information was removed and replaced with links. Even the footnoted format of the links was chosen to make updating easier. An alphabetical index was added. We hope this new format will be both easier to use and maintain.

Now that UT Board policy is quoted, you will notice that the board uses ‘head’ for our department chair, the ‘Chief Academic officer’ for our Vice Chancellor for Academic Affairs, and ‘The University’ for the University of Tennessee System. UT Martin does not make a distinction between department head and department chair. In this handbook ‘campus’ usually refers to the entire UT Martin campus (including all UT Martin sites and locations).

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\(^1\) UT Policy HR0580: [policy.tennessee.edu/hr_policy/hr0580/](http://policy.tennessee.edu/hr_policy/hr0580/) (see also [tennessee.edu/code](http://tennessee.edu/code)).

\(^2\) UT Policy Website: [policy.tennessee.edu/](http://policy.tennessee.edu/).
CHAPTER ONE:
UNIVERSITY GOALS, ORGANIZATION, AND GOVERNANCE

1.1 The University of Tennessee System

The University of Tennessee is comprised of campuses at Knoxville, Chattanooga, and Martin, the Health Science Center at Memphis, the Institute of Agriculture, the Institute for Public Service, and the Space Institute. The University of Tennessee System has a presence in each of Tennessee’s 95 counties. Through the combined force of its education, research and outreach, the University serves students, business and industry, schools, governments, organizations and citizens throughout the state.

The University of Tennessee System’s primary purpose is to serve the people of Tennessee and beyond through the discovery, communication and application of knowledge, as further elaborated in its mission statement.1

1.2 The University of Tennessee at Martin

Higher education began on The University of Tennessee at Martin campus as Hall-Moody Institute, which was established by the Baptists of Martin in 1900. The property was acquired by The University of Tennessee in 1927 and UT Junior College was established. UT Junior College became a senior college in 1951. Named “The University of Tennessee Martin Branch,” it offered bachelor’s degree programs in agriculture and home economics.

In 1967, the institution officially became The University of Tennessee at Martin and since that time has grown to offer nearly 100 different areas of study involving undergraduate and graduate levels of study.

The primary purpose of the University of Tennessee at Martin is to provide a quality undergraduate education in a traditional collegiate atmosphere characterized at all levels by close relationships among students and faculty. This is elaborated in its mission statement2 and list of values.3

1.3 Board of Trustees

The governing body of The University of Tennessee is the Board of Trustees. The board has delegated administrative authority to the president, who exercises this authority through delegation to, and in consultation with, a staff of vice presidents and chancellors. The board has delegated to UT Faculty Senates the authority, subject to the approval of the chancellor(s), the president, and the board itself, to determine general educational objectives and policies at UT and regulations related to those objectives, such as requirements for admission, retention, readmission, graduation, and honors for all degree and certificate programs. For a more complete description of the organization, duties, and powers of the board, please consult The University of Tennessee Charter & Bylaws.4

1.4 University System Administration

The system administration, headed by the president, enunciates the general mission of the university, and coordinates comprehensive, long-range plans, growth, and development of the campuses and statewide operating divisions.

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3 UT Martin University values: www.utm.edu/departments/chancellorscorner/values.php.
4 UT Charter: bot.tennessee.edu/charter.html; Bylaws: bot.tennessee.edu/bylaws.html.
Section 1.5.3

The current Organizational Chart of the University of Tennessee System is available online.\(^5\)

1.5 UT Martin Organization and Administration

The Organizational Chart of the UT Martin administration is available online.\(^6\)

1.5.1 Chancellor

The Chancellor is the chief executive officer of the campus administration, subject to the general supervision of the President in coordination with the vice presidents.

1. The Chancellor is the primary channel for official communications between the campus and President.
2. The Chancellor directs instructional, research, service, student, development, finance and business, and athletics programs on the campus within general policies established by the President and the Board of Trustees.
3. The Chancellor reviews with the President the proposed appointment and compensation of vice chancellors, deans, and chairs.
4. The Chancellor recommends to the President major policy and operational changes in the areas of academic affairs, student affairs, business and finance, and development. The President may or may not submit proposed changes to the Board of Trustees for approval according to the general policies established by the Board. Actions requiring Board approval and Higher Education Commission approval are defined in The University of Tennessee Board of Trustees Bylaws, Board of Trustees Policy on Faculty Handbook Revisions, and publications of the Tennessee Higher Education Commission.

1.5.2 Provost

The position of Provost is typically included with the position of the chief academic officer, the Vice Chancellor for Academic Affairs. The Provost reports directly to the Chancellor. Provost duties beyond those of the Vice Chancellor for Academic Affairs are determined by the Chancellor and include a prominent role, in consultation with the Chancellor, for campus-wide strategic planning, assessment, and resource allocation. The Provost serves as the second ranking administrative officer and has primary responsibility for the Division of Academic Affairs. The Provost serves as chair of University-wide task forces and standing committees as determined by the Chancellor and according to policies of the University. The Provost works collaboratively with other members of the Chancellor’s staff and represents the chancellor in his/her absence.

1.5.3 Vice Chancellor for Academic Affairs

The Vice Chancellor for Academic Affairs (VCAA) reports to the Chancellor and serves as the chief academic officer of the campus and generally carries out the following duties:

1. serves as the key academic liaison with the System-wide administration;
2. administers and coordinates academic activities including the Office of Associate Vice Chancellor for Academic Affairs (includes Curriculum & Assessment, Institutional Research, Faculty Senate and Catalog, and SACSCOC accreditation), the undergraduate colleges, and the Office of Graduate Studies;
3. presides over meetings of the Academic Council and the Deans Council;
4. provides leadership in planning and establishing faculty policies; and
5. provides oversight for the following offices, including but not necessarily limited to: Office of Student Engagement (includes Academic Records, Admissions, Student Services and Success Mentoring Center, and Financial Aid and Scholarships); Library Services; Research, Grants and Contracts; Honors Programs; and Extended Campus and Online Studies.

\(^5\) UT Organizational Chart: [president.tennessee.edu/docs/SystemOrgChart.pdf](http://president.tennessee.edu/docs/SystemOrgChart.pdf)

\(^6\) UT Martin Organizational Chart: [www.utm.edu/departments/acadaff/docs/chart.pdf](http://www.utm.edu/departments/acadaff/docs/chart.pdf)
The Chancellor reviews the performance of the Vice Chancellor for Academic Affairs annually. In preparation for this evaluation, the Chancellor asks the deans, appropriate members of the staff, and members of the faculty for their judgment. In the case of an extended incapacity, the Chancellor will appoint an acting Vice Chancellor for Academic Affairs.

1.5.4 Vice Chancellor for Finance and Administration

The Vice Chancellor for Finance and Administration recommends and executes all fiscal, physical plant, and human-resource-related policies. These responsibilities are facilitated through the departments of Budget and Management Reporting, Human Resources, Business Services, the Bursar’s Office, Public Safety, University Bookstore, Physical Plant, Contracts Coordination, Effectiveness and Efficiency, Environmental Health and Safety, and Emergency Management. The Vice Chancellor and his/her staff are committed to safeguarding and preserving the resources of the University as they fulfill their stewardship responsibilities for students and taxpayers.

1.5.5 Vice Chancellor for Student Affairs

The Vice Chancellor for Student Affairs has responsibility for the Boling University Center, Student Health and Counseling Services, Student Conduct, Minority Affairs, Dining Services, Student Housing, and Campus Recreation. In all these programs, the Vice Chancellor's concern is with services that will enhance the welfare of students and the quality of student life.

1.5.6 Vice Chancellor for University Advancement

The Vice Chancellor for University Advancement directs the areas of Alumni Relations and Development and Planned Giving. In the role of Development, the primary responsibility is the raising and administration of private gifts to the campus. Because of the external nature of the responsibilities, a close relationship between the System and Campus Development and Alumni programs is necessary to ensure maximum effectiveness with minimum duplication of effort. In the role of Alumni Relations, the primary responsibility is to enhance and promote UT Martin alumni communications and events through the University of Tennessee National Alumni Association (UTNAA).

1.6 UT Martin Academic Administration

The Division of Academic Affairs provides oversight for the curriculum, ensures academic program integrity, and supports the faculty. Nearly 100 different areas of study are administered by the deans of the College of Agriculture and Applied Sciences, College of Business and Global Affairs, College of Education, Health, and Behavioral Sciences, College of Engineering and Natural Sciences, College of Humanities and Fine Arts, and Graduate Studies.

The directors of the Office of Student Engagement; Extended Campus and Online Studies; Honors Programs; Library Services; Research, Grants, and Contracts; and Student Academic Support Services report to the Division of Academic Affairs.

Other special academic programs, projects, and initiatives are directed by faculty members who serve as core professionals involved in a variety of instructional, research, and service activities that are coordinated through administrative offices within the Division of Academic Affairs.

The Organizational Chart of the UT Martin Division of Academic Affairs is available online.7

7 UT Martin Academic Affairs Organizational Chart: [www.utm.edu/departments/acadaff/policies.php](http://www.utm.edu/departments/acadaff/policies.php)
1.6.1 Associate Vice Chancellor for Academic Affairs

The Associate Vice Chancellor for Academic Affairs reports to the Vice Chancellor for Academic Affairs and is responsible for the following duties:

1. serves as SACSCOC Liaison for the campus;
2. collects data related to general education and major field assessments; academic program review and accreditation; student, alumni and employer satisfaction assessment; student access and student success; and quality enhancement program;
3. prepares the annual Performance Funding report to the Tennessee Higher Education Commission;
4. oversees annual revision of the undergraduate and graduate catalogs and serves as campus Faculty Handbook liaison to the UT System;
5. facilitates preparation and monitoring of the campus strategic plan; and
6. provides oversight for the Office of Institutional Research, SACS Office, and the Catalog and Faculty Senate Office.

1.6.2 Deans

The academic units of The University of Tennessee at Martin are varied in size and organization. Each of the five colleges is administered by a dean responsible for the successful development and implementation of the unit's programs. The deans are responsible to the Chancellor through the Vice Chancellor for Academic Affairs. Each college is departmentalized with chairs reporting to the deans. A sixth dean oversees the Office of Graduate Studies.

The college dean is ultimately responsible for the vitality of the college. The University looks to the dean for definitive recommendations about curriculum; staffing; faculty promotion, tenure, and evaluation; development needs; and financial allocations within the college. The dean provides advice and judgment about curricular recommendations, but does not have power of veto in curricular recommendation approved by the department faculty.

The dean receives recommendations for faculty appointments, retention, promotion, tenure, salary adjustments, program development, and departmental operating budgets from the department chair. These recommendations are reviewed, approved, disapproved, or revised for submission to the Vice Chancellor for Academic Affairs. The chain of recommendations described above does not entail merely a passive or reactive role for the dean. Each dean is responsible for planning and developing strategies for the general vitality of the college. This activity includes identifying unmet programmatic needs, coordinating joint programs and projects, creating an atmosphere conducive to instruction and research, and encouraging the maintenance of standards in the instructional process.

An annual evaluation of the dean is made by the Vice Chancellor for Academic Affairs. In preparation for this evaluation, the Vice Chancellor for Academic Affairs asks the chairs, faculty and staff within the college for their judgment.

1.6.3 Department Chairs

The department chair is a faculty member who is responsible for administering and leading an academic department. He/she serves as the primary liaison between the faculty and the administration. The chair transmits System, campus, and college policies and decisions to the faculty and communicates departmental needs, aspirations, and concerns to the dean and the administration. When a department chair is to be absent, he/she consults with the dean and may appoint a substitute from within the department. Further duties of the chair include:

1. Faculty Meetings. In order to encourage the participation of all faculty in departmental decision making, the chair should hold a minimum of two faculty meetings each semester.
2. Governance. The chair is charged with the responsibility of developing and utilizing a departmental governance structure which provides for effective faculty participation in decision-making processes. The governance
structure should have the mutual approval of the faculty, chair, and dean, recognizing that the chair is ultimately responsible for the department.

3. **Curriculum Development.** The chair is expected to assume a leadership role in the development and revision of curricula. However, departmental faculty must approve all curricular matters. The chair does not have the power of veto over curricular recommendations but must transmit approved recommendations to the appropriate college or Faculty Senate committee.

4. **Management.** The chair is responsible for the employment and supervision of clerical and supporting personnel and the management of department physical facilities and equipment. He/she must approve all official travel and authorize all departmental expenditures. Reports and other routine tasks are expected to be completed in a timely fashion.

5. **Teaching.** Teaching is considered to be a part of a chair's responsibilities and typically includes six hours per semester. The chair is expected to set an example of excellence in teaching. Effective teaching is a major factor in the selection and retention of the department chair.

6. **Budget Development.** The chair consults with the faculty to develop an annual budget request which is presented to the dean in a meeting open to the departmental faculty. The budget request should reflect the needs of the department and be justifiable in terms of the department's goals and educational objectives.

7. **Appointment, Retention, Tenure and Promotion of Faculty.** The chair is expected to consult with the faculty in matters of appointment, retention, tenure and promotion of faculty. Details of the procedure for faculty involvement in tenure and promotion decisions are found in Chapter Two of this Faculty Handbook.

8. **Assessment of Faculty Performance.** The chair is responsible for an annual evaluation of each faculty member. The review shall include past performance and tenure-track faculty members’ progress toward tenure as outlined in Chapter Two. Faculty members are expected to have direct involvement in the development and revision of evaluation procedures and forms. Evaluation procedures outlined in the departmental bylaws must have the approval of a majority of the departmental faculty, as well as the approval of the chair, the dean, and the VCAA.

9. **Scholarship/Research and Professional Activities.** The chair is expected to set a good example by engaging in scholarship/research, public service, and other professional activities. He/she should recognize, encourage, and support the departmental faculty in such activities as appropriate to the academic discipline of each faculty member.

10. **Salary Adjustments for Faculty.** The chair is responsible for recommending salary increases for each faculty member. Faculty members are expected to have direct involvement in the development and revision of an incremental pay allocation procedure. The procedure is incorporated in the departmental bylaws and approved by the chair, dean, and majority of the faculty.

The performance of each chair is evaluated annually by the faculty and his/her dean. The dean's performance evaluation must take into consideration the faculty evaluations as a part of the decision process in determining the continuation or removal of the chair. The chair’s appointment is subject to review and removal at any time at the discretion of the dean, Vice Chancellor for Academic Affairs, or Chancellor. However, because the chair is the first line of administration for the faculty, every reasonable effort should be made to ensure that the opinions of all faculty in the administrative unit are considered in the dean's evaluation of the chair's performance. A fair and equitable evaluation should include the solicitation of formal evaluations from at least a simple majority of the full-time faculty members in that unit annually. Every faculty member should be afforded the opportunity to evaluate the chair formally at least once every three years. Written evaluations should be retained in the permanent file of the chair for five years. If a chair is relieved of his/her position, the dean should notify the faculty in that administrative unit in writing within 14 days.
1.7 Faculty Role in Selection of University Administrators

All administrators at the department chair level or higher who have responsibilities related to or affecting the academic programs of the university must understand and respect the values of the academic profession and its ethos of commitment to freedom in open and objective inquiry. For this reason, the university seeks always to ensure appropriate faculty participation in the appointment of its administrators. The faculty should nominate their peers to serve on search advisory committees, interview prospective candidates, and submit evaluations of those candidates for academic administrative offices.

1.7.1 Searches

The process for appointing an academic administrator – including the Vice Chancellor for Academic Affairs, the Associate Vice Chancellor for Academic Affairs, a dean, or a department chair – begins when a search is authorized by campus administration. An advisory search committee is then created by the Chancellor (in the case of a search to fill the position of VCAA), the VCAA (in any search to fill the position of dean), or the dean (in any search to fill the position of department chair). The faculty in the disciplines within the search area will elect members of the advisory search committee in conformity with affirmative action guidelines. The administrator forming the committee may appoint additional members with elected members of the advisory search committee constituting a simple majority of its membership. The advisory search committee shall elect a committee chair from among its members.

The advisory search committee shall:

1. assure that the search process conforms to the University's Human Resources and affirmative action policies;
2. consult with the appropriate faculty members and administrators to write a position description;
3. advertise the position;
4. screen the applications and nominations to develop a list of finalists;
5. contact the references of the finalists;
6. confirm that the finalists still have interest in the position;
7. recommend finalists to be invited to the campus for interviews with the appropriate members of the University community; and
8. submit a list of acceptable candidates, based upon the charge to the committee.

If the supervising administrator does not accept the recommendation of the committee, he/she should provide a written explanation to the search committee for that decision.

1.7.2 Internal Searches

An internal search may be implemented for the position of department chair when doing so is consistent with the university’s best interest. Internal searches must comply with any applicable affirmative action and Human Resources policies and procedures. After convening a meeting of the faculty and professional staff of the affected department to discuss the duties, responsibilities, and departmental expectations of the chair, the dean of the academic unit may initiate the request for an internal search if appropriate. The Vice Chancellor for Academic Affairs will request approval by the Chancellor to conduct an internal search.

1.8 Shared Governance

1.8.1 The Faculty Voice

The voice of the faculty in University governance is indispensable. Its advice cannot be lightly given or lightly received. Everything depends upon the collegiality, mutual respect, and sensitivity of the faculty and the administrative officers. The officers are colleagues who have been assigned specific administrative responsibilities. The faculty are colleagues whose advice and counsel must influence the exercise of those responsibilities. The employer both of faculty and of
officers is the Board of Trustees, which has delegated to each a set of specific responsibilities that can be successfully discharged only with the support and counsel of the other.

Faculty members have the right to contribute to campus and university discourse that is at the heart of the shared governance of the campus and the university. When contributing to campus and university discourse, at any level within the university or the community at large, faculty members have the freedom to raise and to address, without fear of institutional discipline or restraint or other adverse employment action, any issue related to professional duties; the functioning of academic units, the campus, or the university; and department, college, campus, or university actions, positions, or policies.

The use of University stationery, telephones, and other resources for personal or extramural activities of any extended nature is prohibited, as is the use of the faculty member's University position or title in connection with the expression of purely personal, unofficial views. Only under such conditions can the faculty enjoy mutual confidence within its own ranks or command the respect and support of the larger society. The faculty member's professional conduct is subject to The University of Tennessee "Statement of Policy on Misconduct in Research and Service" which is available online.  

The most direct responsibility of the faculty in University governance is to determine the shape of the academic programs. A less direct, but no less important role of the faculty, is to advise the officers whose duties are described above about certain administrative matters that are intrinsically related to the vitality and credibility of the University. These matters include (but are not necessarily limited to) the five areas listed below. The administration and faculty will both encourage and actively protect such dialogue. Both faculty and administration will carry out discussions with collegiality, civility, and respect.

1. **Appointment, Retention, Tenure, and Promotion of the Faculty.** The chair or dean is expected to consult with faculty in a full and reasonable manner before he/she:
   a. undertakes a search for new faculty or authorizes a departmental committee to initiate such a search;
   b. recommends the appointment of new faculty; or
   c. recommends the retention, termination, promotion, or tenure of faculty.

   Details of the procedure for faculty involvement in tenure and promotion decisions are found in Chapter Two of this Faculty Handbook. In these decisions, the chair or dean is obligated to seriously consider the recommendations of the faculty. In the event of disagreement, the chair or dean must explain to them frankly and openly the decision reached; and the chair or dean must give them an opportunity to submit, along with his/her recommendation, a dissenting report if they so desire. In any event, the faculty vote must be reported and explained to the dean.

2. **Assessment of Faculty Performance.** Faculty members are expected to have a direct role in the construction or revision of evaluation forms and procedures pertaining to faculty performance.

3. **Resolution of Grievances in Faculty Affairs.** Administrators or colleagues may assist in the resolution of faculty conflicts, grievances, and complaints at various levels. (See Chapter Four of this Faculty Handbook for formal grievance procedures.)

4. **Selection and Evaluation of University Administrators.** Participation in the selection and evaluation of administrators is one of the most important ways in which faculty judgment influences the governance of the University. Faculty participation is essential because all administrators who have responsibilities touching or affecting the academic programs of the University must understand and respect the values of the academic profession and its commitment to freedom in open and objective inquiry. Faculty advisory committees are created to render advice to the campus administration and University-wide administration about appointments. In addition, the faculty of each academic unit plays an important role in the evaluation of its administration.

5. **Determination of University Priorities and Budgeting.** Faculty members are involved in establishing major institutional priorities and goals. This particular participation occurs through the Faculty Senate and through special

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committees appointed for the task. The Senate, through its committees on curricula, recommends to the Chancellor the establishment or termination of programs. Faculty judgments about the costs of these programs affect this deliberation and, in turn, are affected by the judgments of the faculty as to the pedagogical and intellectual soundness of such proposals.

1.8.2 Faculty Senate

The faculty delegates to the Faculty Senate transaction of much of its business. The senate, composed of elected faculty representatives and ex officio administrators, is the main vehicle by which the faculty influences campus-wide governance. The senate considers issues relating to curriculum, admission, retention, degrees, promotion, tenure, economic concerns, instructional practices, faculty grievances, and legislative relations. While final administrative judgment on the campus is reserved for the Chancellor, the recommendations of the senate are regarded with the utmost care and seriousness by all administrative officers.

The Board of Trustees Resolution Establishing the Faculty Senate and Bylaws for the UT Martin Faculty Senate are included in the appendices for convenient reference and do not require Board of Trustee approval.

1.8.3 Faculty Meetings

An official meeting of the faculty occurs annually before the opening of the fall semester.

There shall be one additional regular meeting of the faculty in the fall semester and one in the spring semester, both to be scheduled in advance by the Executive Committee. The fall meeting will be scheduled to occur within thirty-days of Fall Break, with preference given to Thursdays at 3:15 p.m. The spring meeting will be scheduled to occur within thirty-days of Spring Break, with preference given to Thursdays at 3:15 p.m. Notice of these meetings will be sent two weeks in advance by the Secretary of the Senate. The President of the Senate will preside at the meetings. Additional meetings may be called by the Chancellor at his/her initiative or upon petition of ten percent of the faculty. Faculty members should attend all regularly scheduled and called faculty meetings.

1.8.4 Administrative Committees

Administrative committees play an important role in the governance of the University. Each year the Administrative Committee on Committees advises the Chancellor who appoints students, faculty, and staff to these committees. They assist in the development of institutional policy, procedure, and practice. The Faculty Senate recommends to the Administrative Committee on Committees the following guidelines concerning administrative committee formation and service:

1. survey the faculty for preferred committee assignments, and attempt to make assignments accordingly;
2. consult with the faculty member and academic supervisor on committee assignment;
3. make committee assignments before the end of the prior academic year;
4. establish a set length of term of service on all committees;
5. distribute committee assignments evenly across the faculty, so that most faculty will have one assignment before additional ones are made;
6. exempt current Faculty Senate members from service on administrative committees when possible to accommodate service on one or more Senate committees; and
7. establish a procedure for committee chairs at the end of the academic year to send a brief report of each member’s committee service to academic supervisors for use in annual evaluations.

A current list of administrative committees, responsibilities, and membership is available online.⁹

⁹ Administrative committees: www.utm.edu/admincommittees.
CHAPTER TWO:
TENURE-TRACK AND TENURED FACULTY

The Board of Trustees’ Policies Governing Academic Freedom, Responsibility, and Tenure (BT0006)¹, adopted in 1998, and all subsequent amendments, govern faculty rights and responsibilities. The following sections are intended as a general summary of the parts of this policy relevant to tenure and tenure-track faculty. Academic freedom is addressed in Chapter Four. In the event of any conflict or inconsistency between the board’s policy and this handbook, the board’s policy will control.

Note that administrative appointments do not carry tenure. Therefore an administrative officer does not have tenure in any administrative position. Tenure, if held, resides only in an administrator’s faculty appointment in the department or unit in which he/she has been granted tenure upon affirmative action of the Board of Trustees.

2.1 Selection of New Faculty for Tenure-Track Positions

2.1.1 Authorization to Search

Authorization to search is required to fill any new or vacated position. Deans and department chairs submit requests and justifications for new positions to the Vice Chancellor for Academic Affairs during the budget conferences for the following year. The Vice Chancellor for Academic Affairs will grant or withhold authorization to fill new positions or vacancies created through resignation or termination of appointment on behalf of the Chancellor after due consideration of budget and enrollment projections.

2.1.2 Search and Screening Procedures

The University is committed to affirmative action to recruit a diverse pool of highly qualified applicants; therefore, search procedures should be designed to ensure that qualified individuals are made aware of any position vacancy. A thorough search and careful screening procedure must precede any recommendation of appointment. The complexity of the search process depends upon the nature of the position, with a more extensive search necessitated by a regular, full-time appointment.

The academic administrator responsible for the appointment consults with the department/school faculty about the program needs, the minimal qualifications for the position, the primary and secondary areas of specialties, and the procedure for the search.

The department shall establish an advisory search committee comprised of at least three faculty members elected to serve on the committee. The formation of this committee should conform to all applicable HR and affirmative action guidelines.² The committee shall elect one of its members to serve as chair. As the administrator to which the search committee reports, the chair or dean should not serve on the search committee unless he or she is presented a written request to do so, signed by a simple majority of the members of the academic unit.

The advisory search committee shall

1. provide the administration with insights about program needs;
2. prepare a written description of the desired qualifications against which all candidates should be evaluated;
3. develop a search/selection plan at the department level, seeking guidance from the offices of Academic Affairs and Equity and Diversity as needed;

¹ UT Policy BT0006: www.tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf.
Section 2.1.6

4. obtain approval of the plan from the department chair, dean, Vice Chancellor for Academic Affairs, and Equity and Diversity Officer who reviews and compares the plan with the required components of the Affirmative Action Plan;
5. implement the approved plan and conform to all applicable human resources and affirmative action guidelines;
6. screen against the predetermined qualifications and rank the applicants; and
7. consult with the department chair or dean to recommend the candidates to be interviewed.

2.1.3 Interviews

Several candidates, usually three, should be interviewed at the institution's expense for a regular full-time position. These candidates should be brought for interviews within a relatively short time interval so valid comparisons of the interviewees can be made. As many faculty and students as possible, the chair, the dean, and the Vice Chancellor for Academic Affairs should all be involved in the interview activity.

2.1.4 Certification of English Language Competency

The department chair or dean, in consultation with faculty members, should certify that the candidate can communicate effectively with students in the English language. The complete policy can be found on the UT Academic Affairs and Student Success website and a form is available on the UT Martin Office of Equity and Diversity’s website.

2.1.5 Selection, Negotiation, and Recommendation of Appointment

The advisory search committee shall make a recommendation to the chair or dean. This recommendation may consist of a ranked list. The final responsibility for the departmental recommendation rests with the chair. The departmental recommendation should be forwarded to all administrators with line responsibility for the position. Prior to any offer of appointment, the Equity and Diversity Officer must certify that requirements of the search/selection plan have been met.

Following a departmental decision to recommend appointment, informal discussions concerning rank, salary, and other terms of employment may occur between the chair or dean and the prospective faculty member. Such discussions serve merely to shape and influence the recommendations of the chair or dean and do not constitute a binding commitment by the University.

The department chair and dean should forward to the Vice Chancellor for Academic Affairs the recommendation stating proposed rank and salary for the candidate. Each recommendation should be accompanied by a full set of credentials and any other required forms.

2.1.6 Letter of Appointment

If the Vice Chancellor for Academic Affairs and the Chancellor approve the recommendation of the department chair and dean, the Vice Chancellor for Academic Affairs provides a formal letter of appointment to the candidate selected. The appointment letter must specify:

1. the academic rank at which the faculty member is being appointed;
2. the initial salary and related financial terms (such as startup funding, travel allowances, etc.);
3. the nature of the appointment (tenure track or non-tenure track) and length of the probationary period;
4. the academic year during which tenure and/or promotion must be considered;
5. a complete description of what constitutes the terminal degree, if not a doctorate; and

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5 UT Martin Cert. Form: www.utm.edu/departments/equalopp/_pdfs/Competency in English Language Memo.pdf.
6. The criteria the faculty member must satisfy before being considered eligible for promotion or tenure review if the appointment occurs before the terminal degree is obtained.

The new faculty member’s written acceptance of the letter of appointment, together with execution of normal University employment forms, completes the initial appointment to employment between the University and the faculty member.

2.2 Tenure-Track Appointments

2.2.1 Criteria for Appointment to Faculty Rank

Criteria for appointment to the different academic ranks are complex. Each faculty position has its own distinctive requirements, but UT Martin has established the following general criteria. The standard for teaching (item 3 for each rank) is essential at every level. Outside of teaching, unusual excellence in one area may counterbalance deficiencies in another. Certain specialized disciplines may have different or additional standards. In regard to evaluation of librarians, "librarian" should be substituted for the word "teacher."

All full-time faculty members who were tenured or who were appointed to a tenure-track position as Instructors before September 1, 2006, shall be allowed to remain at the rank of Instructor.

All faculty members are expected to meet the following criteria for the appropriate rank.

A Professor is expected to:

1. hold a full-time academic year or full-time twelve-month appointment;
2. hold the doctorate or other terminal degree of the discipline;
3. have an excellent reputation as a teacher;
4. have an excellent record in research, scholarship, or professional attainment;
5. have a strong record of effective participation in university service and professional activities other than teaching and research;
6. normally, have served as an associate professor for at least five years; and
7. have demonstrated ability to relate effectively to students and professional colleagues.

An Associate Professor is expected to:

1. hold a full-time academic year or full-time twelve-month appointment;
2. hold the doctorate or other terminal degree of the discipline;
3. have a good reputation as a teacher;
4. have a good record in research, scholarship, or professional attainment;
5. have participated in university service and professional activities other than teaching and research;
6. normally, have served as an assistant professor for at least four years; and
7. have demonstrated ability to relate effectively to students and professional colleagues.

An Assistant Professor is expected to:

1. hold a full-time academic year or full-time twelve-month appointment;
2. hold the doctorate or other terminal degree of the discipline;
3. show promise as a teacher;
4. show definite evidence of ability in research, scholarship, or professional promise;
5. have interest in university service and professional activities other than teaching and research; and
6. have demonstrated ability to relate effectively to students and professional colleagues.

An Instructor is expected to meet the criteria for appointment as an Assistant Professor with the exception of completion of the terminal degree. This rank is normally used for individuals who have been admitted to candidacy for the terminal
degree (ordinarily with ABD status). Employment as an Instructor should usually not exceed a four-year period, after which those who have not earned the terminal degree will no longer be employed as instructors. Conversion of the appointment from Instructor to Assistant Professor typically occurs at the beginning of the semester following official notification of completion of all degree requirements, consistent with the terms outlined in the appointment letter.

These expectations are also used as criteria for promotion later in this chapter.

### 2.2.2 Classifications of Tenure-Track and Tenured Appointments

Tenure-track and Tenured Appointments include:

1. **Regular full-time academic year appointment** – A full-time academic year appointment is a nine-month appointment paid in twelve monthly installments from August 1 through the following July 31. The salary is considered earned at the rate of one-half of the annual salary for each of the two semesters (fall and spring). Regular full-time academic year appointments are to the rank of Instructor or higher and are either probationary (tenure-track – a period in which creditable service toward tenure and/or promotion may be accumulated), or tenured.

2. **Regular full-time twelve month appointment** – A full-time twelve month appointment carries an annual salary that is earned and paid in twelve monthly installments from July 1 through the following June 30. Regular full-time twelve month appointments are to the rank of Instructor or higher and are either probationary (tenure-track – a period in which creditable service toward tenure and/or promotion may be accumulated), or tenured. Full-time twelve month faculty members accrue annual and sick leave in accordance with established University policies. See HR Policies HR-0305 and HR-0380.

### 2.2.3 Changes to the Appointment

The faculty member is officially notified of an award of tenure or promotion by letter from the Chancellor. Other notifications such as salary adjustments; tenure review date; and changes in rank, title, or assignment are by letter from the department chair, dean, or VCAA.

Any other oral or written representations concerning such adjustments and changes are unauthorized and not binding on the University. Normally, salary adjustments and other changes in employment are made following approval of the University budget by the Board of Trustees at its annual meeting in June. The award of tenure can be conferred only by action of the Board of Trustees.

### 2.2.4 Summer and Maymester Appointments

The University offers a wide range of courses during Maymester and two summer sessions. Faculty members may be employed to teach in these sessions, and each department should have guidelines for the allotment of summer teaching.

Faculty members on academic-year appointment receive extra remuneration for the two summer sessions at the rate of 3.125 percent of the previous year's annual salary per credit hour of course work taught. The maximum number of credit hours for which remuneration may be received is six per session (18.75 percent of previous year's base salary). A person teaching for both sessions is limited to nine credit hours (28.125 percent of the previous year's base salary). Courses taught through Extended Campus & Online Studies are included in the maximum load calculations, if taught during the regular summer semester. Exceptions will be granted only with the approval of the appropriate chair, dean, and the Vice Chancellor for Academic Affairs.

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7 UT Policy HR-0305: [policy.tennessee.edu/hr_policy/hr0305/](policy.tennessee.edu/hr_policy/hr0305/)
8 UT Policy HR-0380: [policy.tennessee.edu/hr_policy/hr0380/](policy.tennessee.edu/hr_policy/hr0380/)
Maymester, which is compensated at a fixed hourly rate, is not included in calculating maximum summer pay. Specific information regarding summer and Maymester compensation may be found in the “Pay for Summer Sessions & Maymester Policy” on the UT Martin Academic Affairs website.9

### 2.3 Graduate Faculty

The University of Tennessee at Martin offers programs leading to the master's degree in the College of Agriculture and Applied Sciences, the College of Business and Global Affairs, and the College of Education, Health, and Behavioral Sciences. Tenure-track and tenured faculty members in disciplines which offer graduate courses in support of the master's degree are eligible for full or associate graduate faculty status if they meet criteria for one of the types of appointment. Nomination and recommendation for new membership is initiated by the department chair/dean.

Further elaboration of requirements and nomination procedures for graduate faculty are published in the Operating Paper for The UT Martin Graduate Programs which is available online.10

#### 2.3.1 Full Membership

Full members may teach any assigned graduate course, act as a thesis advisor, and serve on thesis and comprehensive examination committees. Full members are eligible for appointment/election to college graduate level curriculum committees, degree appeal committees, and university committees consistent with Senate Bylaws. Full members receive a five year appointment and are eligible for reappointment every five years subject to the criteria specified below.

For an initial appointment to full membership, applicants must have regular faculty status and hold the terminal degree in the teaching field. They must also have at least three years full-time teaching experience at the college level in a regionally accredited institution, completed after receipt of the terminal degree.

All applicants must provide evidence of ongoing scholarly/creative and professional work in the field of expertise. If an initial appointment, the evidence provided must include the period since completion of the terminal degree. If requesting renewal of a previous/current appointment, the evidence provided must be for the period since previous appointment. Although research and scholarly productivity may be defined differently in each discipline, the review check sheets for graduate faculty applications11 offer specific guidelines.

#### 2.3.2 Associate Membership

Associate members may teach graduate courses and serve on thesis and comprehensive examination committees. They are eligible for appointment/election to college graduate level curriculum committees, degree appeal committees, and university committees consistent with Senate Bylaws. They must have served as a committee member on at least one thesis committee to be eligible to act as a thesis advisor.

Associate members receive a three year appointment. Initially appointed associate members are expected to satisfy credentials that warrant full membership at the end of their appointment. However, these individuals may apply for a nonrenewable three year appointment as an associate member. A letter from the department chair must accompany the application; it must address the applicant's teaching effectiveness at the graduate level and progress toward attaining full membership.

Newly hired, tenure-track faculty holding the terminal degree in the discipline will automatically be approved for associate membership upon submission of the application. Other faculty who hold the terminal degree in the discipline

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10 UT Martin Graduate Studies Office (has operating paper link): [www.utm.edu/departments/gradstudies/](http://www.utm.edu/departments/gradstudies/).
11 UT Martin Graduate Faculty check sheets and applications: [www.utm.edu/departments/gradstudies/faculty.php](http://www.utm.edu/departments/gradstudies/faculty.php).
with fewer than three years teaching experience, but who otherwise would have been eligible for full membership, may be appointed to associate membership upon submission of the application.

2.3.3 Membership for Administrators

Membership to the Graduate Faculty also includes the Vice Chancellor for Academic Affairs, the Dean of Graduate Studies, and the dean of each college offering graduate work as ex officio members.

2.4 Faculty Duties and Workload

2.4.1 Academic Workload

A full-time teaching position is recognized as a full-time job. While it is not possible or desirable to establish the same load or credit hour production for each faculty member, a full-time faculty member is normally expected to teach twelve credit hours in courses having regular enrollments each term and participate in other professional activities including the following: student advising, research, professional development, and University and public service activities. Responsibilities associated with teaching, including preparation and delivery of course materials, assessment, and maintenance of office hours, should normally comprise about 80 percent of a faculty member's workload, and the other activities about 20 percent.

Deans and department chairs are responsible for structuring schedules to take into account differences in responsibility which impact upon the overall teaching load. These include:

1. an unusually large section of a single course that would warrant splitting the section into two sections by normal standards;
2. laboratory supervision and planning requiring an excessive number of contact hours equivalent to an additional course;
3. graduate courses in which the nature of instruction requires significantly greater research than an undergraduate course carrying the same credits. The equivalency of nine credit hours of graduate courses to twelve hours of undergraduate courses would be an acceptable guideline;
4. reduction in teaching load for department chairs—a 50 percent workload reassignment from teaching responsibilities to administrative responsibilities may be considered a reasonable guideline;
5. assignment of non-lecture courses such as student teaching, field supervision, thesis, independent study, and private music instruction equivalent to the workload of conventional courses consistent with the normal twelve credit hour teaching load according to procedures established for individual programs;
6. special assignments including President of the Faculty Senate, chairs of unusually demanding committees, major research projects which are expected to result in publication, coordination of accreditation or program review, and faculty development/retraining equivalent to teaching a course may justify a reassignment from normal teaching responsibilities; and
7. other documented reasons for differences in responsibility which have been approved in advance by the Vice Chancellor for Academic Affairs.

2.4.2 Faculty Release Time

A faculty member may secure administrative approval to be released from some scheduled duties to provide time for research, public service, or related professional activities. Prior to the beginning of each academic year, the department chair and dean review anticipated faculty workloads to determine commitments for teaching, research, and public service activities. Release time may be arranged following negotiation between all concerned parties, provided that satisfactory arrangements are also made to assure that all assigned teaching duties are performed to the satisfaction of the faculty members of the department concerned.
2.4.3 Committees and Other Assignments

While the regular workload of full-time faculty may include administrative committee assignments and other special work assignments, deans, directors, chairs and other administrative officers should consider the teaching, research and professional duties expected of faculty before delegating additional responsibilities. Every effort should be made to assign other responsibilities equally among the faculty, with due consideration given to nature of appointment, workload in teaching and advising, and other commitments (e.g., Faculty Senate).

2.5 Faculty Evaluation

The University should clearly communicate to each faculty member the specific duties that go with an appointment in a department or academic unit. Board policy states:12

Competent teaching is a crucial responsibility for faculty members, and the effective use of appropriate instructional evaluation (including departmental files of class syllabi and related materials, student, and peer evaluation, etc.) is important to all objective review processes. Faculty members with research/creative arts responsibilities should have the quantity and quality of their work fairly assessed. Each faculty member's service contributions should be evaluated impartially.

2.5.1 Board Policy for Annual Performance-and-Planning Review

Annual performance and planning reviews are described in Board policy as follows:13

Each faculty member and his or her Department Head will engage in a formal annual Performance-and-Planning Review, examining the current fiscal/academic year's activities and planning what should occur during the coming fiscal/academic year. The planning aspects of these annual academic year reviews also should take place in the context of longer-term goals for the campus, college, and department. Each campus shall strive to reward faculty members who more than meet expectations for rank, and administrators shall develop and publish guidelines for each campus to allocate funds for this purpose whenever feasible. Each faculty member's annual review should proceed from guidelines and criteria which are appropriate to the department, college, and campus, and this annual review should be a key element in merit pay or performance-based salary adjustments. College and department bylaws should make clear the contexts, criteria, and procedures to be followed for these reviews, including specific evaluation criteria for each level of performance. A document summarizing the review—including an objective rating of the faculty member's performance, as listed below—must be signed by the faculty member (to acknowledge receipt of the review document) and the Department Head. The Head must send a copy to the Dean. The Dean must send copies of the documents or a list of names by category to the Chief Academic Officer for review and approval/disapproval.

Performance ratings for annual reviews shall be as follows, and campus, college, and department bylaws must clarify the means and metric for each department head to employ in conducting these reviews:

a. Exceeds Expectations for Rank—eligible for significant merit pay or performance-based salary adjustment that is consistent with campus, college, and department fiscal situations;
b. Meets Expectations for Rank—eligible for minimum merit pay or performance-based salary adjustment that is consistent with campus, college, and department fiscal situations;
c. Needs improvement for Rank—not eligible for merit pay or performance-based salary adjustment and required to implement an Annual Review Improvement Plan (see below); and
d. Unsatisfactory for Rank—not eligible for any salary adjustment and required to implement an Annual Review Improvement Plan (see below).

12 UT Policy BT0006 (Section G): tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=8.
13 UT Policy BT0006 (Section G part 1): tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=8.
Section 2.5.2

Within 30 days of the annual review, any faculty member rated Needs Improvement for Rank or Unsatisfactory for Rank must collaborate with the Head on an Annual Review Improvement Plan to be reviewed by the Head and recommended by him/her to the Dean for review and approval/denial. The next year's annual review must include a progress report that clearly describes improvements in any area(s) noted as Needs Improvement for Rank or Unsatisfactory for Rank.

Each campus shall have a campus-wide process by which a faculty member may appeal his/her annual review rating. Developing the process should involve the Faculty Senate or an appropriate committee thereof.

2.5.2 Additional UT Martin Information for Annual Performance Review

The review shall include past performance and progress toward tenure, where applicable, as part of an ongoing concern for making each person an effective and responsible participant in the definition and achievement of the departmental goals and the University's mission. Tenure-track faculty members will also be reminded during this review as to when their tenure review will occur. The appropriate supervisor for library faculty is the director of the Paul Meek Library, who reports to the Vice Chancellor for Academic Affairs.

This review must take into account the diverse activities that occupy a faculty member's time and may include evidence from such areas as classroom, library, academic literature, laboratory, students, colleagues, committees, and/or the public. Each faculty member's annual performance-and-planning review proceeds from guidelines and criteria that are appropriate to the department, college, and campus as specified in the Board of Trustees policies above and in departmental bylaws. A document summarizing the review should include an overall rating of the faculty member's performance.

UT Martin divides the highest of the Board ratings, Exceeds Expectations for Rank, into two ratings and assigns a number to each rating for easier reference:

5. Outstanding for Rank,
4. Exceeds Expectations for Rank,
3. Meets Expectations for Rank,
2. Needs Improvement for Rank, and
1. Unsatisfactory Performance for Rank.

When applying the Board’s policies (especially “Policies Governing Academic Freedom, Responsibility, and Tenure”) rankings 4 and 5 will be equivalent to Exceeds Expectations. All other rankings and their applications are unchanged.

The APR document\(^{14}\) must be signed by the faculty member (to acknowledge receipt of the review document) and the department chair. Copies must be provided to the faculty member and sent to the dean. After reviewing all ratings, the dean must send copies of all review documents or a list of names by rating category to the Vice Chancellor for Academic Affairs (VCAA) for review and approval/disapproval.

If the dean and chair disagree on ratings, the VCAA will be responsible for final judgment. The VCAA will inform the faculty member of the final outcome of disputed reviews. The University will seek to reward faculty members who exceed expectations for rank whenever feasible.

The annual review process must include the following factors:

- a discussion of clear, mutual and individual objectives supporting the departmental goals and University mission as mutually agreed upon by the faculty member and his/her direct supervisor;
- consideration of any necessary administrative support; and

• evidence of achievement of objectives to be provided by the faculty member and acknowledged by the department chair in the review.

A faculty member may appeal the rating received in the annual performance and planning review process in accordance with the University’s “Grievance and Appeal Procedure” (see Chapter 4).

2.5.3 Evaluation of Teaching Effectiveness

The evaluation of teaching effectiveness has two purposes and uses:

1. as a diagnostic tool for encouragement, identifying areas of probable/possible improvement, or further professional development; and
2. as a decision-making tool for purposes of salary adjustment, promotion, tenure, or course assignments.

The chair or dean, together with the faculty member, will specify in writing how the evaluation of teaching effectiveness will be used in the total faculty assessment as guided by the unit bylaws.

Student Evaluation of Teaching Effectiveness

Each academic year the departmentally approved student evaluation instrument (which could include essay and/or objective type questions) will be used by students for each course taught by the faculty member during a semester of that academic year with the following exception for tenured faculty members. Should the results over a period of three consecutive years yield essentially the same response for an individual faculty member, then it will be his/her choice to waive the evaluation for the following year or years; however, each faculty member must be evaluated at least one semester of every three year period. The results of the three most recent evaluations will be used as part of all subsequent faculty assessments of the faculty member and be kept in the faculty member's file in the immediate supervisor's office.

No summary numerical score need be derived from the completed evaluation forms when reflected as part of the faculty assessment. Results are communicated only to the faculty member and to the chair or dean, unless otherwise required by law. Such results may be forwarded to other appropriate administrative levels only when they are used in the context of the comprehensive faculty assessment.

The chair or dean and the faculty member will specify in writing what may constitute other means of evaluating teaching effectiveness as part of the performance-and-planning review.

2.5.4 Cumulative Performance Review (CPR)

The UT Policy on the evaluation of tenured faculty members describes cumulative performance review as follows:15

A comprehensive, formal, cumulative, performance review is triggered for the following tenured faculty members:

a. a faculty member whose annual review is Unsatisfactory in any two of five consecutive years;
b. a faculty member whose annual review is any combination of Unsatisfactory or Needs Improvement in any three of five consecutive years.

Each campus shall establish policies and procedures for peer evaluation of the faculty member's cumulative performance. Within thirty days of being triggered, a CPR Committee shall be convened by the Dean, who shall determine its chair. This committee shall be composed of appropriate, same or higher rank, tenured departmental faculty members (excluding the Head), and appropriate faculty (same or higher rank) from outside the department. The faculty member being reviewed and the Head may each name a campus tenured professor (same or higher rank)...

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15 UT Policy BT0006 (Section G part 2): tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=9.
the committee, which normally should have at least five (5) members including the CPR Committee chair, and at least two additional faculty members nominated by the Faculty Senate (one departmental faculty member [same or higher rank] and one non-departmental faculty member [same or higher rank]). The Committee chair shall forward the committee consensus recommendation to the Head, Dean and Chief Academic Officer. Performance ratings for cumulative reviews shall be as follows:

a. Satisfies Expectations for Rank
b. Fails to Satisfy Expectations for Rank

If the CPR Committee consensus rates the faculty member's performance as Fails to Satisfy Expectations for Rank, it may develop with the affected faculty member and Head a written CPR Improvement Plan (which may include, but shall not be limited to, skill-development leave of absence, intensive mentoring, curtailment of outside services, change in load/responsibilities), normally of up to one calendar year, and a means to assess its efficacy, with the plan to be reviewed by the Dean and approved by the Chief Academic Officer; or the committee may recommend to the Dean and Chief Academic Officer that the Chancellor initiate proceedings, as specified in the Faculty Handbook, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee).

If the CPR Committee consensus rates the faculty member's performance as Satisfies Expectations for Rank, the Committee must forward its justification/rationale to the Dean. The Dean must recommend one of the following three actions by the Chief Academic Officer:

a. concur that the faculty member's performance has been Satisfies Expectations for Rank, that his/her personnel file should show that both the Committee and the Dean concur in a Satisfactory CPR rating, and that a new five-year period annual review cycle will begin; or

b. find that the faculty member's performance has been Fails to Satisfy Expectations for Rank (including a rationale for that ranking), and recommend that the Chief Academic Officer should require that the CPR Committee develop with the affected faculty member a written CPR Improvement Plan (which may include, but shall not be limited to, skill-development leave of absence, intensive mentoring, curtailment of outside services, change in load/responsibilities), normally of up to one calendar year, and a means to assess its efficacy; or

c. find that the faculty member's performance has been Fails to Satisfy Expectations for Rank (including a rationale for that ranking), and recommend to the Chancellor that he/she initiate proceedings, as specified in the Faculty Handbook, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee).

At the end of the time allotted for a CPR Improvement Plan, the Head, CPR Committee, Dean, and Chief Academic Officer shall send a written consensus report to the campus Chancellor, recommending:

(i) that the faculty member's performance is Satisfies Expectations for Rank and no other action need be taken at this time; or

(ii) that the faculty member's performance has improved sufficiently to allow for up to one additional year of monitoring of improvement, after which the Head, CPR Committee, Dean, and Chief Academic Officer must by consensus determine if the faculty member's performance is Satisfies Expectations for Rank or recommend that the Chancellor initiate Proceedings, as specified in the Faculty Handbook, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee); or

(iii) that the Chancellor initiate proceedings, as specified in the Faculty Handbook, to terminate the faculty member for adequate cause after the Chancellor has consulted with the Faculty Senate President and the
Faculty Senate Executive Committee (which may delegate its responsibility to the appropriate Faculty Senate committee).

Additional UT Martin Guidelines

All reports and additional comments shall be placed in the official personnel files maintained in the VCAA’s office, with copies provided to the chair’s and dean’s offices.

2.6 Promotion

2.6.1 Criteria for Promotion

Criteria for promotion to the different academic ranks are complex. Each faculty rank has its own distinctive requirements, but the university has established general criteria. Faculty members who wish to be promoted should meet the expectations of the new rank as outlined in the criteria for appointment to rank. Deficiencies in some criteria may be counterbalanced by unusual excellence in the others. All faculty members wishing to be considered for promotion in rank are expected to meet the criteria for the appropriate rank as well as the time-in-rank guidelines. In all cases, teaching effectiveness is considered essential with the word "librarian" being substituted for the word "teacher" in regard to librarians. All promotions require a positive recommendation by the Chancellor after review by a departmental promotion committee, department chair, dean, and the Vice Chancellor for Academic Affairs. The UT System President awards the promotion and informs the Board of Trustees.

2.6.2 Time-in-Rank Guidelines

Full-time faculty members with terminal degrees normally should serve as an Assistant Professor for four years or as an Associate Professor for five years to be eligible for consideration for promotion to the next rank. The time-in-rank begins on the first day of the academic year, regardless of the actual appointment date within that same academic year.

Up to one year of approved leave time taken in order to pursue an advanced program for educational advancement will count toward the years-in-rank for each promotion cycle. The promotion process starts during the last year in rank, and the promotion is effective at the beginning of the next academic year.

2.6.3 Procedure for Promotion Review

A. Preparation for the Promotion Process

1. A calendar established annually by the Vice Chancellor for Academic Affairs should be followed during the development of promotion recommendations. At a minimum, the calendar should include the dates for the following steps:
   a. The candidate prepares and submits a promotion dossier.
   b. Promotion advisory committees meet with their dean or director.
   c. Promotion advisory committees submit negative and positive recommendations to the department chair.
   d. The department chair submits his/her negative and positive recommendations to the dean.
   e. The dean submits his/her negative and positive recommendations to the Office of the Vice Chancellor for Academic Affairs.
   f. The Vice Chancellor submits his/her negative and positive recommendations to the Chancellor.
   g. The Chancellor submits his/her positive recommendations to the President.
UT Martin’s Academic Affairs website stores this calendar, the tenure and promotion application formats, and other information.\textsuperscript{16}

2. The department chair or dean shall notify in writing all faculty members in his/her unit who have initially met the appropriate time-in-rank guidelines (see Section 2.6.2) that they are eligible for consideration of promotion to the next academic rank.

3. Candidates who wish to be considered for promotion shall prepare a dossier in support of the request. The candidates are strongly advised to seek assistance from the dean or department chair for preparation of the dossier. The candidate shall have the opportunity to inspect all personnel files and materials to be considered during the evaluation of the promotion application.

B. Process for Promotion Review

1. A promotion advisory committee shall be formed using the following procedures. (If the situation in the instructional unit makes this procedure unworkable, an alternative procedure approved by the departmental faculty shall be submitted to the Vice Chancellor for Academic Affairs through the dean for review and approval.)
   a. The promotion advisory committee is elected by the faculty in consultation with the chair or dean. The promotion advisory committee shall have at least three members. The faculty of each department/college has the option of selecting one or more members of the committee from outside the department or college. The names of members serving on this committee shall be submitted to and approved by the Vice Chancellor for Academic Affairs.
   b. A promotion advisory committee shall be constituted so that each individual is considered only by committee members who are tenured and have a rank higher than that of the candidate.
   c. The committee is advisory to the chair who normally should not be a member nor participate in the deliberation. The department chair shall provide the committee with requested materials relevant to the candidate’s promotion.
   d. The chair of the promotion advisory committee shall notify candidates in writing that they have the opportunity to appear before the committee. The appearance should occur after the committee has completed its examination of the promotion materials, but before a formal vote on the request.

2. The promotion advisory committee’s written recommendation shall be submitted to the chair/dean. A majority of the promotion advisory committee members must vote in favor of promotion in order for the recommendation to be considered favorable.

3. The chair develops the final recommendation for the departmental level with serious consideration of the recommendation of the promotion advisory committee. In the event of disagreement, the chair should explain the decision to the promotion advisory committee frankly and openly, and the chair must give the committee an opportunity to attach a dissenting report to the recommendation. In any event, the faculty vote should be reported and explained to the dean.

4. The recommendation of the department head shall be reviewed by the dean of the college. The dean may establish a college-wide committee for review of promotion recommendations. The recommendation of a college-wide committee shall be advisory to the dean.

5. The recommendation of the dean shall be reviewed by the VCAA.

6. The recommendation of the VCAA shall be reviewed by the Chancellor. The Chancellor shall forward only positive recommendations to the President.

7. If the President concurs in the positive recommendation of the Chancellor, he or she shall award the promotion and report the action to the Board of Trustees.

The faculty member applying for promotion shall be notified in writing by each campus official making a recommendation. An explanation for any negative recommendation should be included. A copy of this communication should be forwarded to the Vice Chancellor for Academic Affairs at the same time. A candidate

\textsuperscript{16} UT Martin Acad. Affairs Policies and Documents: www.utm.edu/departments/acadaff/policies.php.
who has been denied promotion may consult with the immediate supervisor for the purpose of receiving recommendations that would enhance the chances for future promotion. A faculty member may appeal a negative promotion decision (see Chapter 4).

2.7 Termination of Tenure-Track (Probationary) Faculty

2.7.1 Non-reappointment of Tenure-Track (Probationary) Faculty

According to UT Policy:

Notice that a tenure-track faculty member's appointment will not be renewed for the next year shall be made in writing by the chief academic officer, upon the recommendation of the department head and dean, according to the following schedule:

1. In the first year of the probationary period, not later than March 1 for an academic year appointment and no less than three months in advance for any other term of appointment;
2. In the second year of the probationary period, not later than December 15 for an academic year appointment and no less than six months in advance for any other term of appointment; and
3. In the third and subsequent years of the probationary period, not less than twelve months in advance.

These notice requirements relate only to service in a probationary period with The University. Credit for prior service shall not be considered in determining the required notice. Notice of non-renewal shall be effective upon personal delivery or upon mailing, postage prepaid, to the faculty member's residential address of record at The University.

2.7.2 Termination of Probationary Faculty Before the Stipulated Term of Employment

Termination of tenure-track faculty members before the stipulated term of appointment follows the same procedures used for revocation of tenure and termination of tenured faculty members.

2.8 Tenure

UT Policy defines tenure as follows:

Tenure is a principle that entitles a faculty member to continuation of his or her annual appointment until relinquishment or forfeiture of tenure or until termination of tenure for adequate cause, financial exigency, or academic program discontinuance. The burden of proof that tenure should be awarded rests with the faculty member. Tenure is acquired only by positive action of the Board of Trustees, and is awarded in a particular unit, department, school, college, or other department of a campus. The award of tenure shifts the burden of proof concerning the faculty member's continuing appointment from the faculty member to The University.

2.8.1 Eligibility for Tenure Consideration

UT Policy describes eligibility for tenure consideration as follows:

Eligibility for tenure consideration shall be subject to the following minimum standards:

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18 UT Policy BT0006 (Def. of Tenure): tennessee.edu/system/academicaffairs/docs/BdT enurePolicy.pdf#Tenure.
19 UT Policy BT0006 (B. Eligibility): tennessee.edu/system/academicaffairs/docs/BdT enurePolicy.pdf#tenure.
1. Regular, full-time, tenure-track faculty appointments at the academic rank of instructor, assistant professor, associate professor, or professor are eligible for tenure;

2. Temporary, term, and part-time appointments are not eligible for tenure, except that in the extraordinary circumstances defined in Appendix E, faculty members who do not have a full-time appointment may be eligible for tenure;

3. Faculty members pursuing degrees at the campus where they are appointed are not eligible for tenure.

Each campus may establish additional eligibility requirements for tenure consideration. After approval by the Board of Trustees, campus eligibility requirements for tenure consideration shall be published in the campus Faculty Handbook.

No faculty member shall be appointed initially with tenure except by positive action of the Board of Trustees upon the recommendation of the President and after review by the tenured faculty and department Head, Dean, Chief Academic Officer, and Chancellor. Appendix D outlines expedited procedures for appointment and tenure consideration.

Note this policy mentions two rare exceptions; view the policy online to see the text of these appendices: Appendix D (about expedited procedures for tenure) and Appendix E (about tenure possible for faculty who are not full-time).

2.8.2 Probationary Period

According to UT Policy BT0006 (Section C. Probationary Period, Parts 1 and 2): 

A tenure-track faculty member must serve a probationary period prior to being considered for tenure.

1. Length of probationary period.

The probationary period at The University shall be no less than one and no more than seven academic years; however, for good cause, the President, upon the recommendation of the Chancellor, may approve a probationary period of less than one academic year. If a faculty member has served in a tenure-track appointment at another institution, his or her total probationary service may extend beyond seven years. The original appointment letter shall state the length of the faculty member's probationary period and the academic year in which he or she must be considered for tenure if he or she has met the minimum eligibility requirements for consideration. The stipulation in the original appointment letter of the length of the probationary period and the year of mandatory tenure consideration does not guarantee retention until that time.

For good cause related to procedural error, the University and a tenure-track faculty member may agree in writing to extend a seven-year probationary period for a maximum of two additional years. The proposed extension must be approved in advance by the chief academic officer, the Chancellor, the Vice President for Academic Affairs and Student Success (or designee), and the General Counsel (or designee).

2. Suspension of Probationary Period

The chief academic officer shall decide whether the probationary period will be suspended when the following circumstances occur:

a. the faculty member accepts a part-time faculty position;

b. the faculty member accepts an administrative position; or

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20 UT Policy BT0006 (Appendix D): tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=25.
c. the faculty member is granted a leave of absence.

The chief academic officer shall give the faculty member written notice of the decision concerning suspension of the probationary period.

**UT Martin Description of Probationary Period Length**

At UT Martin the probationary period normally consists of six academic years of continuous service to UT Martin. Although this appears different from the board policy, the difference is in the terminology used to describe the seventh year. Instead of seven years of probation, with consideration in the sixth year and a terminal (the seventh) year if denied; UT Martin uses a six year probationary period, with consideration in this sixth year, and a terminal year if denied. The probationary period for tenure begins on the first day of the academic year, regardless of the actual appointment date within that same academic year. Tenure consideration shall occur during the final academic year of the probationary period unless reduced after appointment as specified below. Any faculty member who is considered but not recommended for tenure shall be offered one additional year of employment (see Tenure Denied below).

a. **Notification.** The probationary faculty member shall be notified as to when his/her tenure review will occur in the appointment letter. Thereafter, in connection with the annual performance-and-planning review (addressed earlier in this chapter) with the dean or chair, the faculty member shall be advised as to the quality of performance in relation to progression toward tenure.

b. **Exceptions to the probationary period prior to appointment.** With the consent of the faculty member, exceptions to the six-year probationary period may occur as follows: The UT Martin Vice Chancellor for Academic Affairs (VCAA), based upon the recommendation of the academic dean and department chair, may specify a probationary period of five or four years (with tenure consideration occurring in the fifth or fourth year respectively) by including prior service credit at this or other regionally accredited institutions of higher education. Such exception shall be specified in the letter of appointment.

c. **Prior tenured service.** The Chancellor or VCAA, upon the recommendation of the department chair/dean, may specify a three-year probationary period if the faculty member joins UT Martin following prior tenured service at this or other regionally accredited institutions of higher learning. This credit for prior service shall be specified in the letter of appointment.

d. In exceptional situations at UT Martin, the probationary period may be specified as one or two years (with tenure consideration occurring during the first or second year respectively), upon the additional recommendation of a simple majority of the tenured members of the department or equivalent unit to which the faculty member will be assigned. This shall be specified in the letter of appointment.

e. **Reduction of the probationary period after appointment.** Reduction of the probationary period specified in the appointment letter may occur upon the written request of the non-tenured faculty member and approval of the VCAA based on the recommendations of the chair/dean and consistent with the procedures for reduction of the probationary period prior to appointment. The change shall be made in writing and must occur prior to the start of the tenure review process.

f. **Rescission of prior probationary period reduction.** A previously agreed upon reduction of the probationary period may be rescinded upon mutual agreement of the non-tenured faculty member, the chair/dean, and the VCAA. Such rescission shall be made in writing and must occur prior to the start of the tenure review process.

### 2.8.3 Criteria for Tenure

According to UT Policy BT0006 (Section D. Criteria for Tenure):\(^{23}\)

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\(^{23}\) UT Policy BT0006 (Criteria for Tenure): tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#tenure.
Tenure is awarded after a thorough review which culminates in The University acknowledging a reasonable presumption of the faculty member's professional excellence, and the likelihood that excellence will contribute substantially over a considerable period of time to the mission and anticipated needs of the academic unit in which tenure is granted. Professional excellence is reflected in the faculty member's teaching, research, and service including the faculty member's ability to interact appropriately with colleagues and students. The relative weights of these factors will vary according to the fit between the faculty member and the mission of the academic unit in which he or she is appointed.

Each campus may establish more-specific criteria for tenure. After approval by the Board of Trustees, campus criteria shall be published in the campus Faculty Handbook. Campus criteria for tenure shall include and be consistent with the criteria stated in this policy.

An academic unit may also establish more-specific criteria for tenure in that unit. After approval by the dean and campus chief academic officer, these criteria for tenure shall be published in the bylaws of the academic unit. The tenure criteria for a department shall include and be consistent with the criteria stated in this policy and any criteria established by the department's college and campus.

**UT Martin Criteria for Tenure**

The following criteria pertain to decisions governing the awarding of tenure at UT Martin. The list is not necessarily comprehensive, nor should it be assumed that the items are of equal significance, that each is essential for every individual under consideration, or that they are listed in order of relative importance, except for item #1 below which is considered primary.

1. demonstrated teaching effectiveness on the UT Martin campus in the position in which tenure is to be granted;
2. evidence of scholarly competence in subject matter area;
3. appropriate professional degrees, awards, and achievements;
4. evidence of professional growth appropriate to the subject matter area;
5. demonstrated ability to relate effectively to UT Martin students and colleagues;
6. quality of academic advisory service to students;
7. participation as appropriate in extracurricular activities;
8. staffing needs of the University;
9. reliability and punctuality in the performance of routine duties;
10. activities of a scholarly and professional nature;
11. membership and participation in professional organizations;
12. service to the University; and
13. service to the community and region.

**2.8.4 Board Policies for Consideration and Grant of Tenure**

According to UT Policy BT0006 (Section E. Procedures for Consideration and Grant of Tenure):

Each campus shall establish procedures for considering a faculty member for tenure. After approval by the Board of Trustees, these procedures shall be published in the campus Faculty Handbook. The procedures shall include and be consistent with the minimum components stated in Appendix A. Appendix D outlines expedited procedures for tenure consideration and describes exceptional circumstances that may warrant the expedited procedures.

Appendix A: Procedures and Consideration and Grant of Tenure of UT Policy BT0006 is as follows:

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24 UT Policy BT0006 (Section E): [tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=7](http://tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=7).
26 UT Policy BT0006 (Appendix A): [tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=14](http://tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=14).
1. Tenured Faculty's Recommendation

An adequate evaluation of a tenure candidate's qualifications, professional contributions, potential, and determination of whether he or she should be accepted as a tenured member of the campus academic community requires the judgment of both the candidate's faculty colleagues and the responsible administrators. Thus, although recommendations for tenure are administrative actions that must be approved by the Board of Trustees, there should be no positive recommendation for tenure without formal consultation with the tenured faculty of the department in which the candidate holds his or her position.

Each department shall adopt bylaws governing the tenured faculty's consideration of a candidate for tenure. The bylaws shall provide for a meeting of the tenured faculty to debate and discuss the tenure candidacy. The bylaws shall also provide for the manner of taking and recording a formal vote of the tenured faculty on whether the candidate should be recommended for tenure and shall establish the minimum number of votes necessary to constitute a positive recommendation.

2. Department Head's Recommendation

The vote of the tenured faculty is advisory to the department head. After making an independent judgment on the tenure candidacy, the head shall submit his or her recommendation to the dean with a written summary of his or her judgment. If the head's recommendation differs from the recommendation of the tenured faculty, the summary must explain the reasons for the differing judgment, and the head must provide a copy of the summary to the tenured faculty. The tenured faculty may forward a dissenting report to the next level of review.

3. Dean's Recommendation

All tenure recommendations of the department head, whether positive or negative, shall be reviewed by the dean of the college. The dean may establish a college-wide committee for review of tenure and promotion recommendations. The recommendation of a college-wide committee shall be advisory to the dean. After making an independent judgment on the tenure candidacy, the dean shall forward his or her recommendation to the chief academic officer.

4. Chief Academic Officer's Recommendation

All tenure recommendations of the dean, whether positive or negative, shall be reviewed by the chief academic officer. After making an independent judgment on the tenure candidacy, the chief academic officer shall forward his or her recommendation to the Chancellor.

5. Chancellor's Recommendation

All tenure recommendations of the chief academic officer, whether positive or negative, shall be reviewed by the Chancellor. After making an independent judgment on the tenure candidacy, the Chancellor shall forward only positive recommendations to the President.

6. President's Recommendation

If the President concurs in the positive recommendation of the Chancellor, he or she shall submit the recommendation for tenure to the Board of Trustees.

7. Action by the Board of Trustees

No person shall acquire or be granted tenure except by positive action of the Board of Trustees upon the recommendation of the President. The Board of Trustees acts only on positive recommendations. After positive
action by the Board of Trustees, the Chancellor shall give the faculty member written notice of the effective date of tenure.

2.8.5 Additional UT Martin Procedures for Consideration and Grant of Tenure

Under normal circumstances, the review process in tenure consideration begins in the spring term and is complete upon the action of the Board of Trustees in June of that academic year. Academic Affairs provides a checklist for use in the preparation and review of the tenure dossier. The procedure used for tenure recommendations is reviewed annually by the Personnel Policies Committee.

1. A calendar established annually by the VCAA should be followed during the development of tenure recommendations.
2. The department chair or dean shall notify in writing all faculty members in his/her unit who must be considered for tenure review in that academic year. If the candidate is a department chair, then the Dean of the college of the candidate’s department shall assume and execute, as specified in both the Faculty Handbook and the department’s bylaws, the duties normally performed by the department chair in the tenure process.
3. Candidates who wish to be considered for tenure shall prepare a dossier in support of the request. The candidates may seek assistance from the dean/department chair for preparation of the dossier.
4. Tenure advisory committee. A tenure advisory committee to the chair/dean shall be formed using the following procedures. (If the situation in the instructional unit makes the process unworkable, an alternative procedure approved by the departmental faculty shall be submitted to the VCAA through the dean for review and approval.)

A tenure advisory committee, consisting of at least three tenured faculty members, shall be elected to review each candidate. The faculty of each department/college has the option of selecting one or more members from outside the department/college. The names of those serving on this advisory committee shall be submitted to and approved by the VCAA.

The committee is advisory to the chair who should not be a member nor participate in the deliberation. The chair shall provide the committee or the tenured faculty with such materials relevant to the candidate's tenure as the group may request.

The chair of the tenure advisory committee shall notify each candidate in writing of the opportunity to appear before the committee. The appearance should occur after the committee has completed its examination of the tenure materials, but before a formal vote on the request.

The candidate shall have the opportunity to inspect all of his or her personnel files and materials to be considered during the evaluation of the tenure application.

5. Tenured Advisory Committee’s Recommendation. As outlined in the Board of Trustees policy, departmental bylaws will govern the tenured faculty’s consideration of a candidate for tenure. The tenured faculty shall meet to debate and discuss the tenure candidacy with a formal vote taken and recorded using the process outlined in the departmental bylaws.

The Tenure Advisory Committee, after considering an application, shall submit to the chair a written and signed recommendation. Unless otherwise specified in the departmental bylaws, a majority of the Tenure Advisory Committee must vote in favor of tenure in order for the recommendation to be considered favorable.

The Tenure Advisory Committee may recommend to:

a. Grant tenure;

b. Defer the tenure decision (unless at the end of the mandatory probationary period); or

c. Deny tenure.

If the group recommends to defer the tenure decision prior to the end of the probationary period, and the faculty member chooses not to defer, the tenured faculty’s recommendation to defer will be considered a recommendation to deny tenure. If the faculty member agrees with the recommendation to defer, and the chair concurs, the tenure review process stops for that academic year.

6. The faculty member applying for tenure shall be promptly notified in writing of the recommendation at each step of tenure consideration by the official making the recommendation. In the event of a negative recommendation, the UT Martin administrator must include a copy of the explanation provided in the recommendation form. A copy of this communication shall be forwarded to the VCAA at the same time.

7. Possible Outcomes.

a. Tenure granted. When tenure is granted by the Board of Trustees, notice of such action (including the effective date) will be sent by the Chancellor to the individual, his/her chair and dean, and the VCAA. Within one year after the granting of tenure the VCAA will return the Tenure Review Portfolio to the faculty member.

b. Tenure denied. Any faculty member who is considered, but not recommended, for tenure will be notified in writing by the Chancellor that the recommendation has not been forwarded to the President. (Only positive recommendations are forwarded to the President.)

i. Upon receipt of such notice the faculty member may discuss the reasons for the tenure denial with the faculty member’s chair, dean, or director. In addition, the faculty member has the right to advisement by the VCAA as to the reasons for the tenure denial. Such reasons are given solely to assist the faculty member in professional growth and development. A decision not to award tenure is in no sense judgment of incompetence. Not all competent persons meet the high standards necessary for tenure, nor are all those who meet such standards automatically fitted to serve needs of the University's programs.

ii. Terminal appointment. Any faculty member who is considered for but not recommended for tenure by June 30 of the final year of the faculty member’s probationary period will automatically receive an additional terminal appointment of up to one academic year, consistent with Board policy.

iii. Appeal procedures. A faculty member may initiate a grievance and appeal procedure within one year of the date of the tenure decision or at any time before termination of employment, whichever occurs first (see Chapter 4).

2.8.6 Locus of Tenure

UT Policy BT0006 Section F, Locus of Tenure, is as follows: 28

Tenure at The University of Tennessee is granted in a particular academic unit (e.g., department, school) of a specific campus in a position appropriate to the faculty member's qualifications. Reorganizations that result in the merger or splitting of departments do not affect the tenure or probationary status of the faculty involved.

If a tenured faculty member voluntarily transfers from one UT campus to another, his or her tenured status is not transferred. However, a review by the responsible administrators in consultation with the tenured faculty of the receiving department may result in an immediate recommendation to the Board of Trustees that tenure at the new campus be granted to the transferred individual; on the other hand, a new probationary period in the receiving unit may be established. There shall be no involuntary transfer of faculty members between campuses.

28 UT Policy BT0006 (F. Locus of Tenure): tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=7.
Section 2.9.1

Transfers of tenure between departments on the same campus do not require Board approval, but must be approved by the responsible campus administrators in consultation with the tenured faculty of the receiving unit, with notice to the Board of Trustees. In any event, prior to the effective date of the transfer all conditions relating to tenure must be documented and accepted, in writing, by the transferring faculty member. If a non-tenured faculty member transfers from one existing department to another, a new probationary period must be established and documented under the same guidelines that would be followed if the faculty member came from another institution. All conditions relating to the new probationary period must be documented and accepted, in writing, by the transferring faculty member.

If a tenured faculty member accepts a part-time faculty position or an administrative position with the University, neither of which can carry tenure, the faculty member retains tenure in the full-time faculty position he or she vacated.

2.9 Termination of Tenure

2.9.1 Board Policy

According to UT Policy BT0006 (Section H. Termination of Tenure):

1. Grounds for Termination
   a. Relinquishment or Forfeiture of Tenure

      A tenured faculty member relinquishes tenure upon resignation or retirement from The University. A tenured faculty member forfeits tenure upon taking an unauthorized leave of absence or failing to resume the duties of his or her position following an approved leave of absence. Forfeiture results in automatic termination of employment. The chief academic officer shall give the faculty member written notice of the forfeiture of tenure and termination of employment.

   b. Extraordinary Circumstances

      Extraordinary circumstances warranting termination of tenure may involve either financial exigency or academic program discontinuance. In the case of financial exigency, the criteria and procedures outlined in the Board-approved Financial Exigency Plan for each campus shall be followed. In the case of academic program discontinuance, the termination of tenured faculty may take place only after consultation with the faculty through appropriate committees of the department, the college, and the Faculty Senate.

      If termination of tenured faculty positions becomes necessary because of financial exigency or academic program discontinuance, the campus administration shall attempt to place each displaced tenured faculty member in another suitable position. This does not require that a faculty member be placed in a position for which he or she is not qualified, that a new position be created where no need exists, or that a faculty member (tenured or non-tenured) in another department be terminated in order to provide a vacancy for a displaced tenured faculty member. The position of any tenured faculty member displaced because of financial exigency or academic program discontinuance shall not be filled within three years, unless the displaced faculty member has been offered reinstatement and a reasonable time in which to accept or decline the offer.

   c. Adequate Cause - "Adequate cause" includes the following and similar types of reasons:

      Category A: Unsatisfactory Performance in Teaching, Research, or Service

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29 UT Policy BT0006 (H. Termination of Tenure): tennessee.edu/system/.../docs/BdTenurePolicy.pdf#page=11.
(1) failure to demonstrate professional competence in teaching, research, or service;

(2) failure to perform satisfactorily the duties or responsibilities of the faculty position, including but not limited to (a) failure to comply with a lawful directive of the department head, dean, or chief academic officer with respect to the faculty member's duties or responsibilities; and (b) inability to perform an essential function of the faculty position, given reasonable accommodation, if requested;

(3) loss of professional licensure if licensure is required for the performance of the faculty member's duties; or with respect to Health Sciences faculty, failure to be granted or loss of medical staff membership and privileges at affiliated teaching hospitals; or

(4) dishonesty or other serious violation of professional ethics or responsibility in teaching, research, or service; or serious violation of professional responsibility in relations with students, employees, or members of the community.

Category B: Misconduct

(1) failure or persistent neglect to comply with University policies, procedures, rules, or other regulations, including but not limited to violation of The University's policies against discrimination and harassment;

(2) falsification of a University record, including but not limited to information concerning the faculty member's qualifications for a position or promotion;

(3) theft or misappropriation of University funds, property, services, or other resources;

(4) admission of guilt or conviction of: (i) a felony; or (ii) a non-felony directly related to the fitness of a faculty member to engage in teaching, research, service, or administration;

(5) any misconduct directly related to the fitness of the faculty member to engage in teaching, research, service, or administration.

2. Termination Procedures for Adequate Cause

Each campus shall establish procedures for terminating a tenured faculty member, or a tenure-track faculty member before the expiration of the annual term, for adequate cause. After approval by the Board of Trustees, termination procedures shall be published in the campus Faculty Handbook. Termination procedures shall incorporate and be consistent with the provisions cited in Appendices B and C.

2.9.2 Additional UT Martin Information for Termination of Tenure

A. Relinquishment or Forfeiture of Tenure

Faculty members who wish to resign have a clear obligation to make their resignation effective at the end of the academic year or, under exceptional circumstances, at the end of an academic semester. In all cases, notification of resignation should be made early enough to allow the university to cover any scheduled assignments. Teaching faculty serving on academic year appointments who sever connection with the University before the end of the academic year are paid for the number of semesters of teaching on the basis of one half of the annual salary per semester. Persons who leave their teaching positions during the semester will be compensated on a pro-rated basis, receiving a salary for only the service completed. Faculty members who have unused annual leave accrued while on 12-month appointments will receive payment for the leave upon resignation in accordance with University policies.

B. Termination Procedures for Adequate Cause

UT Martin will follow the termination procedures for adequate cause described in the appendices of policy BT0006: Appendix B Termination Procedures for Category A Adequate Cause: Unsatisfactory Performance in Teaching,
Research, or Service; and Appendix C Termination Procedures for Category B Adequate Cause: Misconduct. These are available on the Board of Trustees’ website.

If salary or benefits are withheld from the faculty member and the subsequent proceedings do not determine adequate cause for termination or suspension without pay, the salary and benefits for that period should be restored.

2.9.3 Disciplinary Sanctions Other than Termination for Adequate Cause

UT policy describes disciplinary sanctions other than termination for adequate cause in BT0006, Section I.

Disciplinary sanctions other than termination may be imposed against a faculty member.

If the proposed sanction is suspension without pay for a definite term (no more than one year), the procedures applicable to termination shall be offered prior to suspension, provided, however, that the procedures shall be modified as follows: (1) suspension without pay for a definite term (no more than one year) may be imposed as a sanction by the Chancellor without review by the President and the Board of Trustees; and (2) the Chancellor may determine that the expedited procedure for suspension without pay is applicable to the conduct (see Appendix C concerning the expedited procedure).

If the proposed sanction does not involve suspension without pay, the department head shall make a recommendation to the dean, and the dean shall make a recommendation to the chief academic officer. The chief academic officer shall give the faculty member written notice of the proposed sanction and the supporting reason(s) and shall offer him or her an opportunity to respond both in writing and in person. The faculty member may appeal the proposed sanction through established appeal procedures, and the sanction shall be held in abeyance until conclusion of the appeal.

2.10 Resignation or Retirement

2.10.1 Resignation

Tenure is relinquished upon resignation from the university. If a faculty member resigns, but is re-employed by the university, tenure will be awarded only subsequent to the procedures outlined above (Section 2.8.5).

Since faculty appointments are made for the academic year (or, in exceptional cases, for one or more designated semesters), faculty members who wish to resign have a clear obligation to make their resignation effective at the end of the academic year or, under exceptional circumstances, at the end of an academic semester. In all cases notification of resignation must be made early enough to allow the university to cover any scheduled assignments.

Teaching faculty on academic-year appointments who resign before the end of the academic year are paid for the number of semesters they have taught, at one half of annual salary per semester. Persons who leave their teaching positions during the semester will be compensated on a pro-rated basis, receiving a salary for only the service completed. Faculty members who have unused annual leave accrued while on 12-month appointments will receive payment for the leave upon resignation in accordance with University policies.

2.10.2 Retirement

Under normal circumstances, a member of the faculty controls the decision to retire. The effective date of retirement for academic-year faculty is normally at the end of either the fall or spring semesters. Computation of the final payment for...

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30 UT Policy BT0006 (Appendix B): tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=16.
32 UT Policy BT0006 (Section I): tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=13.
the last year of service is calculated in the same way as for resignations (above). Faculty members who have unused annual leave accrued while on 12-month appointments will receive payment for the leave upon resignation in accordance with University policies.

By terms of the Long Term Disability (LTD) policy, a tenured faculty member must apply for all retirement benefits for which he or she is eligible as part of an LTD benefit. If, at a later time, a previously-disabled retired faculty member is able to perform the essential functions of his or her former tenured position and the position is available, UT policy permits such an appointment. This appointment requires review by the department’s tenured faculty and chair, dean, VCAA, and Chancellor; positive recommendation by the President; and positive action by the Board of Trustees to make the appointment and reinstate the previous rank and tenure of the returning faculty member.

After retirement:

1. Emeritus status may be given to recognize retiring faculty members or administrators for distinguished service to the University of Tennessee over an extended period of time. Complete information on the policy appears in UT Policy HR0102.34
2. Benefits available for retirees can be found on the UT Human Resources website.35
3. The Post-Retirement Service Program is a plan for tenured faculty to transition from full-time teaching and/or research to retirement upon agreement by the faculty member and the department chair. Complete information on the policy appears in UT Policy HR0374.36

2.10.3 Exit Procedures

Employees who have resigned or retired must complete the exit interview process to ensure clearance of all personal debts owed and the return of all assigned university property to the respective department prior to termination and release of final wage payments. This requirement is a part of UT Policy HR0125.37 Faculty should contact UT Martin Human Resources38 to initiate this process.

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34 UT Policy HR0102: policy.tennessee.edu/hr_policy/hr0102/.
35 UT Benefits Available for Retirees: humanresources.tennessee.edu/benefits/…/Summary of Benefits 7-1-2014.pdf
36 UT Policy HR0374: policy.tennessee.edu/hr_policy/hr0374/.
37 UT Policy HR0125: policy.tennessee.edu/hr_policy/hr0125/.
38 UT Martin Human Resources: www.utm.edu/departments/personnel/.
Chapter Three:  
Non-Tenure-Track Faculty  

3.1 Appointment and Renewal of Faculty to Non-Tenure-Track Positions  

All appointments to non-tenure-track faculty positions, including part-time appointments, will be made in accordance with departmental and college bylaws and subject to the provisions of this chapter.

For all ranks other than adjunct, notification of appointment is made by letter from the Vice Chancellor for Academic Affairs. This appointment letter specifies (a) rank, (b) salary and related financial conditions, (c) general duties and expectations, and (d) duration. Previous correspondence between the department chair, dean or director, and a prospective faculty member concerning these matters is unofficial and not binding on the University of Tennessee.

The faculty member’s written acceptance of the letter of appointment, together with execution of normal university employment forms, completes the initial appointment. The employment of non-tenure-track faculty is governed by the terms of the appointment letter, applicable provisions of the Faculty Handbook, and applicable provisions of university policies and procedures.

A non-tenure-track appointment (whatever its duration) may be renewed for a new term through the normal application and appointment process. Renewal decisions will include consideration of available funding and the faculty member’s performance. If a non-tenure-track appointment is not renewed in writing, it automatically expires at the end of the stated term. A non-tenure-track appointment may be, by its nature, funding-limited; the compensation amounts for the position may be funded through a grant, contract, or restricted donation, and it may automatically expire when funding lapses. Whenever feasible, however, subject to available funding, a non-tenure-track faculty member’s department chair should give the faculty member at least (a) one month’s written notice of termination of the faculty member’s employment or (b) salary equivalent to that which would be paid in the event of one month’s notice of the termination of the faculty member’s employment.

3.1.1 Non-Tenure-Track Teaching Positions

1. **Regular part-time academic year appointment** – A part-time academic year appointment involves a stated percentage of full-time-equivalent (FTE) employment during the academic year. Salary is paid in twelve monthly installments from August 1 through the following July 31 and is considered to be earned at the rate of one-half of the annual salary for each of the two semesters (fall and spring). Regular part-time academic year appointments are at the rank of Lecturer and are not eligible for promotion or tenure.

2. **Regular part-time twelve month appointment** – A part-time twelve month appointment involves part-time service on a continuing basis for a period of not less than twelve months. Salary is earned and paid monthly. Part-time twelve month faculty members accrue annual and sick leave in accordance with established University policies (see HR-0305\(^1\) and HR-0380\(^2\)). Regular part-time twelve month appointments are at the rank of Lecturer and are not eligible for promotion or tenure consideration.

3. **Full-time temporary appointment** – A full-time temporary appointment involves full-time service for a specified period of time, with the total salary for such service being paid over less than a twelve-month period. Such an appointment is designed to address a special circumstance and can be renewed as needed. Temporary appointees are not eligible for promotion or tenure.

4. **Part-time temporary academic appointment** – A part-time temporary appointment involves part-time service over a specified period of time with the total salary for such service being paid over less than a twelve-month period. Part-

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\(^1\) UT Policy HR0305: policy.tennessee.edu/hr_policy/hr0305/

\(^2\) UT Policy HR0380: policy.tennessee.edu/hr_policy/hr0380/
time temporary appointments are normally limited to a brief association with the University to meet some special, short range need. Part-time temporary appointees normally do not exceed twelve months of continuous employment, but they can be renewed.

Periodic review of full-time and part-time temporary academic appointments should be undertaken to determine whether any position should be designated a regular, full-time position and to ensure that appropriate search procedures are followed to fill the position.

Benefits available for non-tenure track appointees are discussed in Chapter Six.

3.1.2 Criteria for Appointment to Faculty Rank

A. Lecturers

Criteria for appointment to the different academic ranks are complex. Each faculty position has its own distinctive requirements, but UT Martin has established the following general criteria. Deficiencies in some criteria may be counterbalanced by unusual excellence in the others. Although in certain specialized fields of endeavor other standards may replace some of these criteria, the standard for teaching (item 3 for each rank) is essential at every level.

A Lecturer is expected to:

1. hold the master's degree of the discipline or have equivalent training and experience as appropriate to the discipline;
2. show interest in research, scholarship, or professional attainment;
3. show interest in teaching;
4. have an excellent scholastic record as a student; and
5. show promise of ability to relate well to students and professional colleagues.

B. Adjunct Faculty

Adjunct faculty appointments are reserved for individuals who do not hold academic rank at UT Martin but who are employed to teach one or more specified courses. Adjunct faculty are hired directly by department chairs. All adjuncts should read the information for adjunct faculty found on the Academic Affairs website.

Adjunct faculty teaching credit courses leading toward the baccalaureate degree, other than physical activity courses, must hold either the master’s degree of the discipline, a master’s degree in another discipline with at least 18 graduate semester hours in the teaching discipline, or in exceptional cases outstanding professional experience and demonstrated contributions to the teaching discipline as validated by a Faculty Qualification Report (FQR) supported by the appropriate official documentation. Individuals who have been employed to teach graduate level courses must hold the terminal degree of the discipline or possess equivalent training and experience appropriate to the discipline (see Section 2.2.1). Official documentation of qualifications should be maintained in the adjunct faculty member’s personnel file in the Academic Affairs office.

C. Visiting Faculty

Visiting faculty carry out instructional and/or research responsibilities within an academic department. Professional credentials and/or the terminal degree required for the university’s professorial ranks are also required for appointments as visiting faculty. Normally, the rank of appointment will be the professorial rank that the individual holds at his or her home institution; however, the standards of scholarship for holding visiting faculty rank will be the same as required for UT Martin faculty. Visiting faculty do not participate in the governance of the department and are not subject to annual

3 UT Martin Adjunct Faculty Handbook: www.utm.edu/departments/acadaff/policies.php.
performance reviews. Normally, a visiting appointment is for 12 months. As with all other non-tenure-track faculty appointments, the Vice Chancellor for Academic Affairs will issue letters of appointment to visiting faculty.

3.1.3 Changes to the Appointment

The faculty member is officially notified of subsequent salary adjustments or changes in rank, title, or assignment by letter from the department chair, dean or VCAA. Any other oral or written representations concerning such adjustments and changes are unauthorized and not binding on the University. Normally, salary adjustments and other changes in employment are made following approval of the University budget by the Board of Trustees at its annual meeting in June.

3.2 Graduate Faculty

Faculty who teach graduate courses must have membership in the graduate faculty. The Office of Graduate Studies website\textsuperscript{5} has the necessary check sheets for graduate faculty applications and the form for Faculty Qualification Reports.

3.2.1 Special Membership

Special membership in the graduate faculty is intended for regular, visiting, and adjunct faculty who have special academic expertise or professional experience and who demonstrate competence in a particular course of instruction but who otherwise do not meet the criteria for full membership. If they lack a terminal degree in the discipline, they must hold either the master’s degree of the discipline, a master’s degree in another discipline with at least 18 graduate semester hours in the teaching discipline, or in exceptional cases outstanding professional experience and demonstrated contributions to the teaching discipline as validated by a Faculty Qualification Report (FQR)\textsuperscript{6} supported by the appropriate official documentation.

Special members receive a three year, renewable appointment. They may teach graduate courses and serve on thesis and comprehensive exam committees as specified on their application. Special members who hold regular faculty appointments are eligible for appointment/election to college graduate level curriculum and degree appeal committees (and university committees consistent with Senate Bylaws).

A renewal application must also demonstrate currency regarding the special academic expertise or professional experience related to the specified course(s) they will teach or the committee on which they will serve.

3.2.2 Temporary Membership

Faculty who have special academic expertise or professional experience but who otherwise do not meet the criteria for special membership may be granted temporary membership to serve an emergency need. If they lack a terminal degree in the discipline, they must hold either the master’s degree of the discipline, a master’s degree in another discipline with at least 18 graduate semester hours in the teaching discipline, or in exceptional cases outstanding professional experience and demonstrated contributions to the teaching discipline as validated by a Faculty Qualification Report (FQR)\textsuperscript{7} supported by the appropriate official documentation.

Temporary members receive a one semester appointment that is renewable one time only. They may teach graduate courses as specified on their application.

\textsuperscript{5} UT Martin graduate faculty check sheets and applications: \url{www.utm.edu/departments/gradstudies/faculty.php}.
\textsuperscript{6} UT Martin Academic Affairs FQR form: \url{www.utm.edu/departments/acadaff/policies.php}.
\textsuperscript{7} UT Martin Academic Affairs FQR form: \url{www.utm.edu/departments/acadaff/policies.php}.
3.3 Faculty Duties and Workload

A full-time non-tenure-track faculty member is expected to teach fifteen credit hours in courses having regular enrollments each term. They are not expected to participate in other professional activities such as student advising, research, professional development, and University and public service activities. Any exceptions from these expectations should be described in the letter of appointment.

Conditions necessary to perform assigned duties in a professional manner, including such things as appropriate office space, necessary supplies, support services, and equipment will be provided to non-tenure-track faculty members. Departments should have consistent criteria for deciding teaching assignments. Departments should consider the views of non-tenure-track faculty in setting schedules and other issues that impact quality of teaching and working conditions. Depending on stipulations of departmental and college bylaws, non-tenure-track faculty may have the opportunity to participate in departmental, college, and/or university governance. Non-tenure-track faculty enjoy the same academic freedom as tenured and tenure-track faculty.

3.4 Evaluation

3.4.1 Annual Retention Review

As is the case for tenured and tenure-track faculty, the performance of non-tenure-track faculty members, with the exception of visiting faculty, will be evaluated annually, and a written record of the evaluation maintained in the department. The criteria for evaluating non-tenure-track faculty for purposes of hiring and retention must be approved by the departmental faculty and published in the departmental bylaws.

3.4.2 Evaluation of Teaching Effectiveness

Evaluation of teaching effectiveness is used for two primary purposes:

1. as a diagnostic tool for encouragement, identifying areas of probable/possible improvement, or further professional development; and
2. as a decision-making tool for purposes of salary adjustment, promotion, tenure, or course assignments.

General guidelines for the evaluation of teaching effectiveness appear below. College and/or departmental bylaws expand upon these guidelines. Evaluation methods must be applied fairly to all faculty members in the academic unit and should reflect the values of the campus, college and department.

A. Student Evaluation of Teaching Effectiveness

Each academic year the departmentally approved student evaluation instrument (which could include essay and/or objective type questions) will be used by students for each course taught by the non-tenure-track faculty member during a semester of that academic year. A written summary of the results of each review will be kept in the faculty member’s departmental personnel file.

Student evaluation of teaching effectiveness will be conducted either online or as a paper evaluation with a staff member, another faculty member, or student in the class proctoring the evaluation. The survey instrument will be administered in a manner consistent with student evaluations of regular full-time faculty within the department.

No summary numerical score need be derived from the completed evaluation forms when reflected as part of the faculty assessment. Results are communicated only to the faculty member and to the chair or dean, unless otherwise required by law. Such results may be forwarded to other appropriate administrative levels only when they are used in the context of the comprehensive faculty assessment.
B. Additional Evaluations of Teaching Effectiveness

Other evidence of teaching performance may include, but are not limited to: classroom observations by the chair or departmental peer review committees; measures of student learning; student exit interviews and alumni surveys; evidence of a concern for teaching competence demonstrated in publications; attendance at professional meetings or courses; and reviews of the syllabi, tests, materials and methods employed. Evaluations should acknowledge the number, level, size and types of classes taught.

The chair of the department in which the faculty member is employed is responsible for providing ongoing assessment of the quality of instruction that non-tenure-track faculty members provide. The chair is required to make clear both the general expectations of all non-tenure-track faculty members and the specific duties that go with an individual’s appointment. The chair or a designated supervisor will meet with each new non-tenure-track faculty member to review teaching performance immediately following the conclusion of the first semester's teaching responsibilities and at least once annually thereafter for any person with ongoing or renewed teaching duties. A written summary of the results of each review will be kept in the faculty member’s departmental personnel file.

3.5 Non-retention and Termination of Non-Tenure-Track Faculty

A non-tenure-track faculty member may be terminated for adequate cause (as defined in Section 2.9.1) prior to the expiration of the appointment term. In the event that a department chair recommends to the dean and chief academic officer that a non-tenure-track faculty member be terminated for cause, the department chair and dean shall meet with the faculty member to present the reasons for the recommended termination and to permit the faculty member to respond. If, after this meeting, the dean concludes that adequate cause for the termination exists, a recommendation for termination shall be forwarded to the chief academic officer. If the chief academic officer agrees with the termination decision, the faculty member is informed in writing. A non-tenure-track faculty member whose appointment has been terminated for adequate cause shall be notified of the right to a post-termination hearing under the Tennessee Uniform Administrative Procedures Act (Section 4.4.4).

In the event of Extraordinary Circumstances (as defined in Board Policy and quoted in Section 2.9.1), a non-tenure-track appointment may be terminated following the same procedures applicable to tenure-track faculty.

At any time the University may terminate without cause the appointment of a non-tenure-track faculty member. The termination may be implemented by paying the remaining salary due during the appointment.

3.6 Resignation

Since faculty appointments are made for the academic year (or, in exceptional cases, for one or more designated semesters), faculty members who wish to resign have a clear obligation to make their resignation effective at the end of the academic year or, under exceptional circumstances, at the end of an academic semester. In all cases notification of resignation must be made early enough to allow the university to cover any scheduled assignments.

Teaching faculty on academic-year appointments who resign before the end of the academic year are paid for the number of semesters they have taught, at one half of annual salary per semester. Persons who leave their teaching positions during the semester will be compensated on a pro-rated basis, receiving a salary for only the service completed. Faculty members who have unused annual leave accrued while on 12-month appointments will receive payment for the leave upon resignation in accordance with University policies.

3.7 Exit Procedures

Employees who have resigned or retired must complete the exit interview process to ensure clearance of all personal debts owed and the return of all assigned university property to the respective department prior to termination and release.
of final wage payments. This requirement is a part of UT Policy HR0125. Faculty should contact the UT Martin Human Resources department to initiate this process.

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8 UT Policy HR0125: policy.tennessee.edu/hr_policy/hr0125/.
9 UT Martin Human Resources: www.utm.edu/departments/personnel/.
Chapter Four: Academic Freedom and Faculty Rights

4.1 Academic Freedom Board of Trustees’ Policy

Faculty members have the right to academic freedom and are expected to seek and to speak the truth as they perceive it on the basis of expertise and research in their discipline. Academic freedom is this right for faculty members to teach, research, create, and perform about their knowledge and understanding in their discipline. This freedom persists even when faculty members hold a minority view within their discipline and when others in and beyond the institution find these views contrary or objectionable. The right of academic freedom applies to all faculty members, including non-tenure-track faculty members. Faculty members should recognize that the right of academic freedom is enjoyed by all members of the academic community. They should be prepared at all times to support actively the right of the individual to freedom of research and communication.

4.1.1 Academic Freedom and Responsibility of the Faculty Member

The Board of Trustees’ “Policies Governing Academic Freedom, Responsibility, and Tenure” state the following about academic freedom and the responsibility of faculty members:

1. The primary responsibility of a faculty member is to use the freedom of his or her office in an honest, courageous, and persistent effort to search out and communicate the truth that lies in the area of his or her competence.

2. A faculty member is entitled to full freedom in research and in publication of the results, subject to the adequate performance of his or her other academic duties, but research for pecuniary gain either within or beyond the scope of his or her employment must be based upon an understanding with The University administration, according to The University's policies (e.g., Compensated Outside Services, Conflict of Interest).

3. A faculty member should maintain a high level of personal integrity and professional competence, as demonstrated in teaching, research, and service. Academic freedom does not exempt a faculty member from an evaluation by colleagues and administration of his or her qualifications for continued membership in their society.

4. A faculty member is entitled to freedom in the classroom in discussing the subject, but the faculty member should use care in expressing personal views in the classroom and should be careful not to introduce controversial matters that have no relation to the subject taught, and especially matters in which he or she has no special competence or training and in which, therefore, the faculty member’s views cannot claim the authority accorded his or her professional statements.

5. A faculty member should recognize that the right of academic freedom is enjoyed by all members of the academic community. He or she should be prepared at all times to support actively the right of the individual to freedom of research and communication as defined herein.

6. In addition to the normal responsibilities of a citizen of the state and nation, including the duty to uphold their Constitutions and obey their laws, a faculty member also should conduct himself or herself professionally with colleagues. He or she should strive to maintain the mutual respect and confidence of his or her colleagues. He or she should endeavor to understand the customs, traditions, and usages of the academic community.

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1 BT0006: Acad. Freed. & Faculty Member: tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf#page=3.
7. When, as a citizen, a faculty member speaks outside the classroom or writes for publication, he or she should be free, as a citizen, to express his or her opinions. Each faculty member should conduct himself or herself professionally, should be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make clear that he or she speaks for himself or herself and not for The University.

4.1.2 Academic Freedom and Responsibility of the Administration

The Board of Trustees’ “Policies Governing Academic Freedom, Responsibility, and Tenure” state the following about academic freedom and the responsibility of the University administration:

Academic Freedom and Responsibility of the University Administration

1. The University is committed to recruiting, appointing, retaining and promoting faculty members by processes which are thorough, thoughtful, equitable, and in which the professional judgments of faculty members are of major importance.

2. Administrative officers should actively foster within The University a climate favorable to freedom of teaching and research. In its pursuit of excellence, The University should reward its outstanding faculty members.

3. The administration is responsible for enforcing all Board and campus policies applicable to faculty members. It is the duty of the administration--beginning with department heads, deans, and chief academic officers--to remove from the faculty any faculty member who has been found, through proper procedures, seriously derelict in his or her responsibilities as a member of the academic community.

4. The Board requires that each campus and its constituent academic units develop appropriate policies and procedures necessary to implement the Board's tenure policy.

4.1.3 Freedom as a Citizen

When faculty members communicate as citizens on matters of public concern, they operate independently of the university. In this situation, faculty members have rights common to all citizens, including the rights to organize and join associations, participate in public meetings, run for and serve in government offices subject to applicable state and federal laws and university personnel policies, demonstrate, picket, and voice their opinions. To exercise their rights as citizens, faculty members must also respect the university by not claiming to represent the positions or views of the University, and by not using institutional resources.

4.2 Equity and Diversity

4.2.1 Policies and Position Statements

The University is committed to the principle that decisions concerning employment, admission, and performance should be based on an individual’s qualifications and performance and not on characteristics unrelated to job or academic requirements. The University does not discriminate on the basis of race, gender, color, religion, national origin, age, disability, or veteran status in provision of educational opportunities or employment opportunities or benefits. The University and its employees shall not discriminate against or harass any employee or student on the basis of sexual orientation; gender identity; marital status; parental status; or similar characteristics, regardless of whether those characteristics enjoy a protected status under state or federal law.

UT Policy HR0220 further states that the language of the paragraph above shall not be construed to: (1) confer eligibility for employment benefits for which an employee is not otherwise eligible under state law, policy, or practice; (2) infringe upon the free exchange of ideas essential to the academic environment; (3) limit the freedom of religious association; (4) establish a duty to engage in affirmative action measures for characteristics not subject to affirmative action under state or federal law; (5) require the compliance of external entities or individuals or compliance of

3 UT Policy HR0220: policy.tennessee.edu/hr_policy/hr0220/.
Section 4.3

university programs governed by external government agencies in which non-discrimination does not include certain personal characteristics (e.g., ROTC); or (6) create any cause of action not currently provided by state or federal law.

For further information see the following:

1. UT System Policy HR0220\(^4\) which was written to “establish and define the university policy concerning fair employment practices and to ensure equal employment opportunity to all university employees and applicants for employment.”

2. The UT Martin Office of Equity and Diversity. The OED website\(^5\) includes:
   a. the campus EEO statement and tagline,
   b. discrimination complaint procedures,
   c. affirmative action checklist for conducting searches, and
   d. UT Martin sexual harassment and discrimination guidelines.

3. Training offered by the Office of Equity and Diversity.

4.2.2 Complaints

Complaints of discrimination should be directed to the UT Martin Office of Equity and Diversity (OED). Complaints must be submitted in writing and filed within the timeframe for reporting the alleged discriminatory action specified on the OED website. In certain instances, at the discretion of the Equity and Diversity Officer/Title VI Coordinator, complaints filed outside that time limit, or not submitted in writing, may be investigated.

1. Employees and students are encouraged to attempt to resolve a complaint through the administrative structure of the employment unit or academic department. The Equity and Diversity Officer/Title VI Coordinator will provide assistance to the complainant, employment unit, and/or academic department in order to resolve the complaint.

2. Complaints received directly by the Equity and Diversity Officer/Title VI Coordinator will be reported to the appropriate administrator(s), who will attempt to resolve the matter working in conjunction with the Equity and Diversity Advisory Council. Confidentiality will be maintained to the extent possible.

If the complaint is not resolved through the methods described above, it can be filed using the process on the Office of Equity and Diversity website.\(^6\)

4.3 Personnel Files and Release of Information

Under the Tennessee Public Records Act, personnel records of all University employees are public records which may be inspected and copied by citizens of Tennessee during regular business hours. Public records include “all documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings, or other material regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency” (T.C.A. §10-7-503(a)(1)(A)). This law is addressed by UT Policy 0130\(^7\) which includes a list of information to be redacted (when possible) before record release and a list of documents to be stored permanently. At UT Martin, these documents are found in Human Resources, Academic Affairs, College and Department personnel files.

\(^4\) UT Policy HR0220: policy.tennessee.edu/hr_policy/hr0220/.
\(^5\) UT Martin Office of Equity & Diversity: www.utm.edu/departments/equalopp/.
\(^6\) UT Martin OED Complaint Procedure: www.utm.edu/departments/equalopp/complaintprocedure.php.
\(^7\) UT Policy HR0130: policy.tennessee.edu/hr_policy/hr0130/.
For more information about the Public Records Act, filing a new Authorization of Disclosure form, and correcting errors in personnel files, contact the Office of Human Resources.8

4.4 Faculty Rights of Appeal

4.4.1 Introduction

The following general and special procedures are provided to give faculty members an opportunity to seek resolution of complaints about decisions affecting their employment as faculty members. Faculty members should make reasonable efforts to resolve issues informally before using these procedures. The procedures outlined in this section must be initiated within one year of the date of the employment decision in question, or before termination of employment, whichever occurs first.

A. General Appeals

Faculty members with grievances have three options for pursuing appeals, depending on the subject matter(s) of their appeal. They may (1) initiate an appeal through administrative channels (Section 4.4.2), (2) request an appeal through the Faculty Relations Committee (Section 4.4.3), or (3) bring an appeal through the Tennessee Uniform Administrative Procedures Act (TUAPA; Section 4.4.4). Each of these options is addressed in the following sections.

The appeals procedures through administrative channels and the Faculty Relations Committee are formal but not judicial processes.

B. Special Appeals

Special procedures are provided for cases involving (1) allegations of discrimination or harassment due to race, sex, religion, national origin, age, handicap, or veteran status, (2) termination or suspension of a tenure-track faculty member for adequate cause prior to the expiration of his or her term of appointment, (3) termination or suspension of a tenure-track faculty member without the minimum advance notice specified for non-reappointment of the tenure-track faculty, or (4) allegations that the non-renewal of appointment of a tenure-track faculty member constitutes a violation of academic freedom.

1. Appeal Procedures for Complaints of Discrimination: Allegations of discrimination on the basis of race, sex, national origin, religion, age, disability, or veteran status must be brought forward and investigated in accordance with procedures outlined in the UT Martin Office of Equity and Diversity’s website.9

2. Appeal Procedures for Alleged Violations of Academic Freedom: When a decision not to reappoint a non-tenured faculty member is appealed as an alleged violation of academic freedom, the appeal shall be made directly to the Faculty Relations Committee and shall be heard in accordance with the procedures outlined below.

4.4.2 Appeals through Administrative Channels

To initiate a grievance through administrative channels, the faculty member must write a letter to the official at the first administrative level where a contested recommendation or decision was made. The letter should (a) notify the administrator that a grievance is being made, (b) outline the nature of the grievance, and (c) state the desired action. The administrative channels through which a grievance may progress include: Department Chair or the academic unit head; Dean of the college to which the faculty member belongs; Vice Chancellor for Academic Affairs; Chancellor; and President. At each level, the administrator ideally should inform the faculty member of his/her decision in writing within thirty days. If the grievance is not resolved at the first administrative level where a negative recommendation or decision was made, the faculty member may pursue the grievance through each succeeding level of administration. Upon receipt

8 UT Martin Human Resources: www.utm.edu/departments/personnel/.
9 UT Martin Office of Equity and Diversity: www.utm.edu/departments/equalopp/.
of a negative decision by an administrator at one level, the faculty member will have thirty days to initiate an appeal to the next level.

**A. Appeal Procedures for Non-Reappointment of Probationary Faculty Member**

A decision not to reappoint a probationary faculty member may be appealed to a committee consisting of the faculty member's chair, dean, and the Vice Chancellor for Academic Affairs. After receiving any material the faculty member chooses to present, the committee will recommend to the Chancellor whether the initial recommendation should be supported or reversed. An action not to reappoint a probationary faculty member without the minimum advance notice specified in Section 2.7.1 of this handbook may be initiated only for cause.

**4.4.3 Appeals through the Faculty Relations Committee**

When a faculty member who has initiated a grievance through administrative channels receives a negative decision by the Vice Chancellor for Academic Affairs, the faculty member may appeal the Vice Chancellor's decision to the Chancellor directly or request review by the Faculty Relations Committee prior to the Chancellor's review. The Vice Chancellor's decision shall include notice to the faculty member of his/her right to request review by the Faculty Relations Committee. The faculty member will have thirty days from receipt of the Vice Chancellor's decision to request a Faculty Relations Committee review.

To initiate the review, the faculty member must submit a letter to the chair of the committee and provide a copy to the Vice Chancellor for Academic Affairs. The letter should (a) indicate that an appeal is being made, (b) outline the nature of the appeal, and (c) state the desired action. The chair of the Faculty Relations Committee in consultation with committee members and the Chancellor will determine if the faculty member's complaint both lies within the scope of the Committee's jurisdiction and merits consideration. If so, the chair will initiate a complete review of the matter.

**A. Authority of the Faculty Relations Committee**

For matters which lie within the scope of the Committee's jurisdiction, the Committee will consider only whether or not personnel decisions were made according to University policies, procedures, and regulations. The scope of the Committee's jurisdiction with respect to promotion and tenure decisions is limited to a review of complaints that applicable procedures were not followed. Members of the Faculty Relations Committee shall hold all information in confidence except when required by law to make disclosure.

The Faculty Relations Committee will not accept for review matters involving

1. allegations of discrimination in violation of university policy or procedure (see Special Appeals above);
2. non-reappointment of probationary faculty members (see Section 4.4.2.A); or
3. termination of temporary or probationary faculty before the stipulated term of appointment (see Section 2.7.2).

**B. Process for Appeals**

When an appeal lies within the scope of the Faculty Relations Committee (FRC), the following steps will be implemented:

1. The FRC will elect four of its members to serve along with the FRC chair as the Hearing Committee. Each party involved in the appeal shall have the right to exclude two potential members without being required to show cause for such exclusion. All members having a bias toward the parties or issues involved should recuse themselves from consideration, as should all members of any involved academic departments. The chair of the FRC shall serve as chair of the Hearing Committee. In appeals where the FRC chair is excluded or recused, the FRC will elect a fifth member to participate and serve as chair of the Hearing Committee.
2. The Hearing Committee will receive evidence, hear witnesses, and/or take written statements. Each party may specify a UT Martin colleague to be a nonvoting observer of the proceedings.
3. Judicial rules of procedure and evidence shall not be required. However, any individual making a presentation to the Hearing Committee may obtain the assistance of an advisor or legal counsel. If legal representation is desired, the faculty member must notify the Hearing Committee at least ten days before any hearings that may be scheduled so that the University may also schedule the presence of legal counsel. The University will be obliged to notify the individual in the same way. If this notification comes later than ten days before a hearing, postponements may be granted by the Hearing Committee so that those who desire counsel may have counsel present. Participation of legal counsel shall be limited to advising their clients and shall not include examination of witnesses or oral argument.

4. The Hearing Committee will ensure that all appropriate parties are notified of its review and given an opportunity to present to the committee evidence deemed appropriate. Any objection to the review procedures or composition of the Hearing Committee must be made in writing to the chair of the Hearing Committee. The committee shall review all objections, and its decision will be final.

C. Hearing Results and Recommendations

1. After due consideration by the Hearing Committee, its recommendations based on majority vote shall be detailed in writing to the Chancellor and to the parties involved in the appeal.

2. Prior to reaching a final decision, the Chancellor has the option of asking the Hearing Committee to reconsider specific issues of fact. The written decision of the Chancellor shall be forwarded to the chair of the Hearing Committee and to the parties involved in the appeal. If the Chancellor does not accept all or part of the findings and recommendations of the Hearing Committee, he/she will include in the decision the reasons for not doing so.

3. The faculty member may appeal the Chancellor's decision to the President of the University within thirty days of receipt of the Chancellor's decision. An appeal to the President must be in writing.

4.4.4 Appeals through the Tennessee Uniform Administrative Procedures Act

A hearing under the Tennessee Uniform Administrative Procedures Act (TUAPA) is available to tenure-track and non-tenure-track faculty members under certain circumstances. Requests for a TUAPA hearing must be brought within 10 days of the employment action that is the subject of the hearing. The process for such appeals is described in appendices B and C of the Board of Trustees’ Policies Governing Academic Freedom, Responsibility, and Tenure.\(^{10}\)

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\(^{10}\) UT Policy BT0006: [www.tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf](http://www.tennessee.edu/system/academicaffairs/docs/BdTenurePolicy.pdf).
Chapter Five: Faculty Responsibilities

5.1 Course Schedules and Curriculum Changes

A. Schedules

Schedules of classes are proposed by the department chair/dean with adequate faculty involvement and are approved by the appropriate dean and the Vice Chancellor for Academic Affairs. Schedule changes should be made by chairs only after clearance with dean of the college and with the Director of Academic Records and Registrar. Final examination schedules are normally published at the same time as class schedules.

B. Textbooks and Course Materials

Each department is responsible for adopting and enforcing appropriate guidelines concerning textbook choices within the department. Unless departmental approval is given, instructors may not require purchase of their own textbooks. The department chair will file official forms requesting the ordering of textbooks with the Manager of the campus bookstore.

Duplication and distribution of instructional materials must comply with university policy and federal copyright statutes.

C. Curriculum Changes

Proposed changes in curriculum are usually initiated by departmental curriculum committees. The forms necessary to request a curriculum change and guidelines for these forms are available on the Faculty Senate website. Curriculum change requests must describe the impact on academic programs, staffing, facilities and equipment within the department and in other departments or colleges along with any anticipated costs. Approval of changes in a department’s curriculum must progress through the following process:

1. Department curriculum committee;
2. Department chair;
3. College curriculum committee;
4. Dean;
5. BA/BS committee - if the curriculum change affects the requirements for the campus-wide BA/BS degrees
6. Committee on Instruction – if the curriculum change affects courses or requirements in the campus general education;
7. Undergraduate Council and/or Graduate Council;
8. Faculty Senate; and

At each level proposals may be approved, disapproved, or referred back to the department or college for clarification or further study. Departments proposing new degree programs or majors should contact the Associate Vice Chancellor for Academic Affairs to obtain guidelines for preparation of these proposals.

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1 UT Policy FI0155: policy.tennessee.edu/fiscal_policy/fi0155/.
5.2 Teaching and Advising

5.2.1 Teaching Courses

A. Introduction to Courses

At the first class meeting faculty should distribute and discuss the course syllabus. The content or topics which will be studied should be outlined generally, and course objectives should be made clear. Faculty should announce and discuss such matters as required readings, the grading procedures, class policies, and critical events including the approximate number and nature of tests. Students should be reminded that letters from the Student Services and Success Mentoring Center outlining accommodation for a documented disability should be provided to the faculty within the first two weeks of the semester.

Changes to the syllabus should be made only after careful consideration and consultation with the students. The instructor's expectations with regard to academic honesty and class attendance should be made clear at the beginning of the term.

B. Conducting the Course

In presenting course content, the faculty member should endeavor to adhere to the subject; the classroom should not be used as a theater for expression of personal views which are not germane to the course. The faculty member should take care that the tests and all other devices for student evaluation are appropriate instruments for measuring course objectives. Moreover, the faculty member should complete all grading as soon as possible and discuss the results with students to facilitate maximum learning.

A final examination should be administered for every course offered at UT Martin. The instructor must provide in advance written justification to the department chair or college dean if a final examination is not given. The examination must be given during final examination week at the scheduled time as published on the Registrar’s website. The mechanism for rescheduling a final examination should be followed. Any such change should be discussed with and agreed upon by the students registered for the course.

The various possible course grades are explained in the UT Martin catalog. Faculty will follow the procedure for reporting final grades as specified by the Registrar. A faculty member shall base all academic evaluations upon professional judgment and academic achievement in accordance with the university's policies regarding equity and diversity. An instructor should be willing to discuss academic standing with individual students at any time during the semester. The instructor should also exercise flexibility in course requirements to allow students to make up work for which legitimate excuses can be presented and when the student has followed appropriate steps to inform the instructor. Absences for required campus activities will be considered legitimate provided the instructor is notified in advance and given appropriate documentation.

C. Class Attendance Policy

Class attendance is an integral part of the educational experience; students are expected to attend class. The instructor of a course may determine the course attendance policy with the provision that the policy must be applied consistently to all students in the course. The attendance policy should be reasonable and should be explicitly and unambiguously stated in each class at the beginning of the semester.

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6 UT Martin Guide to entering grades (on faculty menu within banner): [banner.utm.edu](http://banner.utm.edu).
D. Cancellation of Classes

The faculty member should set an example for students in being faithful in attendance and punctual in starting and ending classes. Students should be informed of all planned absences as early as possible. A faculty member who must be away from class to attend a conference or other professional meetings should be willing to compensate for the absences by arranging substitute instructors, appropriate assignments, or (in consultation with the classes) substitute class sessions. All absences should be reported to the immediate supervisor. In an emergency, the faculty member should have the class notified through the departmental office. Repeated or prolonged absences should be cleared with the department chair or college dean.

The University's Board of Trustees has issued the following statement clarifying its policy on the willful and unauthorized cancellation of classes:

Students who enroll at The University of Tennessee have paid fees for courses in which they are enrolled and the citizenry of the state has provided funds to support scheduled academic activities. Hence, faculty and staff members are to conduct their classes and related functions in accordance with previously established schedules. There will be no deviation from this procedure unless permission is given by appropriate administrators, in accordance with procedures established by each Chancellor. Action contrary to the preceding policy is prima facie evidence of violation of contractual commitments of faculty and staff members of The University of Tennessee. Variations from this policy will be investigated, and, in the event of verified violations, appropriate action, including voiding of employment contracts, will be taken.

5.2.2 Advising Students

A. Academic Advising

The University of Tennessee at Martin shall provide academic advisement to all regularly enrolled students. The objectives of the campus advisement program are to:

1. provide students with information on policies, procedures, and programs of the campus;
2. assist students in exploring educational and career opportunities;
3. assist students in establishing life goals;
4. assist students with the development of an educational plan of study and the selection of courses; and
5. make students aware of the range of services and educational opportunities pertinent to their educational objectives at this campus.

The Vice Chancellor for Academic Affairs is responsible for the academic advisement program at UT Martin, which is based upon a system of policies, procedures, publications, personnel, and services that are adopted on a campus-wide basis. The deans of the individual colleges are accountable to the Vice Chancellor for Academic Affairs for the effectiveness of the advisement programs within each college.

In support of the academic advising program and academic advisors UT Martin shall:

1. provide advisors with current and accurate information related to student educational preparation and progress;
2. provide advisors with appropriate training in academic advising;
3. periodically evaluate the effectiveness of the advisement program and individual advisors; and
4. consider academic advising in tenure, promotion, and merit decisions.

B. Advising Extracurricular Groups

Some faculty members may elect to serve as sponsors and advisors of groups engaged in various extracurricular activities. Such service is regarded as an important part of an individual faculty member's contribution to the institution. All sponsors and advisors of student organizations and activities should be familiar with policies regarding such
organizations and activities and in cases of uncertainty should not hesitate to consult the Office of the Vice Chancellor for Student Affairs, or other officials or committees concerned with extracurricular activities. The Student Handbook\(^7\) details information on student affairs, organizations and activities, and policies and procedures.

### C. Access to Student Records Under FERPA

The Family Educational Rights and Privacy Act\(^8\) (FERPA) was enacted by Congress in order to protect the privacy of students and their parents. FERPA grants students and parents of students certain rights to access the student’s educational records and challenge the release of such records to third parties. For more information about FERPA and training required for UT Martin faculty and staff, see the registrar’s web pages.\(^9\)

### 5.3 Faculty/Student Relationships in the Classroom

#### 5.3.1 Faculty Responsibilities to Students

Faculty members have the responsibility to discharge their duties in a fair and conscientious manner in accordance with standards generally recognized within the academic community. As a minimum, these standards include:

1. meeting class commitments when scheduled and informing students in advance of scheduled absences;
2. utilizing a portion of the first or second class period to discuss plans for the course. This presentation should include: a general outline of the course as to content or topics to be studied; a description of the kinds of learning activities expected; guidelines for the type and expected amount of course work; a description of the means for evaluating student performance; and an explanation of expectations regarding academic integrity that specifies penalties for plagiarism and cheating and stresses the seriousness of such behaviors;
3. encouraging acceptable academic conduct by all members of the academic community at all times;
4. informing classes, in advance of any evaluation, of the permissible materials or references allowed during evaluation;
5. taking thorough precautions against student cheating on examinations or other required class work;
6. basing all academic evaluations upon professional judgment and academic achievement in accordance with the university’s policies regarding equity and diversity;
7. performing grading duties in a timely manner and encouraging consultation with students concerning any grade they feel to be incorrect;
8. being available to students on a regular basis for consultation and advisory services—office hours should be scheduled, posted and met;
9. respecting the confidentiality of student information contained in University records and refraining from releasing such information according to FERPA requirements;
10. abstaining from the exploitation of any professional relationship with students for private advantage, and from soliciting the assistance of students for private purposes in a manner which infringes upon such students’ freedom of choice;
11. giving appropriate recognition to contributions made by students to research and publication;
12. refraining from any activity which involves risk to the health, safety, and welfare of a student except with the student’s informed consent and, where applicable, in accordance with University policy relating to the use of human subjects in experimentation (contact the Institutional Review Board for Human Subjects\(^10\) for more information);
13. respecting the dignity of students individually and collectively in all academic contexts; and
14. exercising flexibility in course requirements to allow students to make up work for which legitimate excuses have been properly presented.

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\(^7\) UT Martin’s Student Handbook: [www.utm.edu/departments/studentlife/](http://www.utm.edu/departments/studentlife/).


The above responsibilities of University faculty should not be considered inflexible or all-inclusive, but rather as general guides. Each faculty member should become familiar with expected standards of professional conduct through observation of and consultation with colleagues within the University community. Every faculty member is expected to familiarize themselves with and abide by the UT Code of Conduct.\(^{11}\)

### 5.4 Grade Changes and Student Appeals

Every faculty member has the responsibility to determine students' grades in a fair and conscientious manner in accordance with standards generally recognized within the academic community. Once assigned, grades submitted to the Registrar may not be changed without approval by the faculty member’s department chair and dean (1) after two regular semesters have passed since the grades were assigned, or (2) after the student’s degree has been conferred.

In the case that the grade change would impact satisfaction of degree requirements for a degree already conferred, the university reserves the right to pursue revocation of the degree.

Students who wish to appeal a grade that is alleged to be lower than that academically earned must initiate the process within the first three weeks of the next semester. The aggrieved student shall first discuss the matter with the instructor involved to see if an error or misunderstanding can be resolved between them. If the student and the instructor are not able to resolve the grade issue, then the student may begin an appeal by taking the matter to the department chair. See the Student Handbook\(^ {12}\) for detailed information. The recommendations of all involved in the appeal process are only advisory to the instructor.

### 5.5 Student Rights and Responsibilities

Information on student rights and responsibilities is found in the UT Martin Student Handbook\(^ {13}\) and the Rules of UT Martin, Chapter 1720-05-01 “Student Conduct.”\(^ {14}\)

#### 5.5.1 Student Standards of Conduct

The Student Handbook, published annually, contains statements concerning standards of conduct which students are expected to maintain and disciplinary procedures which may be used when unacceptable student behavior occurs. Faculty members are expected to encourage acceptable conduct on the part of students. Some faculty members may be asked to participate in activities of faculty-student disciplinary committees. In specific cases of student misconduct, faculty consultation with the Division of Student Affairs or the Division of Academic Affairs may be desirable.

#### 5.5.2 Academic Honesty

Both students and faculty have the obligation of upholding the academic commitment of UT Martin and the UT System to honesty and integrity; therefore, both professors and students have the responsibility to guard against cheating and plagiarism. Each professor should explain the university position on academic integrity, stress the seriousness of academic dishonesty, and state his/her method of handling cheating and plagiarism at the beginning of each semester. A professor has both the right and the obligation to deal fairly and aggressively with academic dishonesty when detected or observed. Subject to the provisions of Tennessee Regulation 1720-05-01,\(^ {15}\) the teacher has the right to assign a final grade of F to any student guilty of cheating or plagiarism or to impose other reasonable academic penalties that reduce a student’s grade on a project or for the course. In addition, the teacher is strongly encouraged to report any instance of academic dishonesty to the Division of Student Affairs.

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\(^{11}\) UT Policy HR0580: policy.tennessee.edu/hr_policy/hr0580/ (see also tennessee.edu/code).

\(^{12}\) UT Martin’s Student Handbook: www.utm.edu/departments/studentlife/.

\(^{13}\) UT Martin’s Student Handbook: www.utm.edu/departments/studentlife/.


All faculty members are also expected to take thorough precautions against allowing the integrity of the examination process or of any other kind of academic exercise or evaluation to be compromised. The class should be informed in advance of any evaluation concerning the permissible materials, references, or procedures allowed during an evaluation.

The Division of Student Affairs works closely with the faculty to enforce the policy of academic integrity and to maintain relative consistency in the imposition of penalties for various kinds of unacceptable student behavior. Ultimately, however, the faculty itself is collectively responsible for ensuring that the academic processes of the University remain authentic and that students understand the value of honesty in their academic work. Conscientious, collective action by the faculty, grounded in a unanimous rejection of academic dishonesty as a mode of operation by students in the classroom, will go far toward curbing unacceptable student behavior and toward generating an ethos that promotes real learning while molding graduates who are accustomed to behaving as honest, trustworthy citizens.

5.5.3 Academic Dishonesty

Each student is presumed to accept the obligation of academic integrity upon enrolling in the University. These standards are found under “Academic Integrity” in the Student Handbook and on Student Affairs’ website.¹⁶

Faculty who detect or observe academic dishonesty may wish to confer with the department chair during the process of determining an appropriate response to a violation. Students should receive explanations of any disciplinary actions and be informed of their right to appeal. Conduct which represents a serious violation of academic integrity may result in additional disciplinary action by the Division of Student Affairs, acting in response to the teacher’s report of the violation and taking into account the teacher’s recommendations about an appropriate penalty. Records of reported violations, appeals, and the results of any proceedings should be stored by the Division of Student Affairs.

A student may not withdraw from a course to avoid an F imposed for academic dishonesty. However, the F in the course can be removed if the student re-takes the course in a later term and passes it. No permanent record is entered into a student’s academic file of any penalty for academic dishonesty that is imposed by the Division of Student Affairs; the records of such penalties, along with any notations recording the fact that a teacher has entered a reduced or failing grade because of the student’s academic dishonesty, remain in the student’s confidential records maintained in the Division of Student Affairs.

In instances where faculty have knowledge of student academic misconduct occurring in another faculty member’s class, the misconduct should be reported to that faculty member and copies of any evidence provided. In those cases where student misconduct in their class appears to be widespread or organized, faculty members are encouraged to consult with their chair or dean before taking punitive action.

5.5.4 Disruptive Behavior

Student behavior which is disruptive in a class should not be tolerated and should be met with the appropriate faculty response, up to and including referral to Public Safety. If counseling by the teacher, chair, or dean does not resolve the problem, the name of each student charged with the disruptive behavior and a written charge of the disruptive activities should be submitted to the Division of Student Affairs, where it will be dealt with through normal disciplinary and judicial procedures.

5.6 Faculty Development and Research

5.6.1 Office of Research, Grants, and Contracts

The Office of Research, Grants, and Contracts (ORGC) assists members of the campus community in pursuing and managing their research and development activities sponsored by internal and/or external agencies and organizations. This includes providing advice and assistance to faculty members in preparing and submitting applications for research

funds, fellowships and training programs, and grants and contracts. Any direct contact with external agencies needs to be coordinated through this office. An internal coordination sheet provided by the office assures that all pertinent administrators have an opportunity to review proposals prior to submission for consideration.

### 5.6.2 UT Martin Programs

The ORGC coordinates and sponsors activities, internal grant competitions and awards designed to promote and reward excellence in teaching, research and advising. These include:

1. modest faculty development grants for: continued education, the improvement of teaching, international travel; the enhancement of teaching through technology, faculty leaves, and pilot research grants;
2. monetary awards for: outstanding teaching, outstanding teaching & scholarship, and outstanding advising; and
3. teaching effectiveness workshops, projects and institutes.

Explore the ORGC website for information on all such programs. (Note that the Division of Academic Affairs sponsors a biannual recognition of a featured scholar.)

### 5.6.3 Compliance

Contact the ORGC for information on compliance with university policies, state and federal laws. For example:

1. All UT employees must follow the policy on Misconduct in Research and Service.
2. The Federal Controlled Substances Law requires that all faculty using narcotics or other dangerous drugs in their research or teaching program involving either human beings, lower animals, or plants must register their projects through the ORGC with the state to obtain a registration number for their research projects.
3. Faculty must ensure that their use and care of animals in teaching and research complies with all policies and laws. See the ORGC website for information or contact the Institutional Animal Care and Use Committee (IACUC).
4. Faculty members involving human subjects in their research should ensure that their project design provides adequate protection for those subjects and complies with current guidelines. This usually involves consent forms and approval of the Institutional Review Board for Human Subjects (IRB).
5. Effort certification is the process of verifying that appropriate salary and wage expenses were charged to sponsored grants and contracts. Effort certification may be done online; contact ORGC for help.

### 5.6.4 UT Research Foundation

The UT Research Foundation (UTRF) serves as a bridge between researchers and industry, entrepreneurs and investors. UTRF facilitates the transfer of inventions to the private sector, providing public benefit of new products

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24 UT Online Effort Certification: [ecr.tennessee.edu/](http://ecr.tennessee.edu/).
which are the result of academic-research funding. University employees are subject to the provisions of the Statement of Policy on Patents, Copyrights, and Other Intellectual Property.  

5.7 Ethical Conduct of Faculty

The unethical behavior of just one employee can detract from the excellent contributions of thousands. For this reason, compliance with rules and regulations and respect for fellow employees are of utmost importance, and infractions are reported promptly to appropriate officials. Employees should direct specific ethical or compliance questions to their supervisor or the university’s director of compliance.

5.7.1 University of Tennessee’s Code of Conduct

In carrying out its educational, research, and public service missions, the university relies on the ethical and responsible conduct of all employees. The University of Tennessee’s Code of Conduct was developed to supplement and clarify existing university policies, procedures, and rules. Employees are expected to familiarize themselves with the Code and to abide by it.

5.7.2 Conflicts of Interest

Employees are expected to take all reasonable precautions and seek appropriate guidance to ensure that their outside interests do not place them in conflict with carrying out their duties and responsibilities as UT employees. Employees must disclose outside interests in accordance with university policies (e.g., UT’s conflicts of interest policy). Links to the appropriate disclosure forms may be found on the UT Martin Human Resources website and on the System’s web page for the conflicts of interest policy.

26 UTRF Statement of Policy on Patents… utrf.tennessee.edu/PDF/IP_Policy.PDF.
27 UT Policy HR0580: policy.tennessee.edu/hr_policy/hr0580/ (see also tennessee.edu/code).
28 UT Policy FI0125: policy.tennessee.edu/fiscal_policy/fi0125/.
Chapter Six:
Benefits, Leaves of Absence, and Other Resources

6.1 Benefits

The University of Tennessee offers a core employee benefit package with traditional benefits such as health and dental care, life insurance, deferred compensation and retirement plans as well as various leaves of absence, educational assistance, and other benefits including longevity pay. A summary of these benefits is located on the UT System Human Resources website. Benefit availability is based upon employment status as defined in Human Resources policy HR0105.

Other benefits available for UT Martin faculty may include, but are not limited to:

- 10% discounts at Barnes & Noble bookstore (textbooks excluded)
- Computer purchase through the UT Martin Computer Store with payroll deduction and no interest for one year
- Discounts for season tickets to athletic events
- Free checking with membership in UT Federal Credit Union
- Full access to Paul Meek Library
- Recreational Discounts

6.2 Leaves of Absence

The University of Tennessee offers various leaves of absence included in the summary of benefits on the UT System Human Resources website. In addition, the Family and Medical Leave Act (FMLA) requires the University to allow an eligible employee to take a certain minimum amount of job-protected unpaid leave, or to substitute appropriate paid leave if the employee has earned or accrued it, for specified family and medical reasons. See the UT System “Family and Medical Leave” policy. Questions regarding this and other available benefits should be directed to the UT Martin Office of Human Resources.

6.3 Resources

This section lists selected helpful resources and policies. Colleagues and the UT Martin website are excellent places to learn more.

6.3.1 Academic Resources

1. The Paul Meek Library provides access to information, resources, and services that meet the curricular, research, professional, intellectual, creative, and personal needs of the UT Martin community.

2. The Office of Information Technology Services (ITS) provides high-quality information technology and communications resources and services through common infrastructure and functions in support of the academic

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1 UT Benefits Summary: humanresources.tennessee.edu/benefits/docs/docs/Summary of Benefits 07-1-2014.pdf.
2 UT Human Resources (benefits): humanresources.tennessee.edu/benefits/.
3 UT Policy HR0105: policy.tennessee.edu/hr_policy/hr0105/.
4 UT Benefits Summary: humanresources.tennessee.edu/benefits/docs/docs/Summary of Benefits 07-1-2014.pdf.
5 US FMLA: www.dol.gov/whd/fmla/.
6 UT Policy HR0338: policy.tennessee.edu/hr_policy/hr0338/.
8 UT Martin Library: www.utm.edu/library.
9 UT Martin ITS: www.utm.edu/departments/its.
and administrative activities of UT Martin. ITS provides networked computers on a three-year replacement cycle for all full-time, regular, teaching faculty. Employees and students must abide by the UT policy on Acceptable Use of Information Technology Resources.10

a) The UT Martin Computer Store handles all computer purchases for the campus. Individuals as well as departments may contact the Computer Store for computers, peripherals, software and computer supplies.11

b) The Instructional Technology Center (ITC) provides a facility to explore technology and then incorporate it into the classroom. Web Services manages the development, creation, and maintenance of the departmental websites at the UT Martin.12

3. The Office of Student Engagement is committed to providing outstanding student services through four departments: Academic Records; Admissions; Financial Aid and Scholarships; and the Student Services and Success Mentoring Center. OSE also provides ongoing analysis of the characteristics and behaviors of prospective, current, and former students.13

a) The Office of Academic Records (OAR), directed by the Registrar, compiles the course schedules each semester and oversees registration. Their website14 provides important dates, final exam schedules, grade entry, FERPA information, and transfer equivalence tables. OAR is responsible for processing student special requests, maintaining CAPP, and maintaining official student records.

b) The Services and Success Mentoring Center provides resources for achieving academic excellence including disability services, supplemental instruction, and testing services.15

4. The University Bookstore16 stocks the adopted textbooks for all classes and offers a wide variety of supplies, materials, and apparel so faculty/departments should inform the bookstore of their textbook choices within the required timeframe. Faculty and staff receive a ten percent discount on all purchases except textbooks.

6.3.2 Other Campus Resources

1. The UT Martin Public Safety website provides policies and procedures on topics such as parking, minors on campus, alcohol, weapons, reporting sexual assault, etc. For example:

a) Parking: all who operate vehicles on campus are required to register their vehicles with the Department of Public Safety.17

b) Appropriate keys will be issued to authorized persons by Public Safety. The form to request keys is found on the Physical Plant website.18

c) Access to campus is controlled by the Rules of the University of Tennessee (especially chapter 1720-01-02 and 1720-01-12).19

d) The UT Policy Programs for Minors20 discusses mandatory reporting, training, approval and monitoring of programs for minors.

e) Smoking (including electronic cigarettes) is prohibited in all buildings and vehicles owned or operated by the University. UT Martin is a Drug Free Campus and Workplace.21

f) Fires and classroom emergencies should be reported by calling 911.

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10 UT Policy IT0110: policy.tennessee.edu/it_policy/it0110/.
12 UT Martin ITC & Web Services: www.utm.edu/departments/itc/.
13 UT Martin OSE: www.utm.edu/departments/ose/.
14 UT Martin OAR: www.utm.edu/departments/registrar/.
15 UT Martin SSC: www.utm.edu/departments/success/.
16 UT Martin Bookstore: www.utm.edu/bookstore.
18 UT Martin Physical Plant: www.utm.edu/departments/physplant/.
20 UT Policy SA0575: policy.tennessee.edu/safety_policy/sa0575/.
21 UT Policy HR0720: policy.tennessee.edu/hr_policy/hr0720/.
2. The Office of University Relations offers counsel on the production of publications and contact with the media. University Relations must approve university publications (such as departmental web pages and brochures).

3. The Skyhawk (Faculty Identification) Card is necessary for identification, access to certain locations, and making some purchases. The ID card remains the property of the University and is to be surrendered upon termination of employment.

4. Official travel must be approved and is reimbursed according to the UT System Travel policy.

5. On-the-job injuries should be reported to the immediate supervisor (contact Human Resources for further information).

6.3.3 Supplies and Equipment

University resources are available to faculty members for use related to the performance of University duties. Any other use of these resources is unauthorized.

No University official or employee is authorized to give away University property or to loan University equipment or property to anyone for his/her personal use or gain. Disposal of surplus or obsolete equipment or supplies must be effected through procedures as set forth in Fiscal Policy and Procedures. University policy does not permit anyone to remove University equipment from University premises for purposes other than University business.

6.3.4 Inclement Weather Policy

The Chancellor may officially close or suspend selected activities of the University because of extreme weather conditions. Closures will be announced using both electronic and traditional media according to the procedures listed on the UT Martin website.

Some facilities such as the library and University Center will, if possible, continue to function as a service to students and faculty. When the University is officially closed, its policy of Days of Administrative Closing will apply for staff exempt and staff non-exempt employees. In the event of inclement weather when the University remains open, all faculty, administrators, and staff will be expected to make every reasonable effort to maintain their regular work schedules but are advised to avoid undue risks in traveling.

Employees who anticipate arriving late or not arriving at all should notify their immediate supervisors. Students will be responsible for any academic work which they miss due to absences caused by severe weather conditions. The individual student is responsible for taking the initiative to make up any missed class work, and the instructor is responsible for providing a reasonable opportunity for students to complete assignments or examinations missed due to such absences.

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22 UT Martin University Relations: [www.utm.edu/departments/univrel/](http://www.utm.edu/departments/univrel/).
28 UT Policy HR320: [policy.tennessee.edu/hr_policy/hr0320/](http://policy.tennessee.edu/hr_policy/hr0320/).
Chapter Seven:  
Revision of the Faculty Handbook

7.1 Board of Trustees’ Policy

The Board of Trustees’ Policy on Faculty Handbook Revisions\(^1\) states:

The Bylaws direct the Board of Trustees to establish “policies,” but not to direct “matters of administration”; the Bylaws further state that “The Academic Committee shall approve and recommend to the Board … the adoption and revision of faculty personnel policies.”

This clear distinction between policy and administration should be applied to the approvals required to effect changes in faculty handbooks. The Board of Trustees is responsible for policy changes in areas such as the following:

- appointment, retention, promotion, probation, tenure, and termination;
- academic freedom and faculty rights; and
- intellectual property, compensated outside services, academic misconduct, and conflict of interest.

For editorial, technical, and other housekeeping changes in these policy matters, the Board delegates review-and-approval responsibility to the President, the General Counsel, and appropriate Vice Presidents.

For all revisions in handbook matters other than policies like those noted above, the Board delegates review-and-approval responsibility to the President, the General Counsel, and appropriate Vice Presidents.

In the event of any conflict or inconsistency between the board’s policy and this handbook, the board’s policy will control.

7.2 Faculty Handbook Review

The Personnel Policies Committee (PPC) of the Faculty Senate will initiate proposed revisions to the Faculty Handbook. Each recommendation of the PPC will be presented at the next meeting of the Faculty Senate as a motion briefly outlining the reason(s) for the proposed revision and specifying the precise change(s) to be made. Adoption of the motion by the Faculty Senate constitutes a recommendation of the Faculty Senate to the chancellor for revision of the Faculty Handbook.

7.3 Revision of Titles and Editorial, Technical, and Housekeeping Changes

The Personnel Policies Committee, the Office of Academic Affairs and the Chancellor may make recommendations on editorial, technical, and other housekeeping changes, including changes to titles of administrative offices, academic units and other positions or units named in this handbook. The chancellor shall submit these recommendations to the chief academic officer for the system, who will forward them, with his or her recommendation, to appropriate vice presidents, the General Counsel, and the president. Final approval lies with the president.

The supplements to this handbook: the cover page, table of contents, the index, and the footnoted web links can be updated and corrected with the approval of the Vice Chancellor for Academic Affairs and the Chancellor.

\(^1\) UT Policy on Handbook Revisions: [policy.tennessee.edu/bot_policy/bt0007/](http://policy.tennessee.edu/bot_policy/bt0007/)
7.4 Policy Revision

The Faculty Senate Personnel Policies Committee will periodically review the provisions set forth in this handbook. The committee is responsible for recommending changes, which should have input from the chancellor and his or her administrative staff including deans, for consideration by the Faculty Senate Executive Committee and final consideration by the full Faculty Senate.

Major revisions to the Faculty Handbook may result from certain actions, including

- adoption of new or amendment of existing policies of the Board of Trustees
- recommendation brought by the chancellor to the Faculty Senate Executive Committee, after review by the Faculty Senate Personnel Policies Committee
- recommendation brought by any senate committee to the Faculty Senate Executive Committee after review by the Faculty Senate Personnel Policies Committee

Recommendations of the Faculty Senate for revision of the Faculty Handbook will be presented to the chancellor, who will submit his or her recommendations concerning the proposed revision to the chief academic officer for the system. The chief academic officer for the system will submit his or her recommendation to appropriate vice presidents, the general counsel, and the president.

If the proposed revision involves a substantive change in policy matters outlined in the Board Policy on Faculty Handbook Revisions, the president, in consultation with the vice presidents and the general counsel, will present his or her recommendation concerning the proposed revision to the board, or appropriate committee of the board. Final approval of all other proposed revisions of the handbook lies with the president, in consultation with the vice presidents and the general counsel.

7.5 Publication

After receiving final approval for any change, the office of Academic Affairs will update this handbook online. The handbook should be updated as necessary, and at least once per calendar year. Academic Affairs will notify faculty of all significant changes to the handbook when they are given final approval.
Appendices

APPENDIX A – UT MARTIN FACULTY SENATE

This appendix includes the Board of Trustees resolution establishing the Faculty Senate along with the Faculty Senate Bylaws. The bylaws are included in this appendix because changes do not require Board of Trustees action.

BOARD OF TRUSTEES RESOLUTION ESTABLISHING THE FACULTY SENATE (Adopted by the Board of Trustees on June 15, 1972):

Whereas the faculty of The University of Tennessee at Martin has exercised through faculty meetings and committees certain functions related to the development of the educational policies of the University;

Whereas these functions can be more effectively performed through a smaller, more formally organized group than the faculty as a whole; and

Whereas a need exists for more effective channels through which the Administration may seek the counsel and judgment of the faculty about matters of concern to the University;

It is therefore resolved that a Faculty Senate of The University of Tennessee at Martin be organized, subject to the following stipulations:

1. that the senate operate in accordance with the Bylaws which are hereby approved;
2. that the senate include authorized administrative officers of The University of Tennessee at Martin;
3. that the senate include elected representatives from each academic division, to be elected in such numbers and by such means as are set forth in the Bylaws;
4. that the senate shall consider policies affecting the academic activities of the institution, faculty welfare, academic administrative relationships and procedures, scholarship, curriculum development, awarding of degrees, and such other matters as may maintain and promote the best academic interests of the institution. The senate shall recommend to the Chancellor the establishment of new policies or changes in existing policies;
5. that the elected President of the Faculty Senate shall preside over all meetings, provided that in the absence of the President the Vice President shall serve as President;
6. that the senate Executive Committee shall make nominations for elective members of such educational committees as the Bylaws may provide and such other committees as the senate may authorize and that following such nominations the senate shall elect such committees;
7. that the senate shall have advisory functions either in itself or through its committees, administrative matters being expressly reserved to the Chancellor of the Martin campus and the President of the University and delegated by the Board of Trustees;
8. that a copy of this resolution be appended to the Bylaws, and be considered a part of the constituting document of the Faculty Senate of The University of Tennessee at Martin.
Faculty Senate Bylaws – The University of Tennessee at Martin

Preamble

In order that a systematic means be established for the effective participation of the faculty in the affairs of The University of Tennessee at Martin and in order that adequate channels be provided for the seeking by the administration of the counsel and judgment of the faculty about matters of concern to the University, it is desirable to establish a Faculty Senate of The University of Tennessee at Martin.

Article I Powers and Duties of the Senate

Section 1. The Faculty Senate of The University of Tennessee at Martin shall have those powers and duties which have been and which may be delegated to it by the Trustees of The University of Tennessee at Martin. (Hereinafter all references to "the University" shall be to "The University of Tennessee at Martin").

Section 2. Reports. All actions by the Faculty Senate shall be reported to the faculty (a) through distribution of copies of the actions of each senate meeting within a reasonable period of time and (b) upon request at any special meeting of the faculty. Such actions shall be subject to revision or alteration by the faculty provided that no rights or acts of third parties shall be affected by such revision or alteration. It is the responsibility of the President of the senate to transmit to the Chancellor within five working days any senate recommendations requiring the approval of that office. The Chancellor's response, either approving or disapproving the actions, explaining the response, and indicating how approved proposals will be acted upon, will be communicated in writing to the President of the senate within ten working days from the time the recommendations are received by the Chancellor.

Article II Faculty Senate Organization

Section 1. Members: Number, Classification, and Terms of Office. The membership in the Faculty Senate shall be divided into two classes—elected members, who are voting members, and ex officio members, who are nonvoting members.

A. Ex Officio Members. Ex officio members are the Chancellor; the Vice Chancellor for Academic Affairs; the Registrar and one representative of the Academic Council to be selected annually by the council.

B. Elected Members: Criteria, Election, and Term of Office. The faculty of each college or department of the University shall elect its representatives to the senate by February 1 of each year. Members of the Faculty Senate shall be elected from those members of the faculty meeting the following criteria at the time of election: (1) the holding of full-time appointment with academic rank, (2) the performance of academic duties totaling at least half-time teaching or professional library service, and (3) employment at UT Martin such that three (3) years of service in a tenure track position at UT Martin will be completed prior to the beginning of the term of office (with the exception of faculty in the Department of Military Science and Leadership). If there are no faculty members within representative schools or independent departments who meet the three years of service requirement then faculty members who have completed at least one year of full-time appointment in a tenure track position at UT Martin shall be considered for election to the Faculty Senate.

The term of office for elected members shall be three years. The terms of newly elected members shall begin on July 1 following election. No representative shall be elected immediately to succeed himself/herself following a full term of office or more than one-half of a full term. The department which has the Faculty Senate President as a representative shall elect a new representative for a one-year term to coincide with the term of office of the President.

1. Apportionment. Elective seats shall be apportioned among the respective colleges and independent departments by the Secretary of the Faculty Senate, as of January 15 of each year, on the basis of the following formula: (a) There shall be a minimum of one elected member for each non-departmentalized college and academic
department; (b) Each non-departmentalized college and academic department shall elect one member for any 5 fulltime faculty members or major fraction thereof.

2. **Classification.** The term of office for elected members shall be three years. Initial representatives of colleges or departments having three or more elective seats shall be classified with respect to the time for which they shall severally hold office, by dividing them into three classes, each class consisting of one-third of the elected representatives of each college or department. The representatives of the first class shall be elected for a term of one year; the representatives of the second class shall be elected for a term of two years; the representatives of the third class shall be elected for a term of three years. Thereafter, at each annual election the successors to the representatives whose terms shall expire in that year shall be elected to hold office for a term of three years in order that the term of office of one class of representatives shall expire each year.

3. **Increase in Apportionment.** In case of an increase in the number of elected representatives authorized for any college or department by three or any multiple of three, one-third of the additional representatives provided for shall be elected for the term of one year, one-third for the term of two years, and one third for the term of three years, in order that each class of representatives shall be increased equally. In the event one or two additional elected representatives are authorized for any college or department, their term shall be adjusted by the Faculty Senate to obtain the best distribution by years.

4. **Decrease in Apportionment.** In the event of a decrease in the base of representation for any college or department, the decrease in representation shall be made at the next expiration of the term of an elected member or by occurrence of a vacancy.

5. **Senate Class Distribution.** If an unequal distribution in senate classes should develop and if the imbalance cannot be corrected by increases or decreases in apportionment (see Items 3 and 4 above), the Executive Committee will recommend for senate approval a plan to bring the class back into balance.

6. **Student Representation.** The senate may by resolution provide for student representation in its membership.

**Section 2. Vacant seats.** In case of any vacancy in the Faculty Senate through death, resignation, or appointment to an administrative position involving less than 50 percent teaching or where a representative ceases to be a member of the faculty or is absent on leave for at least one semester, or is disqualified for other causes, the faculty of the college or department thus losing its representative shall elect a successor to fill the unexpired term.

If, however, an elected member of the Faculty Senate is to be absent from a meeting of the Faculty Senate, he/she shall ask a faculty colleague to represent the academic unit at the meeting. When the faculty member who is to substitute for the senator is unable to attend the senate meeting, then he/she shall arrange for another faculty colleague to represent the academic unit. Such appointment shall be certified by the Secretary of the Faculty Senate. Such substitute, at the meeting for which he/she is appointed, shall have all the privileges and power of the absentee member he/she replaces.

**Section 3. Meetings.** The senate shall normally meet on the fifth, tenth, and fifteenth Tuesdays of each semester or at the call of the Chancellor or President of the Faculty Senate on his/her own initiative or pursuant to a petition signed by ten members of the senate. If a Faculty Senate meeting is cancelled due to an unscheduled closure of the university, the Senate President shall reschedule the meeting as soon as possible.

**Section 4. Operation of the Senate.**

A. **Quorum.** A majority of the elected members shall constitute a quorum for the transaction of business.

B. **Voting.** The affirmative vote of the majority of those members present and voting shall be necessary for the passage of any resolution or motion except where otherwise provided in these Bylaws. Voting will be by standard methods unless, in particular instances, one-fourth of the members present desire a secret ballot.

C. **Order of Business.** At the meetings of the Faculty Senate the normal order of business shall be as follows:

1. the meeting shall be called to order by the President;
2. minutes of the last meeting shall be approved or amended;
3. unfinished business;
4. report of standing committees;
5. report of ad hoc committees;
6. new business;
7. adjournment.

This order of business may be altered at the discretion of the President provided there is no objection from the floor.

D. An original topic (i.e., a topic that introduces a substantive question as a new subject) may be placed upon the agenda in the following ways:

1. The Executive Committee (Article III) may place a topic on the agenda through its own initiative.
2. A faculty member or group of faculty members may submit a topic in writing to the Executive Committee. The Executive Committee may ask the person(s) submitting the topic to testify. The Executive Committee will place the topic on the agenda for the next senate meeting, refer it to committee, or refuse to consider the topic.
3. A majority report of any committee will automatically be placed upon the agenda.
4. A minority report of any committee will be placed upon the agenda at the request of at least one-fifth of the committee.
5. A motion to place an item on the agenda may be made from the floor of the senate by any senate member and will pass if a simple majority of the senators present vote in favor of hearing it.
6. A motion by a member of the senate must be placed on the agenda if submitted to the Executive Committee and seconded in writing by five senate members.

E. In all senate meetings, the simple motion to refer shall imply referral to the Executive Committee, which will assign the matter to an appropriate committee.

F. The senate will operate according to the most recent edition available of Robert's Rules of Order unless the Bylaws specify otherwise.

Section 5. Term of office. The term of all senate officers, including all committee chairpersons and all members of senate committees, shall begin on July 1. A person serving in either capacity shall serve until a successor is elected or appointed.

Article III The Executive Committee

Section 1. The Executive Committee represents the senate in meetings with the administration and other groups, including UT System administrators, members of higher education agencies or the state legislature. It prepares the senate for debates and action by establishing the agenda (subject to Article II, Section 4D). It coordinates the work of all committees and has power to assign to committees matters of relevance to their functions. It may recommend to the senate the creation or abolition of any committee.

The Executive Committee provides faculty counsel in long-range strategic planning and assessment. The Executive Committee handles necessary business on an emergency and interim basis between senate meetings. Meetings for this purpose may be called by the President of the senate or any three members of the Executive Committee. Three-fourths of this group shall constitute a quorum for such action. All actions of this group must be reported to and, when appropriate, acted on by the senate at the next regular senate meeting following such actions.

When central-level campus or system administrative appointments are to be filled and where it is appropriate for faculty to be of assistance in the recruitment and screening of candidates, the Executive Committee assists in the selection of the faculty members of such screening committees and lends its counsel to the development of procedures for recruitment and screening of such candidates.

Section 2. The Executive Committee shall be chaired by the President of the senate and shall be composed of the President, President-elect, Secretary, and chairpersons of the Undergraduate Council, Graduate Council, Personnel
Policies Committee, Budget and Economic Concerns Committee, and Committee on Instruction. The Chancellor, Vice Chancellor for Academic Affairs, UT Faculty Council’s at-large representative, and immediate past President of the senate shall be non-voting ex officio members.

Section 3. The Executive Committee shall prepare the agenda for all meetings of the Faculty Senate and, except in the case of unscheduled closure, shall submit the agenda for each senate meeting to the individual senators at least seven days in advance of that meeting.

Section 4. The Executive Committee shall nominate members for all standing committees except the Library Committee and Faculty Relations Committee, which are formed as noted in Article IV. Additional nominations may be made from the floor. All elected faculty members of standing committees, other than the two exceptions noted above, shall be current members of the senate. The Executive Committee shall survey senators for their committee preferences and attempt to make nominations accordingly.

Article IV Other Standing and Ad Hoc Committees

Section 1.

A. Each standing committee shall consist of members of the teaching faculty (faculty members who annually teach at least 50 percent of a normal teaching load), members of the professional library staff holding academic rank, students, and ex officio members as noted. The Executive Committee shall specify the number of faculty and student members of each committee, subject to the requirement that members of the teaching faculty shall constitute a majority on each committee. Faculty, administrators, or students may be requested to attend meetings of any committee for the purpose of giving advice or information.

B. Standing committees shall be nominated in accordance with Article III, Section 4 of these Bylaws and shall be elected by the senate at its second spring meeting. One-third of each committee shall be elected each year. Each committee member shall serve for a term of three years.

C. The President and President-elect, who are voting members of the Executive Committee, shall be non-voting ex officio members of other senate committees as specified in Sections 3-8 of this Article. However, the President-elect shall retain his/her voting status as a member of his/her appointed committee in the event he/she is a current Senate member.

D. The chairperson of each standing committee shall regularly inform the Executive Committee of its progress and shall notify the Executive Committee when the committee is ready to report to the senate. Committee chairpersons at the end of the academic year shall send a brief report of each member's committee service to academic supervisors for use in annual evaluations. Similarly, the senate President will report on the service of committee chairpersons to their supervisors.

Section 2. Unless otherwise specified in these Bylaws, each standing committee shall annually in the spring semester elect a chairperson from among the members who will remain on the committee. In the event the chair of a committee vacates office during his/her term, the committee will elect an interim chair to finish the term from among its eligible members.

Section 3. There shall be an Undergraduate Council. The council is concerned with standards for admission, retention, and graduation of undergraduates; with curriculum in the undergraduate program; and with the approval of new programs. The council shall study policies and procedures concerning student recruitment; admissions, including Qualified Admissions students; retention; advanced standing; and degree requirements. It shall recommend changes as needed to maintain academic standards in a manner consistent with the mission and goals of the University.

The council shall study the undergraduate curriculum; consider all requests for curriculum and course changes; initiate suggestions designed to improve the curriculum; study intercollege, interdepartmental, extension, and summer programs; consider what undergraduate programs are academically wise and financially practicable; and recommend to the senate policies concerning such programs. Individual student petitions concerning deviation from degree requirements will
ordinarily be heard by degrees committees (see note below) in the individual colleges. The council will hear only those petitions which a college committee has approved and which involve campus-wide policies. However, the colleges will report all actions taken on petitions to the council, which will study them and report persistent patterns of variance from degree requirements to the senate.

The Undergraduate Council shall be composed of eleven representatives. The members will be allocated among the colleges according to the previous fall semester's percentage of declared majors. However, each college will be allocated at least one member on the council. The Vice Chancellor for Academic Affairs, the Registrar, the President of the senate, and the President-elect of the senate shall be non-voting ex officio members of the council, with the Vice Chancellor providing the services of executive secretary. The chair of this committee shall serve on the Interdisciplinary Studies Council as ex officio member.

NOTE: Each dean shall be responsible for appointing a college degrees committee, having a membership representative of the disciplines and consisting of no fewer than three members. Special requests which are denied by the college degrees committee may be resubmitted to the committee for reconsideration. Deans shall be responsible for informing the student of the negative decision of the college degrees committee. Deans shall forward approved special requests to the Registrar's Office. The Registrar will be responsible for forwarding to the Undergraduate Council the approved special requests which require action by that body and will notify students of the outcome. If the special request does not need approval by the Undergraduate Council, the Registrar will inform the student of the positive decision by the college committee.

A BA/BS Curriculum Committee made up of the chair of each department that offers a major in support of the university-wide BA/BS degree programs and one elected faculty member within each of these departments will consider all curriculum changes for these degrees. A subcommittee consisting of two representatives from the College of Humanities and Fine Arts, one from the College of Agriculture and Applied Sciences, one from the College of Business and Global Affairs, one from the College of Education, Health, and Behavioral Sciences and two from the College of Engineering and Natural Sciences will consider all special requests related to the university-wide BA/BS degree programs. The Registrar will be responsible for forwarding to the Undergraduate Council the approved special requests which require action by that body and will notify students of the outcome. If a request does not need approval by the Undergraduate Council, the Registrar will inform the student of the positive decision by the BA/BS subcommittee.

Section 4. There shall be a Committee on Instruction. This committee shall study problems of instruction at both undergraduate and graduate levels, including teaching load, class size, use of teaching assistants, testing, grading practices, attendance policies, evaluation of instruction, advising, academic integrity, and other pedagogical problems. It shall strive to keep a proper balance between teaching and research and shall seek methods of improving instruction.

This committee shall review all General Education courses. An in-depth review shall be conducted for each course included in the General Education curriculum using a 5-year rotation as follows:

- Biological and Physical Systems and Mathematics
- Communication
- Fine Arts (Aesthetics)
- Humanities
- Social and Behavioral Sciences

In-depth review shall also be conducted for all new courses submitted for inclusion in the General Education curriculum and for any courses undergoing significant change in content.

The chair of the Committee on Instruction shall notify department chairs of courses scheduled for review and the timeline for submission of the departmental reviews. Procedures and schedules for in-depth reviews shall be posted on the Faculty Senate website.
During years in which an in-depth review is not scheduled, departments offering courses in the General Education curriculum shall conduct a standard review of each course and submit a report to the Chair of the Committee on Instruction.

The Vice Chancellor for Academic Affairs, the Vice Chancellor for Student Affairs, the President of the Senate, and the President-elect of the Senate shall be non-voting ex officio members of this committee, with the Vice Chancellor for Student Affairs providing the services of executive secretary.

Section 5. There shall be a Graduate Council. The council is concerned with standards for admission, retention, and graduation of graduate students; with curriculum in the graduate program; and with the approval of new graduate programs. The council shall study policies and procedures concerning graduate student recruitment, admissions, retention, and degrees requirements. It shall recommend changes as needed to maintain academic standards in a manner consistent with the mission and goals of the University.

The council shall study the graduate curricula; consider all requests for curriculum and course changes; initiate suggestions designed to improve the curriculum; study intercollege, interdepartmental, extension, and summer programs; consider what graduate programs are academically wise and financially practicable and recommend to the senate policies concerning such programs; and take action on all nominations for graduate faculty status. Individual student petitions concerning deviation from degree requirements will ordinarily be heard by degrees committees (see the note below) in the individual colleges. The council will hear only those petitions which a college has approved and which involve campus-wide policies. However, the colleges will report all actions taken on petitions to the council, which will study them and report persistent patterns of variance from degree requirements to the senate.

The Graduate Council membership shall consist of the graduate coordinators of each graduate program as ex officio voting members, graduate faculty representatives of all colleges represented on the graduate faculty, and a graduate student. The Vice Chancellor for Academic Affairs, the Dean of Graduate Studies, the President of the Senate, and the President-elect of the Senate shall be non-voting ex officio members, with the Dean of Graduate Studies providing the services of executive secretary.

NOTE: Each dean shall be responsible for appointing a college degrees committee, having a membership representative of the disciplines and consisting of no fewer than three members. Faculty membership on the college committee shall be members of the graduate faculty who have been approved for regular membership by the Graduate Council. Special requests which are denied by the college degrees committee may be resubmitted to this committee for reconsideration. Deans shall be responsible for informing the student of the negative decision of the college degrees committee. Deans shall forward approved special requests to the Graduate Office. The Graduate Office will be responsible for forwarding to the Graduate Council the approved special requests which require action by that body and will notify students of the outcome. If the special request does not need approval by the Graduate Council, the Graduate Office will inform the student of the positive decision by the college committee.

Section 6. There shall be a Library Committee. It shall include one representative of each academic department and one professional librarian. These members of the Library Committee shall be elected or selected in a manner to be determined by each unit for terms of one to three years. A member is eligible to serve successive terms. Membership in the Faculty Senate is not a prerequisite to membership on the Library Committee. The Library Committee shall also include one undergraduate student appointed by the SGA President, one graduate student appointed by the graduate student representative of the Graduate Council, and two community representatives selected by the Library Committee. The Director of the Library, an Information Technology Representative, the President of the Senate, and the President-elect of the Senate shall be non-voting ex officio members of the Library Committee, and the Director of the Library shall provide the services of executive secretary. The Library Committee shall provide a forum in which an exchange of ideas related to the full scope of the library and its operations shall occur. The Library Committee shall also serve as an advisory board for the University Museum. The Library Committee shall annually report the state of the library and its activities to the Faculty Senate.

Section 7. There shall be a Budget and Economic Concerns Committee. This committee shall provide for faculty participation in the University budgeting process. The responsibilities of the committee are: (1) to study the budgeting
process of the University and the financial aspects of higher education funding in Tennessee; (2) to meet regularly with representatives of the administration in order to be informed on current budget practices and policy; (3) to present faculty views to the administration on budget priorities, faculty salary levels and raises, and broader budgetary matters that affect the educational function of the institution; (4) to examine fringe benefits, including leaves of absence, insurance, and retirement, and to recommend changes and additions as appropriate; (5) to initiate intra-system faculty communications on matters of multi-campus economic concerns; and (6) to inform the faculty, through the senate, concerning budget matters. The Vice Chancellor for Academic Affairs, the Vice Chancellor for Business and Finance, the President of the senate, and the President-elect of the senate shall be non-voting ex officio members of the committee. The Vice Chancellor for Business and Finance shall provide the services of executive secretary.

Section 8. There shall be a Personnel Policies Committee. This committee shall be empowered to prepare and recommend revisions of the Faculty Handbook, cooperating with other committees when appropriate. The committee will be responsible for gathering information and recommendations concerning Faculty Handbook revision and ensuring appropriate campus-wide discussion of proposed revisions. All proposals for Faculty Handbook revisions must be considered by this committee (see the chapter on handbook revision). The committee will review procedures concerning appointment, promotion, tenure, and evaluation of faculty. It will recommend changes in these procedures, with particular attention to any disparities in the application of established guidelines. This committee shall also have oversight of the content of the Senate web pages.

The composition of the committee shall, in so far as feasible, reflect the proportion of the faculty according to degree and rank, and include representatives of each academic college. The Vice Chancellor for Academic Affairs, the Faculty Handbook liaison to the UT System, the President of the senate, and the President-elect of the senate shall be non-voting ex officio members of the committee, with the Vice Chancellor for Academic Affairs providing the services of executive secretary.

Section 9. Faculty Relations Committee.

A. There shall be a Faculty Relations Committee composed of eleven faculty members elected at large. Any full-time tenured employee holding academic rank may be nominated and elected to serve on the committee except those persons whose current assignments involve line administrative responsibility in academic administrative units. Each year five members shall be elected for two-year terms and shall not succeed themselves. (Committee members who assume line administrative responsibilities while serving on this committee must recuse themselves without replacement.) The President-elect shall have the responsibility for polling all the faculty members for nominations and conducting the election. Only those faculty holding academic rank shall vote in the election of members to the Faculty Relations Committee. Nominations should be received during February with the election completed by April.

B. One member shall be selected by majority vote of the committee membership during the spring semester of his/her second year to serve an additional one-year term in the position of ex officio committee chairperson who will vote in the event of a tie.

C. The committee shall be empowered to consider faculty-initiated grievances between the following parties: (a) faculty-administration and (b) faculty. This committee will also hear cases involving the termination of tenured faculty members for adequate cause. Procedures for consideration of grievances and terminations for cause are detailed elsewhere in this Faculty Handbook.

D. During the last regularly scheduled spring semester meeting of the Faculty Senate, the chairperson shall make an annual report of the areas considered by the Faculty Relations Committee.

Section 10. There shall be a Past Presidents’ Advisory Board. This board shall meet only if called upon by the President of the senate or by the Executive Committee to consult with the President of the senate or the Executive Committee. The composition of the board shall be the three immediate past Presidents of the senate.

Section 11. There shall be ad hoc committees as specified by the senate or by the Executive Committee. An ad hoc committee may be created or abolished at any time. All ad hoc committee members shall be appointed by the President of the senate subject to the approval of the senate.
Section 12. The University of Tennessee at Martin shall participate in the University of Tennessee System Faculty Council (UFC). This council brings together representatives of the faculties of the University of Tennessee Knoxville, University of Tennessee Chattanooga, University of Tennessee Martin, and the University of Tennessee Health Science Center to address system-wide matters of interest. UT Martin shall have two representatives. The President of the Senate shall serve as a representative during his or her term of office. An additional faculty member elected by the faculty shall serve a three-year term as representative beginning July 1 in the year elected. Any full-time tenured faculty member holding academic rank may be elected to serve. Elections shall be held in the spring semester prior to the beginning of the term. The President-elect shall have the responsibility for polling the faculty members for nominations and conducting the election. Should the faculty representative be unable to complete the three-year term, the President of the Senate, at his or her discretion, may appoint a replacement or request another election to complete the three-year term.

Section 13. The University of Tennessee at Martin Faculty Senate shall participate in the Tennessee University Faculty Senates Association (TUFS). The voting representative to TUFS will be the Senate President, with the alternate voting representative being the Senate Past President at the Fall meeting and the Senate President-elect at the Spring meeting.

Article V Election and Duties of Officers

Section 1. Officers. The senate shall elect a president, a vice president (president-elect), and a secretary from the elected members of the senate. The officers shall be elected for a one-year term beginning July 1 of each year. An officer who loses eligibility for senate membership must resign (see Article II Sections 1B and 2).

Section 2. Nomination of Officers.

A. The Nominating Committee shall be composed of elected members of the Executive Committee. The committee shall elect a committee chairperson from its membership.

B. The Nominating Committee shall send a list of all members of the senate who are eligible for the senate offices to all members of the senate with request for nominations.

C. From the nominations received and from nominations from the committee members, the Nominating Committee shall prepare a slate of candidates for the senate offices. The committee should make sure that each candidate would serve in the office for which he/she is being nominated if elected. At least two candidates shall be nominated for each office by the Nominating Committee except the office of President unless the President-elect is unable to serve as President of the Faculty Senate. No person shall be nominated for more than one office.

D. At least ten days before the second senate meeting of the fall semester, the list of nominees shall be sent to all members of the senate. At the second senate meeting of the fall semester, additional nominations may be made from the floor provided the proposed nominee has given permission.

Section 3. Election of Officers. Voting shall be by mail ballot to be sent to all members of the senate within thirty days after the second fall meeting. Elections shall be by majority of the ballots returned to the chairperson. If, for any office, no candidate receives a majority of the ballots cast, a run-off election shall be held to choose between the two candidates with the highest number of votes.

Section 4. Duties of the Officers.

A. The President shall preside at all meetings of the Faculty Senate. The President shall appoint a parliamentarian each year to assist him/her in the conduct of the business of the senate. The President shall receive three hours released time from normal teaching duties in each regular term.

B. The President-elect shall preside at the meetings of the Faculty Senate in the absence of the President. The President-elect shall be in charge of liaison between the Executive Committee and the other Faculty Senate Committees. In the absence of both the President and the President-elect, a President pro tempore shall be appointed by either the President or President-elect prior to the meeting.
C. The Secretary or his/her designee shall keep the minutes of all actions taken by the Executive Committee and the Faculty Senate. Copies of the minutes of all senate meetings shall be made available to all members of the faculty within a reasonable time after each meeting. (There will be no verbatim recording of remarks or discussions and professional titles will not be recorded). The Secretary or his/her designee shall send advance notice of the time, place, and agenda for all Faculty Senate meetings to each senate members.

Section 5. Replacing the President or President-Elect. Should the President resign or become unable to serve for any reason, the President-elect shall complete the remainder of the President’s incomplete term and then, serve the term to which he or she has been elected.

Should the President-elect resign or become unable to serve for any reason after his or her replacement has been elected, the person so elected shall become the President-elect and a replacement shall be elected at the first senate meeting for which a fifteen-day nomination period is available. If the President-elect’s replacement has yet to be decided, then a replacement shall be elected at the first senate meeting for which a fifteen-day nomination period is available.

Article VI Amendments

The Faculty Senate shall have the power to make, amend, and repeal the Bylaws by a vote of two-thirds of those members present at any regular or special meeting of the senate, provided that any proposed changes have been submitted in writing to the members of the faculty at least twenty-five days prior to the meeting at which the vote shall be taken.
APPENDIX B – FINANCIAL EXIGENCY PLAN

Approved by Academic Senate, 1980, and reaffirmed by Faculty Senate, 1990. Definition - Financial Exigency: An imminent financial crisis facing the campus as a whole that results or is expected to result from such a significant decline in financial support and/or enrollments that emergency release of staff, administrators, tenured and non-tenured faculty members may be necessary and that elimination of programs might be required.

**Determination**

1. Early indications that adverse financial conditions may face the campus should be reported in writing to the faculty and staff as soon as possible.
2. Financial exigency is a circumstance which is declared only after careful consideration and wide consultation. When a situation of financial exigency is thought to exist or to be imminent, the Chancellor of the campus shall request a meeting of the Faculty Senate to present documentation indicating the necessity of a declaration of financial exigency. After discussion with the Faculty Senate and whomever else the Chancellor deems necessary and desirable to consult, if the Chancellor remains convinced that a financial exigency is imminent, he/she shall present the documentation to a meeting of the full faculty for review and discussion. If a formal declaration is determined to be necessary, all pertinent documentation will be submitted by the Chancellor to the President of the University for review by the appropriate University officials. The President, following confirmation of the need for a formal declaration of financial exigency, will recommend to the Board of Trustees that a state of financial exigency be officially declared for the campus.

**Procedures Following the Declaration**

1. After the Board of Trustees has officially declared a state of financial exigency, the campus administration, with the active participation of the campus Financial Exigency Committee, shall take action to allocate necessary funding reductions among the various departments and budget units.
2. Financial exigency procedures shall be recommended by a Financial Exigency Committee consisting of the following voting members: one tenured full-time faculty member with the rank of assistant professor or above from each college, to be elected by the members of those respective colleges, and one non-tenured full-time faculty member of each college with the rank of assistant professor or above to be elected by the non-tenured faculty of those respective colleges. Election procedures will be developed and implemented by the Executive Committee of the Faculty Senate. Members of the Faculty Relations Committee are ineligible for election to the Financial Exigency Committee. Other voting members shall include the Faculty Senate President, the Vice Chancellor for Academic Affairs, the Vice Chancellor for Business and Finance, the Vice Chancellor for Student Affairs, an elected representative of the Employee Relations Council, and the President of the Student Government Association. Academic deans shall serve as ex officio non-voting members.
3. The committee shall be convened by the Chancellor. At this time, the chairperson shall be elected from among the faculty members.
4. The committee shall develop and recommend a general plan of budget reduction. Specific plans of budget reduction for each unit of the campus, consistent with the general plan, shall then be developed through the normal budget-making channels.
5. The committee shall report its recommendations to the Chancellor and shall provide to the faculty and staff all appropriate information concerning its recommendations.

**Guidelines for the Financial Exigency Committee**

Paramount importance shall be given to preserving the campus’ capability to meet its institutional goals. The Financial Exigency Committee should include but not be limited to the following guidelines in its deliberations.

1. All units of the campus, academic and non-academic, shall be considered.
2. Reduction need not be uniform throughout the campus. Some services or programs may be eliminated completely. However, some reductions may be applied on a campus-wide basis.
3. Non-academic reductions will be favored over academic ones.
4. Reductions in operating budgets will be favored over reductions in personnel budgets whenever possible.

5. If recommendations for personnel reductions are deemed necessary, the committee guidelines will include consideration of the following:
   a. workload per staff member within a budgetary unit. Attention should be directed toward productivity and effectiveness in fulfilling responsibilities of the unit. For faculty, credit hour production per FTE compared to institutional, discipline, and state averages and other assigned duties should be considered;
   b. ratios between faculty and administrative personnel;
   c. ratios between personnel in positions classified as staff exempt and staff non-exempt.

6. The committee shall consult with heads of budgetary units before issuing recommendations concerning those units.

Guidelines for Developing Specific Plans of Reduction in the Event of Financial Exigency

1. Each unit of the campus has the responsibility to develop a specific plan which will allow that unit to comply with the general plan of budget reduction for the campus and to recommend specific budget cuts for itself through the normal budget-making channels. Each unit shall elect a committee for this purpose. The unit head shall make recommendations after consideration of the committee's report.
   a. In developing specific plans in non-academic units, the heads of departments will consult with all members of the unit and will be responsible for making the recommendations to the Financial Exigency Committee.
   b. Each academic unit (e.g., departments) will consider its reduction plan by meeting as a committee of the whole chaired by the department chair/dean to discuss the recommendations to the Financial Exigency Committee. The department chair/dean will note in writing when there is a significant lack of agreement with his/her recommendations.

2. Specific unit plans for reduction may include such alternatives to personnel terminations and
   a. cutbacks in operating budgets (e.g., supplies and equipment);
   b. voluntary early retirements;
   c. voluntary transfers to other units with approval of receiving unit;
   d. voluntary changes in appointment types and/or work schedules by exempt and non-exempt staff;
   e. voluntary temporary leave;
   f. voluntary reductions in salary;
   g. projects to attract additional students;
   h. outside funding;
   i. teaching one semester and a summer;
   j. voluntarily teaching overloads without additional salary;
   k. elimination of released time.

3. Specific unit plans should include a determination of the minimum staff and budget necessary for continued operation of those programs which are deemed viable.

4. The specific plans should include a determination of the minimum number of staff reductions necessary to meet the general reduction plan.

5. The specific unit plans shall set forth by category the savings to be achieved by the plan.

Guidelines for Recommendations for Termination of Personnel

1. The Financial Exigency Committee will review specific unit plans and determine the number of terminations, if any, necessary in each unit and report its recommendations to the Chancellor.

2. Selection of specific persons to be terminated shall in general follow the considerations below. Highest priority shall be given to retaining persons necessary to maintain essential academic and non-academic programs. When the issue of maintaining an essential program is not at stake, then the following guidelines are proposed.
   a. Full-time (regular) employees will be retained in preference to part-time (temporary) ones.
   b. Continuous-contract persons shall be retained in preference to term, contract or probationary ones.
   c. Tenured faculty members will be retained in preference to non-tenured ones.
   d. Among tenured faculty members, those of higher rank shall be retained in preference to those of lower rank.
   Within rank, seniority will be considered; seniority is to be determined, first, by total number of years of service to the institution and, second (where the total number of years of service is equal), years of service in the highest rank.
e. In determining retention of non-tenured faculty members equal weight shall be given to seniority and to performance as recorded in annual evaluations.

f. Seniority and performance rules stated above shall apply to individuals in positions classified as staff exempt. Attention shall be given to the possibility of temporary merging or elimination of some administrative and/or managerial positions.

g. Procedures for termination of individuals in positions classified as staff non-exempt shall be as presented in the UT Policy for reduction-in-force.¹

3. Variations from the above rules of tenure, rank, or seniority may be allowed if the head of the unit involved and the Financial Exigency Committee agree that the termination of a specific individual or the loss of that person's expertise would:
   a. jeopardize the continuance of program effectiveness;
   b. undermine the campus capability to meet its institutional goals;
   c. impair the campus' Affirmative Action Plan sufficiently to jeopardize Compliance with federal regulations.

4. **Notification.** Written notifications of termination will be sent by the Chancellor. In all cases of termination of appointment because of financial exigency, every effort shall be made to give notice no less than that prescribed by standard personnel procedures and procedures presented in the Faculty Handbook. Any person receiving a termination notice may request and receive from the Chancellor a written statement outlining the reasons for termination and the basis of his selection for termination.

5. **Appeal.** Any faculty or staff member receiving a notice of termination has a right to appeal his/her selection for termination. Such an appeal shall first seek resolution through normal administrative channels and, if denied, may be referred to a hearing committee. Members of the Financial Exigency Committee will be ineligible to serve on hearing committees.
   a. An appeal by individuals in positions classified as faculty or staff exempt shall proceed through channels, including the appropriate vice chancellor. If the appeal is denied, recourse shall be through the Faculty Relations Committee according to procedures specified in the Faculty Handbook.
   b. Individuals in positions classified as staff non-exempt shall proceed through channels according to procedures presented in UT Policy HR0640.² Further appeal may be submitted to a subcommittee of the Employee Relations Council as described in UT Policy HR0630.³
   c. The appropriate hearing committee shall insure a prompt, fair, and unbiased hearing. The committee shall determine whether established procedures were followed and appropriate criteria applied in arriving at the decision to terminate.
   d. The hearing committee will not review the decision to declare financial exigency nor the decision allocating necessary funding reductions to the various budgetary units.
   e. The respective hearing committee will recommend that the decision to terminate be upheld or reversed; recommendations will be made to the appropriate vice chancellor (in case of non-exempt staff) or Chancellor (in case of faculty or exempt staff).
   f. If the decision to terminate is upheld (by the hearing committee and/or the appropriate administrative officer to whom the hearing committee makes its recommendations), further appeal may be made to the Chancellor and to the President (and to the Board of Trustees in the case of tenured faculty).

**Continuing Rights of Persons Terminated**

The University shall make every reasonable effort to assist persons who are terminated because of financial exigency in finding other employment. Actions to achieve this goal shall include:

1. Any vacancies that occur during the period of exigency shall be filled by transfer of employees who are to be terminated, provided the employee considered for transfer is qualified, or may become qualified by satisfactory completion of a reasonable program of training, to fill the vacancy. Qualification will be assessed by the chair/dean of the receiving unit and the Vice Chancellor under whose supervision the vacancy occurs;

---

¹ UT Policy HR0145: [policy.tennessee.edu/hr_policy/hr0145/](http://policy.tennessee.edu/hr_policy/hr0145/).
² UT Policy HR0640: [policy.tennessee.edu/hr_policy/hr0640/](http://policy.tennessee.edu/hr_policy/hr0640/).
³ UT Policy HR0630: [policy.tennessee.edu/hr_policy/hr0630/](http://policy.tennessee.edu/hr_policy/hr0630/).
2. Vacancy in a faculty position caused by termination due to financial exigency shall not be filled for a period of three years unless the released faculty wish to accept or decline the offer. Continuing rights of staff exempt and staff nonexempt personnel shall be as presented in the UT policy on restoration-of-force procedures.\(^4\)
3. The above guidelines are not to be construed as limitations on the University's right to employ new personnel, provided the additions are in a new or expanded program area that is essential to achieving institutional goals, and provided that employees terminated because of exigency are not qualified for the positions and cannot become qualified by completing a program of training which appears reasonable and equitable in view of the University's program needs and financial circumstances.

**Guidelines for Students Affected by Personnel Reductions Within Academic Units**

The campus recognizes its responsibility to students who may be affected by personnel reductions. In the event personnel reductions jeopardize continuance of an academic program, the following guidelines are proposed:

1. Students affected by personnel reductions shall be notified immediately by the chair/dean at the unit level;
2. The chair/dean or an appropriate faculty member shall provide counsel and guidance to affected students;
3. The focus of the counsel and guidance shall include, but not be limited to, information on other current programs offered within the department or on the campus that may meet academic and career objectives of the student;
4. If the programs at the campus do not meet the needs and objectives of the student, he/she shall be advised of existing similar programs at other institutions within the state. If desired, assistance in transferring shall be offered.

\(^4\) UT Policy HR0150: [policy.tennessee.edu/hr_policy/hr0150/](policy.tennessee.edu/hr_policy/hr0150/)
This index is offered as a supplement to the Faculty Handbook. Suggestions for improving this index would be welcomed by the Personnel Policies Committee and the Office of the Vice Chancellor for Academic Affairs. For complex topics, such as tenure or the Faculty Senate, we try to list a few of the key references—there is no substitute for reading your handbook!

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UT Martin requests approval for a new program of study leading to the degree of Master of Arts in Strategic Communication (see the following materials). This innovative degree program provides a curricular framework and formalized degree requirements for post-baccalaureate students who wish to gain advanced training in the emerging field of strategic communication.

Strategic communication is hard to define but easy to see all around us: it refers to the purposeful planning and management of communication to achieve organizational goals. Strategic communication is the “high altitude” crafting of communication messaging and campaigns, used across mass media organizations, businesses, nonprofit organizations, health care, public policy and political organizations. The UTM program provides opportunity for students to navigate an individualized curriculum and a professional capstone project directly related to students’ specific field of work. The program is expected to be attractive to students who have begun their initial career in communications and will be delivered in online and hybrid methods that provide flexibility for working professionals to complete the program.

This new undergraduate program will fit in well with other UTM programs and the UTM mission. The UTM communications department has a stellar reputation and a strong and loyal alumni pool, many of whom lobbied for this program. The additional
Master’s level program will also produce more highly trained graduates for the state and region and will help advance UTM’s position among peer institutions.

A modest initial investment, primarily to meet new personnel costs, will be met by reallocation of existing funds. The program is expected to be revenue neutral by the third year of implementation and to generate net revenue thereafter.

The MASC program proposal is presented with the full support of the UTM faculty, Chancellor Rakes, and President DiPietro. If approved by the Board, the MASC program will be submitted to THEC for final approval in April and begin in Fall 2015.

MOTION

That the program of study leading to the degree of Master of Arts in Strategic Communication at UT Martin be approved.
MEMORANDUM

TO: Jerald Ogg
    Brian Donavant

FROM: Thomas A. Rakes
      Chancellor

DATE: October 31, 2014

SUBJECT: Graduate Council Requests

I have approved the Graduate Council Requests, as submitted to me by the Senate from the October 28, 2014, Faculty Senate meeting.

Copies of the Graduate Council recommendation approvals are attached. Please share this information with the appropriate deans, chairs, and others for implementation.

js

Attachments

c: Louis Kolitsch
Faculty Senate Recommendations Routing Form

To: Thomas Rakes, Chancellor
From: Brian Donavan, President
Louis Kolitsch, Secretary
Subject: Graduate Council Curricular Requests
Date: October 28, 2014

The following requests from the Graduate Council were passed by the Faculty Senate at its meeting on October 28, 2014 and are recommended for your approval:

COLLEGE OF HUMANITIES AND FINE ARTS
Communications
1. Addition of Master of Arts Strategic Communication Program
2. Addition of COMM 534 International Public Relations (3)
3. Addition of COMM 599 Introduction to Social Media for Strategic Communication (3)
4. Addition of COMM 605 Social Media Management (3)
5. Addition of COMM 625 Strategic Communication Campaigns (3)
6. Addition of COMM 655 Digital Media Production (3)
7. Addition of COMM 671 Independent Study (3)
8. Addition of COMM 700 Seminar in Strategic Communication (3)
9. Addition of COMM 701 Professional Seminar I (1)
10. Addition of COMM 702 Professional Seminar II (1)
11. Addition of COMM 703 Professional Seminar III (1)
12. Addition of COMM 705 Advanced Copywriting and Editing (3)
14. Addition of COMM 715 Technical Communication (3)
15. Addition of COMM 720 Media and Communication Theory for Professionals (3)
16. Addition of COMM 730 Organizational Communication (3)
17. Addition of COMM 735 Organizational Public Relations and Communication Strategies (3)
18. Addition of COMM 740 Leadership Theory and Practice (3)
19. Addition of COMM 745 Crisis Communication (3)
20. Addition of COMM 750 Media Management (3)
21. Addition of COMM 760 Media Programming and Analytics (3)
22. Addition of COMM 765 Persuasive Communication Techniques and Strategies (3)
23. Addition of COMM 770 Communication and the Global Audience (3)
24. Addition of COMM 775 Professional Ethics in Strategic Communication (3)
25. Addition of COMM 780 Media Ecology (3)
26. Addition of COMM 785 Communication Law for Professionals (3)
27. Addition of COMM 790 Capstone Professional Project (1-3)

Chancellor’s Response: X Approved  ____ Not Approved

Signature

Date 10/30/14
THE UNIVERSITY OF TENNESSEE

PROPOSAL FOR THE INITIATION OF A NEW DEGREE PROGRAM

Submitted by
The University of Tennessee at Martin

February 26, 2015

College of Humanities and Fine Arts
Department of Communications

A NEW PROGRAM LEADING TO THE DEGREE OF:

Master of Arts
Degree
09.0999
CIP/THEC Code

Strategic Communication
Major
MASC
Formal Degree Abbreviation

Master of Arts in Strategic Communication
Degree Designation on Student’s Transcript

Fall 2015
Proposed Starting Date
ABSTRACT

Institution: The University of Tennessee at Martin
Division/Department: College of Humanities and Fine Arts/Department of Communications
Program leading to a Degree of: Master of Arts with a Major in Strategic Communication
With sub-majors in: N/A
Proposed Start-Up Date: Fall 2015       Total Credit Hours Required for Major: 33 semester hours

New Courses Proposed:

Required Core Courses (Students are required to complete 15 credit hours; 18 total credit hours being added)
- COMM 701 — Professional Seminar I (1 credit hour)
- COMM 702 — Professional Seminar II (1 credit hour)
- COMM 703 — Professional Seminar III (1 credit hour)
- COMM 710 — Applied Research Methods for Professionals (3 credit hours)
- COMM 720 — Media and Communication Theory for Professionals (3 credit hours)
- COMM 790 — Capstone Professional Project (1–3 credit hours per semester depending on scope of project; must complete at least three credit hours and no more than six credit hours)
- Students choose one of the following two courses. The other course can count as an elective course.
  - COMM 730 — Organizational Communication (3 credit hours) OR
  - COMM 740 — Leadership Theory and Practice (3 credit hours)

Elective Courses (Student are required to complete 18 credit hours.)
- Public Relations and Marketing Communication Courses
  - COMM 534 — International Public Relations* (3 credit hours)
  - COMM 599 — Introduction to Social Media for Strategic Communication* (3 credit hours)
  - COMM 605 — Social Media Management* (3 credit hours)
  - COMM 625 — Strategic Communication Campaigns* (3 credit hours)
  - COMM 735 — Organizational Public Relations and Communication Strategies (3 credit hours)
  - COMM 745 — Crisis Communication (3 credit hours)
- Mass Communication, Media Management, and Media Production Courses
  - COMM 655 — Digital Media Production (New UG and Grad. course, 3 credit hours)*
  - COMM 750 — Media Management (3 credit hours)
  - COMM 760 — Media Programming and Analytics (3 credit hours)
- Technical Communication Courses
  - COMM 705 — Advanced Copywriting & Editing (3 credit hours)
  - COMM 715 — Technical Communication (3 credit hours)
Issues in Strategic Communication
- COMM 671 — Independent Study* (3 credit hours)
- COMM 700 — Seminar in Strategic Communications (Special Topics) (3 credit hours)
- COMM 765 — Persuasive Communication Techniques and Strategies (3 credit hours)
- COMM 770 — Communication and the Global Audience (3 credit hours)
- COMM 775 — Professional Ethics and Strategic Communication (3 credit hours)
- COMM 780 — Media Ecology (3 credit hours)
- COMM 785 — Communication Law for Professionals (3 credit hours)

Number of New Courses: 26  Number of New Course Credit Hours: 69 credit hours

* Five elective courses will be cross-listed with existing undergraduate course. One new cross-listed course is being added at both the undergraduate and graduate level. Graduate students will have additional requirements in cross-listed courses.

### Estimated Headcount Enrollment, FTEs, Graduates, and Faculty for New Program

<table>
<thead>
<tr>
<th>Year</th>
<th>Fall Full-Time Headcount</th>
<th>Fall Part-Time Headcount</th>
<th>Fall Full-Time Equated Students</th>
<th>Graduates</th>
<th>FTE Faculty</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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<td></td>
<td>Current</td>
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<tr>
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<td>20</td>
<td>13.75</td>
<td>10</td>
<td>11</td>
</tr>
</tbody>
</table>

### New Costs Generated by Program:
Based on the enrollment estimates in the previous table, the MASC is projected to produce revenue exceeding costs around year 4. Refer to the Financial Estimate Form for exact cost projections.

<table>
<thead>
<tr>
<th>Year</th>
<th>Projected Revenues</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$141,000.00</td>
</tr>
<tr>
<td>2</td>
<td>$139,000.00</td>
</tr>
<tr>
<td>3</td>
<td>$137,000.00</td>
</tr>
<tr>
<td>4</td>
<td>$143,000.00</td>
</tr>
<tr>
<td>5</td>
<td>$144,000.00</td>
</tr>
</tbody>
</table>

Accrediting Organization (if applicable): Accrediting Council on Education in Journalism and Mass Communication (ACEJMC) or Public Relations Society of America Certification in Education for Public Relations (CEPR)

Target Date for Accreditation: To be determined once best option is selected
PROPOSAL FOR INITIATION OF NEW DEGREE PROGRAM
MASTER OF ARTS IN STRATEGIC COMMUNICATION

BACKGROUND INFORMATION

The Department of Communications at the University of Tennessee at Martin is seeking to develop a Master of Arts in Strategic Communication (MASC). The proposed degree would fall under CIP category 09.0999—Public Relations, Advertising, and Applied Communication. The target start date for the first class is Fall 2015.

The proposed M.A. in Strategic Communication will meet the growing need for qualified candidates with strategic planning and advanced communication skills. Strategic communication refers to the purposeful planning and management of communication to achieve organizational goals. Strategic communication encompasses management communication; marketing communication; public relations; technical communication; communication campaigns; and media production for traditional, online, mobile, and social media.1 Strategic communication is used across a wide variety of career fields including mass media, for-profit businesses, not-for-profit organizations, public health organizations, public policy organizations, and politics.

Strategic communication requires a strong knowledge of traditional and new media; the ability to produce effective oral, written, and visual messages; and strategic business management and planning skills. The M.A. in Strategic Communication will be a professionally oriented, executive-style degree program designed to prepare communication professionals for communication management, planning, and production in a broad range of career tracks and organizations, including mass media, for-profit corporations, non-profit organizations, government, and advertising/public relations agencies.

PROGRAM DESCRIPTION

Mission

The University of Tennessee at Martin’s mission is to provide “a quality undergraduate education” and “to meet lifelong educational needs by providing graduate programs, distance-learning opportunities, and other creative endeavors.”2 The M.A. in Strategic Communication would further UT Martin’s mission by providing a graduate program to prepare individuals for management jobs found in the marketing career path, identified as a high-demand area in the THEC academic supply and demand study.

The Tennessee Higher Education Commission’s 2010-2015 State Master Plan and the Complete College Tennessee Act 2010 mandated that universities focus on “educational attainment and increased

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1 See “Defining Strategic Communication” published in the International Journal of Strategic Communication in December 2007. Article is available online at http://www.tandfonline.com/doi/full/10.1080/15531180701285244#.U0LqX14jSXS
2 The complete institutional mission statement is available at www.utm.edu.
degree production, taking into consideration Tennessee’s economic development, workforce development and research needs.”¹ The THEC Academic Program Supply and Occupational Demand Projections: 2008–2018 indicated a significant deficit in the number of qualified college graduates to fill jobs in the marketing career path, which includes public relations, marketing communications, advertising, promotion, sales, and art direction.² The proposed M.A. in Strategic Communication is designed to address the specific technical, strategic, and managerial skills needed to lead organizations through jobs within the marketing career path. Workforce development data from Kentucky and Missouri also indicate that public relations is a rapidly growing, high-demand career field in the western Kentucky and southeastern Missouri regions. Additionally, the state master plan calls for universities to use instructional technology and non-traditional instructional approaches to increase instructional capacity, to expand student choice, and to control overall costs. The proposed master’s degree would use a hybrid course delivery that implements a combination of online, distance learning, and on-campus courses. This approach will increase access for working professionals and recent graduates with bachelor’s degrees within the targeted service area.

The University of Tennessee identified three system-wide areas of strategic focus in its master plan — student access and success, research and economic development, and outreach and globalization. The UT Martin strategic plan outlines specific objectives to address the three strategic focal areas. Specifically, UT Martin intends to increase student access in part through the development of online courses and degree programs.⁵ UT Martin also identified the development of online degree opportunities as one method for improving successful completion of a degree for students who cannot attend traditional on-campus classes.⁶ The MASC would contribute to student access and success by offering a significant portion of the courses either online or through distance learning technology. This would provide working professionals and recent graduates from West Tennessee, western Kentucky, and southeast Missouri an opportunity to complete a professional master’s degree with limited travel to campus.

Program Learning Outcomes

The Commission on Public Relations Education (CPRE), which is composed of educators and public relations professionals, has studied and made recommendations about U.S.-based public relations education since 1975. The Commission’s recommendations have been widely adopted by academic programs and endorsed by professional organizations, including the Public Relations Society of America. The CPRE released the Standards for a Master’s Degree in Public Relations: Educating for Complexity report in 2012.⁷ According to the CPRE, the recommendations in the report are applicable for more broadly defined graduate programs, including strategic communication. Based on extensive industry research, the CPRE recommends graduate programs in strategic communication address the following skills and knowledge in the core curriculum.

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¹ The Public Agenda for Tennessee Higher Education 2010-2015.
³ See the UT Martin Strategic Plan Goal I, Objective C.
⁴ See the UT Martin Strategic Plan Goal II, Objective B.
⁵ The full report is available at www.commpred.org.
• Strategic communication management and advanced oral, written, and visual communication and media production.
• Basic business principles and processes.
• Communication theory and research methods.
• Global influences on strategic communication.
• Ethical and legal issues related to strategic communication.

The following program learning outcomes (LOC) were identified for the Master of Arts in Strategic Communication. The learning outcomes are based on a recommendation from the CPRE report and standards set forth by the Accrediting Council on Education in Journalism and Mass Communication.

• LOC 1: Use strategic communication management skills to increase the opportunity for career advancement in related or integrated disciplines.
• LOC 2: Integrate basic management and leadership principles and processes in the workplace. (No ACEJMC Standards directly address this area.)
• LOC 3: Use communication theory and research methods in addressing critical issues related to the students’ career fields.
• LOC 4: Analyze the impact of global market forces on professional interactions and communications.
• LOC 5: Apply professional ethics in the workplace.

**CURRICULUM**

**Description of the Degree Program**

The Master of Arts in Strategic Communication (MASC) will be a professional – as opposed to research – degree program designed to meet the growing demand for highly skilled strategic communication managers across a wide variety of career fields, including mass media, for-profit businesses, not-for-profit organizations, public health organizations, public policy organizations, and government. The Commission on Public Relations Education defines a professional communication graduate program as one that “prepares students to think strategically and critically and to master the skills and to be able to fulfill the responsibilities of professional practice, as well as understand and respect the ethical decision-making requirements for a management position.” The MASC degree program would not be limited to individuals with a public relations, communications, or mass media undergraduate degree. The MASC would be a great option for individuals seeking careers in public relations, media management, media design management, marketing communication, agriculture communication, sales, politics, government, and fundraising.

**Academic Focus**

Strategic communication refers to the purposeful planning and management of communication to achieve organizational goals. Strategic communication encompasses management communication; marketing communication; public relations; technical communication; communication campaigns; and

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8 Standards for a Master’s Degree in Public Relations: Educating for Complexity, p. 4.
media production for traditional, online, mobile, and social media. Strategic communication is used across a wide variety of career fields, including mass media, for-profit businesses, not-for-profit organizations, public health organizations, public policy organizations, and politics. Strategic communication requires a strong knowledge of traditional and new media; excellent written, visual, and oral communication skills; and strategic business management and planning skills.

The M.A. in Strategic Communication will be a professionally oriented degree program focused on providing learning experiences to equip students with the knowledge and advanced skills necessary to manage strategic communication efforts.

While other Tennessee universities offer master’s degree programs in communication and public relations, the proposed master’s degree at UT Martin would be unique in its academic focus by creating a hands-on curriculum that combines public relations, mass media, organizational communication, marketing communication, interpersonal communication, and public communication into a focused, streamlined program designed to developed the skills desired by employers.

Course Delivery Format

The CPRE study also addressed coursework delivery and perceptions of degree value by communications professionals. Professionals placed a higher degree on value and validity for graduate programs using a hybrid delivery, a combination of face-to-face contact and online coursework, compared to completely online delivery. In addition, the results of the initial feasibility study conducted by the UT Martin Department of Communications were consistent with the CPRE study, indicating a preference for hybrid delivery of coursework.

The MASC will initially target professionals and undergraduates in Tennessee, western Kentucky, southeast Missouri, and northeast Arkansas. This region makes occasional travel to campus feasible. However, it is very possible that the MASC would attract students outside of this region. Based on overall UTM graduate enrollment trends and the nature of the MASC program, the Department of Communications is projecting that the majority of students will enroll part-time in the MASC program while working a full-time job. Based on the results of the CPRE study and the UT Martin feasibility study, it is important for MASC students to come to campus to foster the relationships encouraged through face-to-face meetings. At the same time, the degree program structure will be flexible enough to allow working professionals to complete the degree program without missing an excessive amount of time at work.

All MASC students will be required to complete three Professional Seminar courses (one credit hour each). The Professional Seminar courses would provide a time for student advising, faculty mentoring, peer networking, learning assessment, and presentation of research. Students will complete an on-campus residency during one weekend at the beginning of the semester and one weekend at the end of the semester. Reasonable alternatives would be built into the course requirements should a student have extenuating circumstances that would prevent travel to campus.

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9 See “Defining Strategic Communication” published in the *International Journal of Strategic Communication* in December 2007. Article is available online at http://www.tandfonline.com/doi/full/10.1080/15531180701285244#.U0LqXI4jSXs
• **Professional Seminar I**—Students will take this course their first semester. The course requires one “super weekend” (Thursday–Sunday) at the beginning of the semester and one Friday evening–Sunday weekend at the end of the semester. In addition to the campus weekends, students will complete online assignments. Professional Seminar I will provide an orientation to the program, introduce students to available campus resources, provide instruction in academic research and writing skills, and provide a time for academic advising. As the program unfolds, students in Professional Seminar I will also be required to attend research and project presentations from students in the Professional Seminar II course during one of the on-campus weekends.

• **Professional Seminar II**—Students will take this course at the midpoint of their program (around the 15 credit-hour mark). The course will require one weekend (Friday–Sunday) at the beginning of the semester and one weekend (Friday–Sunday) at the end of the semester. In addition to the campus weekends, students will complete online assignments. Professional Seminar II would meet concurrently with Professional Seminar I to provide first-year students an opportunity to see the type of work expected throughout the program. Students enrolled in Professional Seminar II will develop a capstone project proposal during the semester and will complete a proposal defense during the last on-campus weekend of the semester. Students will also meet with a faculty adviser to discuss their program of study for the remaining courses.

• **Professional Seminar III**—Students will take this course the last semester of their program. The course will require one weekend (Friday–Sunday) at the beginning of the semester and one weekend (Friday–Sunday) at the end of the semester. In addition to the campus weekends, students will also complete online assignments. This course will include the written comprehensive exams during the last on-campus weekend.

All other required core courses will be offered either completely online or online with a required short, on-campus weekend experience. Elective courses will be delivered through online, face-to-face, and hybrid delivery as appropriate for the course material. On-campus residency requirements will be clearly stated up front so that students can plan accordingly. Faculty teaching courses using hybrid delivery will be encouraged to coordinate on-campus meetings in order to make visits to campus most efficient for students.

**Required Degree Hours**
33 credit hours (including the Capstone Professional Project)

**Program Core and Elective Course Requirements**

**Required Core Courses (15 total credit hours)**
All students are required to complete the following courses with a final letter grade of at least a “B”.

• **COMM 701—Professional Seminar I (1 credit hour):** An introduction and orientation to the Master's in Strategic Communications program including exploration of resources supporting the
program, instruction in academic research and writing skills, and attendance at specified research project presentations.

- **COMM 702—Professional Seminar II (1 credit hour):** Development and oral defense of the capstone project proposal. Presentation of research to students in Professional Seminar I. Individual consultation with adviser to outline program of study for remaining coursework.

- **COMM 703—Professional Seminar III (1 credit hour):** Preparation for and completion of written comprehensive exams at the culmination of coursework for the Master's in Strategic Communication program.

- **COMM 710—Applied Research Methods for Professionals (3 credit hours):** Students will examine and learn research methods with a focus on application of the techniques in the professional environment. Students will gain an understanding of research terminology as a basis to further explore application of both quantitative and qualitative research methods to solving problems and answering research questions in the working environment. They will develop a skill set that will allow them to develop surveys and use a computer statistical analysis package (SPSS-20) to carry out empirical problem solving using Chi Square, t-tests, ANOVA, MANOVA and basic Regression Analysis. Additionally, students will learn to conduct Focus Groups and do Content Analysis to apply the techniques in solving problems in the workplace setting.

- **COMM 720—Media and Communication Theory for Professionals (3 credit hours):** This course examines a wide range of media and communication theories that help professionals understand communication processes and strategies used to develop strategic communication initiatives in the workplace.

- **COMM 790—Capstone Professional Project (1-3 credit hours):** The capstone is a required independent study whose purpose is to allow the student to develop substantial expertise in an area related to that student’s career goals. Students who plan to continue further graduate study may approach their capstone as a scholarly research project. Others may choose a capstone project that provides an opportunity to cultivate credentials and expertise directly relevant to their job. The capstone may take a variety of forms — for example, an original research paper, a critical case study, or a survey of best practices or in-depth analysis of a topic supported by existing literature. No matter the form, a capstone project must demonstrate thorough understanding of relevant theories, sources, research methods, and literature. The capstone project will be supervised by a full-time member of the MASC faculty. *Note: Students can take 1–3 credit hours per semester depending on scope of project. A minimum of three credit hours are required with a maximum of six credit hours.*

Students **must successfully complete one of the following courses**, depending on their career goals. Students will be allowed to utilize credit from the other course as an elective should both courses be completed with a final letter grade of at least a “B”.
• **COMM 730—Organizational Communication (3 credit hours):** A study of theories of organizational communication and their application to the workplace. Students will analyze communication challenges in organizations from various perspectives, including supervisors, subordinates, and peers.

• **COMM 740—Leadership Theory and Practice (3 credit hours):** This course is designed to engender understanding of various theoretical approaches and conceptualizations of leadership, as well as promote and develop interpersonal communication strategies for practical application in professional environments.

**Elective Courses (18 credit hours)**

The UTM Department of Communications faculty recommends building in some flexibility in program planning to create a degree program that could appeal to a reasonably wide audience and provide flexibility for faculty workloads and scheduling. Including a seminar (special topics) course would allow faculty to address current trends and topics. The independent study could provide an opportunity for a student to engage in an in-depth study of a topic relevant to the student’s approved program of study.

**Public Relations and Marketing Communication Courses**

• **COMM 534—International Public Relations (3 credit hours):** Students will examine the nature of international public relations and the impact globalization has had on businesses and their communication structures. The course will review global corporate communication theories, organizational structures to accommodate the rapidly changing nature of businesses beyond the historical traditional borders, and the barriers encountered in global communication. The course will also include technology-enhanced approaches to global public relations, and approaches involved in examining trends and projecting future changes that may impact the profession. Additionally, students will examine multiple case studies involving international public relations in an effort to establish knowledge baseline that will enable them to apply tested principles in their own work settings.

• **COMM 599—Introduction to Social Media for Strategic Communication (3 credit hours):** This course provides a broad overview of the role social media play in the strategic communication process, examines decisions organization must make when using social media, and introduces students to current social media and social sharing sites.

• **COMM 605—Social Media Management (3 credit hours):** This course uses hands-on learning to examine the process of creating, implementing, and evaluating engaging social media programs; to learn current tools for managing social media; and to discuss factors involved in creating social media policies for organizations.

• **COMM 625—Strategic Communication Campaigns (3 credit hours):** Examination and application of the principles of strategic communication campaign design. Students plan and design communication campaigns for a real client as a major component of the course. Topics
include the integrated use and design of traditional advertising, public relations, social, and non-traditional media to accomplish communication objectives.

- **COMM 735—Organizational Public Relations and Communication Strategies (3 credit hours):** A seminar course that focuses on the study of organizations, bureaucracies, and their functions with the various publics, including the mass media, to accomplish public relations goals. Additionally, this course examines internal and external communications issues for organizations, to include corporate political issues.

- **COMM 745—Crisis Communication (3 credit hours):** An introduction to crisis communication, providing insights into key concepts, theoretical perspectives, essential critical thinking and planning skills necessary for effective crisis management within organizations. Topics will include issue management, risk management, relationship management, crisis planning and preparation, crisis communication management plans. In addition to traditional methods, the class will engage in simulations, field trips and individual research to master the content area.

**Mass Communication, Media Management, and Media Production Courses**

- **COMM 655—Digital Media Production for Corporate Environments (3 credit hours):** Advanced production techniques in videography, sound recording, photography, and related media technology, including practical experience in producing, editing and distribution of media content. Students will learn to use digital production tools to produce work for professional purposes in public relations, journalism or broadcast that can be shown to audiences through multiple formats.

- **COMM 750—Media Management (3 credit hours):** Examination of key responsibilities and problems faced by management teams in media organizations and related fields. Topics include media ownership, ethics, financial responsibilities, personnel management, audience analysis and content delivery.

- **COMM 760—Media Programming and Analytics (3):** Interpreting quantitative audience research such as Neilsen and Arbitron ratings, syndicated program/analyses and SRDS tables. Students utilize this data to successfully program a fictional broadcast station. Station and Network program strategies, tactics and program development are discussed.

**Technical Communication Courses**

- **COMM 705—Advanced Copywriting and Editing (3 credit hours):** Advanced instruction and practice in writing and editing copy for a wide variety of internal and external publics. Through case studies, class discussion and individual exercises, students will learn to outline audience needs; master technical skills in vocabulary, grammar and style; and develop/edit appropriate messages and content for traditional mass media, online/mobile media, and corporate publications.
• **COMM 715—Technical Communication (3 credit hours):** This course examines the role of verbal, nonverbal, and written communication within the framework of organizations and corporations. It applies grounded theory in studying message formation covering areas such as the use of communication audits in identifying information channels between internal and external publics, report writing, message formation, presentations, proposal writing, document preparation, importance of social media tools, and application of applied skills in enhancing the work environment.

**Issues in Strategic Communication**

• **COMM 671—Independent Study (3 credit hours):** In-depth study of advanced communication principles or applied theory chosen by the student and approved by the instructor.

• **COMM 700—Seminar in Strategic Communication: [Topic] (3 credit hours):** Intensive treatment of selected topics not found in the regular Strategic Communication curriculum. Course content varies from semester to semester. Course may be repeated for credit in different topics. Topics will vary and will examine topics related to mass media, media design, specialized areas of strategic communication.

• **COMM 765—Persuasive Communication Techniques and Strategies (3 credit hours):** This course examines the theories and techniques of persuasion as they apply to strategic communication contexts.

• **COMM 770—Communication and the Global Audience (3 credit hours):** Communication and the Global Audience consists of the study of theoretical concepts pertaining to intercultural communication and its application to interpersonal, workplace, public and mediated communication practices.

• **COMM 775—Professional Ethics and Strategic Communication (3 credit hours):** This course uses case studies to explore and take a systematic approach to solving real-world ethical dilemmas related to strategic communication. Those case studies will come from actual ethical issues that students will research in the workplace. The course discusses/explores the philosophical foundation of ethics.

• **COMM 780—Media Ecology (3 credit hours):** The study of how media technologies shape significant cultural institutions, whether political, social, economic, educational, or religious. In addition to studying the cultural influences of media technologies, students will also consider how media affect their own lives with regard to multiple commitments and communities.

• **COMM 785—Communication Law for Professionals (3 credit hours):** Examination of the constitutional underpinnings of freedom of expression and the limitations on such freedoms as enunciated by the U.S. Supreme Court. Students will focus particularly on libel, privacy, intellectual property, source protection, information gathering, obscenity, government regulation
Transfer Credit
The committee recommends accepting up to six semester credit hours transferred from other appropriate graduate programs at the University of Tennessee at Martin or accredited universities. All student requests to apply transfer credit toward the degree requirements must be approved by the Department of Communications graduate faculty.

Program-Level Student Learning Outcomes and Tentative Curriculum Map
The following proposed program outcomes are based on recommendations from the CPRE Standards for a Master’s Degree in Public Relations study. The report included survey data from communication professionals and faculty. Although the CPRE conducted the research, the recommendations are applicable to a broader degree program in strategic communication. Each core course and elective course must clearly indicate on the course syllabus the MASC program outcomes addressed in the course. Learning assessments for the course must be used to show the degree to which students master each outcome. Course syllabi for courses being developed are available at https://www.dropbox.com/sh/fokh8oy7lc510ed/AAAB_AYIV8bNrojqQoJl_OKja.

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<tr>
<th>Program Learning Outcomes</th>
<th>MASC Core Courses and Learning Opportunities</th>
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<tr>
<td></td>
<td>Communication and Media Theory (3 credit hours)</td>
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<tr>
<td>Use strategic communication management skills to increase the opportunity for career advancement in related or integrated disciplines.</td>
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<tr>
<td>Integrate basic management and leadership principles and processes in the workplace.</td>
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<tr>
<td>Use communication theory and research methods in addressing critical issues related to the students’ career fields.</td>
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<tr>
<td>Apply professional ethics in the workplace.</td>
<td>I/R</td>
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Note: I=Concepts and skills are introduced. R=Concepts and skills are reinforced. M=Concepts and skills are mastered.
Admissions Criteria and Academic Standards

The admission, retention, and graduation requirements will be consistent with existing master’s degree programs offered at UT Martin as described in the University of Tennessee at Martin Graduate Catalog.

UT Martin Graduate Studies Admissions Requirements

Students applying for admission to the M.A. in Strategic Communication program must meet the university-wide requirements for graduate admission. The following admission criteria are explained in The University of Tennessee at Martin Graduate Catalog. 10

Unconditional

Unconditional admission requires at least a 2.50 cumulative grade point average (GPA) on all work attempted prior to completion of the baccalaureate degree (4.00 scale) from a regionally accredited college or university and an acceptable graduate qualifying examination score, which may vary depending on the applicant’s GPA, as specified in the admission requirements of the college in which the student intends to pursue graduate work.

Conditional

Applicants may be granted conditional admission status subject to the following conditions:

- They must meet the specified minimum graduate qualifying examination score requirement for the graduate degree program in which they intend to enroll.
- They must meet one of the following minimal GPA requirements on a 4.00 scale (GPA requirement is waived if applicant graduated at least five years before the semester for which admission is being requested):
  - Cum GPA—a 2.50 cumulative GPA on all work attempted prior to completion of the baccalaureate degree, or
  - SrYr GPA—a 3.00 GPA on the last 30 semester hours attempted in the baccalaureate degree (all work will be computed for the number of semesters necessary to total the last 30 semester hours), or
  - a 3.00 GPA in the SrYr plus any post-baccalaureate upper-division and/or graduate courses. (Any courses included in the SrYr calculation may be repeated to raise the GPA to 3.00.)
- Applicants admitted as conditional students may take at most four graduate courses for only 8–15 hours of graduate coursework as a conditional student, including any hours attempted as an unclassified student in the same degree program. Conditional students must maintain a 3.00 Cum GPA and must earn at least a 3.00 Cum GPA for the 8-15 hours before they can move to unconditional status. If the 3.00 Cum GPA is maintained the move to unconditional status occurs automatically at the conclusion of the semester in which 8 hours of graduate coursework is completed successfully. Subject to the recommendation of the college’s graduate committee, courses taken as a non-degree student may be applied to the 8–15 hours limitation – if specified at the time conditional admission is granted.

10 http://catalog.utm.edu/content.php?coid=8&navoid=480
Master of Arts in Strategic Communication Program Admissions Criteria
In addition to the minimum requirements for graduate admission to the university, students must meet the following requirements specifically for the M.A. in Strategic Communication program.

Unconditional
GRE:
• Verbal Reasoning: 150 (450 if taken prior to August 2011)
• Quantitative Reasoning: 138 (350 if taken prior to August 2011)
• Analytic Writing: 4.0

Conditional
GRE:
• Verbal Reasoning: 146 (390 if taken prior to August 2011)
• Quantitative Reasoning: 138 (350 if taken prior to August 2011)
• Analytic Writing: 3.5

Students applying to the MASC program must also submit the following three items as part of the admissions application.
• Current resume
• Three current and relevant letters of recommendation. These must be professional rather than personal references (i.e., from employers, faculty members rather than pastor, friend).
• A 500-word statement of professional goals that addresses the student’s career goals and how the MASC would contribute to the achievement of those goals.

Early Admission for UT Martin Undergraduate Seniors
The University of Tennessee at Martin Office of Graduate Studies allows UT Martin undergraduate seniors the option for early admission to graduate programs. According to the UT Martin Graduate Catalog, “a senior at UT Martin who needs less than 30 semester hours to complete the requirements for a bachelor’s degree and has at least a B (3.00) cumulative average may take sufficient work for graduate credit to make a combined total of undergraduate and graduate credit hours of not more than 15 per semester, subject to the approval of the dean of graduate studies.” Strategic communication graduate courses may be taken only if a student meets all undergraduate prerequisite course requirements and at a minimum meets the requirements for conditional admission. Students cannot earn both undergraduate and graduate credit for the same course.

Degree Program Assessment/Evaluation and Accreditation
The internal evaluation of the program will include the use of student feedback and faculty evaluations to continually improve the program. Additionally, input on curriculum and program effectiveness from the UT Martin Department of Communications Industry Advisory Board, which is composed of communication professionals in diverse industries, will be used to assure that the program is meeting the demands and needs of employers.
Program Assessments/Evaluation

End-of-Program Comprehensive Examination (direct measure)
The Department of Communications will administer an examination to assess students’ understanding of key communication, media, and leadership theories; strategic communication best practices; and advanced skills within areas of interest. The exam will contain both common questions completed by each student, as well as questions related to the student’s chosen area of emphasis. Students will take the comprehensive examination after completion of all core courses and relevant elective courses.

Capstone Applied Research Project (direct measure)
Students must demonstrate the ability to think critically, creatively and independently; apply strategic communication concepts and theories; conduct research and evaluate information; apply current tools and technologies appropriate for the communications professions in which they work; write correctly and clearly in forms and styles appropriate for the communications; and contribute to knowledge appropriate to the communications professions in which they work.

Exit Interviews (indirect measure)
The graduate program director will conduct exit interviews with graduate students prior to their graduation to gauge their perceptions of the degree program and to gather suggestions for improvement.

Graduate Employment/Promotion (indirect measure)
The goal of the proposed M.A. in Strategic Communication is to prepare students for advanced jobs and opportunities in communications- and media-related careers. The Department of Communications will collect data about the employment and promotion of graduates of the program.

Degree Program Accreditation
The undergraduate communications degree program at the University of Tennessee, Martin is fully accredited by the Accrediting Council on Education in Journalism and Mass Communications (ACEJMC). Two accreditation options are available for applied graduate programs such as the proposed strategic communication master’s degree. The Department of Communications faculty will fully evaluate both options and decide which option, if any, better fits the M.A. in Strategic Communication.

ACEJMC offers accreditation of master’s degree programs that meet four criteria. First, graduate programs must be professionally oriented, as opposed to a degree focused on academic career preparation. Second, the degree program must require a professionally oriented thesis, research project, or comprehensive examination. Third, more than half the coursework must be grounded in professional experience. Fourth, the course content must address ACEJMC’s basic competencies:

1. understand and apply the principles and laws of freedom of speech and press for the country in which the institution that invites ACEJMC is located, as well as receive instruction in and understand the range of systems of freedom of expression around the world, including the right to dissent, to monitor and criticize power, and to assemble and petition for redress of grievances;

More information can be found at http://www2.ku.edu/~acejmc/PROGRAM/POLICIES.SHTML
• demonstrate an understanding of the history and role of professionals and institutions in shaping communications;
• demonstrate an understanding of gender, race, ethnicity, sexual orientation and, as appropriate, other forms of diversity in domestic society in relation to mass communications;
• demonstrate an understanding of the diversity of peoples and cultures and of the significance and impact of mass communications in a global society;
• understand concepts and apply theories in the use and presentation of images and information;
• demonstrate an understanding of professional ethical principles and work ethically in pursuit of truth, accuracy, fairness and diversity;
• think critically, creatively and independently;
• conduct research and evaluate information by methods appropriate to the communications professions in which they work;
• write correctly and clearly in forms and styles appropriate for the communications professions, audiences and purposes they serve;
• critically evaluate their own work and that of others for accuracy and fairness, clarity, appropriate style and grammatical correctness;
• apply basic numerical and statistical concepts;
• apply current tools and technologies appropriate for the communications professions in which they work, and to understand the digital world; and
• contribute to knowledge appropriate to the communications professions in which they work.

The Public Relations Society of America Certification in Education for Public Relations (CEPR) provides another option for program certification. The CEPR is a voluntary program that provides an endorsement of undergraduate and graduate programs. The CEPR requires master’s students to complete a capstone experience that can include a thesis, professional project, or comprehensive exam. Programs must address the following skills or competencies in the graduate curriculum:

• public relations (or strategic communication) theory and research;
• public relations (or strategic communication) strategy and tactics;
• public relations (or strategic communication) legal and ethical issues;
• public relations management in global, multicultural environments; and business/management and the behavioral sciences.

The university will also need to submit a prospectus for substantive change with SACS no later than May 1, 2015. The Department of Communication is working with Dr. Vicki Seng, Associate Vice Chancellor for Academic Affairs and Dean of Graduate Studies, to fulfill this requirement.

Related Undergraduate Programs at UT Martin
The Department of Communications has maintained a highly successful undergraduate communications degree program for 36 years. Graduates work in broadcasting, journalism, public relations, and media design careers. The Department’s approach to its undergraduate program combines relevant in-class course materials and skills development, taught by faculty with industry experience, with hands-on
experiential learning both inside and outside the classroom. The Department of Communications will apply this consistently successful approach to the proposed M.A. in Strategic Communication to provide advanced training in communication planning and management, as well as to provide training in best practices for traditional and new media.

The Accrediting Council on Education in Journalism and Mass Communication (ACEJMC) approved full reaccreditation of the UT Communications undergraduate program in May 2014.

Undergraduate students and student-developed media within the Department of Communication are consistently recognized with regional and national awards. Related programs have enjoyed great success during the past seven years, especially the campus radio station, WUTM-FM, which has won numerous regional and national awards. The Intercollegiate Broadcasting System (IBS) named it the Best College Radio Station in the Nation in 2012 for stations of all sizes. The student newspaper, The Pacer, has won several regional awards, and our public relations and media design students have also won awards at regional competitions. The following list is a small sample of recent awards. A detailed list of student awards is available at https://www.dropbox.com/s/xgf1pyfr2nmkuza/Student%20awards.docx.

**Intercollegiate Broadcasting System National Awards:**
- WUTM received a “Platinum Award” for the fourth straight year in 2014. This is the highest peer-reviewed award given by IBS for broadcast excellence. The awards given each year are Platinum, Gold, Silver and Bronze.
- WUTM was awarded Best College Radio Station in the Nation in 2012 for stations of all sizes.
- WUTM staff members have won “Top 5” national awards in 15 categories over the past three years.

**Tennessee Associated Press Collegiate Broadcasters Awards:**
- Mary Lynn Williams won First Place in the AP Associated Press Broadcasters “Best Sports Coverage Radio Award” in 2014 for her interview with women's basketball coach, Lin Dunn.
- WUTM News Director Aimee Bilger won second place in the category of "Best College Radio News Story."
- WUTM Program Director Matt Borden and Mary Lynn Williams won third place in the category of "Best College Radio Sports Coverage" for their interview of Tennessee Titan Michael Griffin.

**Southeast Journalism Conference (Best of the South):**
- WUTM-FM was named “Best College Radio Station in the South” in 2008, 2009, and 2011.
- News Director Aimee Bilger was awarded third place in the competition for 2014 Best Radio Feature News Reporter
- Sports Director Mary Lynn Williams was named the 2014 Best College Radio Journalist.
- The Pacer placed fourth for 2013 Best College Magazine for the freshman magazine, Taking Flight
- Jennifer DeYeso won first place in the conference’s onsite competition for Best News Graphic Designer
- Matt Cook and Jennifer DeYeso won second place in the conference’s onsite competition for Best Multimedia Package
Public Relations Society of America (PRSA) and Public Relations Student Society of America (PRSSA):
- 2010 PRSA Gold Student Vox Award for the "Connect with UT Martin" Campaign
- 2010 PRSA Gold Student Vox Award for the "UT Martin Recycles" Viral Web Video
- 2011 PRSSA Gold Key Student Member Award
- 2013 PRSSA President's Citation

American Advertising Federation Student Addy Competition (West Tennessee Chapter):
- 2008 Student Gold ADDY Award for Mixed Media Campaigns for “I am Tennessee Law Enforcement” for the Tennessee Association of Chiefs of Police
- 2008 Student Silver ADDY Award for Radio for “I am Tennessee Law Enforcement” for the Tennessee Association of Chiefs of Police
- 2009 Student Bronze ADDY Award Direct Mail for “Connect with UT Martin Postcard” for the University of Tennessee at Martin
- 2009 Student Bronze ADDY Award for Interactive Multimedia for “UTM Recycles Promotional Video” for the UTM Recycles Club

The university also offers several other undergraduate programs related to strategic communication. The College of Business and Global Affairs offers marketing and business administration majors as well as a new emphasis in business communication information systems. The Department of Communications has worked with marketing and information systems faculty to provide curricular support for these programs. The Department of Agriculture, Geosciences, and Natural Resources offers an agriculture communication degree option for students pursuing a Bachelor of Science in Agriculture. Agriculture communication students are required to take 18 hours of courses currently offered in the Department of Communications.

**NEED AND DEMAND FOR THE DEGREE PROGRAM**

The Complete College Tennessee Act and the resulting state master plan for higher education implemented an outcomes-based funding formula that places more emphasis on student success, as well as economic and workforce development. The new funding encourages institutions to focus on developing academic programs that “reflect the strategic interests of the state and those that have strong employer demand.” Increasing the number of master’s graduates is a priority for Tennessee, according to the THEC state master plan and the Tennessee Complete College Act. In addition to the state plan, the strategic plan for the University of Tennessee at Martin also includes an emphasis on expanding the number of master’s graduates.

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Workforce Development Needs

National and regional workforce data indicate an increasing demand for jobs related to marketing communication and strategic communication. The U.S. Bureau of Labor projects that the public relations industry will grow 24% from 2008-2018, a rate that is far greater than the average growth for all occupations. Workforce development data from Tennessee, Kentucky, and Missouri support the previously described projections included in the THEC supply and demand analysis. Tennessee workforce development data projects a favorable job outlook in the state for advertising and promotions managers, public relations managers, and public relations specialists with demand equaling or exceeding the supply of qualified candidates. Workforce development data for the Kentucky River and Purchase regions of western Kentucky also matches Tennessee projections with public relations occupations projected to grow rapidly through 2018. Workforce development data for the southeast region of Missouri also projects strong growth in entry and mid-level public relations occupations, as well as above-average growth for public relations managers.

The recent Academic Program Supply and Occupational Demand Projections: 2008-2018 conducted for the Tennessee Higher Education Commission supports the national and state projections of job growth in the public relations industry. The results of the THEC supply and demand analysis indicated that the marketing (4.5) career path would be one of the top 10 under-supplied career paths in Tennessee between 2008-2018. The demand for public relations and advertising professionals is projected to far exceed the supply of graduates from related academic programs (CIP 2-digit code 09). Public relations and advertising degree programs are projected to produce approximately 50 graduates per year compared to approximately 375 annual projected job openings in advertising, promotions, public relations, and art direction. Additionally, the THEC supply and demand analysis designated the Marketing (4.5) career pathway, specifically Public Relations, Advertising, and Applied Communication (CIP 09.0999), as a high-need field in Tennessee.

The need for professionals trained in strategic communication is a reflection of at least three factors. First, the communication tools available to organizations have expanded. Traditional media such as television, radio, newspapers, magazines, and out-of-home media have been the primary tools businesses and organizations use to communicate with target audiences. However, innovations in Web, mobile, and social media have changed the way in which organizations communicate with target audiences. The recipient of the message is much more engaged and active in this new environment. As a result, individuals in management roles need a much deeper understanding of communication theory, applied communication research methods, and advanced techniques for message production for traditional, Web,
mobile, and social media. Second, businesses and organizations will need more coordination and consistency among all divisions of an organization. Marketing communication, media relations, fundraising, community relations, advocacy efforts, etc., will need to have one message projected across many communication opportunities. This increased coordination and alignment with strategic business goals will require communication managers who not only have technical skills in communication production but also an understanding of business strategy and strategic planning. Third, the ease and availability of new communication media have increased the need for professional approaches. New technologies have made it easier for anyone to create messages, both officially sponsored and outside the organization. However, that easy access has led to ineffective, contradictory, and at times unethical messages being created by untrained individuals. Organizations are going to need managers who understand message strategy, business strategy, and communication ethics in order to make communication efforts stand out from the crowd and to achieve organizational objectives.

**Student Demand**

The Department of Communications conducted a formal survey of all students enrolled in junior- and senior-level communication courses during the Fall 2011 and a random sample of UT Martin Communications alumni to determine the level of interest in the proposed M.A. in Strategic Communication. Current students and alumni would be a logical group to initially launch the program and would provide an accurate gauge for the level of interest.

The student survey included 84 communications majors (90%) and minors/special emphases (10%). Students enrolled in more than one upper-division course were only allowed to take the survey once. The sample size provided adequate power to reach the 95% confidence level. Respondents were distributed proportionally according to the available undergraduate degree emphases—29 (35%) were broadcasting majors, 29 (35%) were public relations majors, 10 (12%) were news-editorial majors, 7 (8%) were media design majors, 5 (6%) were communication minors, and 3 (4%) were agriculture majors with an emphasis in communication. Sixty-five respondents (77%) indicated interest in enrolling in a master’s degree within the UT Martin Department of Communications. Sixty-eight respondents (81%) expressed a preference for a professionally focused master’s degree with a curriculum oriented toward job skills development and communication management skills as opposed to 16 respondents (19%) who expressed a preference for an academically focused degree providing preparation for doctoral work. The students were asked to read a brief description of four specific degree concentrations—strategic communication (CIP 09.0999), public relations and image management (CIP 09.0902), mass communication and media studies (CIP 09.0102), and journalism (CIP 09.0401)—and indicate their level of interest in each concentration area. Strategic communication received the highest level of interest with 65 students (77%) indicating interest.

The alumni survey produced similar results as the student survey. The alumni survey included a random sample of 200 departmental alumni. Sixty-four alumni responded to the survey for a 32% response rate. The respondents were employed across a variety of communications and non-communications job fields with 19 (30%) of respondents indicating current employment in corporate or non-profit public relations/advertising, six (9%) respondents in television or radio broadcasting, and 32
(50%) of respondents listing numerous other job fields. Responses to the open-ended employment response option could be grouped into government positions, non-profit development and fundraising, human resources, Web design, corporate photography, sales, and information technology management. The average (mean) years of employment was 12.4 years with seven years as the median point. Years of employment ranged from 0.5–36 years. The respondents graduated from the UT Martin Communications Department with emphases in broadcasting (21; 33%), public relations (24; 38%), news-editorial (15; 23%), and visual communication (4; 6%). Thirty-four (53%) of the alumni who responded expressed a general interest in enrolling in a master’s degree if one were to be offered through the UT Martin Communications Department. Similar to the results from the current students, 45 (70%) of the alumni also preferred a professional degree focused on job skills development and communication management. The alumni were asked to read the same descriptions of four specific degree concentrations as the current students—strategic communication (CIP 09.0999), public relations and image management (CIP 09.0902), mass communication and media studies (CIP 09.0102), and journalism (CIP 09.0401)—and indicate their level of interest in each concentration area. A master’s degree in strategic communication and a master’s degree in public relations and image management tied with the highest indicated level of interest (40 respondents or 63%).

**Institutional Need**

Consistent with UT Martin’s mission, the university has been actively seeking opportunities to expand the graduate program offerings and better serve the West Tennessee region, focusing particularly on degrees for which alumni and employers in the area have expressed interest. Public relations has been identified as a rapidly growing job field by national and state workforce development agencies. Additionally, the recent THEC supply and demand analysis indicated the marketing career path, which includes strategic communication jobs, is severely undersupplied with qualified graduates. All indicators point to an increasing demand for master’s-prepared communications professionals over the next 10–20 years. The university believes that investing in the proposed master’s degree program would meet the needs of those looking to advance in management positions requiring strategic communication skills, as well as the need of employers for more qualified graduates.

**Academic Need**

The THEC Academic Inventory lists six master’s degree programs within the broad 09 Federal CIP classification category. Austin Peay State University, East Tennessee State University, Middle Tennessee State University, and The University of Memphis are the four schools within the Tennessee Board of Regents with master’s degree programs in a communications field. The University of Tennessee, Knoxville, was the only university within the University of Tennessee system offering a master’s degree in communication. None of these programs have been identified by THEC as a low-producing program. Furthermore, none of the existing communications-related graduate programs in Tennessee specifically target strategic communication.
DIVERSITY AND ACCESS

UT Martin will address its diversity goals in recruitment and student support. The hybrid delivery of both online and on-campus opportunities is designed to provide broad access to the degree program.

PROJECTED ENROLLMENT AND PRODUCTIVITY

UT Martin Institutional Research data for the 2010–2011 academic year indicated that the majority of students enrolled in existing UT Martin graduate programs were part-time students (80% of total graduate enrollment). Most UT Martin graduate students take fewer than nine credit hours per semester. The Department, therefore, expects enrollment patterns similar to the existing graduate program at UT Martin. The master’s program proposed by the Department of Communications will be designed to accommodate working adults.

The enrollment and productivity projections in the table below are based on a ratio of approximately 20% full-time enrollment and 80% part-time enrollment. This ratio is consistent with other graduate program at UT Martin. Full-time students should generally graduate in three or four semesters, taking 12 credit hours per semester. Part-time students should graduate in approximately six semesters, taking an average of six credit hours per semester.

The Department of Communications has maintained a successful undergraduate program focused on providing academic preparation and hands-on professional training. This long-standing success is in part a result of small class sizes and a curriculum focused on job skills development. The projected enrollment is intentionally small to bring this strength into the proposed graduate program. Smaller class sizes will allow for more personal attention for students, provide an increased opportunity for hands-on skills development, and create an environment that encourages stronger mentoring and advising relationships between faculty and students.

Table 1
Size of Program

<table>
<thead>
<tr>
<th>Year</th>
<th>Full–Time Headcount (based on 9 credit hours per semester)</th>
<th>Part–Time Headcount (based on 6 credit hours per semester)</th>
<th>Total Year Headcount</th>
<th>Total FTE Enrollment*</th>
<th>Graduates</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
<td>8</td>
<td>10</td>
<td>5.5</td>
<td>0</td>
</tr>
<tr>
<td>2</td>
<td>3</td>
<td>12</td>
<td>15</td>
<td>8.25</td>
<td>0</td>
</tr>
<tr>
<td>3</td>
<td>4</td>
<td>16</td>
<td>20</td>
<td>11</td>
<td>5</td>
</tr>
<tr>
<td>4</td>
<td>5</td>
<td>20</td>
<td>25</td>
<td>13.75</td>
<td>8</td>
</tr>
<tr>
<td>5</td>
<td>5</td>
<td>20</td>
<td>25</td>
<td>13.75</td>
<td>10</td>
</tr>
</tbody>
</table>

* Total FTE = (Full-Time Headcount * 9) + (Part-Time Headcount * 6) / 12. The UT Martin Office of Graduate Studies uses 12 credit hours as the base for calculating FTE in graduates programs.
NO UNNECESSARY DUPLICATION

The proposed master’s degree at UT Martin would be different in curricular focus and course delivery method from the established communication master’s degrees in Tennessee.

First, the proposed master’s degree would fall under the new CIP classification of 09.0999—Public Relations, Advertising, and Applied Communication. There are currently no other programs listed in the THEC Academic Inventory database in the CIP 09.0999 category. No other university in Tennessee has an established master’s degree program with an emphasis in strategic communication. Nationally, several universities offer master’s degrees in strategic communication, integrated public relations, or integrated marketing communications, including University of Southern California, Northwestern University, University of Kansas, University of Missouri, Syracuse University, University of North Carolina, University of South Carolina, Texas Christian University, West Virginia University, Columbia University, University of Oregon, Georgetown University, University of Iowa, Seton Hall, University of Minnesota, University of Denver, Maryville University (St. Louis), and George Washington University.

Second, the curriculum will provide a unique blend of courses that provide advanced written, visual, and oral communication skills development; education in industry best practices for traditional, online, and social media; advanced training in communication technologies; development of communication leadership and management skills; and an understanding of the influence of global forces on strategic communication. Graduate students will be able to customize the degree program using the 21 elective credit hours to achieve specific career goals. The UT Martin Department of Communications has an undergraduate program that is highly respected among industry employers because of its focus on developing the professional job skills graduates need when they enter the workplace. The proposed master’s program would use a similar approach to equip graduates with the knowledge and skills required to fill the growing need for strategic communication managers across a diverse range of organizations and industries.

Finally, the master’s degree program would target a different geographic service area from the programs at the other public universities in Tennessee. The primary area for student recruitment would be the West Tennessee region outside of Memphis, western Kentucky, the southeast “boothel” region of Missouri, and northeastern Arkansas.

FACULTY

The UT Martin Department of Communications faculty are well-suited for a professionally oriented master’s degree program. Every full-time faculty member has significant professional experience in his or her area of expertise. The faculty possess a wide range of professional expertise and academic backgrounds covering all the competencies recommended by the CPRE. Faculty CVs are available at https://www.dropbox.com/sh/d54wt8c2ntf42q5/AACCm_f5WlyLT1amjayHRj0ga.

In addition to professional experience, each faculty member in the department would qualify for graduate faculty status based on academic credentials and/or significant professional experience. Seven of the 10 faculty members in the department hold a Ph.D. in communications-related fields, and one faculty
member holds an Ed.D. The three remaining faculty hold master’s degrees and have significant professional experience in journalism, television production, media sales, business communication, organizational communication, and media design.

Table 2
Current Faculty

<table>
<thead>
<tr>
<th>Name of Faculty</th>
<th>Highest Degree Earned</th>
<th>Total Years Teaching Experience</th>
<th>Years Teaching at UTM</th>
<th>Area of Degree Specialty</th>
<th>Full-Time or Part-Time in the Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>Robert Nanney</td>
<td>Ph.D.</td>
<td>22</td>
<td>22</td>
<td>Mass Communication</td>
<td>Part-time</td>
</tr>
<tr>
<td>Teresa Collard</td>
<td>Ed.D.</td>
<td>26</td>
<td>21</td>
<td>Higher Ed Leadership</td>
<td>Part-time</td>
</tr>
<tr>
<td>Tomi Parrish</td>
<td>MA</td>
<td>18</td>
<td>18</td>
<td>Journalism</td>
<td>Part-time</td>
</tr>
<tr>
<td>Rodney Freed</td>
<td>MS</td>
<td>17</td>
<td>17</td>
<td>Comm/Radio-TV</td>
<td>Part-time</td>
</tr>
<tr>
<td>Tracy Rutledge</td>
<td>Ph.D.</td>
<td>11</td>
<td>7</td>
<td>Communication/Message Design and Effects</td>
<td>Part-time</td>
</tr>
<tr>
<td>Richard Robinson</td>
<td>Ph.D.</td>
<td>17</td>
<td>13</td>
<td>Mass Communication/Media Arts</td>
<td>Part-time</td>
</tr>
<tr>
<td>Jeff Hoyer</td>
<td>Ph.D.</td>
<td>15</td>
<td>15</td>
<td>Health Promotion/Communications</td>
<td>Part-time</td>
</tr>
<tr>
<td>Chara Van Horn</td>
<td>Ph.D.</td>
<td>12</td>
<td>7</td>
<td>Public Communication</td>
<td>Part-time</td>
</tr>
<tr>
<td>Art Hunt</td>
<td>Ph.D.</td>
<td>20</td>
<td>8</td>
<td>Communication</td>
<td>Part-time</td>
</tr>
<tr>
<td>Stacy Freed</td>
<td>M.S. and MBA</td>
<td>10</td>
<td>9</td>
<td>Organizational Communication/Business Administration</td>
<td>Part-time</td>
</tr>
</tbody>
</table>

Total FTE Current Faculty in Program: 10

Dr. Teresa Collard is a member of the UTM graduate faculty and has served on master’s thesis committees for the Master of Science in Family and Consumer Sciences at UTM. Dr. Robert Nanney is also a member of the UTM graduate faculty as chairman of the department. Dr. Nanney, along with Dr. Richard Robinson, Dr. Tracy Rutledge, Dr. Chara Van Horn, Mr. Rodney Freed, Ms. Stacy Freed, and Ms. Tomi Parrish, have served as faculty mentor/committee chair for undergraduate University Scholars honors theses. Dr. Jeff Hoyer has served as a committee member for University Scholars projects. University Scholars are required to complete a two-year in-depth project. Three students received the Tennessee Communication Association’s Outstanding Undergraduate Research Paper Award based on their respective projects. In addition, Dr. Tracy Rutledge and Ms. Stacy Freed received the Tennessee Communication Association’s Outstanding Faculty Adviser Award for their work as faculty chair on University Scholars projects.

The department is requesting one new full-time, tenure-track faculty member to support the addition of a master’s program. The MASC planning committee conducted an extensive analysis of the impact of the proposed MASC coursework on the current faculty teaching workload. The analysis indicated that four to
six sections of lower-division communication courses would be replaced with MASC courses. Most of these courses are required courses that fill to capacity every semester. The new faculty member is needed in order to maintain the Department of Communications’ strong undergraduate program while developing an equally strong master’s degree. Dr. Jerald Ogg, UTM Vice Chancellor for Academic Affairs and Provost, has confirmed the university’s commitment to fund the additional faculty position for the 2015–2016 academic year. The Department is also requesting the addition of a second full-time faculty member once MASC FTE reaches or exceeds 45.

Table 3
New Faculty

<table>
<thead>
<tr>
<th>Number of Faculty Needed</th>
<th>Highest Degree Earned</th>
<th>Anticipated Rank/Experience Desired</th>
<th>Area of Degree Specialty</th>
<th>Year of Program to be Employed</th>
<th>Full-Time or % of Part-Time in the Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ph.D.</td>
<td>Asst. Prof./Communications</td>
<td>Oral Communication/Mass Comm.</td>
<td>1</td>
<td>Full-time*</td>
</tr>
<tr>
<td>1</td>
<td>same</td>
<td>same</td>
<td>same</td>
<td>When we reach FTE of 45</td>
<td>Full-time*</td>
</tr>
</tbody>
</table>

Total FTE New Faculty in Program:

* New hires initially will be teaching full-time in the undergraduate program as existing faculty teach part-time in the MASC program.

**Program Organization and Administration**

The program will be housed in the Department of Communications at UT Martin. The Department currently offers a bachelor’s degree with four areas of concentration, including broadcasting, news-editorial, media design, and public relations. No additional organizational unit would be needed for the proposed degree program. The Department of Communications, one of 19 academic departments housed in five colleges, is located within the College of Humanities and Fine Arts.

The Graduate Program Coordinator (Dr. Tracy Rutledge) within the Department of Communications will have administrative responsibility for the Master of Arts in Strategic Communication.

**Library Resources**

Students have access to the holdings and resources of the Paul Meek Library, which houses numerous books, newspapers, and periodicals related to strategic communication. The library also subscribes to numerous databases and electronic journals to support student and faculty research. Electronic resources are accessible from any computer on campus and through the use of university-assigned passwords from off-campus. A complete listing of electronic databases subscribed by the university can be found at
http://www.utm.edu/library.php. The only additional resource needed might be a library subscription to the Communication and Mass Media Complete Database. The library also offers an excellent inter-library loan service that is easily accessible through the Paul Meek Library website. This service allows students on and off campus to request materials not found in the Paul Meek Library holdings.

In the past three years, the library dedicated $3,000 to the Department of Communications for the acquisition of new books, audio, and video materials. A faculty representative serves as the liaison to the library. This person receives requests and suggestions for new library materials from the all the communications faculty and coordinates the purchase of new materials.

In addition to the resources of the Paul Meek Library, students also have access to the Department of Communication Reading Room, located in Gooch 309. This is an area dedicated for student use outside of classes. The room is equipped with comfortable furniture and a conference table capable of seating 18 participants. The room is also equipped with a SMART board projection system for faculty and student presentations. The departmental reading room also houses numerous trade magazines, journals, and newspapers for student research. Magazines with a monthly circulation are kept for a period of one year. Weekly magazines are kept for a period of six months. Trade magazines in the reading room include the following titles.

- AV Technology
- Billboard
- Broadcast Engineering
- Broadcasting and Cable
- CED
- Government Video
- ICG
- Multichannel News
- Radio
- Radio Ink
- Radio World
- Sound & Video Contractor
- TV technology
- VIA Satellite
- AdWeek
- News Photographer
- Rangefinder
- Columbia Journalism Review
- Editor and Publisher
- Publisher’s Weekly
- The Atlantic
- The New Yorker
- Time
- Writer’s Digest
- Advertising Age
- Odwyer’s PR Report
- PR Strategist
- PR Week
- Public Relations Tactics

**SUPPORT RESOURCES**

**Student Support Resources**

The Office of Student Engagement (OSE) includes Academic Records, Admissions, Financial Aid and Scholarships, and the Student Success Center. The OSE is designed to increase academic success. The Student Success Center provides academic support services, including tutoring, the Writing Center, Career Employment and Placement Services, and the Office of Disability Services.
Instructional Technology
The University of Tennessee at Martin provides a variety of instructional technology tools to support the course delivery and management for the M.A. in Strategic Communication.

- Students use the MyUTMartin Web Portal to manage student information, register for classes, pay fees, and access learning technology tools. Each student has a secure login credential that provides access to the Web portal at any time.
- Students have access to Blackboard learning management system through the MyUTMartin Web Portal. Students can access Blackboard by using their secure student login credentials. Faculty can post course materials using a variety of multimedia tools, create assignments, and post grades. Students can submit assignments online through Blackboard and participate in online learning activities. Blackboard recently announced the development of an extension that will allow the campus to add MOOC (massive open online courses) features within the existing platform. This extension will allow faculty to add more interactive and social learning components to a course.
- Faculty have access to Adobe Presenter to create more engaging online lectures.
- Faculty can also incorporate Adobe Connect into courses. Adobe Connect provides an online classroom space for synchronous class presentations. Students can participate in live online discussions.
- The University of Tennessee at Martin provides every student with a Google apps account. Students and faculty have access to tools for creating and sharing documents, presentations, forms, and websites. The Google apps are especially useful for online learning with the ability for groups of students to work together on course assignments. Google+ Hangouts provides an opportunity for live video conferencing for small groups of students. Google+ Hangouts offers faculty the opportunity to live-stream video conferences and record those sessions to a YouTube channel for offline viewing.
- The UT Martin Technology Help Desk provides assistance to students, faculty, and staff. Telephone support is available every day between 6:30 a.m. and midnight. Students can also submit help requests online from the Help Desk website.
- The Department of Communications also has classrooms with computerized teaching stations, projectors, and recording equipment. The department has one computer lab with 16 computers equipped with industry-standard software. The television production studio contains a fully digital, high-definition control room and editing bays. The campus radio station, WUTM-FM, is FCC-licensed and provides students with digital audio production capabilities.

Cooperating Institutions
Faculty within the Department of Communications are exploring a possible partnership with the Tennessee Emergency Management Agency to provide professional training for public information officers and community emergency managers in Tennessee. The proposed MASC curriculum includes a crisis communication course addressing both corporate and public affairs issue/crisis management. The
TEMA executive director, TEMA public information officer, and TEMA chief of staff have assisted with the crisis communication course and have expressed interest in exploring a partnership.

**FACILITIES**

The department’s facilities are housed in two locations, Gooch Hall and the Communications Building. The department administrative and faculty offices, *The Pacer* student newspaper office, WUTM-FM studios (business office, FM studio, five audio production studios, music library, news studio/transmitter remote control room, and storage room), a high definition television studio, television editing suite, The Spirit yearbook offices, departmental reading room, and classrooms are located in Gooch Hall. The Communications Building houses WLJT-TV's master control facility, a television studio, and a classroom. The department acquired and renovated additional space during the 2013–2014 academic year that added a large classroom, additional television editing and photography studio space, and two additional offices for the broadcast faculty.

**Instructional Facilities and Equipment**

*On-Campus Seminar Classrooms and Computer Lab*

The department has priority scheduling in 3 classrooms in Gooch Hall and the classroom in the Communications Building. The classrooms are equipped with video recording devices for speech courses. All classrooms are equipped with computer and projection equipment for instructor or student presentations. Faculty also have the option to connect a laptop or iPad through the instructor workstation. All of the installed computer stations in the have wired Internet access, and wireless Internet access is available to students.

The university will implement Zoom cloud meeting software, which will provide a modern platform for online meeting, teleconferencing, and video conferencing. The Department of Communications is currently evaluating Cisco’s TelePresence product that could work in combination with the Zoom software to create immersive classrooms for online courses.

In addition to the seminar classrooms, the department has one dedicated computer lab located in Gooch Hall. The lab is equipped with 18 Apple iMac computers. All computers in the lab have Microsoft Office 2011 for Mac, Adobe Creative Suite 5, Adobe Lightroom, and Soundslides. All student lab computers have wired Internet access. In addition to the student computers, one computer workstation has a dedicated flatbed scanner. All computers in the lab are connected to a color laser printer that requires students to use their university identification cards with a declining balance system to pay for printing.

*Echo360 Classroom and Personal Capture Software*

The university has eight classrooms across campus equipped with Echo360 Classroom setup. Echo360 is a special setup that enables professors to record classroom lectures and automatically upload them into Blackboard or iTunesU. The Echo360 Classroom setup captures the activity on the computer screen, records the professor's voice as he/she lectures, and creates a video recording of the front of the classroom where the professor is standing. Students click a link in the Blackboard course and the recording loads in
the browser. The Echo360 system is completely automated, and professors using the system do not have to have any technical training to use the system.

**Television Studio**

The Gooch 214 television studio and control room contains newly updated high-definition production equipment. Most of this equipment was purchased during the 2008-2009 academic year through funds received from the American Recover and Reinvestment Act. The studio is equipped with the following equipment: two Panasonic DVCPro studio cameras with teleprompters, Broadcast Pix Slate production switcher with Inscriber CG and DVR playback, Clearcom intercom system, 12-channel Audioarts audio console, Sony XDCAM HD PDW-F75 disc recorder, Sony XDCAM EX recorder, Panasonic VHS/mini-DVD recorder, Panasonic DVR/DVD recorder, Pesa 16x16 analog routing switcher, Blackmagic Design 16x16 HD-SDI routing switcher, Panasonic HD reference monitor, Sony lavaliere microphones, Lowel fluorescent lighting fixtures, Videotek analog waveform & vectorscope, and Blackmagic Design HD-SDI waveform/vectorscope.

The students have available two Sony PMW-EX3 EX HD camcorders, one Panasonic HVX-200 DVCPro HD camcorder for use with student projects. The department also has a Sony DPW-F355 XDCAM HD camcorder for special project use.

The television editing facilities are located in Gooch 218. The department maintains two Avid Media Composer 7 Nitris systems on the PC platform. A third Avid Media Composer 7 software only system on the Mac platform is also housed in the room. These systems are interconnected by fibrechannel to a Facilis Terrablock 24D shared storage server with 12 terrabytes of RAID 5 usable storage. Each system also has an external four terabyte of RAID 5 storage for backup and project storage. All editors have a Sony SxS card reader for video ingest. One of the Avid systems also has a XDCAM HD PDW-F75 disc recorder for video write back to optical media.

Faculty have access to one Media Composer 7 system on the Mac platform for special projects and a laptop with Avid Media Composer 7, Adobe Creative Suite 5, and SoundSlides for use in field environments or demonstrations.

**WUTM-FM and Audio Production Facilities**

The WUTM-FM on-air and production studios are located in Gooch 220. WUTM (90.3 FM) is a FCC licensed 200-watt radio station that serves the campus and surrounding community. Students work at the station for class and practicum credit in all aspects of station operations.

WUTM utilizes DJB digital automation system for music and programming playout. The FM control room is equipped with an Audioarts D75 digital audio console, two CD players, CD-RW recorder, broadcast delay, Tieline Commander G3 studio codec, and four Shure RE-20 microphones. One production studio, also equipped with DJB production utilities, scheduler and Adobe Audition, is dedicated for WUTM on-air audio ingest and scheduling. Four other audio production studios are equipped with Audioarts Air-1 boards, Adobe Audition editing software, CD-RW recorder, dual CD players and Shure RE-20 microphones. A Davis weather station mounted on the roof of Gooch Hall gives on-air staff real-time weather data for weather forecasts.
WUTM utilizes the Burli newsroom management system, which allows paperless news production. Computers with the Burli software are located in the news area, the on-air studio, and several of the production studios. Students are able to write and post stories to the network folder, allowing access across the network for inclusion into any newscast. The software also supports the playback of recorded news reports or actualities through the system within a rundown of a newscast. Tied directly into the audio console, Burli allows instant updating of not only written copy but also recorded audio content. The Burli software can also be access from a computer in the television studios for newscast production and teleprompting.

In conjunction with the Tieline G3 studio codec, students are able to cover remote events utilizing the Tieline G3 field digital codec or an analog hybrid setup. Students broadcast live all of the home basketball and football games. Additionally, the station covers other sports, such as baseball, softball, volleyball and soccer, along with university events such as campus speakers or special events.

WUTM uses an Omnia FM broadcast processor for the outbound audio feed to the transmitter. Additionally, program audio is fed to an Omnia One Multicast audio processor for streaming. The final output is sent via fiber optics to the WUTM transmitter and tower located on Moody Avenue. The transmitter location is a self-contained communications shelter equipped with a UPS system and emergency generator power. Remote monitoring of the WUTM transmitter is made possible by TCP/IP and telephone connectivity by Burk remote equipment. The remote system alerts the chief engineer and broadcast faculty of audio silence or transmitter malfunctions by telephone.

WUTM is a member of the Associated Press, Tennessee Radio Network, National Association of Broadcasters, and the Tennessee Association of Broadcasters.

The Pacer and Spirit Offices

The Pacer and Spirit offices are located in Gooch Hall and have iMac computers equipped with Adobe Creative Suite for page design and layout.

Department and Faculty Offices

The department and all faculty office are equipped with wired Internet access, and wireless access is also available in Gooch. Faculty can choose with a Mac or PC laptop or desktop computer system that is replaced on a three-year rotating basis, including upgrades to the Microsoft Office Suite on each computer. Additionally, the department purchases Adobe Creative Suite licenses for faculty utilizing those programs in the classroom. The university also purchases site licenses for a variety of software programs for faculty access.

Support Personnel

The Department of Communications is requesting as part of this proposal one additional administrative assistant to help with the increased clerical load. This person would serve as the initial phone contact for students and would assist with bookkeeping and records. This would be a full-time position and salary would be consistent with similar positions at UTM (refer to MASC Financial Projections Worksheet). The Department of Communications currently has one full-time administrative assistant who serves as the administrative assistant for the department’s chair, supervises all work study students, facilitates requests
and paperwork with Business Affairs, assists with faculty requests, and serves as a contact point for undergraduate students. The current administrative assistant cannot absorb the additional support staff needs required for the MASC.

**COST/Benefit**

A detailed 5-year cost projection has been developed using current tuition rates and human resources costs. See the attached Financial Projections Worksheet.

**Costs and Productivity of Recently Initiated Programs**

UT Martin added only one new program in the last 10 years, the BSBA Finance major. The following information was reported in the THEC Post-Approval Monitoring Report for the BSBA Finance major.

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<td>Approval Date:</td>
<td>July 14, 2005</td>
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<td>Degree Type:</td>
<td>BSBA</td>
<td>Implementation Date:</td>
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**Program Cost Report**

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<td>Projected</td>
<td>Actual</td>
<td>Projected</td>
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<td>Equipment</td>
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*No additional costs were projected for implementing the program since this was a concentration within the economics program.*

**Student Productivity Report - Fall Enrollment**
### Student Productivity Report - Degrees Awarded

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<th>Actual</th>
<th>% of Goal</th>
<th>Projected</th>
<th>Actual</th>
<th>% of Goal</th>
<th>Projected</th>
<th>Actual</th>
<th>% of Goal</th>
<th>Projected</th>
<th>Actual</th>
<th>% of Goal</th>
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<td>2009-10</td>
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</table>

**Graduates**

- 2006-07: 20
- 2007-08: 22
- 2008-09: 24
- 2009-10: 26
- 2010-11: 28

**Year 1 Comments:**

1FTE figures for Fall 2006 are based on live data tables (not 14th day frozen data) for that semester and reflect the number of current majors who attended during the fall semester. The numbers drawn from frozen census tables are artificially low since not all students moving into the new major had completed their change of major forms by the census date.

**Year 2 Comments:**

**Year 3 Comments:** Program exceeded enrollment expectations.

**Year 4 Comments:**

### List of Active Letters of Intent for UTM

None

### List of programs in Post-Approval Monitoring: (2014 report):

None

### List of low producing programs at all levels

<table>
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<tr>
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<td>11</td>
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<td>6</td>
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<td>1</td>
<td>3</td>
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</table>
UTM has provided a response to this productivity report, with plans to retain and improve all programs except for French. Programs listed in green font are core general education disciplines and do not require an improvement plan.

**List of all programs terminated within the last 12 months**

None

**CONSULTANT**

**Program Advisers**

The following individuals and groups advised the Department of Communications MASC Planning Committee during the development of this program proposal.

- Dr. Jerald Ogg, UTM Vice Chancellor for Academic Affairs and Provost
- Dr. Victoria Seng, Associate Vice Chancellor for Academic Affairs/Dean of Graduate Studies
- UTM Department of Communications Industry Advisory Board
- UTM Department of Communications Faculty Planning Committee

**External Consultant**

Margaret E. Duffy, Ph.D., Chair, Strategic Communication Faculty at the University of Missouri School of Journalism, served as the external consultant during the development of this proposal. Dr. Duffy spent two day in July 2014 on the UT Martin campus talking with a THEC representative, a UT system representative, UT Martin campus administrators, and faculty representatives from the Department of Communications. Dr. Duffy’s report is included with the supporting documentation for this proposal.

The Missouri School of Journalism has a strong master’s program that includes Strategic Communication. Dr. Duffy is chair of the Strategic Communication faculty and teaches courses in strategic communication, research methods and media management. She also directs the School’s online master’s program, which is another plus as we pursue our blended master’s.

Duffy is CEO of Mojo Ad, a student-staffed advertising agency specializing in the Youth and Young Adult market (YAYA) and serving national clients such as AOL, Redbox, Hallmark and U.S. Bank. She is also CEO of AdZou, a student-staffed agency serving national, regional and not-for-profit clients.

Duffy has extensive professional experience and was an executive for GTE (Verizon) in marketing, advertising and public relations. She earned her Ph.D. in mass communication in 1995 with an emphasis in organizational behavior from the University of Iowa. She consults frequently with clients as diverse as the U.S. Army and the Estee Lauder Corporation. Duffy was selected as a member of the first group of Reynolds Journalism Institute Fellows in 2008-‘09. She has presented research and conducted training with agencies and news groups in the United States, China, the United Kingdom, Thailand, Australia and South Africa.
Attachment A—THEC Financial Estimate Form
The University of Tennessee at Martin
Master of Arts in Strategic Communication (MA.Sc)

I. Expenditures

<table>
<thead>
<tr>
<th>Year</th>
<th>New/Renovated space</th>
<th>Equipment</th>
<th>Library</th>
<th>Consultants</th>
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<th>Sub-Total One-Time</th>
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B. Recurring Expenditures

Personnel

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<th>Salary</th>
<th>Benefits</th>
<th>Sub-Total Administration</th>
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Support Staff

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Graduate Assistants

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<th>Benefits</th>
<th>Tuition and Fees*</th>
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Operating

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<th>Equipment</th>
<th>Library (Comm. &amp; Mass Media Complete)</th>
<th>Advertising and Promotion</th>
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Total Recurring

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TOTAL EXPENDITURES (A + B)

|      | $141,002.00      |

II. Revenues

Tuition and Fees

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</tr>
<tr>
<td>3</td>
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Per Semester

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TOTAL REVENUES

|      | $141,002.00      |

NET REVENUE

|      | $17,815.00      |

\[1\] The budget request includes one new full-time faculty member to support the increased faculty load required by the addition of the proposed master's program. The department would require a second new full-time faculty position once FTE in the master's program meets or exceeds an FTE of 45. The Graduate Coordinator would receive 3 credit hours of release time each fall and spring semester. The "overload and adjunct" line item includes funds to cover this course release.

\[2\] Tuition and fees include maintenance fees. Projections are based on students taking 6 credit hours at in-state tuition rates for 2013–2014 and include 5% tuition increase per year.
RECOMMENDATIONS REGARDING THE PROPOSAL FOR A MASTER’S PROGRAM IN STRATEGIC COMMUNICATIONS AT THE UNIVERSITY OF TENNESSEE AT MARTIN

MARGARET E. DUFFY, PH. D.
PROFESSOR AND CHAIR, STRATEGIC COMMUNICATION FACULTY
MISSOURI SCHOOL OF JOURNALISM
140 WALTER WILLIAMS HALL
COLUMBIA, MO 65211
DUFFYM@MISSOURI.EDU

Thank you for the opportunity to review a proposal for a new program in Strategic Communications and to participate in the site visit on July 9, 2014. This review and recommendations is based on my reactions to the proposal and meetings with the following individuals: Dr. Tom Rakes, Chancellor, UT Martin, Dr. Robert Nanney, Chair, UT Martin Department of Communications, Dr. Jerald Ogg, UT Martin Provost/VCAA, and Ms. Jolene Cunningham, Student Services Specialist. I also met with faculty members Dr. Teresa Collard, Mr. Rodney Freed, and Dr. Richard Robinson. We conducted a conference call with HFA Dean Dr. Lynn Alexander. Also in attendance were Dr. India Lane, Assistant Vice President for Academic Affairs and Student Success-UT System, and Betty Dandridge-Johnson, Associate Executive Director for Academic Affairs, Tennessee Higher Education Commission (THEC).

My report is organized as follows: 1) General evaluation of the proposal and its appropriateness for the UT-Martin mission; 2) Strengths of the proposal and recommendations for clarifying and extending important aspects of the proposal and its implementation. Because you have already reviewed my CV and qualifications for evaluating such a program, I will not recap my background for the purposes of this report.

GENERAL EVALUATION OF THE PROPOSAL

In preparation for the site visit, I reviewed numerous documents including the formal proposal, CVs of faculty members, and course syllabi. The package was comprehensive and well designed and covered the key elements of the proposed program. In addition, it appeared to closely follow the rules and expectations of the state of Tennessee’s guidelines for a new program. I have numbered these points for ease of reference. In brief, the proposal:

1. Fills a demonstrated regional need that other higher learning institutions are not currently meeting.
2. Responds to widespread requests for a program of this kind. The need was seen by Strategic Communications administrators and faculty members, faculty in other areas of the University, and by student services staff members. In addition, the Department of communications surveyed current strategic communications students as well as alumni and a large percentage of respondents more favorable to the establishment of the program.

3. Is a logical and cost-effective extension of the successful undergraduate program in Strategic Communications. The existing undergraduate degree program in strategic communications is fully accredited by the Accrediting Council on Education in Journalism and Mass Communication (ACEJMC). If executed, the proposed master's degree would very likely qualify for this accreditation as well.

4. Provides a measured and realistic estimate of the demands, costs, resources and potential revenues of the initiative.

5. Emphasizes the importance of research and strategy in helping students understand how to develop evidence-based and effective communication campaigns and messages.

6. Suggests various recruitment strategies, particularly focused on alumni and regional business entities. It is understood that recruitment strategies will necessarily evolve over time based on further research and students' experience with the program.

7. Recommends a "hybrid" approach to course offerings with most courses offered F2F with technology elements as part of the class, online-only offerings, and a combination of online and on-campus courses for the overall master's.

8. Recommends current and new courses that reflect the realities of today's media landscape including promotional video, mobile, digital skills acquisition, and the like.

9. Has a strong leadership component that is highly advisable for individuals at this level, many of whom will be going into managerial and leadership roles.

10. Includes a significant emphasis on international communication and acknowledges the impact of globalization.

11. My review of the CVs of the Department of Communications faculty members shows them to be well qualified to teach in this graduate program based on their academic achievement as well as their professional expertise. It is also clear that each faculty member is qualified to be a graduate faculty member.

RECOMMENDATIONS FOR ADDITIONS/ALTERATIONS TO THE PROPOSAL
The following should be seen in context since the program proposal is in process and will need to adapt as needs and resources change. However, here are items for consideration:

1a. Common threads that animate the whole curriculum should be more explicit. For example, the emphasis on research and evidence-based decision-making is clearly part and parcel of the program but could be articulated more emphatically in all goals and course work.

2a. Another thread that I think is important is the element of ethics in every single course. The proposal includes related courses and they appear to be very good classes. However, given the rapidly shifting media environment, it is important for students to understand how different media and situations present different ethical dilemmas.

3a. The Capstone Course could have a research component that would help students apply the important research skills they learn in one of the required courses. With UT-Martin’s mission as a teaching school, faculty carry heavy teaching loads and thus have limited time and resources for research. However, this approach could not only hone student skills, but would provide an opportunity within coursework for faculty members to co-author research that would be appropriate for conferences and possibly publication in both academic and professional journals. This would not detract from the professional orientation of the degree but would, in fact enhance it. This is due to the fact that professional strategic communication and campaigns are increasingly based on research data and metrics.

4a. The proposal recommends the addition of one faculty member at the outset of the program and an additional faculty member several years hence. It would be useful to know more about what qualifications and capabilities are envisioned for these faculty members. The department will want to consider the need for additional academic advising, providing for staff support, and graduate assistants. Sufficient faculty and staff support will be very important as the program moves forward.

5a. My understanding is that current faculty members carry a 4/4 teaching load. UT-Martin may wish to consider a somewhat lighter load for faculty members who are serving on graduate committees, creating new courses, or putting existing courses into an online format. Some kind of financial incentive for creating and teaching online courses should also be considered as such courses are significantly more difficult to develop/teach than traditional classes.

6a. The concept of a “hybrid” approach to this program utilizing a combination of online and on campus offerings should be clarified. While the learning approaches will be modified over time, an initial plan that identifies which courses are primarily on campus or online and a rationale for those approaches are important.
7a. A regional approach to offering the Strategic Communications master’s degree appears to be the most viable option at this time. As mentioned above, this has the advantage of fulfilling a current need, building on existing strengths of the faculty, and not exacerbating issues of already strained resources. Further, the amount of investment in time, money, and faculty resources to transition courses to an online format is substantial and probably not the best use of those resources.

8a. Consideration should be given to assessing a fee per credit hour offered in the new master’s program. It would be useful to estimate additional costs related to equipment upgrades, additional training and support for faculty, research support, research tools such as Nielsen audience measurement tools, MRI, eMarketer, and the like.

9a. With the inclusion of an international component, it would be helpful to have the proposal expand upon plans and possibilities for study abroad and international internship opportunities.

10a. In discussions during a site visit, it became clear that this masters program could take advantage of interdisciplinary opportunities with other academic units at UT Martin. Further explanation of those opportunities would be helpful.

CONCLUDING COMMENTS

The administration and faculty of the University of Tennessee at Martin have done an excellent job in analyzing the opportunity to develop a Strategic Communications master’s degree. As noted above, the proposal has demonstrated the need for this type of degree program and shown how it fits with the state of Tennessee’s workforce development needs, addresses student demand, and responds to growing demand for strategic communications employees in the western Tennessee region and beyond. A regionally focused MA in Strategic Communications is a good option for UT-Martin and its students.
UT Martin requests that the Math unit requirements for undergraduate admission be revised to include Core Math I, II, and III as equivalent to Algebra I, Geometry, and Algebra II.

The Tennessee Department of Education requirements for high school graduation now include Core Math I, II, and III as equivalent courses to Algebra I, Geometry, and Algebra II, and some high schools within the state are replacing the traditional courses with the Core Math courses. The addition of the Core Math sequence as an option for satisfying the first three Math requirements will facilitate admission of students who graduate from the schools making the change. The UT Martin Undergraduate Council and Faculty Senate have approved the proposed revision.

MOTION:

That the Math unit requirements for undergraduate admission to UT Martin are revised to include Core Math I, II, III as equivalent to Algebra I, Geometry, and Algebra II.
### University of Tennessee at Martin
#### Undergraduate Admissions

<table>
<thead>
<tr>
<th>Unit Requirements</th>
<th>Current</th>
<th>Proposed</th>
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<tbody>
<tr>
<td><strong>English</strong></td>
<td>4 units</td>
<td>English 4 units</td>
</tr>
<tr>
<td><strong>Mathematics</strong></td>
<td>4 units (Algebra I, Algebra II, geometry, and a fourth higher level mathematics course)</td>
<td>Mathematics 4 units (Algebra I, Algebra II, geometry, and a fourth higher level mathematics course) OR (Core Math I, Core Math II, Core Math III, and a fourth higher level mathematics course)</td>
</tr>
<tr>
<td><strong>Natural/Physical Sciences</strong></td>
<td>3 units (Biology, Chemistry or Physics, and a third lab course)</td>
<td>Natural/Physical Sciences 3 units (Biology, Chemistry or Physics, and a third lab course)</td>
</tr>
<tr>
<td><strong>U.S. History</strong></td>
<td>1 unit</td>
<td>U.S. History 1 unit</td>
</tr>
<tr>
<td><strong>Social Studies</strong></td>
<td>1 unit of world history, European history, or world geography (may be fulfilled by completing 2 one-half units)</td>
<td>Social Studies 1 unit of world history, European history, or world geography (may be fulfilled by completing 2 one-half units)</td>
</tr>
<tr>
<td><strong>Foreign Language</strong>*</td>
<td>2 units in same language</td>
<td>Foreign Language* 2 units in same language</td>
</tr>
<tr>
<td><strong>Visual/Performing Arts</strong></td>
<td>1 unit of theatre arts, visual arts, music theory, music history, vocal music, general music, instrumental music, or art history</td>
<td>Visual/Performing Arts 1 unit of theatre arts, visual arts, music theory, music history, vocal music, general music, instrumental music, or art history</td>
</tr>
</tbody>
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* Waived for resident aliens if it is determined that English is their second language.
In June 2011, the Board of Trustees approved the original Affiliation and Services Agreement between the University and UT Foundation, Inc., to move the Development and Alumni Affairs functions to the Foundation. Since that time, there have been a couple of amendments to the agreement dealing with reporting structure and University financial support. The parties anticipated that some amendments would be needed as they worked through the details and processes of transitioning these functions to the Foundation.

After operating under the agreement for three years, the parties recognized the need for a more comprehensive restatement of the agreement. The revised Affiliation and Services Agreement presented for approval incorporates the early amendments and makes various revisions related to operations, as well as some general housekeeping revisions. The proposed revisions are summarized below:

- Comprehensive revision of various sections dealing with budgeting, financial support, and approvals. These revisions will better reflect current practice/processes and improve efficiencies. Essentially, the revisions incorporate an annual budget approach for “Direct Support” by the University, along with reporting and approval process changes to make it more efficient and timely; clarifications on “In Kind” support; and required annual reporting to the State Comptroller (Article II, Section 2.n., Section 4.c.; Article III, Section 2.a., b., and c.; Article IV, Section 1.c.; Article VII, Section 3.a.).
• Clarification that annual performance reviews of the Vice President for Development and Alumni Affairs will be coordinated and performed by the University President and the Foundation Board of Directors (Article II, Section 1.a.).

• Making the University President a voting member of the Foundation Board of Directors (Article II, Section 1.b.iii.).

• Defining the period and timing of gift funds transfer to the University (Article II, Section 2.c.).

• Aligning the Foundation endowment investment guidelines with the University’s when participating in the Consolidated Investment Pool (Article II, Section 3.b.)

The revised agreement has been approved by the State Comptroller and the UT Foundation Board of Directors.

MOTION:

That the Revised Affiliation and Services Agreement between the University and the University of Tennessee Foundation, Inc. be approved as presented in the meeting materials.
This Affiliation and Services Agreement (hereinafter referred to as “Agreement”), entered into and effective as of July 1, 2014 the ______ day of _________, 2011, by and between The University of Tennessee (hereinafter referred to as “University”) and The University of Tennessee Foundation, Inc. (hereinafter referred to as “Foundation”) amends and supersedes the previous 2011 Agreement and related amendments:

WITNESSETH:

WHEREAS, the University is a public institution of higher education chartered in 1794 by the General Assembly of the State of Tennessee as a body politic and corporate with enumerated powers and all rights, privileges and powers usually conferred upon universities; and

WHEREAS, the General Assembly of the State of Tennessee has expressly authorized and empowered the Board of Trustees of the University to take such steps, to enter into such agreements, and to do whatever it may deem necessary for the establishment of foundations in support of the University; and

WHEREAS, the Foundation was organized and incorporated in the state of Tennessee in 2000 as a nonprofit public benefit corporation formed exclusively for charitable, scientific, literary, and educational purposes within the meaning of section 501(c)(3) of the Internal Revenue Code of 1986, as amended, and specifically for the exclusive purpose of benefiting the educational, research, and public service missions of the University; and

WHEREAS, the Board of Trustees of the University and the Board of Directors of the Foundation agree that the Foundation can provide an invaluable service to the University by
maximizing private gifts to the University by sharpening the focus on the University's fundraising efforts, enhancing outreach and services available to alumni, providing a mechanism to increase the development and alumni operation (staffing, activities, and other initiatives); and

WHEREAS, the Board of Trustees, University President, Chancellors, Vice Chancellors for Alumni Affairs and Development, Deans, and the Foundation Board of Directors agree that a collaborative effort of shared commitment to private gift fundraising and decision making between the University and the Foundation is paramount to successfully reaching the desired outcomes of increasing private gift fundraising; and overall alumni engagement; and

WHEREAS, the University and the Foundation believe it is in the best interest of the University for private gift fundraising to be coordinated through the Foundation to increase efficiency and effectiveness and to expand the current sources of support for the University system, and therefore the University desires to engage the services of the Foundation in accordance to the terms and conditions set forth in this Agreement; and

WHEREAS, because of the close association of the Foundation with the University, it is prudent and beneficial to have a clear statement, agreed upon by the parties, of the responsibilities, authority, and the relationship of the University and the Foundation and to agree on the standards and procedures for accounting for and auditing of accounts of the Foundation, while at the same time preserving the private and independent status of the Foundation;

NOW THEREFORE, in consideration of the premises, mutual covenants, and agreements contained herein, the parties agree as follows:
ARTICLE I

RELATIONSHIP BETWEEN THE FOUNDATION AND THE UNIVERSITY

1. The Foundation is a separately incorporated nonprofit organization that exists to receive, hold, invest, and administer private gifts and other private resources solely for the benefit of the University.

2. By its approval of this Agreement, the Board of Trustees of the University designates the Foundation to receive all private gifts for support of the University made on or after the effective date of enabling legislation enacted by the Tennessee General Assembly, except any gift for which the donor has specifically directed in writing that the gift be received and held by the University.

3. The Foundation President, in partnership with an Advisory Foundation Committee consisting of the University President, the campus Chancellors or their designees, the Chair of the Foundation Board of Directors, and the Executive Director of the UT Alumni Association will prepare an annual plan that shall include but not be limited to Foundation programs, initiatives, and staffing growth and changes that will be presented to the Foundation Board of Directors for approval.

4. The Foundation President and the campus Chancellors will jointly manage the campus Vice Chancellors for Development with dual direct reporting lines. Development related goal setting and performance reviews of Vice Chancellors for Development shall be initiated by the President of the Foundation annually and conducted jointly with the Chancellors. Appendix C further outlines this dual management responsibility.

5. The Foundation and the University agree that accountability and public trust are paramount to the success of the Foundation and its mission to support the University.
6. The Foundation reserves all rights and powers granted to it under the charter and bylaws, under the Tennessee law of non-profit entities and under the federal law of tax-exempt entities that are not specifically limited or abridged by this Agreement.

7. The Foundation and the University acknowledge that each is an independent entity and agree that neither will be liable, nor held out by the other as liable, for any of the other’s contracts, torts, or other acts or omissions, or those of the other’s trustees, directors, officers, members, staff or activity participants.

8. The parties are independent contractors. Nothing in this Agreement is intended, or shall be construed, to create any association, joint venture, agency relationship or partnership between the parties or to impose any such obligation or liability upon either party. Nothing in this Agreement shall be construed to give either party any right, power or authority to enter into any agreement, or act as an agent or representative of, or otherwise bind, the other party.

9. Debts, liabilities, and other obligations of the Foundation shall not constitute debts, liabilities or obligations of the State of Tennessee or the University and shall be payable only from unrestricted assets of the Foundation. Neither the University nor the State shall have any legal or other obligation to finance the deficits of the Foundation. Effective on the date of this Agreement, neither the State nor the University shall have any legal, financial or other responsibility or liability for the operation of the Foundation except as expressly agreed to by the University in this Agreement.

10. Debts, liabilities, and other obligations of the University shall not constitute debts, liabilities or obligations of the Foundation and shall be payable only from assets of the University. The Foundation shall have no legal or other obligation to finance the deficits of the University.

11. The Foundation shall indemnify, hold harmless, and, at the University’s request, defend the University, the State of Tennessee, and their agents, trustees, officers, employees, and successors against any claims, damages, losses, or costs to third parties in any way.
arising out of, attributable to, or in connection with any act or omission of the Foundation and its agents, directors, officers, employees, leased University employees, and successors. The Foundation shall maintain the insurance coverage specified in Appendix D at all times, and the University shall be named as an additional insured. The Foundation shall provide the University’s Chief Financial Officer with a Certificate of Insurance evidencing compliance with the insurance requirements.

12. Nothing contained in this Agreement shall be deemed or construed to waive or abrogate in any way the sovereign immunity of the State of Tennessee or the University, or any official, officer, or employee of the State or University or to deprive any official, officer, or employee of the State or University of any other immunity to which the official, officer, or employee is otherwise entitled under state law. The University’s liability for any claims, damages, losses, or costs to the Foundation and to third parties shall be subject to the terms, limits, and conditions of the Tennessee Claims Commissions Act, Tenn. Code Ann. §§ 9-8-301 et seq.

ARTICLE II

FOUNDATION COMMITMENT TO UNIVERSITY SERVICE

The mission of the Foundation is to support the University’s educational, research, and public service activities by soliciting, receiving, and administering private funds to support programs beyond the scope of the University’s Education and General budget, and specifically does not include making or influencing University policy, procedures, or management/operational decisions.

1. Organizational Structure

   a. The University’s Vice President for Development and Alumni Affairs shall serve as President and chief executive officer of the Foundation and shall report directly to both the University President and the Foundation Board of Directors. The University President and Foundation Board of Directors will coordinate the Vice
President for Development and Alumni Affairs annual review. In accordance with the University’s bylaws, the Vice President for Development and Alumni Affairs shall be elected by the University’s Board of Trustees upon the recommendation of the University President and shall serve at the pleasure of the Board of Trustees. Accordingly, the authority to hire, terminate, and set the compensation of the President and chief executive officer of the Foundation lies ultimately with the University’s Board of Trustees.

b. The Foundation Board of Directors shall include the following University members:

i. two appointed members of the University Board of Trustees, who shall be designated by the Vice Chair of the Board of Trustees and serve as voting members of the Foundation Board of Directors;

ii. one University of Tennessee Alumni Association (UTAA) representative, who shall serve as a voting member of the Foundation Board of Directors and be appointed through the Foundation nominations process from a pool of candidates identified by the UTAA Executive Committee and the UTAA Executive Director;

iii. President of the University, who shall serve ex officio and as a non-voting member of the Foundation Board of Directors; and

iv. One Chancellor and one Dean designated by the University President and rotated among the campuses, both of whom shall serve ex officio and as non-voting members of the Foundation Board of Directors.

2. Private Gift Fundraising

The Foundation shall:

a. Be responsible for conducting on behalf of the University, as specifically requested by the President of the University, the overall development and alumni programs, such as planning and coordinating capital campaigns and initiatives, planning and implementing a variety of programs and services to all alumni
(collectively, the “Programs”), in close cooperation with the University, campuses, and colleges, for the purpose of securing financial support for the benefit of the University and strengthening alumni engagement with the institution.

b. Solicit, receive and manage private gifts for the benefit of the University. If a donor expressly requests in writing, by a gift agreement or otherwise, that a private gift be received and held by the University rather than the Foundation, the Foundation will deposit the funds into the University bank account, and the appropriate University account in the accounting system will be credited with the gift.

c. Transfer spent gift funds to the University once each year on June 30 not less than annually.

d. Receive and manage such grants from state or federal agencies as the University President and the Foundation Board of Directors may agree to accept.

e. Provide additional fund raising options for the University by receiving private gifts for the benefit of the University including those that because of unacceptable risks or other business reasons, the University could not accept (for example, encumbered real property, a going business, leveraged endowments, partnerships, and gift annuities). While under no obligation to accept such gifts or to undertake such ventures, prior to accepting such gifts, the Foundation will discuss any such opportunities with the President of the University and the Chancellor of the involved campus, who shall in turn consult the University’s Chief Financial Officer and the University’s General Counsel. The Foundation shall not accept gifts that create a direct or indirect financial liability for the University (for example, accepting a gift that requires the assuming of another’s debt) without the prior written approval of the President of the University, which shall be given only after consultation with the University’s Chief Financial Officer and the University’s General Counsel and only after receiving the written concurrence of the Vice Chair of the University’s Board of Trustees.
f. Engage, as may be specifically approved in advance by the Foundation Board of Directors, in real estate development, entrepreneurial ventures, and other revenue-producing activities for the benefit of the University that are more appropriately conducted by a private organization, subject to the University President’s veto power as provided in Article IV, Section 6, and further subject to providing prior written notice of any real estate development to the State Building Commission and compliance with the terms of Article II, Section 4.h. of this Agreement if applicable.

g. Advise donors that restrictive terms and conditions imposed on the University’s use of gifts must be approved by the University prior to the Foundation’s acceptance of such gifts.

h. Notify all designated University beneficiaries of gifts and contributions to the Foundation for their benefit, including the terms of any restrictions on such gifts, and make available regular reports of fund balances and expenditures.

i. Provide all necessary receipts and acknowledgements, as required by the Internal Revenue Code, for all private gifts for the benefit of the University, including gifts that will be held by the University.

j. Within budgetary constraints, coordinate with University related volunteer groups as specified by the President of the University.

k. Provide the services for fundraising and alumni activities such as prospect research, marketing, donor stewardship, property management, database management, accounting and disbursements, etc.

l. Work where appropriate with the designated offices of the University to arrange press conferences, releases, and radio and television communications to acknowledge significant gifts and coordinate with chancellors, deans, department heads and other staff or faculty as required.
m. Maintain records concerning gifts and contributions to the Foundation and the University (unless the donor has requested that the gift or contribution be received and held by the University).

p. Provide the services of trained development and alumni professionals to campuses, colleges, units, departmental offices or programs of the University (hereinafter “Unit” or “Units”), as appropriate. The addition or reduction of development and alumni professionals will be approved by the Advisory Foundation Committee in accordance with the annual plan (Article I section 3.) based upon analysis of the Unit’s potential for private gift fundraising success as well as needed growth in alumni outreach and reflected in consideration of the Foundation’s budget.

q. Coordinate with each campus Student Financial Aid and Honors Program the management and recognition of awards and other established scholarship programs.

r. Coordinate any University-wide recognition of major donors and deferred gift donors through the formal stewardship programs established by the University and advising/coordinating with Unit-based stewardship activities.

s. Provide for timely reimbursement of expenses or payment of vouchers approved in accordance with Foundation policy approved by the University.

t. Develop and manage operating policy and procedures including donor coordination.
Perform such other duties as the University President may reasonably request as necessary or desirable to effectively conduct the Programs. In consultation with the Foundation and subject to approval by the Foundation Board, the University may contract for development services beyond the Foundation’s budgetary capacity for needs or special projects benefiting the University and which the Foundation is best suited to provide in accordance with its specialized knowledge and experience. If such additional services are needed on a one-time basis, the University and the Foundation shall enter into a separate contract for the additional services. If such additional services are needed on an ongoing basis, an amendment to this Agreement shall be executed in accordance with the provisions of Article VII.

Coordinate fundraising and other activities with other fundraising foundations established within the UT system, provided that the University does not make any contract or commitment with any other individual, corporation, association, or partnership concerning such activities without first notifying the Foundation. The Foundation shall provide the donor coordination, support services such as research, receipting and fund management in the current and future anticipated model regardless of the number of foundations established. The Foundation will be the central fundraising foundation and provide all support services to any fundraising foundation deemed affiliated by the Board of Trustees.

3. Foundation Asset Management and Fiduciary Responsibilities

The Foundation Board of Directors is responsible for the control and management of all assets of the Foundation.

a. The Foundation shall have the authority to create an Investment Committee comprised of members of the Foundation Board of Directors, UT Investment Officer and the President of the University, or the President’s designee.
b. The Foundation shall establish or cause to be established asset-allocation, disbursement, and spending policies that adhere to applicable federal and state laws, including the Uniform Prudent Investor Act and the Uniform Prudent Management of Institutional Funds Act. The University administers a Consolidated Investment Pool (CIP) for endowments that the Foundation may elect to participate in by accepting the CIP’s established asset-allocation, disbursement, and spending policies all of which adhere to federal and state laws including the Uniform Prudent Management of Institutional Funds Act.

c. The Foundation shall have the authority to assess normal fees associated with the collection and disbursement of gifts and gift income as approved by the President of the University. Additional funding to enable a growth in private gift support for the University will be accomplished using any or all of the following revenue sources: annual unrestricted funds given to the Foundation, endowment administration fee, investment earning fee from Foundation daily cash management program, accruing and using interest earnings on cash gifts to the Foundation prior to transfer to the University, marketing programs, assessing fees for services, and/or imposing gift administrative fees to support its operations from any sources outlined by the University or in the Association of Governing Boards list attached as Appendix B. All revenue sources will be agreed upon in writing between the President of the Foundation and the University President and approved by the Foundation Board of Directors. The Foundation shall disclose any assessment of fees or taxes to donors.

d. The Foundation is responsible for the performance and oversight of all aspects of its operations based on a comprehensive set of bylaws and policies that clearly address the Board of Director’s fiduciary responsibilities.

4. Foundation Administration

a. Subject to enactment of enabling legislation, the Foundation and the University may enter into a separate Employee Services Agreement (ESA) for the lease of
certain University development and alumni employees to the Foundation. The ESA may provide that development and alumni employees hired after the effective date of the ESA shall be hired as University employees and then leased to the Foundation. Alternatively, the ESA may provide that development and alumni employees hired after the effective date of the ESA shall be hired as Foundation employees. The ESA shall set forth the agreement of the University and the Foundation concerning compensation policies and other human resource policies applicable to leased University employees. The ESA shall recognize that the compensation of the Vice President for Development and Alumni Affairs, who also shall serve as President of the Foundation, must be approved by the University Board of Trustees upon the recommendation of the University President, as required by the University bylaws. The ESA shall also provide that the Foundation President and the respective Chancellor shall agree on the salary of the Vice Chancellor for Development.

b. The Foundation will have the authority to hire employees of the Foundation and otherwise develop its own human resource infrastructure and compensation policies to accomplish the mission of the Foundation.

c. The Foundation Board shall set compensation standards, including salary ranges and fringe benefits, for any development and alumni professionals or other staff hired as employees of the Foundation as part of the annual budget consideration and approval.

d. The Foundation shall maintain an office that will serve as the legal address of the Foundation and the place where Foundation records will be held. The Foundation shall be responsible for all costs associated with this office, including but not limited to the cost of personnel, office space, parking, computers and other office equipment, information technology services, and telephone services. As of the date of this Agreement, the Foundation office space, located at 600 Henley Street, Suite #100, is leased from the University. The Foundation is not obligated to lease space from the University.
e. The Foundation shall have its own legal counsel and shall be responsible for all costs for Foundation legal services.

f. The Foundation shall establish record retention, operating, finance, and human resource policies and maintain copies of plans, budgets, and other records developed in connection with the performance of its obligations according to those policies. The Foundation shall provide access to data and records to the appropriate University officials in accordance with applicable laws, Foundation policies and guidelines, and University policies and guidelines.

g. The Foundation shall establish procurement policies and submit such policies to the President of the University for written approval. The procurement policies shall include the prohibition against using the Foundation to avoid or circumvent University procurement policies. The procurement policies shall be filed with the State Comptroller of the Treasury. The Foundation shall provide access to data and records to the appropriate University officials in accordance with applicable laws, Foundation policies and guidelines, and University policies and guidelines.

h. The Foundation shall provide the University with its annual report and other information that may be publicly released. The Foundation’s financial statements will be treated as a component unit of the University’s audited financial statements in accordance with Generally Accepted Accounting Principles (GAAP) and thereby subject to all GAAP reporting requirements. The Foundation will strive for transparency and strong internal controls.

i. The Foundation will abide by the statutory provisions over real property provided in TCA 4-15-102 and include approval by the State Building Commission of any acquisition of or improvements to real property for which the intent exists to transfer ownership to the University. The University shall obtain approval of the State Building Commission for any improvement to University real property using Foundation funds. The University shall report to the State Building Commission for approval.
Commission prior to acting on any planned acquisitions of or improvements to real property. The University shall obtain approval from the State Building Commission prior to acceptance of any real property gift/conveyance by the Foundation, if the Foundation anticipates the University will contribute to the property’s upkeep, payment of debt, or other financial obligation or use.

ji. The Foundation shall establish and enforce policies to protect the confidentiality of donors and alumni and their records to the fullest extent allowable under the laws of the State of Tennessee.

kj. The Foundation shall establish, adhere to, and periodically assess its gift management and acceptance policies.

lk. Under no circumstance shall any of the net earnings or assets of the Foundation inure to or be distributed to the benefit of its Board of Directors, officers, or other private persons except that the Foundation shall be authorized and empowered to pay reasonable compensation for services rendered and make payments and distributions in furtherance of the overall purpose of the Foundation.

**ARTICLE III**

**UNIVERSITY COMMITMENT TO THE FOUNDATION**

The University supports the growth of the Foundation to maximize private gift support to the University. In consideration of the services provided by the Foundation to the University, the University shall provide the following in support of the Foundation:

1. **University Commitment**

   a. The University recognizes the need to increase its private gift fundraising and alumni outreach and encourages the growth of development and alumni staff and operations by using all revenue sources available and as agreed upon in writing
between the President of the Foundation and the President of the University and approved by the Foundation Board of Directors.

b. The President of the University, as well as the campus chancellors, academic deans, and other key university personnel shall commit to supporting private gift fundraising and alumni outreach including, but not limited to:

i. communicating university and unit priorities and long range plans to the Foundation;

ii. participating in solicitations of major gift prospects;

iii. communicating development and alumni goal activities to their assigned unit professionals;

iv. participating in search committees for new development and alumni professionals for their unit;

v. participating in joint performance reviews of their assigned development and alumni professionals; and

vi. participating in key alumni programs/events.

c. The University will maintain policies and controls for the use of gift funds transferred from the Foundation to the University in accordance with donor restrictions.

d. To the extent allowed by applicable law, regulations, and policies, the University will provide both Foundation and leased University employees with identification cards for access to the following University privileges or benefits at the same cost as they are available to University employees: parking, athletic ticket benefits and events, libraries, and recreation and fitness programs and facilities.

2. **Compensation for Services by the Foundation.** In consideration of the Foundation’s services described in this Agreement, the University will provide the following compensation to the Foundation:

3.
a. **Direct Support.** The University will make payments to the Foundation in the amounts shown as University Direct Support in the Projected Foundation Budget set forth in Appendix A (which also includes other revenue sources consistent with those identified by the Association of Governing Boards and listed in Appendix B). The University will remit the University Direct Support payments to the Foundation no later than the tenth (10th) day of each month.

b. The University commits to continuing to make the University Direct Support payments outlined in the agreed upon Projected Foundation Budget set forth in Appendix A, subject to the University’s right under Article VII to terminate this Agreement at the end of any fiscal year if sufficient funds are not available to carry out the University’s obligations under the Agreement. Changes to the University Direct Support payments will be reviewed every two years and must be approved by the Advisory Foundation Committee prior to submission for approval by the Foundation Board of Directors and the University Board of Trustees. Predictable revenue sources to support development budgets can help minimize the distraction and loss of focus towards securing private gifts for the benefit of the University. Notwithstanding the above provision for review of the University Direct Support payments every two years, the Projected Foundation Budget set forth in Appendix A may be amended at any time by agreement of the parties in accordance with the provisions of Article VII, Section 3.

4-2. **Compensation for Services by the Foundation.** In consideration of the Foundation’s services described in this Agreement, the University will provide the following compensation to the Foundation:

a. **Direct Support.** The University will make payments to the Foundation in the amounts shown as University Direct Support in the Projected Foundation Budget set forth in Appendix A (which also includes other revenue sources consistent with those identified by the Association of Governing Boards and listed in Appendix B). The University will remit the University Direct Support payments to the Foundation no later than the tenth (10th) day of each month.
The University commits to continuing to make the University Direct Support payments outlined in the agreed upon Projected Foundation Budget set forth in Appendix A for fiscal year 2015, and as adjusted annually as part of the development of the annual plan and budget, subject to the University’s right under Article VII to terminate this agreement at the end of any fiscal year if sufficient funds are not available to carry out the University’s obligations under Agreement. Changes to the University Direct Support payments will be reviewed annually and approved by the Advisory Foundation Committee prior to submission for approval by the Foundation Board of Directors and the University Board of Trustees. Predictable revenue sources to support development budgets can help minimize the distraction and loss of focus towards securing private gifts for the benefit of the University.

Endowment Assessment. Except when circumstances require or warrant separate investment, University endowment funds and Foundation endowment funds are co-mingled and invested in the Consolidated Investment Pool. An administrative fee is assessed on the Consolidated Investment Pool for accounting and development services. In consideration of the Foundation’s services under this Agreement, the University will pay the Foundation the net administrative fee (net of direct University investment expenses) assessed on the University and Foundation funds invested in the Consolidated Investment Pool. The administrative fee as of the date of execution of this Agreement is 100 basis points of the previous fiscal year end market value of the Consolidated Investment Pool. The Endowment Assessment amounts shown in the Projected Foundation Budget set forth in Appendix A represent projections of the amount of the total administrative fee assessed on the Consolidated Investment Pool.

Endowment Assessment: Except when circumstances require or warrant separate investment, University endowment funds and Foundation endowment funds are co-mingled and invested in the Consolidated Investment Pool. An administrative fee is assessed on the Consolidated Investment Pool for accounting and development services. In consideration of the Foundation’s services under this Agreement, the University will pay the Foundation the net administrative fee (net of direct University investment expenses) assessed on the University and Foundation funds invested in the Consolidated Investment Pool.
Foundation funds invested in the Consolidated Investment Pool. The administrative fee as of the date of the execution of this Agreement is 100 basis points of the previous calendar year market value of the Consolidated Investment Pool.

b,c. In-Kind Support: The University will provide appropriate offices in University buildings for all development and alumni staff, whether they are leased University employees or employees of the Foundation, and will also provide furniture, office supplies, computers and other necessary office equipment, information technology services, telephone services (but not including cellular phones, personal digital assistants, or similar mobile devices), utilities, and clerical staff as necessary and appropriate. Furniture, office supplies, computers and other office equipment in use by leased employees at July 1, 2011 are provided to the Foundation as part of the In-Kind Support. Any new or replacement furniture, office supplies, computers or other office equipment in the future are part of the annual budget development and included in Direct Support. The University will provide to the foundation the value of the In-Kind Services for each fiscal year-end to be included in the Foundation’s annual financial statements.

c,d. The University will be responsible to provide and maintain the alumni donor database (ANDI). This includes IT support for development, programming, and report writing. Licensing for the data base and related software and hardware, upgrades, electronic screening, and imaging software are part of the Direct Support payments and not included in this In-Kind Support and IT development and report writing. In addition the Foundation in consultation with the University shall be responsible for planning a budget, and periodically evaluating new or improved data bases or social networking, constituency management systems, or other such hardware or software systems as necessary for the Foundation to meet the University’s needs. If future circumstances require that the Foundation assume responsibility for the alumni donor system, new or renewed licenses and infrastructure, such costs will be included in the annual budget development and agreed upon by the University and Foundation Advisory Committee.
Agreement will be amended in accordance with the provisions of Article VII with consideration of any necessary revision of the agreed upon Projected Foundation Budget set out in Appendix A.

3. Confidential Records. The University acknowledges that under Tennessee Code Annotated 49-7-140, personally identifiable records and information concerning gifts received by both the University and the Foundation are protected against disclosure.

ARTICLE IV
ENSURING UNIVERSITY COORDINATION AND TRANSPARENCY

1. The Foundation will operate in a transparent manner to ensure there is public trust.

   a. Minutes of open Foundation Board meetings will be available at its website.
   b. The Foundation will create an annual report (electronic or written).
   c. The University will submit the approved annual Foundation budget (Article III, section 2) showing Direct Support to the State Comptroller each year.
   d. The Foundation will annually present a report to the University Board of Trustees.
   e. The Foundation will file an IRS 990 report and meet all applicable requirements.
   f. All full board meetings of the Foundation will be open to the public except for executive sessions that shall include but not be limited to the following matters: litigation; audits or investigations; human resource issues; gift acceptance deliberations; board training; governance; donor strategy sessions; and security measures.

2. The Foundation Board of Directors shall maintain an audit committee as a standing committee of the Board.

3. The Foundation shall engage an independent certified public accounting firm annually to conduct an audit of the Foundation’s financial and operational records and shall provide the University and the Comptroller of the Treasury with a copy of the annual audited
financial statements (including management letters). The Foundation shall coordinate its annual audit to allow for the results to be included in the University’s annual report. In addition, the Foundation shall provide such other reports, schedules, and records as may be reasonably requested by the University. All annual reports and all books of accounts and financial records (including revenues and expenditures) of the Foundation shall be subject to audit by the Comptroller of the Treasury or his designee.

4. The management of the Foundation will perform regular, documented assessments of the Foundation’s risk of fraud, waste, and abuse. The management of the Foundation will establish and implement a system of internal controls that adequately mitigates those risks and ensures compliance with all applicable laws and regulations. Management of the Foundation will submit the risk assessment and the documented mitigating controls to the audit committee for review and approval.

5. Pursuant to Tennessee Code Annotated § 49-7-107(c), the Foundation has adopted a code of ethics and shall maintain such a code at all times. The code of ethics shall require full disclosure of all conflicts and potential conflicts of interest, the definition of which shall be consistent with Tennessee Code Annotated § 12-4-101, that any member of the Foundation Board of Directors may have in his or her role as a member of the Foundation Board of Directors. The code shall also include provisions prohibiting any director, officer, or staff member of the Foundation from accepting or giving any gift or gratuity that is offered, or reasonably appears to be offered, because of the individual’s position with the Foundation. Notwithstanding any other provision of law to the contrary, the Foundation Board of Directors may remove any appointed member for a material violation of the code of ethics in accordance with the provisions of Tennessee Code Annotated § 49-7-107(d).

6. Upon finding that a real estate development, entrepreneurial venture, or other revenue producing activity the Foundation proposes to undertake is not in the best interest of the University, the President of the University shall have power to veto the proposed activity.

7. The Foundation shall not pay any compensation, directly or indirectly, to the President of the University or any other University employee; provided, however, that this provision

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shall not be construed to prohibit the Foundation’s lease of University development and
alumni employees pursuant to a duly authorized and executed Employee Services
Agreement; nor shall this provision be construed to prohibit the transfer of funds from the
Foundation to the University for professorships, chairs, and similar programmatic
support.

8. All Foundation disbursements on behalf of the University will be reasonable business
expenses that support the University, are consistent with donor intent, and do not conflict
with applicable law, regulations and policies. Foundation disbursements shall be subject
to University review and audit by the Comptroller of the Treasury or internal auditor of
the University.

9. Nothing in this Agreement shall be construed to permit the purchase of goods and
services on behalf of any University unit with the expectation of reimbursement from that
unit. Goods and services may be purchased by the Foundation as a gift for the University
subject to the normal review and approval for gift acceptance. However, neither the
University nor the Foundation shall use the Foundation as a means to procure goods and
services in circumvention of University purchasing policies.

ARTICLE V

FOUNDATION’S USE OF UNIVERSITY NAME, SEAL AND LOGO

1. Consistent with its exclusive purpose to support the educational, research, and public
service missions of the University, the Foundation is granted permission to use the
University's name, nicknames, and logos for the duration of this Agreement in
furtherance of the Foundation’s purpose. The President of the University reserves the
right to object to any particular use by the Foundation, and in the event of such an
objection, the Foundation shall cease and desist the use and cooperate with the University
to achieve an acceptable use.
2. Upon prior written approval by the President of the University, the Foundation may authorize others to use the University’s name, nicknames, and logos as long as the use is in furtherance of the Foundation’s purpose and is for a defined period of time not exceeding the term of this Agreement. The University reserves the right to object to any particular use by the third party, and in the event of such objection, the Foundation shall cause the third party to cease and desist the use and cooperate with the University to achieve an acceptable use.

5.3. All correspondence, solicitations, activities and advertisements concerning the Foundation shall be clearly discernible as being from the Foundation and not the University.
ARTICLE VI
MISCELLANEOUS TERMS

1. Notices. Any notice, request, demand, or other communication permitted to be given hereunder shall be in writing and shall be deemed to be duly given when personally delivered to an officer of the Foundation or the University, as the case may be, or when deposited in the United States mails, by certified or registered mail, return receipt requested, postage prepaid, at the respective addressees of the Foundation and the University as shown below, or to such other address as either party shall designate by written notice to the other:

As to the University: President
The University of Tennessee
800 Andy Holt Tower
Knoxville, Tennessee 37996

With a copy to: General Counsel and Secretary
The University of Tennessee
719 Andy Holt Tower
Knoxville, Tennessee 37996

As to the Foundation: President & CEO
The University of Tennessee Foundation, Inc.
1525 University Avenue
Knoxville, Tennessee 37996TBD

With a copy to: Chair of the UTFI Board of Directors
The University of Tennessee Foundation, Inc.
1525 University Avenue
Knoxville, Tennessee 37996TBD
2. **Assignment.** Neither this Agreement nor any interest herein may be assigned, transferred, or conveyed in whole or in part.

3. **Applicable Law.** This Agreement shall be construed, interpreted, and the rights and duties of the parties determined in accordance with the laws of the State of Tennessee.

**ARTICLE VII**

**TERM, TERMINATION, AND AMENDMENT OF THE AGREEMENT**

1. The initial term of this Agreement shall be for a period beginning on the date hereof and ending on June 30, 2018, and shall continue thereafter from year to year; provided that as required by state law, the University may terminate this Agreement at the end of any fiscal year if sufficient funds are not available to carry out the University’s obligations under the Agreement. Either party may terminate this Agreement at any time for any reason upon one hundred eighty (180) days prior written notice to the other party. Notwithstanding the foregoing notice provision, either party may terminate this Agreement in the event the other party defaults in the performance of its obligations and fails to cure the default within sixty (60) days after receiving written notice of the default.

2. In the event of termination of this Agreement:

   a. In the absence of any further agreement between the parties, the relationship between the parties will be governed by their prior Memorandum of Agreement dated December 1, 2005.

   b. The parties anticipate, but recognize that there is no obligation, that the University will absorb the Foundation's development staff.

3. It is anticipated that periodic amendments will have to be made to this Agreement, and both parties agree to the process outlined below:
a. **Budget Amendments.** The Projected Foundation Budget set forth in Appendix A will be annually determined may be amended from time to time to reflect changes (increases or decreases) in the University’s investment into its alumni and development programs as deemed necessary by the parties. Examples may include requesting additional development and alumni services from the Foundation or jointly funding new development and alumni staff members. Budget amendments resulting during any fiscal year under $250,000 shall be executed by the University President, after review and approval by the University Chief Financial Officer, and by the Foundation President and reported annually to the University Board of Trustees, the Foundation Board of Directors, and the Comptroller of the State of Tennessee. Budget amendments resulting in an increase during any fiscal year of $250,000 or more shall be processed in accordance with the provisions of Section 3.b. below concerning all other amendments to this Agreement.

b. **All Other Amendments.**

i. The Board of Directors of the Foundation or the President of the University may in writing request an amendment of the Agreement. The parties will negotiate the requested amendment and develop appropriate language.

ii. In a joint letter to the Comptroller of the State of Tennessee, both parties will articulate the reason for the proposed amendment and seek approval from the Comptroller of the State of Tennessee.

iii. Once the Comptroller has approved the amendment, it will be submitted to the University Board of Trustees and the Foundation Board of Directors for approval. After approval by the two boards, and after any required state government reviews and/or approvals, the amendment will be executed by duly authorized representatives of the parties.
ARTICLE VIII
DISSOLUTION OF FOUNDATION

In the event of permanent dissolution and liquidation of the Foundation, the Foundation Board of Directors shall cause the assets of the Foundation to be applied and distributed in accordance with its non-profit Charter, including distributions to the University or its successor. The University will honor to the extent possible any donor restrictions on assets held by the Foundation, including, but not limited to, retaining endowment funds as permanent endowments for the purposes specified by the donor. If a donor agreement limits or precludes any portion of the Foundation's assets from matriculating to the University, the Foundation Board of Directors shall make all available effort to effectuate the transfer of such assets to the University. Prior to the permanent dissolution or liquidation of the Foundation, a complete accounting of the Foundation will be attested to by the Foundation's independent accounting firm.

ARTICLE IX
EFFECT OF AGREEMENT

1. This Agreement shall not be effective until approved by the University Board of Trustees and the Foundation Board of Directors and thereafter executed by their respective authorized officers.

2. This Agreement shall supersede all previous agreements between the University and the Foundation.

3. A waiver by either party of any of the terms and conditions of this Agreement in any instance shall not be deemed or construed to be a waiver of such term or condition for the future, or any subsequent breach thereof, or of any other term and condition of this Agreement.

4. If any provisions of this Agreement shall, for any reasons, be held violation of any applicable law, and so much of said Agreement is held to be unenforceable, then the
invalidity of such specific provision shall not be held to invalidate any other provision, which shall remain in full force and effect.

5. The headings of the several Sections herein are inserted for convenience of reference only and are not intended to be a part of or to affect the meaning or interpretation of this Agreement.

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed by their duly authorized officers as of the day and date first above written on the dates written below.

_______________________________  ____________________________________  
Vice Chair, Board of Trustees    Chair, Board of Directors  
The University of Tennessee     The University of Tennessee Foundation, Inc.  

____________________________________  ________________________________  
Date                                   Date  

_______________________________  ____________________________________  
President       President and Chief Executive Officer  
The University of Tennessee     The University of Tennessee Foundation, Inc.  

____________________________________  ________________________________  
Date                                   Date  

_______________________________  ____________________________________  
Treasurer and Chief Financial Officer    Chief Financial Officer and Treasurer  
The University of Tennessee     The University of Foundation, Inc.  

____________________________________  ________________________________  
Date                                   Date
## Appendix A

### The University of Tennessee Foundation

### Budget FY 2015

<table>
<thead>
<tr>
<th>FY 15 Budget</th>
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<tbody>
<tr>
<td><strong>REVENUE</strong></td>
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<tr>
<td>University Direct Support</td>
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<tr>
<td>Endowment Assessment</td>
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<td>UTFI Interest Earnings</td>
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<tr>
<td>UTAA Marketing Revenue</td>
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<tr>
<td>UTK Campus/College/Alumni Fund Support</td>
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<tr>
<td><strong>TOTAL REVENUE</strong></td>
<td>$27,015,947</td>
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<tr>
<td><strong>EXPENDITURES</strong></td>
<td></td>
</tr>
<tr>
<td>Development</td>
<td></td>
</tr>
<tr>
<td>Salaries &amp; Benefits</td>
<td>$13,616,862</td>
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<tr>
<td>Operating</td>
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<td><strong>TOTAL DEVELOPMENT</strong></td>
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<tr>
<td>Alumni Affairs</td>
<td></td>
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<tr>
<td>Salaries &amp; Benefits</td>
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<tr>
<td>Operating</td>
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<tr>
<td><strong>TOTAL ALUMNI AFFAIRS</strong></td>
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<tr>
<td>Central Development &amp; Services</td>
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<tr>
<td>Salaries &amp; Benefits</td>
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<tr>
<td>Operating</td>
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<td><strong>TOTAL CENTRAL DEV. &amp; SERVICES</strong></td>
<td>$7,490,996</td>
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<td><strong>TOTAL EXPENDITURES</strong></td>
<td>$27,015,947</td>
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<tr>
<td><strong>NET SURPLUS</strong></td>
<td>$0</td>
</tr>
</tbody>
</table>
Appendix B

Association of Governing Boards
Recommended Guidelines for Revenue Sources

College and university respondents in the survey reported using a total of 20 sources of revenue to fund their fund-raising budgets.

Here are the sources and the number of foundations (institutions) that reported using each:

- Unrestricted gifts: 28
- Endowment management fees: 25
- Income on daily cash balances: 19
- Employees on institutional payroll: 17
- Administrative fees assessed on new gifts: 12
- Alumni funds: 11
- State and institutional funds budgeted for fund-raising operations: 7
- Contract for services: 6
- In-kind from the institution: 6
- Academic unit charge backs: 5
- Endowment designated for fund-raising: 3
- Real estate sales: 1
- Real estate leases: 1
- Unrestricted endowment: 1
- Special events: 1
- Designated gifts: 1
- Endowment growth: 1
- Foundation reserves: 1
- Overhead added for specific projects: 1
- Entrepreneurial projects: 1
- Unstated: 4

The five sources that appear to have the greatest capacity for providing significant increases in fund-raising budgets are:

- Institutional support – a category that includes several sources: state and/or institutional funds, contracted services, employees on institutional payroll, in-kind institutional support (usually space and various services), and school, college, departmental or project charge-backs;
  - Unrestricted gifts;
  - Endowment management fees;
  - Income on daily cash balances; and
  - Fees assessed on gifts.
Appendix C

Joint Management Responsibilities with respect to Vice Chancellors for Development

As provided in Article 1, Section 4, the Foundation President and the campus Chancellors will jointly manage the Vice Chancellors for Development. It is the responsibility of the Foundation President to initiate the goal setting, annual performance reviews, and compensation adjustments jointly with the campus Chancellors as outlined below. The procedure for other joint management responsibilities is also outlined below.

Procedure for Goal Setting of Vice Chancellors:
1. The Foundation President will establish uniform performance metrics (visits, solicitations, dollars raised, etc.) for all Vice Chancellors.
2. The Foundation President and Chancellor will agree upon campaign goals and annual goals in non-campaign years.
3. The Foundation President and Chancellor may agree to other goals and include them in the annual performance letter such as critical success factors.

Procedure for Annual Performance Reviews of Vice Chancellors:
1. The Foundation President and Chancellor will review the Vice Chancellor’s development and alumni related performance for the past year.
2. The Foundation President will then draft the performance review letter with input from the Chancellor.
3. This letter will be signed by both the Foundation President and the Chancellor and delivered to the Vice Chancellor in advance of a joint meeting with the Vice Chancellor.

Procedure for Compensation Increases for Vice Chancellors:
1. Upon completion of the annual performance review process, the Foundation President will send any proposed increase in the Vice Chancellor’s compensation to the Chancellor for review.
2. The Foundation President and Chancellor will meet to discuss the Vice Chancellor’s compensation and agree upon any increase.
Procedure for Recruiting and Selecting Vice Chancellors:
The Foundation President will coordinate the recruiting and search for all new Vice Chancellors, including advertising the position, coordinating background checks, and scheduling interviews.

1. The Foundation President and Chancellor shall agree upon a final candidate pool to interview.
2. The Foundation President and Chancellor will agree upon the appointment and compensation of the new Vice Chancellor.

Procedure for Terminating Vice Chancellors:
A decision to terminate the Vice Chancellor shall be made jointly by the Foundation President and the Chancellor in compliance with applicable human resources policies and procedures as articulated in the Employee Services Agreement and the Foundation’s human resources handbook.
Appendix D

Foundation’s Duty to Maintain Insurance

In accordance with the provisions of Article I of this Agreement, the Foundation shall maintain the following insurance coverage at all times and shall provide a Certificate of Insurance evidencing compliance with these requirements to the University’s Chief Financial Officer:

<table>
<thead>
<tr>
<th>Insurance Type</th>
<th>Coverage Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commercial General Liability Insurance</td>
<td>Each Occurrence $1,000,000</td>
</tr>
<tr>
<td></td>
<td>Damage to Rented Premises 100,000</td>
</tr>
<tr>
<td></td>
<td>Med Exp (any one person) 5,000</td>
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<tr>
<td></td>
<td>Personal &amp; Adv Injury 1,000,000</td>
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<td></td>
<td>General Aggregate 2,000,000</td>
</tr>
<tr>
<td></td>
<td>Products – Comp/Op Agg 2,000,000</td>
</tr>
<tr>
<td>Excess/Umbrella Liability</td>
<td>Aggregate 10,000,000</td>
</tr>
<tr>
<td>Directors &amp; Officers</td>
<td>5,000,000</td>
</tr>
<tr>
<td>EPLI</td>
<td>5,000,000</td>
</tr>
</tbody>
</table>
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2015
COMMITTEE: Advancement and Public Affairs
CAMPUS/UNIT: UTHSC

ITEM: Designation of The University of Tennessee/West Institute for Cancer Research as a Foundation Authorized to Receive and Hold Gifts for Support of Cancer Research and Education at the UT Health Science Center

RECOMMENDATION: Approval Subject to Certain Conditions

PRESENTED BY: Steve J. Schwab, Chancellor, UTHSC

Chancellor Schwab, with the President’s endorsement, proposes that the Board designate The University of Tennessee/West Institute for Cancer Research as a foundation authorized to receive and hold gifts for support of cancer research and education at the UT Health Science Center, subject to certain conditions. The rationale for the proposal is presented in the following document.

If approved, the designation would not be effective until an operating agreement between the University, the Institute, Methodist Le Bonheur Healthcare, and The West Clinic, P.C., has been executed after all necessary University and state approvals.

MOTION:

That The University of Tennessee/West Institute for Cancer Research (Institute) be designated as a foundation authorized to receive and hold gifts for support of cancer research and education at the University’s Health Science Center, unless the donor has specifically directed in writing that the gift be received and held by the University or by another foundation authorized to receive and hold gifts for support of the University; provided, however, that this designation is subject to the following conditions:

1. The effective date of the designation shall be the effective date of an operating agreement between the University, the Institute, Methodist Le Bonheur Healthcare, and The West Clinic, P.C., and the Institute shall not receive any gift on behalf of the University prior to the effective date; and
2. The administration is authorized to enter into an operating agreement regarding the Institute only after the agreement has been approved by the University’s Chief Financial Officer, General Counsel, and President; the Chair of the Board of Trustees’ Advancement and Public Affairs Committee; and the State Comptroller.
Summary of The University of Tennessee/West Cancer Center and the Proposed University of Tennessee /West Institute for Cancer Research

Formation of the UT/West Cancer Center: In 2012 The University of Tennessee Health Science Center, Methodist Le Bonheur Healthcare, and the West Clinic came together to create a collaborative cancer initiative encompassing clinical care, research, and education.

- Methodist Le Bonheur Healthcare (The region’s market leader) is the health system sponsoring this effort and underwriting expenses by a variety of mechanisms including the construction of a dedicated $40M multidisciplinary clinical cancer center in Germantown. The first of its type in the West TN region.
- UTHSC conducts basic and translational cancer research. UTHSC maintains a large division of surgical oncology (the region’s largest surgical oncology practice). UTHSC has created (jointly with West) a Department of Radiation Oncology and UTHSC training programs train medical, surgical and soon radiation oncologists.
- The West Clinic has been the dominant medical oncology practice in West TN for over 20 years. UTHSC Surgical Oncology and Radiation Oncology have been dependent in part on West for patient referrals. The West Clinic is very active in clinical patient based cancer research and fund raising. In this agreement West Clinic medical oncologist joined the full time faculty to be the UTHSC faculty medical oncologists as a faculty affiliated practice group and a core member of the Cancer Center.
- This Cancer Center is governed by a cancer board composed of UTHSC, Methodist, and West that meets clinical practice group UT Trustee guidelines. This created the first and only fully integrated multi-disciplinary Cancer Center in the West TN region. Academic contributions of over $5M annually are made to UTHSC to further cancer research and education by the Center.

The collaboration commenced in April 2012 and has resulted in recruitment of multiple cancer clinicians (to UTHSC and West Clinic) and investigators (to UTHSC) and has easily become the West TN market leader in cancer clinical care. The Cancer Center has been given the provisional name “West” Cancer Center until a donor is found to provide a “naming” gift. Each of the parties is very committed to the success of this effort. Without both Methodist and West, UTHSC could not develop a robust cancer initiative. The relationship between the UTHSC and Methodist Le Bonheur Healthcare related to cancer, and the relationship between UTHSC and the West Clinic are the subjects of formal affiliation agreements which have been previously authorized by the UT Trustees.
Need for the Formation of a Fundraising Foundation for Cancer Research: Although Methodist Le Bonheur Healthcare has made available funds for the Cancer Center, these are not sufficient to realize the vision of the partnership to transform cancer care, research, and education in our region. This situation is not at all unusual, and most cancer centers have fundraising as a major activity focusing on grateful patients. These fund raising efforts are usually conducted by the cancer center for the cancer center. Such fundraising is based on the strength of the clinical enterprise, as grateful patients and clinical reputation carry great sway in the community (for example, via grateful patients, community leaders, patient advocacy/survival groups, local foundations, etc.) The West Clinic has had several decades of clinical practice and a large base of people who are aware of the quality of their clinical efforts and grateful to them for specific clinical services that helped family members with cancer. UTHSC College of Medicine could not successfully execute such a fundraising initiative by itself in cancer at this time in that the clinical patient base is with West and Methodist. However, the gravitas of UT is considerable in our region, and the West Clinic and Methodist are aware that the University is a differentiating factor in the formation of a sustainable and multidimensional cancer center, inclusive of research and education, in addition to clinical care.

Fundamentals of the Proposed The University of Tennessee/West Institute for Cancer Research (Institute): The purpose of the Institute would be to serve as a fundraising foundation to solicit gifts from donors and other institutions in support of the Cancer Center initiative. The Institute would be organized as a 501(c)(3) non-profit corporation governed by a board of three members each from UT, West Clinic and Methodist Le Bonheur Healthcare and the CEO of the Institute (for a total of 10 directors). Distribution of the gifts collected by the Institute would be made in accordance with the wishes of donors/donor organizations, as well as the Institute’s board of directors. The initial goal is to raise about $25 million in 5 years, but the parties hope that much more will be raised through direct solicitation of donors as well as other fundraising events. The latter has been an effective fundraising vehicle for other cancer centers. The fundraising effort is headed by Dr. Bill West, who founded the West Clinic years ago, emphasizing the integral role of the West Clinic in this effort. Operational details for the Institute will be spelled out in an operating agreement between the University, the West Clinic, and Methodist, which is currently under development. The Institute would not be authorized to receive gifts on behalf of the University until an operating agreement is approved by all necessary University and state officials.

Rationale for the University of Tennessee’s Participation: Although it is impossible to say exactly how much money UTHSC College of Medicine will receive, the advantages for the University are very evident. Cancer fundraising nationally is usually driven by integrated cancer centers. This prevents competition between hospitals, universities, and physician groups in cancer fundraising by acting as a single integrated focused unit. Traditionally, universities are the least successful in this clinical fund raising arena.

Examples of current expectations:
- One of the first goals is to recruit a Director of Research for the Cancer Center. This individual will be a full-time UTHSC researcher. The start-up package for the Director will initially be about $10 million. This funding will be spent on equipping and establishing the laboratory of the Director, as well as recruiting about 5-6 investigators with their respective start-up packages. Each of these investigators will be a full-time UTHSC faculty. All of these individuals will be submitting grants to NIH/NCI and other institutions that provide direct and indirect costs for research to the University, and will raise our ranking among research institutions. Laboratory space is available for recruitment of these investigators on the UTHSC campus.
• Funding will be used to recruit clinical investigators. These individuals will be UTHSC faculty in one of three clinical disciplines (medical, surgical, and radiation oncology). Such individuals are critical to running UT’s oncology training programs. Also, through its funding, the Cancer Center has allowed us to establish a new Department of Radiation Oncology. This will eventually grow from a clinical to a research and educational presence.
BOARD OF TRUSTEES MEETINGS
AND COMMITTEE MEETINGS

2015

April 7: Executive & Compensation Committee, Nashville
         Trusteeship Committee, Nashville

April 27: Audit Committee, Nashville

May 19: Executive & Compensation Committee, Nashville
         Trusteeship Committee, Nashville

June 24-25: Annual Meeting of the Board, Knoxville

Sept 9-10: Workshop (location to be determined)

Oct 8-9: Fall Meeting of the Board, Knoxville