THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES
FALL MEETING

1:00 p.m. EDT Hollingsworth Auditorium
Friday 2421 Joe Johnson Drive
October 14, 2016 Knoxville, Tennessee

ORDER OF BUSINESS

I. Call to Order and Invocation

II. Roll Call

III. Opening Remarks

IV. Introduction of the New Non-Voting Student Trustee

V. Resolutions Honoring Former Trustees — Action .................................................................Tab 1

VI. President’s Report ...................................................................................................................Tab 2

VII. UT Knoxville Naming ...........................................................................................................Tab 3

VIII. Bylaw Amendment on Composition of the Athletics Committee — Action/Roll Call Vote..Tab 4

IX. Recommendations of the Executive and Compensation Committee

   A. Policy on Settlement of Claims and Litigation — Action ..................................................Tab 5

   B. Performance Goals under the FY 2016-17 Performance Incentive Payment Plan for University Officers — Action ..................................................................................................Tab 6

   C. President’s Recommendation for Limited Duration Appointment and Compensation of an Executive Vice President and Chief Operating Officer ................................Tab 7

   D. President’s Recommendation of Senior Vice President Designation for the Current Vice President for Research, Outreach, and Economic Development .....................Tab 8

   E. President’s Recommendation for Appointment and Compensation of the UT Martin Chancellor ..................................................................................................................Tab 9

   F. President’s Recommendation for Appointment and Compensation of the Chief Financial Officer ...........................................................................................................Tab 10
X. Recommendations of the Finance and Administration Committee

A. **FY 2017-18 Capital Outlay and Capital Maintenance Projects** — Action/Roll Call Vote Tab 11

B. **FY 2017-18 Revenue/Institutionally Funded Projects** — Action/Roll Call Vote ..............Tab 12

XI. Report of the Advancement and Public Affairs Committee on Comments by Members of Public Who Addressed the Committee

XII. Report of the Audit and Compliance Committee

XIII. Consent Agenda — Action

A. **Minutes of the Last Meeting** ....................................................................................................Tab 13

B. **Ratification of Vice Chair’s Appointment of New Committee and Subcommittee Chairs and Members** ..................................................................................Tab 14

C. **2017 Fall Meeting Date** .............................................................................................................Tab 15

D. **University Life Committee Charter** ........................................................................................Tab 16

E. **Annual Report to the General Assembly** ................................................................................Tab 17

F. **Naming the Proposed Engineering and Science Building at UT Martin** ................................Tab 18

G. **Grant of Tenure to UTHSC Faculty Member under Expedited Procedures** .....................Tab 19

H. **Grant of Tenure to UTIA Faculty Members under Expedited Procedures** .....................Tab 20

I. **Grant of Tenure to UTK Faculty Members under Expedited Procedures** .....................Tab 21

J. **UTK and UTIA Honorary Doctoral Degrees** ..........................................................................Tab 22

K. **Revision of Post-Tenure Performance Review Provisions in the Board Tenure Policy** .Tab 23

L. **FY 2016 Annual Flight Operations Report** .............................................................................Tab 24

M. **KUB Easement for UTK West Campus Housing Redevelopment** ...............................Tab 25

N. **Acquisition by Gift of 1215 Wisdom Street for Institutional Use and Amendment of UTC Campus Master Plan to Include the Property** ..................................................Tab 26

O. **FY 2017-18 Operating Budget Appropriations Request for Non-Formula Units** ..........Tab 27

XIV. **Future Board and Committee Meeting Dates** — Information ...........................................Tab 28

XV. Other Business

*Note: Under the Bylaws, items not appearing on the agenda may be considered only upon an affirmative vote representing a majority of the total voting membership of the Board. Other business necessary to come before the Board at this meeting should be brought to the Vice Chair’s attention before the meeting.*

XVI. Adjournment
WHEREAS, Jalen K. Blue earned a Bachelor’s degree in Public Administration with a concentration in Economics from The University of Tennessee, Knoxville in 2016; and

WHEREAS, during his enrollment at the University, he held positions on the Student Life Council and the United Residence Hall Council and served with the Minority Enhancement program, Leadership Knoxville Scholars, and the Multicultural Mentoring Program; and

WHEREAS, he also served as a student representative on the UT System Diversity Advisory Council, the Provost’s Student Advisory Council, the Center for Leadership and Service Advisory Council, and the Sexual Assault and Misconduct Taskforce; and

WHEREAS, he completed an internship with the City of Knoxville’s Community Development Department, working with the Mayor on issues regarding ADA compliance in new city construction projects; and

WHEREAS, he has served an internship with Senator Lamar Alexander in Washington D.C., working on education issues for the Committee on Health, Education, Labor and Pensions; and

WHEREAS, he was named a 2016 Torchbearer, the highest honor UT Knoxville awards to its students; and

WHEREAS, he was appointed to The University of Tennessee Board of Trustees by Governor Haslam in 2015; and

WHEREAS, he served with distinction on the Academic Affairs and Student Success and the Research, Outreach, and Economic Development committees of the Board;

NOW THEREFORE BE IT RESOLVED that The University of Tennessee Board of Trustees, meeting in Knoxville, Tennessee, on October 14, 2016, commends Jalen Blue for his valuable service to the Board, the University, and the State of Tennessee.
The University of Tennessee
Board of Trustees
Resolution in Honor of Julius T. Johnson
October 14, 2016

WHEREAS, Julius T. Johnson earned a Bachelor’s degree in Animal Science in 1970 from The University of Tennessee, Knoxville; and

WHEREAS, he began his career in 1973 with the Tennessee Farm Bureau Federation as an agent for the Morgan County Farm Bureau Insurance Company before becoming a Regional Field Service Director in East Tennessee; and

WHEREAS, in 1984 he became Director of Public Affairs and chief lobbyist for the Tennessee Farm Bureau; and

WHEREAS, in 1995 he became the Chief Administrative Officer for the Tennessee Farm Bureau; and

WHEREAS, in 2011 Governor Bill Haslam appointed Julius Johnson to serve as the 36th Tennessee Commissioner of Agriculture; and

WHEREAS, he was instrumental in developing the Governor’s Rural Challenge, a 10-year strategic plan to grow and strengthen Tennessee’s agricultural and forest industries; and

WHEREAS, he led inter-agency cooperation on many issues such as preparing for a potential outbreak of High Path Avian Influenza and promoted the Governor’s education initiatives and economic development in rural communities; and

WHEREAS, he has served on the University of Tennessee Agriculture Development Board, the Maury County Chamber of Commerce Board of Directors, the Maury County University of Tennessee Alumni Board and as President of the Middle Tennessee Council of Boy Scouts; and

WHEREAS, he served as an ex officio member of The University of Tennessee Board of Trustees from 2011 until his retirement;

NOW THEREFORE BE IT RESOLVED that The University of Tennessee Board of Trustees, meeting in Knoxville, Tennessee, on October 14, 2016, commends Julius T. Johnson for his outstanding service as Commissioner of Agriculture and for his valuable service to the Board, the University, and the State of Tennessee.
The University of Tennessee
Board of Trustees
Resolution in Honor of James L. Murphy, III
October 14, 2016

WHEREAS, James L. Murphy, III earned a Bachelor’s degree in Political Science from The University of Tennessee, Knoxville in 1977 and a Juris Doctor degree from the College of Law in 1981; and

WHEREAS, he practiced law for 18 years in the legal department of the Metropolitan Government of Nashville and Davidson County and served as Director of Law from 1993 to 1999; and

WHEREAS, he counseled the Mayor and Metro Council regarding economic development incentives for Opryland USA, Columbia/HCA, Thomas Nelson Publishers, and Dell Computer Corporation, and he was instrumental in establishing the Sports Authority and the Hospital Authority in Nashville, developing the downtown arena and the football stadium, and negotiating leases with the Tennessee Titans and Nashville Predators; and

WHEREAS, he joined the law firm now known as Bradley Arant Boult Cummings in Nashville in 1999 and assists clients on matters involving economic incentives, zoning, condemnation, elections, telecommunications, municipal law, environmental law and real estate; and

WHEREAS, has routinely been named one of the Best Lawyers in America, in the Mid-South and in Nashville; and

WHEREAS, he was appointed to the Board of Trustees by Governor Bredesen in 2003, reappointed by Governor Bredesen in 2009, and reappointed by Governor Haslam in 2015, making him the longest-serving member on the Board at that time; and

WHEREAS, he served on the Audit, Finance and Administration, Trusteeship, and Executive and Compensation Committees and as Chair of the 2010 Presidential Search Committee; and

WHEREAS, he served as Vice Chair of the Board of Trustees from 2008 to 2011, during which he led the Board in approving a vision for the flagship campus as a top public research university and in creating the Bredesen Center, an interdisciplinary program with the Oak Ridge National Laboratory, and otherwise provided outstanding leadership during a time of transition in the office of President; and

WHEREAS, when a vacancy occurred in the Vice Chair position in 2015, he selflessly agreed to assume the Vice Chair position despite difficult circumstances facing the University and once again devoted countless hours in service to the University; and

WHEREAS, the UT Alumni Association awarded James L. Murphy, III the Alumni Service Award in 2016 in recognition of his exceptional long-term service and leadership to the University reflected in his generous commitment of time, talent, and resources to the University;

NOW THEREFORE BE IT RESOLVED that The University of Tennessee Board of Trustees, meeting in Knoxville, Tennessee on October 14, 2016, commends and expresses deep gratitude to James L. Murphy, III for his exceptional service to the Board, the University, and the State of Tennessee.
On June 23, 2016, the Board of Trustees adopted Amended and Restated Bylaws, including a Bylaw concerning composition of the Athletics Committee. The Bylaw established certain standing committee chairs as members of the committee and authorized the Vice Chair to appoint one Trustee as an at-large member.

To provide greater flexibility in committee appointments, the Vice Chair recommends that the Bylaw be amended to allow appointment of up to three Trustees as at-large members. This would be the only change to the Bylaw provision adopted on June 23, 2016 establishing the composition of the Athletics Committee.

MOTION: I move that the Board of Trustees adopt the following Resolution amending Article III, Section 2(b)(3) of the Bylaws:

RESOLVED: Article III, Section 2(b)(3) of the Bylaws is amended to read as follows:

The Athletics Committee shall be composed of the following Trustees: Vice Chair of the Board; Chair of the Academic Affairs and Student Success Committee; Chair of the Audit and Compliance Committee; Chair of the Finance and Administration; and Chair of the Trusteeship Committee, all of whom shall serve as ex officio voting members. From time to time, the Vice Chair of the Board may recommend to the Board of Trustees that up to three additional Trustees with knowledge and experience that would be particularly beneficial to the Athletics Committee be appointed as at-large voting members. The President of the University shall serve as an ex officio non-voting member but shall not be counted for quorum purposes.
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: October 14, 2016

COMMITTEE: Executive and Compensation

ITEM: Policy on Settlement of Claims and Litigation

RECOMMENDATION: Approval

PRESENTED BY: Raja J. Jubran, Vice Chair of the Board
Catherine S. Mizell, General Counsel and Secretary

The Vice Chair and the General Counsel recommend that the Board adopt a policy establishing specific requirements for approval of the settlement of claims and litigation against the University and University officials.

Currently, there is no requirement for Board involvement in the settlement of claims and litigation. The Bylaws authorize the President, Chief Financial Officer, and other University Officers (as defined by the Bylaws) to execute binding legal instruments, which include settlements. The typical practice has been for settlements to be approved by the Chief Financial Officer after other approvals appropriate to the particular matter have been obtained, including approval by the appropriate Chancellor (or designee). Although recent settlements involving substantial monetary payments were reviewed in advance by either the Vice Chair of the Board or the Vice Chair and the Board itself, the review was not required. In short, although there is a typical practice with respect to review and approval of settlements, the practice is not codified in policy. Establishing a formal policy on approval of settlements will promote consistency in practice over time, even as change occurs in the various approving authorities.

Based on a review of bylaws and policies of several large public systems of higher education around the nation, the lack of any requirement for governing board approval of settlements is not uncommon in public higher education (including the Tennessee Board of Regents system). A survey of the other 12 public institutions in the Southeastern Conference produced a similar result. Of the nine institutions that responded to the survey, five have no requirement for board approval of settlements. Nevertheless, the Vice Chair and the General Counsel believe some level of board review and approval of settlements is an appropriate exercise of good governance.

The proposed policy would require approval of the settlement of claims and litigation by either the Executive and Compensation Committee or the Audit and Compliance Committee if the amount exceeds $250,000. Either committee would have discretion to refer any particular settlement to the Board of Trustees for approval. Settlement
amounts of $250,000 or less would require approval of the Chief Financial Officer and either the President or the General Counsel, depending on whether the matter was defended by the Office of the General Counsel or by other attorneys. Any of those officials would have discretion to refer any particular settlement to the Executive and Compensation Committee or the Audit and Compliance Committee, as determined by the Vice Chair of the Board.

The proposed policy also provides that the General Counsel will continue the practice initiated last year of reviewing all claims and litigation with the Audit and Compliance Committee at least annually, including a review of all settlements approved since the previous review, regardless of the amount. As authorized by state law, this review with the Audit and Compliance Committee will be held in confidential non-public executive sessions.

The Vice Chair and General Counsel believe the proposed policy is in the best interest of the University and recommend its approval.

Committee Recommendation
At its meeting on October 14, 2016, the Executive and Compensation Committee recommended adoption of the following Resolution by the Board of Trustees:

RESOLVED: The Policy on Settlement of Claims and Litigation is approved as presented in the meeting materials.
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES
POLICY ON SETTLEMENT OF CLAIMS AND LITIGATION
Adopted by the Board of Trustees
October 14, 2016

SECTION 1. BACKGROUND

The Bylaws of the Board of Trustees authorize the officers of the University (President, Chief Financial Officer, and others as defined by the Bylaws) to execute legal instruments binding on the University, which include settlement agreements resolving legal claims and litigation against the University and University officials. Prior to adoption of this policy, there was no requirement for Board involvement in the settlement of claims and litigation. The typical practice was for the Chief Financial Officer to approve settlements after other approvals appropriate to the particular matter had been obtained, including approval by the chief executive officer of the campus or institute (or designee).

SECTION 2. PURPOSE

This policy establishes specific requirements for approval and oversight of the settlement of claims and litigation, including approval of settlements above a certain amount by either the Executive and Compensation Committee or the Audit and Compliance Committee of the Board of Trustees, and reserves certain approval authority in the Board itself.

SECTION 3. APPLICATION

This policy applies to claims and litigation against (a) The University of Tennessee (including any component unit of the University), or the Board of Trustees, as a corporate body; (b) Trustees and University employees sued in their official capacities; and (c) Trustees and University employees sued in their individual capacities when representation has been authorized by the Attorney General and Reporter pursuant to Tennessee Code Annotated § 8-42-103.

SECTION 4. DEFINITIONS

As used in this policy, the terms “claim” and “litigation” shall have the following meanings:

a. “Claim” means a dispute in which a demand for payment is asserted in some manner other than through litigation.

b. “Litigation” means (1) a lawsuit in a federal or state court with original jurisdiction over the subject matter; and (2) a matter before a state or federal administrative agency (such as the Tennessee Human Rights Commission, the Equal Employment Opportunity Commission, or the Office for Civil Rights).
SECTION 5. APPROVAL AND RECOMMENDATION BY THE CHIEF EXECUTIVE OFFICER OF THE
CAMPUS, INSTITUTE, OR SYSTEM ADMINISTRATION

(a) When the chief executive officer of a campus or institute (a Chancellor or the Vice President for Public Service) has decided that settlement of a claim or litigation arising out of the campus or institute is in the University’s best interest, the chief executive officer's approval of the settlement, and any other campus or institute approvals the chief executive officer may have obtained, shall be documented in a written recommendation submitted to the system Chief Financial Officer as the initial approving authority under Section 6 of this policy. The chief executive officer's recommendation shall identify the source of funding for the settlement.

(b) When the chief executive officer of the system administration (the President) has decided that settlement of a claim or litigation arising out of the system administration is in the University’s best interest, the chief executive officer’s approval of the settlement, and any other system administration approvals the chief executive officer may have obtained, shall be documented in a written recommendation submitted to the system Chief Financial Officer as the initial approving authority under Section 6 of this policy (in which case further approval by the President under Section 6 of this policy is not required regardless of the amount of the settlement). The chief executive officer’s recommendation shall identify the source of funding for the settlement.

(c) The General Counsel shall submit settlements to the approving authorities designated in Section 6 of this policy and shall include the chief executive officer’s written recommendation, an analysis of the claim or litigation, and an analysis of the settlement; provided, however, that if the claim or litigation is defended by attorneys other than those employed in the office of the General Counsel, lead counsel for the claim or litigation shall carry out this responsibility.

SECTION 6. APPROVAL OF THE CHIEF EXECUTIVE OFFICER’S RECOMMENDATION

Except as provided in Section 7 of this policy, the chief executive officer’s recommendation for settlement of claims and litigation is subject to the following approvals:

<table>
<thead>
<tr>
<th>Settlement Amount</th>
<th>Approving Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to and including $25,000</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>More than $25,000 up to and including $250,000</td>
<td>Chief Financial Officer and President (or General Counsel instead of President if the claim or litigation is defended by attorneys other than those employed in the Office of the General Counsel)</td>
</tr>
<tr>
<td>More than $250,000</td>
<td>Chief Financial Officer, President, and either the Executive and Compensation Committee or the Audit and Compliance Committee</td>
</tr>
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</table>

(a) If the settlement amount is more than $250,000, the Vice Chair of the Board shall determine which of the two specified committees of the Board will be asked to approve the settlement.

(b) The Chief Financial Officer, the President, or the General Counsel may refer any settlement submitted to them to either the Executive and Compensation Committee or the Audit and Compliance Committee for approval, as determined by the Vice Chair of the Board.
(c) Any settlement submitted or referred to the Audit and Compliance Committee may be referred by the Committee to either the Executive and Compensation Committee or the Board of Trustees for approval.

(d) Any settlement submitted or referred to the Executive and Compensation Committee may be referred by the Committee to the Board of Trustees for approval.

(e) The General Counsel must approve all settlement agreements as to form and legality.

(f) The President, Chief Financial Officer, and General Counsel may not delegate approval of settlements to another employee except in the extraordinary circumstance in which the official expects to be unable to perform the duties of his or her office for more than two weeks. The official shall give written notice of the delegation to other officials required to approve settlements and to Vice Chair of the Board.

SECTION 7. RESERVATION OF APPROVAL AUTHORITY IN THE BOARD OF TRUSTEES

Notwithstanding the provisions of Section 6 of this policy, the Board of Trustees reserves to itself authority to approve settlement of the following: (1) claims or litigation involving a decision of the Board; and (2) claims or litigation against Trustees in their individual capacities.

SECTION 8. ADDITIONAL APPROVALS

Nothing in this policy shall be construed to preclude additional approval of settlements if deemed warranted by the Vice Chair of the Board, the President, or the General Counsel.

SECTION 9. AUDIT AND COMPLIANCE COMMITTEE REVIEW OF CLAIMS AND LITIGATION

The General Counsel's periodic review (at least annually) of all claims and litigation with the Audit and Compliance Committee in confidential non-public executive sessions, pursuant to Tennessee Code Annotated § 4-35-108, shall continue to include a review of all settlements of claims and litigation approved since the previous review, regardless of the amount of the settlement.
On June 23, 2016, the Board of Trustees approved the FY 2016-17 Performance Incentive Payment Plan for University Officers. On the recommendation of the Executive and Compensation Committee, the Board deferred action on FY 2016-17 performance goals to allow Trustees additional time to study the proposed goals. Proposed FY 2016-17 performance goals follow this memorandum and are submitted for the Committee’s consideration and recommendation to the full Board. (A copy of the FY 2016-17 Plan appears after the goals.)

Changes to the goals presented in June are highlighted in blue. In addition, “patient encounters at UTHSC” has been eliminated as a goal due to the inability to track this metric going forward. Finally, a few clarifying modifications have been made. For example, for goals based on a 5-year average, the actual annual data and the estimated goal for FY 2016-17 in numeric terms (rather than as a percentage increase over the 5-year average) are shown as an indented table below the 5-year average data. These are not additional goals.

Committee Recommendation
At its meeting on October 14, 2016, the Executive and Compensation Committee recommended adoption of the following Resolution by the Board of Trustees:

RESOLVED:

1. The proposed FY 2016-17 Performance Goals are approved, subject to the requirement that the base-year data used to establish the goals shall be audited by the University’s Office of Audit and Compliance, and any revisions to the base-year data or goals resulting from the audit shall be submitted to the Executive and Compensation Committee for approval; and

2. The Executive and Compensation Committee is authorized to act on behalf of the Board to approve revisions to the base-year data or goals resulting from the audit or as otherwise deemed necessary in the judgment of the Committee, provided that any revisions shall be presented to the Board for ratification at the next regular meeting following the Committee’s approval.
### FY2016-17 Quantitative Goals Under the Performance Incentive Payment Plan for University Officers

Red are BAG metrics

<table>
<thead>
<tr>
<th>Strategic Plan metrics</th>
<th>Base Yr</th>
<th>Weight</th>
<th>All data subject to final audit</th>
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#### 1. Enhancing Educational Excellence

**(3) Annual goal setting will be done for growth in enrollment**

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<tr>
<th>Fall Headcount, Undergraduate</th>
<th>Fall 16</th>
<th>Weight</th>
<th>Fall 12</th>
<th>Fall 13</th>
<th>Fall 14</th>
<th>Fall 15</th>
<th>Fall 16</th>
<th>Goal (Fall 17)</th>
<th>Goal (Fall 17)</th>
<th>% Incr over FY16 Actual</th>
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<tbody>
<tr>
<td>System</td>
<td>38,875</td>
<td>High</td>
<td>38,401</td>
<td>38,504</td>
<td>38,656</td>
<td>38,647</td>
<td>38,875</td>
<td>39,107</td>
<td>0.6%</td>
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<tr>
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<td>22,139</td>
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<td>20,829</td>
<td>21,033</td>
<td>21,451</td>
<td>21,863</td>
<td>22,139</td>
<td>22,360</td>
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<tr>
<td>UTC</td>
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<td>10,159</td>
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<td>10,315</td>
<td>10,084</td>
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<td>10,272</td>
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<td>7,025</td>
<td>6,677</td>
<td>6,435</td>
<td>6,279</td>
<td>6,185</td>
<td>-1.5%</td>
<td>Enr &lt; 1.5% decrease</td>
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<tr>
<td>UTHSC</td>
<td>287</td>
<td>Normal</td>
<td>87</td>
<td>149</td>
<td>213</td>
<td>265</td>
<td>287</td>
<td>290</td>
<td>1% incr above Fall 16</td>
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| System                       | 38,875  | High   | 10,843  | 10,623  | 10,442  | 10,489  | 10,512  | 10,678        | 1.6%            | 1% incr above Fall 16 |
| UTK                          | 22,139  | High   | 6,189   | 6,138   | 5,959   | 5,982   | 5,913   | 6,002         | 1.5% incr above Fall 16 |
| UTC                          | 10,170  | Intermed | 1,501    | 1,377    | 1,355    | 1,304    | 1,363    | 1,404         | 3.0% incr above Fall 16 |
| UTM                          | 6,279   | Normal | 425     | 398     | 365     | 392     | 426     | 435           | 2% incr above Fall 16 |
| UTHSC                        | 2,810   | High   | 2,728   | 2,710   | 2,763   | 2,811   | 2,810   | 2,838         | 1% incr above Fall 16 |

<table>
<thead>
<tr>
<th>Fall Headcount, Graduate/ Professional</th>
<th>Fall 16</th>
<th>Weight</th>
<th>Fall 12</th>
<th>Fall 13</th>
<th>Fall 14</th>
<th>Fall 15</th>
<th>Fall 16</th>
<th>Goal (Fall 17)</th>
<th>Goal (Fall 17)</th>
<th>% Incr over FY16 Actual</th>
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<td>System</td>
<td>10,512</td>
<td>High</td>
<td>10,843</td>
<td>10,623</td>
<td>10,442</td>
<td>10,489</td>
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<td>10,678</td>
<td>1.6%</td>
<td>1% incr above Fall 16</td>
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<tr>
<td>UTK</td>
<td>5,913</td>
<td>High</td>
<td>6,189</td>
<td>6,138</td>
<td>5,959</td>
<td>5,982</td>
<td>5,913</td>
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<td>1.5% incr above Fall 16</td>
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<tr>
<td>UTC</td>
<td>1,363</td>
<td>Intermed</td>
<td>1,501</td>
<td>1,377</td>
<td>1,355</td>
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<td>1,363</td>
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<tr>
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<td>398</td>
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<tr>
<td>UTHSC</td>
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<td>High</td>
<td>2,728</td>
<td>2,710</td>
<td>2,763</td>
<td>2,811</td>
<td>2,810</td>
<td>2,838</td>
<td>1% incr above Fall 16</td>
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<tr>
<th>6-Year Graduation Rates for Freshmen</th>
<th>Fall 16</th>
<th>Weight</th>
<th>Fall 12</th>
<th>Fall 13</th>
<th>Fall 14</th>
<th>Fall 15</th>
<th>Fall 16</th>
<th>Goal (Fall 17)</th>
<th>Goal (Fall 17)</th>
<th>% Incr over FY16 Actual</th>
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<tr>
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<td>High</td>
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<td>56.1%</td>
<td>57.3%</td>
<td>58.2%</td>
<td>59.2%</td>
<td>60.70%</td>
<td>1.5% incr above Fall 16</td>
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<td>66.1%</td>
<td>67.5%</td>
<td>69.3%</td>
<td>70.3%</td>
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<td>37.1%</td>
<td>39.8%</td>
<td>43.6%</td>
<td>44.2%</td>
<td>45.2%</td>
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<td>45.7%</td>
<td>50.2%</td>
<td>55.9%</td>
<td>1% incr above Fall 16</td>
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<tr>
<td>UTHSC</td>
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<td>96.6%</td>
<td>94.8%</td>
<td>95.5%</td>
<td>96.1%</td>
<td>95.3%</td>
<td>95.7%</td>
<td>&gt;5-year average</td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Freshman Retention After One Year</th>
<th>Fall 16</th>
<th>Weight</th>
<th>Fall 12</th>
<th>Fall 13</th>
<th>Fall 14</th>
<th>Fall 15</th>
<th>Fall 16</th>
<th>Goal (Fall 17)</th>
<th>Goal (Fall 17)</th>
<th>% Incr over FY16 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>System</td>
<td>81.7%</td>
<td>High</td>
<td>77.4%</td>
<td>78.1%</td>
<td>79.3%</td>
<td>79.6%</td>
<td>81.7%</td>
<td>82.7%</td>
<td>1% incr above Fall 16</td>
<td></td>
</tr>
<tr>
<td>UTK</td>
<td>86.3%</td>
<td>High</td>
<td>84.6%</td>
<td>85.6%</td>
<td>86.6%</td>
<td>84.6%</td>
<td>86.3%</td>
<td>87.3%</td>
<td>1% incr above Fall 16</td>
<td></td>
</tr>
<tr>
<td>UTC</td>
<td>75.2%</td>
<td>High</td>
<td>70.7%</td>
<td>69.9%</td>
<td>70.8%</td>
<td>74.5%</td>
<td>75.2%</td>
<td>76.2%</td>
<td>1% incr above Fall 19</td>
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</table>

<table>
<thead>
<tr>
<th>Total Degrees Awarded</th>
<th>FY16</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>Goal (Fall 17)</th>
<th>Goal (Fall 17)</th>
<th>% Incr over FY16 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>System</td>
<td>11,975</td>
<td>High</td>
<td>11,058</td>
<td>11,182</td>
<td>11,152</td>
<td>11,698</td>
<td>11,975</td>
<td>12,585</td>
<td>5.1%</td>
<td>1% incr above FY 16</td>
</tr>
<tr>
<td>UTK (includes Vet Med &amp; CASNR)</td>
<td>6,741</td>
<td>High</td>
<td>6,885</td>
<td>6,793</td>
<td>6,689</td>
<td>6,758</td>
<td>6,741</td>
<td>6,808</td>
<td>1% incr above FY 17</td>
<td></td>
</tr>
<tr>
<td>UTK</td>
<td>2,494</td>
<td>High</td>
<td>2,140</td>
<td>2,232</td>
<td>2,350</td>
<td>2,375</td>
<td>2,494</td>
<td>2,519</td>
<td>1% incr above FY 18</td>
<td></td>
</tr>
<tr>
<td>UTM</td>
<td>1,370</td>
<td>High</td>
<td>1,265</td>
<td>1,372</td>
<td>1,346</td>
<td>1,329</td>
<td>1,370</td>
<td>1,384</td>
<td>1% incr above FY 19</td>
<td></td>
</tr>
<tr>
<td>UTHSC (incl Residency Completers)</td>
<td>1,370</td>
<td>High</td>
<td>1,072</td>
<td>1,189</td>
<td>1,225</td>
<td>1,236</td>
<td>1,370</td>
<td>1,384</td>
<td>1% incr above FY 20</td>
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</tr>
<tr>
<td>UTIA (Vet Med &amp; CASNR)</td>
<td>485</td>
<td>Normal</td>
<td>447</td>
<td>409</td>
<td>420</td>
<td>449</td>
<td>485</td>
<td>490</td>
<td>1% incr above FY 21</td>
<td></td>
</tr>
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</table>
## FY2016-17 Quantitative Goals Under the Performance Incentive Payment Plan for University Officers

**Red are BAG metrics**

### Strategic Plan metrics

### 2. Expanding Research Capacities

<table>
<thead>
<tr>
<th>(10) Research/sponsored projects expenditures increase 6% annually (5 yr. avg) (reported to THEC less ARRA funding)</th>
<th>FY12-16</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>FY17 Goal</th>
<th>% Incr over FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>System (President)</td>
<td>High</td>
<td>$413.40</td>
<td>$425.20</td>
<td>$414.83</td>
<td>$433.52</td>
<td>$435.00</td>
<td>$465.10</td>
<td>6.9% above 5yr avg.</td>
<td>6.9%</td>
<td></td>
</tr>
<tr>
<td>System (VP Research)</td>
<td>High</td>
<td>$413.40</td>
<td>$425.20</td>
<td>$414.83</td>
<td>$433.52</td>
<td>$435.00</td>
<td>$465.10</td>
<td>6.9% above 5yr avg.</td>
<td>6.9%</td>
<td></td>
</tr>
<tr>
<td>UTC (no Vet Med)</td>
<td>Normal</td>
<td>$10.43</td>
<td>$9.70</td>
<td>$8.83</td>
<td>$9.34</td>
<td>$8.06</td>
<td>$9.83</td>
<td>6% incr above 5yr avg.</td>
<td>21.9%</td>
<td></td>
</tr>
<tr>
<td>UTHSC</td>
<td>High</td>
<td>$196.53</td>
<td>$202.05</td>
<td>$203.09</td>
<td>$222.67</td>
<td>$240.49</td>
<td>$240.49</td>
<td>Greater than FY16</td>
<td>0.0%</td>
<td></td>
</tr>
<tr>
<td>UTIA</td>
<td>High</td>
<td>$42.47</td>
<td>$43.83</td>
<td>$40.66</td>
<td>$42.84</td>
<td>$45.80</td>
<td>$45.80</td>
<td>Greater than FY16</td>
<td>0.0%</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(10) Research/sponsored</th>
<th>5-Year Averages</th>
</tr>
</thead>
<tbody>
<tr>
<td>System (President)</td>
<td>$320.61</td>
</tr>
<tr>
<td>System (VP Research)</td>
<td>$320.61</td>
</tr>
<tr>
<td>UTC (no Vet Med + system)</td>
<td>$174.88</td>
</tr>
<tr>
<td>UTHSC</td>
<td>$176.56</td>
</tr>
<tr>
<td>UTIA</td>
<td>$38.22</td>
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### 5-Year Averages

<table>
<thead>
<tr>
<th>Research Expenditures (5 yr avg) (reported to NSF less ARRA funding)</th>
<th>FY12-16</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>Est. FY16</th>
<th>Est. FY17 Goal</th>
<th>FY17 Goal</th>
<th>% Incr over FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>System (President)</td>
<td>High</td>
<td>$322.00</td>
<td>$311.13</td>
<td>$315.77</td>
<td>$311.66</td>
<td>$322.49</td>
<td>$330.88</td>
<td>2.6% above 5yr avg.</td>
<td>2.6%</td>
<td></td>
</tr>
<tr>
<td>System (VP Research)</td>
<td>High</td>
<td>$322.00</td>
<td>$311.13</td>
<td>$315.77</td>
<td>$311.66</td>
<td>$322.49</td>
<td>$330.88</td>
<td>2.6% above 5yr avg.</td>
<td>2.6%</td>
<td></td>
</tr>
<tr>
<td>UTC</td>
<td>Normal</td>
<td>$10.70</td>
<td>$10.23</td>
<td>$9.99</td>
<td>$9.59</td>
<td>$9.27</td>
<td>$9.83</td>
<td>6% incr above 5yr avg.</td>
<td>21.9%</td>
<td></td>
</tr>
<tr>
<td>UTHSC</td>
<td>High</td>
<td>$196.53</td>
<td>$202.05</td>
<td>$203.09</td>
<td>$222.67</td>
<td>$240.49</td>
<td>$240.49</td>
<td>Greater than FY16</td>
<td>0.0%</td>
<td></td>
</tr>
<tr>
<td>UTIA</td>
<td>High</td>
<td>$42.47</td>
<td>$43.83</td>
<td>$40.66</td>
<td>$42.84</td>
<td>$45.80</td>
<td>$45.80</td>
<td>Greater than FY16</td>
<td>0.0%</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Annual NSF Research Expenditures</th>
<th>5-Year Averages</th>
</tr>
</thead>
<tbody>
<tr>
<td>System (President)</td>
<td>$288.87</td>
</tr>
<tr>
<td>System (VP Research)</td>
<td>$288.87</td>
</tr>
<tr>
<td>UTC</td>
<td>$145.44</td>
</tr>
<tr>
<td>UTHSC</td>
<td>$73.40</td>
</tr>
<tr>
<td>UTIA</td>
<td>$59.42</td>
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</table>

**Final NSF data available Feb 2017**
# FY2016-17 Quantitative Goals Under the Performance Incentive Payment Plan for University Officers

Red are BAG metrics

### Strategic Plan metrics

<table>
<thead>
<tr>
<th>Inventions (Disclosures) (5Yr Avg)</th>
<th>FY12-16</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>FY17 Goal</th>
<th>% Incr over FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>System (President)</td>
<td>139</td>
<td>139</td>
<td>144</td>
<td>145</td>
<td>152</td>
<td>116</td>
<td>140</td>
<td>147</td>
<td>5% incr above FY16</td>
<td>5.0%</td>
</tr>
<tr>
<td>System (VP Research)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UTK</td>
<td>69</td>
<td></td>
<td>144</td>
<td>145</td>
<td>152</td>
<td>116</td>
<td>140</td>
<td>147</td>
<td>5% incr above FY16</td>
<td>5.0%</td>
</tr>
<tr>
<td>UTC</td>
<td>4</td>
<td></td>
<td>48</td>
<td>71</td>
<td>82</td>
<td>71</td>
<td>74</td>
<td>74</td>
<td>Greater than FY16</td>
<td>0.0%</td>
</tr>
<tr>
<td>UTM</td>
<td>1</td>
<td></td>
<td>8</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>5</td>
<td>5</td>
<td>Greater than FY17</td>
<td>0.0%</td>
</tr>
<tr>
<td>UTHSC</td>
<td>30</td>
<td></td>
<td>27</td>
<td>30</td>
<td>29</td>
<td>25</td>
<td>38</td>
<td>31</td>
<td>3% incr above 5yr avg.</td>
<td>23.6%</td>
</tr>
<tr>
<td>UTIA</td>
<td>35</td>
<td></td>
<td>60</td>
<td>40</td>
<td>38</td>
<td>15</td>
<td>22</td>
<td>36</td>
<td>3% incr above FY16 yr</td>
<td>63.9%</td>
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### 5-Year Averages

<table>
<thead>
<tr>
<th></th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>FY17 Goal</th>
<th>% Incr over FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>President</td>
<td>107</td>
<td>116</td>
<td>123</td>
<td>129</td>
<td>139</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>VP Res.</td>
<td>97</td>
<td>109</td>
<td>123</td>
<td>129</td>
<td>139</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UTK</td>
<td>33</td>
<td>42</td>
<td>54</td>
<td>62</td>
<td>69</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UTC</td>
<td>4</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UTM</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>UTHSC</td>
<td>29</td>
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<td>29</td>
<td>27</td>
<td>30</td>
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<tr>
<td>UTIA</td>
<td>33</td>
<td>35</td>
<td>37</td>
<td>35</td>
<td>35</td>
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<td></td>
</tr>
</tbody>
</table>

All data subject to final audit
### FY2016-17 Quantitative Goals Under the Performance Incentive Payment Plan for University Officers

Red are BAG metrics

#### Strategic Plan metrics

<table>
<thead>
<tr>
<th></th>
<th>Base Yr</th>
<th>Weight</th>
<th>All data subject to final audit</th>
</tr>
</thead>
</table>

#### 3. Fostering Outreach and Engagement

**Number of Participants in Outreach and Engagement Activities Greater than 5-year avg**

<table>
<thead>
<tr>
<th></th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>% Incr over FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>System (President)</td>
<td>4,460,554</td>
<td>Intermed.</td>
<td>3,948,276</td>
<td>4,155,236</td>
<td>4,428,023</td>
<td>4,635,983</td>
<td>5,135,251 greater than FY16</td>
</tr>
<tr>
<td>System (VP Research)</td>
<td>4,460,554</td>
<td>Intermed.</td>
<td>3,948,276</td>
<td>4,155,236</td>
<td>4,428,023</td>
<td>4,635,983</td>
<td>5,135,251 greater than FY16</td>
</tr>
<tr>
<td>UTIA</td>
<td>4,247,028</td>
<td>High</td>
<td>3,823,084</td>
<td>4,019,148</td>
<td>4,194,655</td>
<td>4,339,791</td>
<td>4,858,464 greater than FY16</td>
</tr>
<tr>
<td>IPS</td>
<td>213,525</td>
<td>High</td>
<td>125,192</td>
<td>136,088</td>
<td>233,368</td>
<td>296,192</td>
<td>276,787 greater than FY16</td>
</tr>
</tbody>
</table>

**5-Yr Averages**

**President**

<table>
<thead>
<tr>
<th></th>
<th>FY12-16</th>
<th>Annual Data</th>
<th>5-Year Averages</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>System (President)</td>
<td>4,460,554</td>
<td>Intermed.</td>
<td>4,177.176</td>
</tr>
<tr>
<td>System (VP Research)</td>
<td>4,460,554</td>
<td>Intermed.</td>
<td>4,177.176</td>
</tr>
<tr>
<td>UTIA</td>
<td>4,247,028</td>
<td>High</td>
<td>4,012,296</td>
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<tr>
<td>IPS</td>
<td>213,525</td>
<td>High</td>
<td>157,697</td>
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</table>

**FY12-16**

<table>
<thead>
<tr>
<th></th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>% Incr over FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>HSC Work RVUs</td>
<td>2,063,869</td>
<td>High</td>
<td>1,981,199</td>
<td>1,993,741</td>
<td>2,101,294</td>
<td>2,009,950</td>
<td>2,150,490 greater than FY16</td>
</tr>
<tr>
<td>Patient Encounters at Vet Med</td>
<td>33,843</td>
<td>High</td>
<td>31,596</td>
<td>35,072</td>
<td>33,672</td>
<td>32,412</td>
<td>34,215</td>
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</table>

**5-Yr Averages**

**W-RVUS**

<table>
<thead>
<tr>
<th></th>
<th>Annual Data</th>
<th>5-Year Averages</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HSC Work RVUs</td>
<td>2,021,546</td>
<td>2,063,869</td>
</tr>
<tr>
<td>Vet Med</td>
<td>32,412</td>
<td>33,843</td>
</tr>
</tbody>
</table>

All data subject to final audit

Change from June Board Meeting

Page 4
## FY2016-17 Quantitative Goals Under the Performance Incentive Payment Plan for University Officers

Red are BAG metrics

### Strategic Plan metrics

<table>
<thead>
<tr>
<th>Base Yr</th>
<th>Weight</th>
<th>All data subject to final audit</th>
</tr>
</thead>
</table>

### 4. Improving Effectiveness & Efficiency

#### Change in tuition rates (UG, Grad, Professional) excluding programs that move to 15/4 plan and or differential tuition

<table>
<thead>
<tr>
<th>(4) UG Tuition no more than HEPI rate change</th>
<th>FY17 (Fall 16-17)</th>
<th>Weight</th>
<th>Fall 12</th>
<th>Fall 13</th>
<th>Fall 14</th>
<th>Fall 15</th>
<th>Fall 16</th>
<th>FY17 Goal</th>
<th>FY17 Goal</th>
<th>% Incr over FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>UT System (simple avg of UG tuition)</td>
<td>$8,184</td>
<td>High</td>
<td>$7,119</td>
<td>$7,930</td>
<td>$7,812</td>
<td>$8,078</td>
<td>$8,184</td>
<td>$8,364</td>
<td>$11,154</td>
<td>2.2%</td>
</tr>
<tr>
<td>UTK</td>
<td>$10,914</td>
<td>High</td>
<td>$8,325</td>
<td>$10,279</td>
<td>$10,366</td>
<td>$10,678</td>
<td>$10,914</td>
<td>$11,154</td>
<td>$11,154</td>
<td>2.2%</td>
</tr>
<tr>
<td>UTC</td>
<td>$6,768</td>
<td>High</td>
<td>$6,105</td>
<td>$6,373</td>
<td>$6,430</td>
<td>$6,624</td>
<td>$6,768</td>
<td>$6,917</td>
<td>$6,917</td>
<td>2.2%</td>
</tr>
<tr>
<td>UTM</td>
<td>$7,070</td>
<td>High</td>
<td>$6,379</td>
<td>$6,659</td>
<td>$6,716</td>
<td>$6,918</td>
<td>$7,070</td>
<td>$7,226</td>
<td>$7,226</td>
<td>2.2%</td>
</tr>
<tr>
<td>UTHSC (Dental Hygiene)</td>
<td>$11,772</td>
<td>High</td>
<td>$10,779</td>
<td>$11,319</td>
<td>$11,319</td>
<td>$11,772</td>
<td>$11,772</td>
<td>$12,031</td>
<td>$12,031</td>
<td>2.2%</td>
</tr>
<tr>
<td>UTHSC (Nursing)</td>
<td>$8,320</td>
<td>High</td>
<td>NA</td>
<td>$8,408</td>
<td>$8,000</td>
<td>$8,320</td>
<td>$8,320</td>
<td>$8,503</td>
<td>$8,503</td>
<td>2.2%</td>
</tr>
</tbody>
</table>

#### (13) Gifts, pledges, bequests grow >15% (5 yr. avg)

<table>
<thead>
<tr>
<th>FY12-16 ($ in Millions)</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>FY17 Goal</th>
<th>% Incr over FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>UT System</td>
<td>High</td>
<td>$148.998</td>
<td>$149.134</td>
<td>$179.788</td>
<td>$303.747</td>
<td>$240.261</td>
<td>$242.373</td>
<td>.9% above FY16</td>
<td>0.9%</td>
</tr>
<tr>
<td>UT System (VP Dev./Alumni Aff.)</td>
<td>High</td>
<td>$148.998</td>
<td>$149.134</td>
<td>$179.788</td>
<td>$303.747</td>
<td>$240.261</td>
<td>$242.373</td>
<td>.9% above FY16</td>
<td>0.9%</td>
</tr>
<tr>
<td>UTK</td>
<td>High</td>
<td>$104.782</td>
<td>$92.690</td>
<td>$130.871</td>
<td>$234.528</td>
<td>$167.211</td>
<td>$167.919</td>
<td>15% above 5 yr avg.</td>
<td>0.4%</td>
</tr>
<tr>
<td>UTM</td>
<td>High</td>
<td>$8,657</td>
<td>$10,046</td>
<td>$6,375</td>
<td>$14,484</td>
<td>$15,059</td>
<td>$15,059</td>
<td>greater than FY16</td>
<td>0.0%</td>
</tr>
<tr>
<td>UTHSC</td>
<td>High</td>
<td>$3,045</td>
<td>$3,285</td>
<td>$3,111</td>
<td>$3,880</td>
<td>$4,248</td>
<td>$4,248</td>
<td>greater than FY16</td>
<td>0.0%</td>
</tr>
<tr>
<td>UTHSC (Nursing)</td>
<td>High</td>
<td>$12,879</td>
<td>$10,046</td>
<td>$22,499</td>
<td>$39,248</td>
<td>$38,948</td>
<td>$38,948</td>
<td>greater than FY16</td>
<td>0.0%</td>
</tr>
</tbody>
</table>

#### Annual gifts, 5-Yr Averages ($ in Millions)

<table>
<thead>
<tr>
<th>5-Yr Averages</th>
<th>President</th>
<th>VP Dev.</th>
<th>UTK</th>
<th>UTM</th>
<th>UTHSC</th>
<th>UTIA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual gifts</td>
<td>$155.342</td>
<td>$149.290</td>
<td>$159.738</td>
<td>$185.144</td>
<td>$204.386</td>
<td>$204.386</td>
</tr>
<tr>
<td>5-Year Averages</td>
<td>$155.342</td>
<td>$149.290</td>
<td>$159.738</td>
<td>$185.144</td>
<td>$204.386</td>
<td>$204.386</td>
</tr>
</tbody>
</table>
## FY2016-17 Quantitative Goals Under the Performance Incentive Payment Plan for University Officers

**Red are BAG metrics**

### Strategic Plan metrics

<table>
<thead>
<tr>
<th>(16 / 18) Reduce faculty and staff salary gap with peers</th>
<th>Base FY15</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>% Incr over FY16 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>UT System (new methodology)</td>
<td>$83.600</td>
<td>High</td>
<td>NA</td>
<td>$149.064</td>
<td>$153.016</td>
<td>$83.600</td>
<td>$79.422</td>
<td>$58.52</td>
<td>$28.71</td>
</tr>
<tr>
<td>UTK (new survey)</td>
<td>$41.020</td>
<td>High</td>
<td>NA</td>
<td>$58.316</td>
<td>$59.000</td>
<td>$41.020</td>
<td>$41.032</td>
<td>$28.71</td>
<td>$28.71</td>
</tr>
<tr>
<td>UTC (new methodology)</td>
<td>$7.552</td>
<td>High</td>
<td>NA</td>
<td>$7.300</td>
<td>$7.600</td>
<td>$7.552</td>
<td>$5.663</td>
<td>$5.29</td>
<td>$3.50</td>
</tr>
<tr>
<td>UTHSC (new methodology)</td>
<td>$5.003</td>
<td>High</td>
<td>NA</td>
<td>$52.338</td>
<td>$53.908</td>
<td>$5.003</td>
<td>$3.841</td>
<td>$3.50</td>
<td>$3.50</td>
</tr>
</tbody>
</table>

### (17) Deferred Maintenance Expenditures (Develop 2-yr allocation/rereallocation plan based upon $25m deferred maintenance)

<table>
<thead>
<tr>
<th>* (System = $25.0 million) over 2 yrs</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>2-Year Goal Achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>$28.05</td>
<td>$0.00</td>
<td>2-Year Goal Achieved</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>* (UTK/UTSI = $15.75m)</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>2-Year Goal Achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>$14.14</td>
<td>$1.61</td>
<td>2-Year Goal Achieved</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>* (UTK = $2.5m)</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>2-Year Goal Achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>$3.42</td>
<td>$0.00</td>
<td>2-Year Goal Achieved</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>* (UTM = $2.0m)</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>2-Year Goal Achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>$4.24</td>
<td>$0.00</td>
<td>2-Year Goal Achieved</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>* (UTHSC = $3.75m)</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>2-Year Goal Achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>$4.00</td>
<td>$0.00</td>
<td>2-Year Goal Achieved</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>* (UTIA = $1.0m)</th>
<th>Weight</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17 Goal</th>
<th>2-Year Goal Achieved</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>$2.26</td>
<td>$0.00</td>
<td>2-Year Goal Achieved</td>
</tr>
</tbody>
</table>
## FY2016-17 Additional Goals Under the Performance Incentive Payment Plan for University Officers

### Success in Implementing Non-Quantitative BAG Initiatives

<table>
<thead>
<tr>
<th>Goal Description</th>
<th>President</th>
<th>EVP Research</th>
<th>General Counsel</th>
<th>VP Dev / Alumni</th>
<th>UTC</th>
<th>UTHSC</th>
<th>UTK</th>
<th>UTM</th>
<th>UTIA</th>
<th>Chancellors</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Enhancing Educational Excellence</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(1) In-State UG Enrollments should be &gt; Fall 16</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>(2) % UG Out-State Enrollment should be &lt; 25% of total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>(5) Graduate and professional tuition increases should be no more than the previous year’s HEPI rate change plus 2-3%.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>(14) Conduct program realignment to assess low performing programs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>(15) Perform feasibility analysis &amp; develop a plan for program consolidation(s)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>(22) Complete review of the post-tenure review process and implement a new policy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Expanding Research Capacities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No additional goals</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Fostering Outreach and Engagement</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No additional goals</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Improving Effectiveness &amp; Efficiency</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(16) Develop 2-yr allocation/reallocation plan based upon 6% of FY15 unrestricted E&amp;G</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>(6) Executive grad program tuition based on demand &amp; peer costs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(7) Review out-of-state tuition based on regional need</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(18) Using workforce development programs, identify amounts that can be redeployed to address strategic initiatives, compensation gaps, and deferred maintenance.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(19) Conduct a tuition structure review to include differential tuition, out-of-state tuition, and 15/4 plan.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(20) Review of Non-Formula fee structure</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(21) Complete study on unfunded mandates for student tuition waivers/discounts (UT system) and tuition waivers/discounts for UT employees and propose any needed legislative or policy solutions.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Additional Goals for President DiPietro**

- Implementation of new UT System organization structure, including the hiring of a permanent Chief Financial Officer and an Executive Vice President
- Bring Faculty and Staff salaries closer to the median of the peer group (as identified in the Sibson Market Analysis)
- Implementation of a more vigorous out-of-session visit schedule with elected officials
- Completing the first phase of the Succession Planning initiative (focused on University Wide Administration)

**Additional Goals for the General Counsel and Secretary Mizell**

- Develop a comprehensive plan for system-wide education and training on legal matters.
- Lead implementation of the new Board committee/subcommittee structure, including assisting the Athletics Committee in development of its role and specific responsibilities to ensure adequate Board oversight of the three intercollegiate athletics programs.
- Arrange for and coordinate preparation of an athletics compliance education program for the Board of Trustees to be conducted by a Division I conference official.
- Prepare a report to the Vice Chair on roles, responsibilities, and reporting relationships of executive staff for higher education governing boards.

**Additional Goals for Executive Vice President Millhorn**

- Achieve an ORNL performance score of 94 or higher for FY 2017.
- Acquire a signed contract for the development of a new building on Cherokee Farm that is privately funded.
- Facilitate the appointment of three Governor’s Chairs over the next three years

**Additional Goals for Vice President McCurry**

- Increase the alumni participation rate in systemwide alumni programming by 10%
- Increase the number of donors by 10%
- Execute the move to University Avenue while maintaining a positive work environment for staff whereby everyone feels safe in the new environment
- Create alignment and coordination among the various volunteer leadership groups (Alumni Board of Governors, Foundation Boards, and Past Presidents of Alumni Association) at the system level
I. Objectives of the Plan

The objectives of the Performance Incentive Payment Plan for University Officers (Plan) are to:

- Motivate and reward achievement of performance goals aligned with the UT System Strategic Plan, 2012-2017, and the President’s Budget Advisory Group Initiatives; and
- Enhance the University’s ability to attract and retain outstanding executive officers and other senior officers by providing competitive compensation.

II. Eligibility to Participate

A. The University Officers as defined in the Bylaws of the University shall be eligible to participate in the Plan (hereinafter sometimes referred to individually as “Participant” and collectively as “Participants”); provided, however, that (1) the positions of Secretary and Treasurer shall be eligible to participate in the Plan only when held concurrently by another elected University Officer; and (2) any University Officer who is participating in another performance incentive payment plan will not be eligible for participation in the Plan.

B. A person newly hired or promoted into a University Officer position will be eligible for participation in any Board-approved performance incentive payment plan in effect as of July 1 of the year following the date of hire or promotion.

III. Performance Period and Performance Goals

A. The performance period under the Plan is one fiscal year (July 1, 2016 through June 30, 2017).

B. Performance goals shall be aspirational but realistic and shall include quantitative and/or non-quantitative goals that are clearly defined and readily evaluated.

C. The President shall propose performance goals for the other Participants and solicit their comments on the proposed goals. After considering the Participants’ comments, the President shall submit proposed performance goals for the other Participants to the Vice Chair of the Board of Trustees for review.

D. The Vice Chair shall propose performance goals for the President and meet with the President to discuss the proposed goals for the President and other Participants.

E. The Vice Chair shall prepare a recommendation concerning proposed goals for the President and other Participants and a weight for each goal. The Committee will approve or modify the proposed goals and weights.

F. Proposed performance goals and their weights, as approved or modified by the Executive and Compensation Committee, will be forwarded to the Board of Trustees for final action.
G. Base-year data used to establish the performance goals shall be audited by the University’s Office of Audit and Compliance. Any revision of the base-year data and goals resulting from the audit shall be submitted to the Executive and Compensation Committee for approval.

IV. Methodology for Calculating the Incentive Payment

Prior to the end of the performance period, the Vice Chair shall recommend to the Executive and Compensation Committee a methodology for calculating the variable compensation payment for that performance period. The methodology approved by the Committee shall be submitted to the Board of Trustees for final action.

V. Maximum Incentive Payment

A. Based on the President’s performance each year with respect to the performance goals approved by the Board of Trustees, the President shall be considered for a lump-sum incentive payment of up to twenty-five percent (25%) of the President’s base salary.

B. Based on the other Participants’ performance each year with respect to the performance goals approved by the Board of Trustees, the other Participants shall be considered for a lump-sum incentive payment of up to fifteen percent (15%) of the Participant’s base salary.

C. No part of an incentive payment will vest in any Participant prior to the date on which payment is to be made in accordance with the provisions of Section VII of this Plan.

VI. Evaluation of Participant’s Performance

A. No later than November 1 of each year, the President will submit to the Vice Chair, and the other Participants will submit to the President, a self-evaluation of his/her performance with respect to the approved performance goals for the performance period (the previous fiscal year).

B. The Vice Chair or President, as applicable, will prepare a written recommendation to the Executive and Compensation Committee concerning the Participant’s performance with respect to the performance goals, including a recommendation as to whether an incentive payment should be made to the Participant; provided, however, that if an allegation of gross misconduct, as defined by University Human Resources Policy (HR0525), or other violation of the University Code of Conduct (HR0580) is pending against a Participant, the Vice Chair or President shall not make a recommendation to the Executive and Compensation Committee unless the allegation is resolved in the Participant’s favor.

C. The University’s Office of Audit and Compliance shall review the performance data and the calculation of recommended incentive payments prior to submission of the recommendations of the Vice Chair and President to the Executive and Compensation Committee.

VII. Incentive Payments

A. The Executive and Compensation Committee will approve or modify the recommendation of the Vice Chair or President, as applicable, concerning the Participant’s performance and whether the Participant should receive an incentive payment; provided, however, that if an allegation of gross misconduct, as defined by University Human Resources Policy (HR0525), or other violation of the University Code of Conduct (HR0580) is made against a Participant subsequent to the
recommendation of the Vice Chair or President, the Executive and Compensation Committee shall not act on the recommendation of the Vice Chair or President unless the allegation is resolved in the Participant’s favor.

B. The Executive and Compensation Committee will forward its recommendation to the Board of Trustees. If an allegation of gross misconduct, as defined by University Human Resources Policy (HR0525), or other violation of the University Code of Conduct (HR0580) is made against a Participant subsequent to the recommendation of the Executive and Compensation, the Board of Trustees shall not act on the recommendation unless the allegation is resolved in the Participant’s favor.

C. The Board of Trustees may determine that no incentive payments will be made, regardless of individual performance with respect to the approved goals, due to financial or other circumstances the Board, in its sole discretion, deems to warrant suspension of payments.

D. An incentive payment approved by the Board of Trustees will be paid to the Participant in three installments according to the schedule provided in paragraph E., subject to the following conditions:

1. Payment will be made only if the Participant was employed in active service as a University Officer from the first day through the last day of the performance period (one fiscal year, July 1 through June 30) and remains in active service as a University Officer on the date a payment is to be made; and

2. If an allegation of gross misconduct, as defined by University Human Resources Policy (HR0525), or other violation of the University Code of Conduct (HR0580) is made against a Participant subsequent to the Board’s action to approve an incentive payment, the no payment shall not be made unless the allegation is resolved in the Participant’s favor.

E. Except as provided in paragraphs F. and G., an incentive payment approved by the Board of Trustees shall be paid to the Participant in three installments according to the following schedule:

1. One-third shall be paid within thirty (30) days of Board action approving the payment;
2. One-third shall be paid one (1) year after Board action approving the payment; and
3. One-third shall be paid two (2) years after Board action approving the payment.

F. Notwithstanding the provisions of paragraph D.(1), if after six months of the performance period (i.e., after December 31, 2016) but before the end of the performance period, a Participant terminates employment (1) for medical reasons upon the duly documented recommendation of a physician or (2) by reason of death, the Participant will be eligible for an incentive payment calculated on a pro rata basis from the first day of the performance period through the date of termination. Determination of the amount of any pro rata payment shall be made after the entire performance period has ended and in accordance with the process provided in Sections VI and VII, except that a self-evaluation by the Participant will not be required. In the case of termination of employment for medical reasons or by reason of death, a Board-approved incentive payment will be paid to the Participant within thirty (30) days of Board approval or to the executor or administrator of the Participant’s estate within thirty (30) days of the date on which satisfactory proof of letters testamentary or letters of administration issued by a court of competent jurisdiction is provided to the University.
G. If a Participant terminates employment with the University for medical reasons or by reason of death prior to the end of a performance period, the person appointed to serve in the vacated University Officer position on an interim basis shall be eligible for an incentive payment calculated on a pro rata basis from the first day of service in the interim appointment through the end of the performance period, as long as he or she remains in active service in the interim appointment through the end of the performance period. Determination of the amount of any pro rata payment shall be made after the entire performance period has ended and in accordance with the process provided in Sections VI and VII. Payment of the Board-approved incentive payment shall be made within thirty (30) days of the Board’s action approving the payment; provided, however, that if an allegation of gross misconduct, as defined by University Human Resources Policy (HR0525), or other violation of the University Code of Conduct (HR0580) is made against a Participant subsequent to the Board’s action, payment shall not be made unless the allegation is resolved in the Participant’s favor.

H. Notwithstanding the provisions of paragraph D.(1), if a Participant’s employment terminates by reason of his or her death after the performance period has ended but before a Board-approved incentive payment has been paid to the Participant, the payment will be paid to the executor or administrator of the Participant’s estate within thirty (30) days of the date on which satisfactory proof of letters testamentary or letters of administration issued by a court of competent jurisdiction is provided to the University.

I. Except as provided in paragraphs F., G., and H., if a Participant’s service as a University Officer terminates, voluntarily or involuntarily, prior to the date on which a Board-approved incentive payment is to be paid, the Participant shall forfeit the payment in its entirety and shall not receive any portion of the payment unless the Board, in its sole discretion, determines that it is in the University’s best interest to accelerate payment of part or all of a Board-approved incentive payment if the Participant satisfies one of the following criteria:

1. The Participant is sixty (60) years of age or older and has five (5) or more years of full-time equivalent service with the University; or
2. The Participant, regardless of age, has 30 years or more of full-time equivalent service with the University.

J. Funding of the Plan

Funding for all incentive payments under the Plan will be the responsibility of the respective campus or system budgetary unit.

K. Amendment, Suspension, and Termination of the Plan

The Board of Trustees reserves the right to amend, suspend, or terminate the Plan at any time.

L. General Provisions

1. If a Participant receives an unsatisfactory rating in any annual performance review, his/her participation in the Plan will terminate automatically, and the Participant will not receive any payment under the Plan.
2. Neither the Plan nor any payment under the Plan shall be construed to confer any right to continued employment with The University of Tennessee. All Participants serve at the pleasure of the Board of Trustees, subject to the terms of any written contract of employment.

3. Neither the Plan nor any payment under the Plan shall be construed to create a trust or to create in any Participant, or in his/her personal representative or beneficiary, a security interest or other interest in any assets of The University of Tennessee.

4. All payments under the Plan are subject to all reporting, deductions, and withholdings required by applicable law or University policy, as amended, enacted, or adopted from time to time, including but not limited to deduction for debts owed to the University.

5. Under no circumstances will any payment be made under the Plan later than two and a half months after the end of the calendar year in which the Board of Trustees decides to make a payment.

6. Participants will bear sole responsibility for any and all direct or indirect tax consequences of payments under the Plan. The University makes no representations as to the tax treatment of payments under the Plan, and Participants are responsible for seeking advice as to the tax consequences of the Plan from their personal tax advisors.

7. To the extent any part of the Plan fails to comply with any applicable state or federal law or regulation, that part of the Plan shall not be effective.

8. This Plan shall be effective for the FY 2016-17 performance period. The provisions of the Plan approved by the Board of Trustees on October 9, 2015 shall continue to govern the FY 2015-16 performance period.
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: October 14, 2016

COMMITTEE: Executive and Compensation

ITEM: President’s Recommendation for Limited Duration Appointment and Compensation of an Executive Vice President and Chief Operating Officer

RECOMMENDATION: Approval

PRESENTED BY: Joseph A. DiPietro, President

President DiPietro recommends a limited duration appointment of Dr. Tonjanita Johnson as Executive Vice President and Chief Operating Officer for the UT System. Direct reports to the position would include Vice President for Academic Affairs and Student Success, Vice President for Human Resources, Associate Vice President for Communications and Marketing, Executive Director of Capital Projects, and Assistant Vice President for Institutional Research. The two Vice President positions are currently direct reports to the President; the Executive Director of Capital Projects is currently a direct report to the Chief Financial Officer; and the Assistant Vice President of Institutional Research and Planning. A copy of Dr. Johnson’s resumé follows.

A limited duration appointment is at will and reviewed annually, with a maximum appointment of up to three years. Base salary during the appointment will be $314,328 annually, and she will continue to receive a $5,000 annual non-accountable expense allowance. Additionally, if the President determines that Dr. Johnson’s performance has exceeded expectations at the conclusion of her first year as EVP & COO, she will receive a $30,000 increase to her annual base pay.

Upon termination of the limited duration appointment, Dr. Johnson would return to her previous role as Vice President for Communications and Marketing at her current annual salary of $239,328 increased by the average annual percentage salary increases for system administration employees during the period of her limited duration appointment.

Committee Recommendation
At its meeting on October 14, 2016, the Executive and Compensation Committee recommended adoption of the following Resolution by the Board of Trustees:

RESOLVED: The President’s recommendation for a limited duration appointment and compensation of Dr. Tonjanita Johnson as Executive Vice President and Chief Operating Officer is approved.
Tonjanita L. Johnson, Ph.D.

EDUCATION

Jackson State University, Jackson, Mississippi
Ph.D., Urban Higher Education, 2006
Dissertation Title: University-Community Relationships: The Impact of Public Relations on Community Development, Citizen Involvement and Satisfaction

The University of Alabama, Tuscaloosa, Alabama
Master of Arts in Communication, 1996
Field of Study: Advertising & Public Relations
Area of Concentration: Integrated Marketing Communications

The University of Alabama, Tuscaloosa, Alabama
Bachelor of Arts in Communication, 1991
Major: Journalism (Editorial Sequence) Minor: English

PROFESSIONAL EXPERIENCE

University of Tennessee System, Knoxville, TN 2013-present
Vice President for Communications and Marketing
Responsibilities include:
- Providing executive-level oversight and strategic leadership for the planning of System-based communications activities, including crisis communications and issues management, along with directing research-based messaging, marketing, and branding efforts
- Providing leadership and supervisory oversight for the System marketing and communications office and staff, which includes external PR and media relations, internal communications, marketing and creative services, video/photo services, social media, System Website development and maintenance, and UT’s statewide alumni magazine
- Serving as chief communications advisor to the president and developing major presidential speeches, talking points, institutional reports and other executive communications for internal and external use
- Serving as a liaison between the UT System Office and communication and marketing leaders at each of the UT campuses and institutes and working collaboratively with each to promote System messaging while respecting the unique messages of each individual campus and institute
- Working collaboratively with the President’s staff, the Vice President of Government Relations and Advocacy and the Vice President for Development and Alumni Affairs/CEO of the UT Foundation, on the development and management of strategies to inform and influence public opinion
- Advocating for University System and campus/institute interests and building relations with other organizations and entities whose interests are similar or whose functions affect the University
- Developing and maintaining strong relations with media executives and other opinion leaders
- Overseeing promotional activity, media contact, marketing, public relations and related activity for the System President’s Office, the Board of Trustees and General Counsel’s office, as well as providing communications support for other system vice presidents and their offices
- Advancing and communicating the goals and progress of the UT System Strategic Plan with both internal and external constituents.
State University of New York at Stony Brook, Stony Brook, NY 2010-2013

Chief Deputy to the President

Responsibilities included:

- Assisting the President with strategic planning, including outlining and communicating presidential and institutional priorities
- Serving as the President’s Chief of Staff and providing direct supervisory oversight for five other administrative/service areas, including: the Office of Conferences and Special Events, the Office of Diversity and Affirmative Action/Title IX, the Employee Assistance Program (EAP), the Ombuds Office and the Office of Organizational Wellness and Healthier U Initiatives
- Serving as a member of the University Council (President’s Cabinet) and working with the Provost, Vice Presidents and Deans to develop and implement strategic and operational initiatives and other high level projects for the University
- Developing, implementing and evaluating operational plans and programs consistent with the goals of the President and helping translate vision and business objectives into operational and organizational strategy and results
- Managing the President’s Office budget and serving as the authorized signatory on a variety of State and Foundation accounts (Research Foundation & Stony Brook Foundation) on behalf of the office; Also providing executive budgetary oversight of five other institutional units that reported directly to the President’s Office
- Developing major presidential speeches, statements, talking points and institutional reports for internal and external use
- Developing and driving a communication strategy that supports the University and includes interaction with the University Council, faculty and staff in order to seek information and communicate about processes and decisions which impact the University planning process
- Conducting research on special projects and implementation of programs initiated by the President
- Developing and deploying relevant and effective project reporting and business metrics and monitoring and evaluating progress toward the goals and objectives of the President
- Preparing policy and decision support analysis to inform and contextualize institutional decision making
- Assessing and analyzing new opportunities for alignment with the institutional mission and presidential priorities
- Acting as designee in the absence of the President, representing the President and his views as necessary with key internal and/or external stakeholders and managing high-level relationships with internal and external constituencies
- Providing day-to-day assistance and advice to the President, including resolution or direction on key decisions and insight and objectivity into key issues facing the University
- Providing executive-level approval of foreign travel for faculty traveling to international locations to engage in research activity.
- Independently carrying out major responsibilities under the President's purview, such as monitoring and evaluating unit activities, serving as the chair of a number of key institutional committees, and communicating directly with senior campus or university management

Middle Tennessee State University, Murfreesboro, TN 2008-2010

Associate Vice President for Marketing and Communications

Responsibilities included:

- Leading the effective integration of MTSU's marketing, public relations, publications, media relations and web communications activities to ensure that institutional messages are consistent with the University's overall mission and goals
- Developing and managing the university’s official internal and external communications
- Promoting the University through coordinated public relations, media relations, and marketing strategies
• Establishing and maintaining positive working relationships with media contacts and internal constituents on matters related to promoting the University and its programs and services
• Supervising 35 staff members and overseeing the offices of News and Public Affairs, Publications and Graphics, Printing Services, Photographic Services, and University Marketing and Communications and providing guidance in the overall objectives and priorities for these departments
• Serving as chief communications advisor to the University President; Developing speeches, talking points, presentations, newspaper columns, and other executive communications for the President
• Assisting the Vice President for Development and University Relations on special projects and representing him at internal and external functions in his absence
• Serving as a member of the President’s Cabinet and the University Leadership Council, with the responsibility of acting as the University’s chief officer on matters related to marketing and communications
• Collaborating with the President and other campus leaders in developing and implementing campus plans to enhance overall operations and the institution’s ongoing success and effectiveness.

Mississippi Valley State University, Itta Bena, Mississippi 2001-2008

Executive Assistant to the President/Associate Vice President for University Relations (2007-08)

Responsibilities included:
• Coordinating the activities of the University’s Executive Staff (cabinet), supervising the President’s Office staff and the Title III Office staff, and maintaining efficient operation of the President's Office, including the management of multiple budgets, executive appointments, and special projects
• Supervising the staff and providing direct executive oversight of the MVSU Office of University Relations, the Office of Public Relations, the Office of Development, the Alumni Relations Office, and the Office of Public Broadcast (including the campus radio and television stations)
• Coordinating the development of the University’s federal legislative agenda and overseeing and coordinating all activities related to interaction with federal government officials to ensure that the Institution’s interests were maximized and safeguarded
• Working with the President and other key administrators in the strategic planning efforts of the University and spearheading other presidential and operational initiatives as assigned
• Drafting speeches, talking points and other executive communications for the University President
• Providing high-level advice and counsel to the President as a member of the University’s Executive Staff (cabinet)
• Representing the President and the University to the internal and external community in the absence of the president
• Assisting in the resolution of issues submitted by students, faculty, staff, and other individuals that are reported to the President’s Office for review

Chief of Staff/Executive Assistant to the President (2002-2007)

Responsibilities included:
• Coordinating the activities of the University’s Executive Staff, supervising the President’s immediate office staff, and maintaining efficient operation of the President's Office, including the management of multiple budgets, executive appointments, and special projects
• Annually developing the University’s federal legislative priorities and overseeing and coordinating all activities related to interaction with federal officials to ensure that the Institution’s interests were maximized and safeguarded
• Providing direct supervision over the MVSU Office of Public Relations and its staff, which is responsible for developing university communication strategies as well as establishing and maintaining relationships with internal and external university stakeholders
• Working with the President and other key administrators in the strategic planning efforts of the University and spearheading other presidential and operational initiatives as assigned
• Drafting speeches, talking points and other executive communications for the University President
• Providing advice and counsel to the President as a member of the University’s Executive Staff (Cabinet)
• Representing the President and the University to the internal and external community in the absence of the president
• Assisting in the resolution of issues submitted by students, faculty, staff, and other individuals that are reported to the President’s Office for executive review

**Director of Public Relations (2001-2002)**

Responsibilities included:

• Providing leadership for creating a positive image of the University; taking the lead in the marketing of the University to a variety of constituents, including potential students, donors, government agencies, and the general public
• Developing and disseminating press materials, including press releases, public service announcements, and media advisories
• Coordinating the development and production of all official University publications, including brochures, catalogs, flyers, invitations, newsletters, etc.
• Managing the Public Relations staff and overseeing the operations of the University Relations office and staff in the absence of the unit’s Vice President
• Managing the Public Relations budget and submitting an annual report detailing the unit’s goals and its budgetary and personnel needs
• Initiating and maintaining positive and productive relationships with key local, state, and national media outlets
• Drafting speeches and talking points for University officials for media and public presentation
• Responding to media requests generated by State Institutions of Higher Leaning (IHL), the governing body for Mississippi’s state-supported universities
• Working closely with the President, Vice President of University Relations and other members of the University’s Executive Staff in drafting and editing letters and other official communications on behalf of the University

**Jesse Duplantis Ministries, Destrehan, Louisiana 1998-1999**

**Graphic Artist/Copy Editor**

Responsibilities included:

• Assisting in the layout and design of magazine pages and advertisements for *Voice of the Covenant* magazine, a full-color, monthly magazine with a circulation of more than 325,000
• Responsible for the development and design of graphic materials such as audio and video box covers, advertisement inserts, flyers, logos, etc.
• Serving as the primary copy editor of *Voice of the Covenant* magazine and other organizational publications
• Consulting with the Art Department supervisor and ministry directors regarding the design of the magazine and the marketing needs of the organization
The Royal Pen, Destrehan, Louisiana 1996-2001

**Communication Consultant/Freelance Writer**

*Responsibilities include:*

- Serving as a public relations consultant and providing freelance writing and ghostwriting services to ministries, non-profit organizations, small businesses and individuals
- Developing press materials for clients, including press releases, public service announcements, bios, media packets, etc.
- Designing and producing brochures, newsletters, book covers, advertisements, etc., for public distribution
- Editing manuscripts, reports, and other client-developed materials for public distribution
- Transcribing audio and video presentations for use by clients in publication development

The University of Alabama, Tuscaloosa, Alabama 1993-1996

**Communication Specialist**

*Responsibilities included:*

- Developing and implementing public relations plans and strategies for the following University divisions and departments: Music, Art, English, Philosophy, Religious Studies, Theatre and Dance, Women’s Studies, the Women’s Center, Romance Languages, German and Russian, *Alabama Heritage Magazine*, and University Libraries
- Developing and marketing story ideas to news media; writing news releases, public service announcements and feature stories; coordinating press conferences; and promoting faculty and staff as news media sources
- Initiating and maintaining productive relationships with local, state and national media
- Serving as a consultant to faculty and administrators on departmental publications and public relations issues
- Serving on numerous University committees

The Decatur Daily, Decatur, Alabama 1991-1992

**News Reporter (Higher Education Reporter)**

*Responsibilities included:*

- Covering local, state and national post-secondary education issues as well as general news. (Area campuses covered included: Calhoun Community College, Athens State University, The University of Alabama in Huntsville, Alabama A&M University and Oakwood College. Also provided regular beat coverage for the towns of Moulton, Courtland and North Courtland.)
- Writing hard news and feature stories, including a series of stories for an annual news special
- Preparing a weekly story budget and meeting multiple daily news deadlines

UA College of Communication, Tuscaloosa, Alabama Summer 1988-Summer 1991

**Lab Instructor/Asst. Director, The University of Alabama Minority Journalism Workshop**

*Responsibilities included:*

- Providing tag-team lab instruction in basic journalism skills for high school students attending the University of Alabama summer journalism workshops. Topics covered: news and feature writing, locating sources for stories, and reporting and interviewing techniques
- Providing students with appropriate story assignments and assisting them with story edits
- Serving as a consultant on the layout and design of *The First Edition*, the student-written tabloid produced at the end of the summer program
PROFESSIONAL AND ACADEMIC DEVELOPMENT

Harvard Institute for Educational Management (IEM)
Harvard Graduate School of Education
Harvard University, Cambridge, Massachusetts (Class of 2008)

Jake Ayers Institute for Research in Urban Higher Education
Jake Ayers Fellow
Jackson State University, Jackson, Mississippi (2004-2006)

CASE Summer Institute in Communications
University of Notre Dame
Notre Dame, Indiana (Class of 1993)

LEADERSHIP DEVELOPMENT

The University of Tennessee Leadership Institute
Gatlinburg, TN (Class of 2015)

SUNY Academic Leadership Program
The State University of New York (SUNY)
Albany, NY (Summer 2012 Class)

Passing the Torch: Executive Leadership Summit
Hampton University
Hampton, VA (2004)

Greenwood-Leflore Leadership Tomorrow
Vice President
Greenwood, MS (Class of 2003)

TEACHING EXPERIENCE/FACULTY APPOINTMENTS

Stony Brook University, Stony Brook, NY
Faculty appointment in the School of Professional Development Graduate Program in Higher Education
- Leadership in Higher Education (CEK 503)

Middle Tennessee State University, Murfreesboro, TN
Faculty appointment in the College of Mass Communication
- Public Relations Communication (PR3360)

Mississippi Valley State University, Itta Bena, MS
- Principles of Public Relations (MC/PR430)
- Advanced Public Relations (MC/PR 431)

Herzing University, New Orleans, LA
- Introduction to Speech Communication (SP101)

Choctaw County High School, Butler, AL
- English Composition (Ninth grade)

University of Alabama Summer Minority Journalism Workshop, Tuscaloosa, AL
- News and Feature Writing
- Reporting and Interviewing Techniques
ACCREDITATION/SELF-STUDY EXPERIENCE

- Associate Chairperson, SBU Middle States Self Study Planning Committee and a member of the SBU Middle States Self Study Steering Committee; Co-chair of the Self Study Working Group on Mission and Goals (2012-2013)
- Appointed SBU NCAA Division I Athletics Certification Self-Study Steering Committee Chair (Self Study process postponed by the NCAA in 2011)
- MVSU QEP Screening Committee (2007-2008)
- MVSU Self-Study (Southern Association of Colleges and Schools) Chair of the Editorial Committee and member of the Steering Committee (2001-2003)
- Also involved in reviewing self-study documents at MVSU in preparation for accreditation or reaffirmation of accreditation by the following accrediting bodies: National Council for Accreditation of Teacher Education (NCATE); National Association of Schools of Art and Design (NASAD); Accreditation for Business Schools and Programs (ACBSP); the Council on Social Work Education (CSWE); and the Accreditation Board for Engineering and Technology (ABET).

OTHER AREAS OF PROFESSIONAL EXPERTISE

- Freelance Writing and Ghostwriting
  *Specializing in the following topics:*
    - Higher Education/Administration/Administrative Processes
    - Communication and Marketing
    - Religion/Spirituality
    - General Business Issues
    - General Interest/Lifestyle
- News Writing and Development of Op-ed Copy
- Speechwriting
- Proofreading & Copy Editing
- Transcription
- Graphic Design

BOARDS/MEMBERSHIPS/PROFESSIONAL AFFILIATIONS

- West High School Foundation Board of Directors (Present)
- Executive Board of the Great Smoky Mountain Council of the Boy Scouts of America (Present)
- Commissioner, CASE Commission for Communications and Marketing (Term: July 2014-June 2017)
- Member of the Historic Tennessee Theatre Board of Directors (2014-Present)
- Suffolk County Child Care Council Board of Directors (2012-2013)
- SBU Presidential Liaison to the Stony Brook Alumni Association Board of Directors (2011-2013)
- American Association of University Women, national member (2011-present)
- Editorial Freelancers Association, member (2009-2013)
- MTSU Association of Faculty & Administrative Women, member (2008)
- Phi Kappa Phi, member (2006-present)
- Greenwood-Leflore County Chamber of Commerce, member (2002-2008)
- Young Life, Delta Urban Chapter, Committee Member (2004-2007)
• HOB Child Development Center, Board Member/PTO President (2003-2006)
• Greenwood-Leflore County Chamber Choices Committee, Chair (2003)
• University of Alabama Library Leadership Board, Charter member (1999-Present)
• Delta Sigma Theta Sorority, Inc.

COMMITTEE ASSIGNMENTS/UNIVERSITY & PROFESSIONAL SERVICE
• Search Committee Chair, University of Tennessee Executive Assistant to the President Search (Present)
• Search Committee Chair, University of Tennessee System Chief Financial Officer Search (Present)
• Faculty for the CASE Institute for Senior Communications and Marketing Professionals (2016, Scottsdale, AZ)
• UT Women in Leadership Conference Advisory Board (2016)
• University of Tennessee at Chattanooga Vice Chancellor for Communications and Marketing Search Committee (2015)
• CASE/Simpson Scarborough Scholars Review Panel (2014-2016)
• University of Tennessee President’s Budget Advisory Group (2014-present)
• University of Tennessee Vice President for Development and Alumni Affairs/President & CEO of the UT Foundation Search Committee (2014)
• UT Eugenia Williams Property Ad hoc Review Committee (2014)
• University of Tennessee Statewide IT Committee member/Chair, UT Communications and Marketing Community of Practice (2013-15)
• System Communication Liaison, UT Diversity Advisory Council, (2013-16)
• Oak Ridge National Lab (ORNL) VOIP Project Review Committee (2013)
• Co-staff the UT Board of Trustees Advancement and Public Affairs Committee (2013-present)
• Dean of the SBU Graduate School Search Committee (2013)
• SBU Chief Information Officer Search Committee (2013)
• SBU Vice President for Strategic Initiatives Search Committee (2012)
• SBU Director of Institutional Research and Analytical Studies Search Committee (2012)
• SBU Shared Services Campus Liaison to the Central Administration of the State University of New York (2012-2013)
• Administrative Liaison to the SBU University Senate Administrative Review Committee (2012-2013)
• SBU Presidential Commencement Committee, Coordinator (2012-2013)
• Sr. Project Liaison, SBU Title IX Assessment and Executive Training Project (2012-2013)
• Stony Brook University/American Association of University Women (AAUW) Elect Her Campus Women Win Planning Committee (2011-2013)
• SBU Vice President for Finance/Chief Budget Officer Search Committee (2012)
• SBU Vice President for Research Search Committee (2011-12)
• SBU Provost/Senior Vice President for Academic Affairs/Vice President for Brookhaven National Lab Search Committee (2011)
• SBU Media Manager Search Committee (2010-11)
• SBU Vice President for Advancement Search Committee (2010)
• SBU Intercollegiate Athletics Board (2010-2013)
• SBU Athletics Core Compliance Sub-committee, Chair (2010-2013)
• Secretary and University Coordinator for the Stony Brook Council (2010-2013)
• Member of the Stony Brook University President’s University Council (2010-2013)
• SBU Strategic Plan Executive Committee (2010-2013)
• Stony Brook Healthier U. Advisory Committee (2010-2013)
• SBU Presidential Liaison to the Employee Assistance Program (EAP) Labor Management Advisory Committee (2010-2013)
SELECT PRESENTATIONS

PROFESSIONAL/ACADEMIC/INSTITUTIONAL PRESENTATIONS:

- Guest Lecturer, Seniors for Creative Learning, UT Professional and Personal Development Program, September 2016
- Featured Speaker, “A Pinch of the Old, A Dash of the New: A Fresh Recipe for Interpersonal Communication”, University of Tennessee Women’s Club, Knoxville TN, March 2016
- Plenary Speaker, “Social Media vs. Social Skills: Two Different Conversations”, 29th Annual Counseling and Treating People of Colour Conference, Mesa, AZ, November 2015
- Keynote Speaker, Administrative Professionals Day Luncheon, University of Tennessee Health Science Center, Memphis, TN, April 2015
- Guest Lecturer, University of Tennessee Multicultural Mentoring Program, October 2014
- Panelist, “Media Stereotypes and Women”, University of Tennessee College of Communication and Information Fifth Annual Diversity and Inclusion Week, September 2014
- Keynote Speaker, “Navigating the Terrain: Expected Outcomes and Rewards”, Jackson State University Executive Ph.D. Cohort XI Orientation Luncheon, Jackson, MS, July 2014
- Keynote Speaker, “Personal Branding and Leadership”, Multicultural Student Life Leadership Retreat, The University of Tennessee Knoxville, April 2014
- Keynote Speaker, Jarvis Christian College Annual Honors Convocation, Hawkins, TX, April 2013
- Guest Speaker, “Dealing with Difficult People”, Black Faculty & Staff Association, The State University of New York at Stony Brook, March 2013
- Keynote speaker, School of Social Welfare Annual Convocation, The State University of New York at Stony Brook, May 2012
- Conference Presenter, “From Many Hats to a Suit of Clothes: Learning to Wear the Role of a Presidential Assistant”, The National Association of Presidential Assistants in Higher Education (NAPAHE), Los Angeles, CA, March 2012
- Panelist, “The Power of Giving”, Stony Brook University Office of Student Affairs Student/Faculty/Staff Retreat, Port Jefferson, NY, February 2012
- Keynote Speaker, Stony Brook University Multicultural Women’s Alliance Welcome Dinner, October 2011
- Guest Lecturer, Survey of Higher Education Administration Seminar, The State University of New York at Stony Brook, June 2011, September 2012
- “Positioning the University for the Future”, Presentation to new members of the MTSU Foundation Board of Trustees, November 2009
- Panelist, “So You Want to Become A President or Senior Administrator”, National Conference on Race & Ethnicity in Higher Education (NCORE), San Diego, CA, May 2009
- Moderator, University of Alabama Multicultural Journalism Workshop Panel Discussion, Tuscaloosa, AL, July 2008
• Keynote Speaker, MVSU Sponsored Programs Awards Luncheon, Itta Bena, MS, October 2007
• Retreat Presentation, “Worth More than Gold: Examining the Value of an Executive Assistant,” MVSU Executive Staff/Leadership Fellows Retreat, Olive Branch, MS, June 2006
• Presented MVSU FY 2004-05 Budget requests to the Mississippi Legislative Budget Committee, Jackson, MS, September 2003
• Keynote Speaker, UA Minority Journalism Workshop 20th Anniversary Program, University of Alabama, Tuscaloosa, AL, July 2003
• “Dealing With the Media: Tips for Coaches & Athletics Personnel,” MVSU, July 2001
• Guest Lecturer, “Opportunities for College Students in Public Relations,” Senior Seminar, MVSU, September 2001
• “Integrated Marketing Communications Plan for Jack’s Family Restaurant,” Summer 1996
• “Integrated Marketing Communications Proposal for Apple Computers, Inc.,” December 1993
• Luncheon Speaker, “A Newcomer’s Response to the Professional World of Communication,” Minorities in Communication at the Capstone Awards Luncheon, Tuscaloosa, AL, April 1993

COMMUNITY PRESENTATIONS:
• Emcee and Keynote Speaker, Rogersville Best of the Best Community Awards Ceremony, Rogersville, TN, July 2016
• Mistress of Ceremony, 10th Anniversary Gala of the Jackson State University Executive Ph.D. Program, Jackson, MS, December 2014
• Keynote Speaker, Sister-to-Sister Community Luncheon, Brentwood, NY, May 2013
• Keynote Speaker, 57th Annual Founder’s Day Luncheon for the National Council of Negro Women, Inc., Suffolk Section, Hauppauge, NY, October 2012
• Guest Lecturer, “A Faith Foundation for Professional Leadership”, The Academy of Religion and Leadership, Medford, NY, June 2012
• MLK Banquet Keynote Speaker, “Reflect and Rejoice”, Lisman, AL, January 2010
• Keynote Speaker, United Baptist Church Women’s Conference, Cleveland, MS, October 2007
• Baccalaureate Speaker, St. Peter’s Rock Missionary Baptist Church, Cleveland, MS, May 2007
• Keynote Speaker, Central Mississippi, Inc., Head Start/Early Head Start Program Pre-Service Training Luncheon, Greenwood-Leflore Civic Center, September 2006
• Keynote Speaker, The Greenwood Business & Professional Women’s Club, Annual Women of Achievement Banquet, October 2004
• Keynote Speaker, Central Mississippi, Inc., Community Action Agencies Month Banquet, Greenwood-Leflore Civic Center, May 2004
• Keynote Speaker, Delta Workforce Investment Area Summer SELECT Close-Out Program, Greenwood, MS, July 2003

AWARDS AND HONORS

• Recognized by the America East Conference as one of nine member institution honorees for Black History Month (2012)
• Suffolk County Dr. Martin Luther King, Jr., Commission Public Service Award (2012)
• Distinguished Public Relations Alumna, University of Alabama College of Communication and Information Science (2011)
• Tennessee College Public Relations Association (TCPRA) Marketing and Communications Gold Award—MTSU Website redesign/Virtual Tour (2010)
• University of Alabama Multicultural Journalism Program Founders’ Award (2008)
• Inducted into Phi Kappa Phi National Honor Society (2006)
• Jake Ayers Fellow, JSU, Jake Ayers Institute for Research in Urban Higher Education (2004-06)
• Outstanding Community Service Award, presented by Central Mississippi, Inc. (2004)
• Vice President, Greenwood-Leflore County Leadership Tomorrow Program (2003)
• Inducted into Kappa Tau Alpha, Journalism and Mass Communication Honor Society (1996)
• Inducted into Alpha Epsilon Lambda, Graduate/Professional Honor Society (1996)
• Inez Kaiser Graduate Student Award in Public Relations (1993)
• Alabama Press Association News Writing Award (1992)
• Outstanding Service in Journalism Award, University of Alabama (1991)
• New York Times Journalism Scholarship (1987)
• Outstanding Journalist Award, University of Alabama-M JW (1987)
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: October 14, 2016
COMMITTEE: Executive and Compensation
ITEM: President’s Recommendation of Senior Vice President Designation for Current Vice President for Research, Outreach, and Economic Development
RECOMMENDATION: Approval
PRESENTED BY: Joseph A. DiPietro, President

President DiPietro recommends that Dr. David Millhorn’s title be changed to Senior Vice President for Research, Outreach, and Economic Development. The designation as Senior Vice President is in recognition of the outstanding advancements Dr. Millhorn has made in growing the University’s research programs and strengthening collaborations between Oak Ridge National Laboratory and the University. No change in Dr. Millhorn’s compensation is recommended as a result of this title change.

Committee Recommendation
At its meeting on October 14, 2016, the Executive and Compensation Committee recommended adoption of the following Resolution by the Board of Trustees:

RESOLVED: The President’s recommendation that Dr. David Millhorn’s title be changed to Senior Vice President for Research, Outreach, and Economic Development is approved.
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: October 14, 2016

COMMITTEE: Executive and Compensation

ITEM: President’s Recommendation for Appointment and Compensation of the UT Martin Chancellor

RECOMMENDATION: Approval

PRESENTED BY: Joseph A. DiPietro, President

Following a national search, President DiPietro recommends the appointment of Dr. Keith Carver as Chancellor of The University of Tennessee at Martin, effective January 3, 2017, with the following compensation: an annual base salary of $300,000; a non-accountable expense allowance of $416.67 per month; a housing allowance of $1,666.67 per month; and a moving allowance of $10,000. Dr. Carver would be eligible to participate in a Board-approved performance incentive compensation plan beginning July 1, 2017. A copy of Dr. Carver’s resumé follows.

The appointment as Chancellor is without tenure, without a definite term, and at the will of the President.

Committee Recommendation
At its meeting on October 14, 2016, the Executive and Compensation Committee recommended adoption of the following Resolution by the Board of Trustees:

RESOLVED: The President’s recommendation for appointment and compensation of Dr. Keith Carver as Chancellor of The University of Tennessee at Martin is approved.
KEITH S. CARVER, JR., Ph.D.

PROFESSIONAL SUMMARY
A seasoned leader with more than 20 years of professional experience in higher education including high-level strategic planning, broad management skills, fundraising and the ability to build successful relationships among diverse constituencies.

PROFESSIONAL EXPERIENCE
EXECUTIVE ASSISTANT TO THE PRESIDENT
The University of Tennessee System
January 2011 – Present
- Coordinates and institutionalizes functions of the University of Tennessee’s Strategic Plan
- Serves as a liaison with all levels of senior-level administration across the University of Tennessee system, including four university campuses and two state-wide institutes
- Maintains a standard of excellence for all activities generating from the Office of the President, including the oversight of task forces and annual performance evaluation activities
- Serves as the University of Tennessee Liaison for the Governor’s Tennessee FOCUS Act Implementation team
- Provides a leadership role in executive offices that need supervision during vacancies (Vice President of Marketing and Communication; provided necessary support to University of Tennessee Foundation during a leadership transition)
- Provides confidential counsel and executive-level strategy support to the President on a wide range of complex issues
- Serves as the University of Tennessee Liaison for the Complete Tennessee Leadership Academy, which focuses on post-secondary access, student success and completion
- Represents the President at meetings, events, activities and to constituent groups as required
- Adjunct teaching position focused on doctoral programs

VICE CHANCELLOR FOR DEVELOPMENT AND ALUMNI AFFAIRS (INTERIM)
The University of Tennessee Health Science Center
April 2010 – December 2010
- Responsible for the leadership, planning, coordination and management of development and alumni programs for the Health Science Center in the context of a system-wide, $1 billion campaign
- Coordinated fundraising efforts with alumni, corporations, foundations, hospitals and other external constituencies to reach a campaign goal of $130 million
- Responsible for the oversight of an alumni and fundraising operation of 21 people that raised $23,275,062 for CY 2010 (as of 11/30/10). This represented an 82% increase over the same period in CY 2009
- Recruited, motivated and coordinated a strong development and alumni relations staff

ASSISTANT VICE CHANCELLOR FOR DEVELOPMENT
The University of Tennessee at Martin
March 2006 – March 2010
- Responsible for planning and implementing an aggressive fundraising program and providing strategic direction that surpassed a $40 million campaign goal
- Directed a team that saw annual donations grow from $2.39 million in 2008 to $3.97 million in 2009.
• Charged with the identification, cultivation and solicitation of an extensive portfolio of major gift prospects
• Collaborated with state and local officials, private foundations, business leaders and private citizens to build the UT Martin Parsons Center facility in Decatur County, TN

DIRECTOR OF DEVELOPMENT AND ALUMNI AFFAIRS, COLLEGE OF LAW
The University of Tennessee, Knoxville
April 2001 – February 2006
• Responsible for collaborating with the Dean and the faculty to identify, cultivate and solicit prospective donors for the College of Law
• Maintained an active leadership donor portfolio of 150 prospects
• Developed a comprehensive campaign plan for the College of Law, including an individualized cultivation, solicitation and stewardship plan for the college’s top donor prospects
• Oversaw the Office of the Director of Public Affairs for the College of Law

ASSISTANT DIRECTOR OF DEVELOPMENT AND ALUMNI AFFAIRS, COLLEGE OF LAW
The University of Tennessee, Knoxville
July 1998 – March 2001
• Orchestrated the college’s annual giving campaign
• Planned and facilitated the bi-annual Alumni Advisory Council
• Maintained a major gift portfolio of 100 prospects

PROGRAM ADVISOR, OFFICE OF STUDENT ACTIVITIES
The University of Tennessee, Knoxville
August 1997 – August 1998
• Charged with providing cultural, social and educational activities for a campus of over 25,000 students
• Managed and facilitated the University’s Undergraduate Leadership Program (Leadership Quest)

DIRECTOR OF SPECIAL PROJECTS AND COORDINATOR OF EXPERIENTIAL EDUCATION
Marietta College, Marietta, Ohio
July 1995 - July 1997
• Charged with the development of service-learning courses
• Directed extensive community partnership program

CO-DIRECTOR, TeamVOLS
Dean of Students Office
The University of Tennessee, Knoxville
July 1993 – July 1995
• Led student and faculty teams of volunteers in relief efforts in Miami and Homestead, FL after Hurricane Andrew, in East Hardin, IL after the great flood of the Midwest and in Boston, MA working with inner-city youth
• Established central coordinating system for volunteer opportunities at UT Knoxville
EDUCATION
Ph.D., Educational Leadership & Policy Studies (2009)
The University of Tennessee, Knoxville
Dissertation Topic: “A Study of Presidential Derailment in Public Research Universities”

M.S., College Student Personnel & Educational Leadership (1995)
The University of Tennessee, Knoxville

B.A., Sociology (1992)
Memphis State University, Memphis, TN

LEADERSHIP DEVELOPMENT
- Leadership Knoxville (2016)
- WestStar Leadership Program (2009)
- Leadership Weakley County (2008)
- The University of Tennessee Leadership Institute (2005)
- The University of Illinois LeaderShape (1997)

TEACHING
The University of Tennessee, Knoxville
Assistant Adjunct Professor
Administration and Governance in Higher Education (HE 619); PhD. program
2011 – Present

The University of Tennessee Leadership Institute
Group facilitator
2016-2017

PUBLICATIONS

INVITED PRESENTATIONS
- Delivered keynote addresses at the University of Tennessee’s Leadership Institute in 2013 (Lessons in Leadership) and 2015 (Servant Leadership); Gatlinburg, TN
- Presented the keynote speech at University of Tennessee Health Science Center’s Human Resources conference for Managers and Supervisors in July 2015 (Leaders as Coaches); Memphis, TN
- Presented address for the University of Tennessee Conference for Women in Leadership in June 2015 (Leaders as Coaches); Knoxville, TN
- Delivered the keynote address at the Tennessee Advancement Resources Council (TARC) annual conference in 2012 (Life Lessons in Leadership); Nashville, TN
- Presented address at the Council for the Advancement and Support of Education (CASE) conference in 2011 (Staffing Your President for Advancement); Atlanta, GA
• Delivered address for the Food Systems Leadership Institute (FSLI) in 2012 and 2013 (Presidential Derailment); Ohio State University, Columbus, OH

WORKSHOPS
• Developed workshop curriculum and facilitated a two day Executive Team retreat for the cabinet and deans at the University of Tennessee at Chattanooga (July 2015)
• Facilitated team-building activities for the UT System-wide Human Resources team for their 2013 and 2014 annual retreats
• Served as a faculty member at the LeaderShape Institute at the University of Illinois (1997) and Pennsylvania State University (1999).

COMMUNITY INVOLVEMENT
• Tennessee Chamber of Commerce and Industry; Statewide Board of Directors; 2014- present
• Tennessee Fury Basketball; Philanthropy committee; 2016- present
• West High School; Major Gifts committee; 2016- present
• University of Tennessee College of Law Institute for Leadership Development Advisory Board; 2015 - present
• Sequoyah Elementary Foundation; Major Gifts Chair; 2011-2014
DATE: October 14, 2016

COMMITTEE: Executive and Compensation

ITEM: President's Recommendation for Appointment and Compensation of the Chief Financial Officer

RECOMMENDATION: Approval

PRESENTED BY: Joseph A. DiPietro, President

Following a national search, President DiPietro recommends the appointment of David L. Miller as Chief Financial Officer, effective January 1, 2017, with the following compensation: an annual base salary of $310,000; a non-accountable expense allowance of $416.67 per month; and a moving allowance of $15,000. Mr. Miller would be eligible to participate in a Board-approved performance incentive compensation plan beginning July 1, 2017.

Mr. Miller is currently the Vice President for Administration and Fiscal Affairs for the University of Wisconsin System. He has served in progressively responsible financial and administrative positions with the UW System since 1999. A copy of Mr. Miller’s resumé follows.

The appointment as Chief Financial Officer is without tenure, without a definite term, and at the will of the President.

Committee Recommendation
At its meeting on October 14, 2016, the Executive and Compensation Committee recommended adoption of the following Resolution by the Board of Trustees:

RESOLVED: The President's recommendation for appointment and compensation of David L. Miller as Chief Financial Officer is approved.
DAVID L. MILLER

PROFESSIONAL SUMMARY
An executive with over 25 years of experience in higher education, government, teaching, and leading the administrative and finance operations for Wisconsin’s 13 public universities, 13 two-year colleges, and statewide extension. Strong management skills in all aspects of administration and finance in multifaceted, complex institutions. Successful experience in leading a wide variety of university operations and reforms.

CAREER EXPERIENCE
University of Wisconsin System Administration, Madison, WI (1997 – Present)
Vice President for Administration and Fiscal Affairs (September 2015-present)
• Continuation of my duties as the UW System’s Chief Administrative Officer following a System-level reorganization that both eliminated all senior vice president titles and created a new position of interim chief financial officer.

Senior Vice President for Administration and Fiscal Affairs (2013-2015)
• Responsible for the overall administration of the UW System’s $6.2 billion operations.

Chief Administrative Officer and Chief Financial Officer
• Budget and Planning
• Financial Administration
• Trust Funds
• Capital Planning
• Human Resources
• Procurement and Risk Management
• Learning and Information Technology
• Payroll and Benefits Service Center
• General Counsel (Administratively)
• Internal Audit (Administratively)

Major Responsibilities
• Develop the system-wide biennial budget requests for the Board of Regents and Legislature.
• Develop and implement comprehensive annual operating budgets for each UW System institution and system-wide operations.
• Oversee all financial operations including annual financial reporting, administration of the system-wide shared financial system, procurement, managed travel, and audit compliance.
• Develop and implement appropriate business intelligence systems for setting budget and financial goals, monitoring key financial indicators, and projecting revenue and costs.
• Lead a team of 15 direct reports and over 200 staff by building strong cohesion through close collaboration among team members through staff development.
• Support transformative information technology initiatives including classroom instruction and financial and capital management systems.
• Support strong financial integrity of cash management and revenue production through university trust funds.
• Develop long range (six year) capital plans based upon academic goals.
Key Achievements

Implemented critical financial reforms:
- Added new information to the UW System Annual Financial Report to more accurately detail year-end cash balances.
- Designed and implemented a comprehensive accounting system of year-end fund balances and obtained approval from the Board of Regents and Legislature of governing policies.
- Instituted a new quarterly financial management report for the Board of Regents.
- Worked with the UW System president, cabinet, chancellors, and regents to assess the highest priorities and negotiated with the Governor’s staff to build the budget.
- Implemented a new annual budget model which integrated year-end carry forward funds into the revenue and expense budget for the first time.

Implemented administrative reforms and reorganization to increase effectiveness:
- Reformed the office of internal audit, created the position of chief audit executive and implemented a new audit structure throughout the UW System.
- Reorganized functions within fiscal affairs to properly align budget and finance operations.
- Instituted reforms in the payroll and benefit operations that eliminated an ongoing material weakness in internal controls and moved the 100-staff unit from UW-Madison to UW System Administration under my direct supervision.
- Restructured the UW System’s statewide network partnership to comply with legislative regulations to avoid private sector competition.
- Hired new staff in critical positions to build a highly productive and efficient team and increased diversity.
- Reduced staff in certain areas by outsourcing, eliminating, or combining functions.
- Developed trusting relationships with internal and external stakeholders.

Associate Vice President for Capital Planning and Budget (2008-2013)
Assistant Vice President for Capital Planning and Budget (2003-2007)
- Managed all UW System facilities planning and development including the biennial capital budget typically exceeding $750,000,000 in construction and maintenance.
- Directed real estate planning and management of more than 18,000 acres and the planning and maintenance of 58 million square feet of space at 26 UW campuses.
- Overhauled the UW System planning process to align budgeting with available resources.
- Improved System-wide space utilization and management guidelines to generate savings.
- Achieved 10 years of increased state funding in capital budgets through long-range planning.
- Developed a new financial policy and procedure allowing UW foundations to leverage gift pledges through private lending to meet project schedules.
- Developed creative financing programs such as a capital bonding revolving fund and performance contracting to implement energy saving projects.
• Negotiated 10 public-private ventures for the construction of new UW facilities: examples include complex projects integrating multiple condominium partners, design/build and lease/purchase arrangements, and privately funded and constructed projects.

**Assistant Vice President for University Relations** (1999-2003)

**Special Assistant for State Relations** (1997-1998)

• Managed interaction between the UW System and the branches of state government.
• Led a team of legislative liaisons from the 13 UW System universities, extension, and colleges.
• Advised the president, 14 chancellors, and Board of Regents on legislative policies and strategies.
• Assisted in biennial budget planning and shepherded the budget through the legislative process.

*Wisconsin State Legislature, Madison, WI 1992-1997*

**Policy Analyst / Legislative Aide**

• Drafted and managed a wide range of major policy initiatives, in both houses of the legislature. Served on panels, testified before committees, and worked with state agency personnel, the media and the public on behalf of multiple legislators.

*Congressional Youth Leadership Council; Washington, DC; Faculty Advisor; 1988-1992*

*District of Columbia Public Schools; Washington, DC; Shaw JHS, Teacher; 1988-1992*

*Kuppenheimer Men’s Clothiers; Washington, DC; Manager; 1986-1988*

*Verner, Liipfert, Bernhard & McPherson; Washington, DC; Paralegal; 1985*

*Tennessee State Legislature; Nashville, TN; Legislative Analyst; 1984*

**EDUCATION**

University of Wisconsin-Madison, Madison, WI

**Master of Business Administration, Executive 2012**

Trinity Evangelical Divinity School, Deerfield, IL

**Graduate coursework, 2001-2003**

University of Wisconsin-Madison, Madison, WI

**La Follette School of Public Affairs, Graduate coursework, 1998 – 2000**

University of the District of Columbia, Washington, DC

**Teaching Certification, 1987**

East Tennessee State University, Johnson City, TN

**Bachelor of Science; Political Science, 1984**
PUBLIC SERVICE AND MEMBERSHIPS

Exploit No More (exploitnomore.org) Campaign Co-Chair, Current 
Teacher of Ethics; High Point Church, 2015
Invited Presenter, Educational Advisory Board, Systems Conference, Oct. 2015
National Association of College and University Business Officers, 2012-present
Midwest Higher Education Compact, Commissioner, 2013-present
Society of College and University Planning (SCUP), Board of Directors, 2007-2010 (Executive
Committee Member 2009-10); Executive Leadership Council, 2012; current member.
Certificate in University Planning from the SCUP Planning Institute, 2005
National Association of State Universities and Land Grant Colleges, 1997 – 2003
Invited presenter, NASPA, Student Affairs Professionals, Regional Conference, Nov. 2012
Invited presenter, State Relations Conference of CASE, NASULGC, and AASCU, 2001
Invited presenter, The Campus Development Summit, April 2013
Awarded one-year term in Leadership Greater Madison (LGM 9) 2001
Chairman, Board of Elders, High Point Church, 2006-2009
Board of Trustees, Wisconsin 4-H Foundation, 2001-2004
Board of Directors, Wisconsin Girl Scouts, 2002-2004

Professional references are attached.
In accordance with the Tennessee Higher Education Commission and State Department of Finance and Administration guidelines, the University administration has developed the Capital Outlay and Capital Maintenance Funding Requests for FY 2017-18 and subsequent years.

The five-year schedule for Capital Outlay reflects $757,850,000 in recommended state funded Capital Outlay Projects which is net of the requisite institutional funding match (25% for UTK, UTC, UTM and 10% for all others). The five-year schedule for Capital Maintenance reflects $404,200,000 in recommended Capital Maintenance Projects.

The administration seeks approval of these requests and authorization to enter into contracts for design and construction within available funds. Upon approval by the Board of Trustees, the administration will submit these funding requests to state government.

Committee Recommendation
At its meeting on October 14, 2016, the Finance and Administration Committee recommended adoption of the following Resolution by the Board of Trustees:

RESOLVED: The Capital Outlay and Capital Maintenance Funding Requests for FY 2017-18 and subsequent years is approved, with authorization to enter into contracts for design and construction for these projects within available funds.
### THE UNIVERSITY OF TENNESSEE
### CAPITAL OUTLAY PRIORITIES

<table>
<thead>
<tr>
<th>Priority</th>
<th>Projects Description</th>
<th>Total Project</th>
<th>Institutional Match</th>
<th>Prior Year Institutional Match</th>
<th>FY 17-18</th>
<th>FY 18-19</th>
<th>FY 19-20</th>
<th>FY 20-21</th>
<th>FY 21-22</th>
</tr>
</thead>
<tbody>
<tr>
<td>1A</td>
<td>UTM - New Classroom Building (STEM)</td>
<td>$65,000,000</td>
<td>$6,500,000</td>
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<td>58,500,000</td>
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<tr>
<td>1B</td>
<td>UTK - Engineering Services Facility</td>
<td>$129,000,000</td>
<td>$35,750,000</td>
<td>$3,000,000</td>
<td>45,125,000</td>
<td>45,125,000</td>
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<td>2</td>
<td>UTIA - Energy &amp; Environmental Science Ed Research Center (Ellington Site)</td>
<td>$82,430,000</td>
<td>$5,500,000</td>
<td>$2,000,000</td>
<td>74,930,000</td>
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<td>3</td>
<td>UTK - Academic and Instructional Support Facility (Melrose Site)</td>
<td>$97,500,000</td>
<td>$16,750,000</td>
<td>$2,000,000</td>
<td>78,750,000</td>
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<td><strong>TOTAL</strong></td>
<td><strong>$373,930,000</strong></td>
<td><strong>$64,500,000</strong></td>
<td><strong>$7,000,000</strong></td>
<td><strong>257,305,000</strong></td>
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<td>UTIA - Vet Medical Center - Teaching and Learning Center</td>
<td>$8,750,000</td>
<td>875,000</td>
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<td>$7,875,000</td>
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<td>5</td>
<td>UTK - Nursing Building Renovation &amp; Addition</td>
<td>$55,000,000</td>
<td>13,750,000</td>
<td></td>
<td>41,250,000</td>
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<tr>
<td>6</td>
<td>UTC - Health Sciences Building</td>
<td>$95,000,000</td>
<td>$18,750,000</td>
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<td>76,250,000</td>
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<td>7</td>
<td>UTM - Fine Arts Music Hall &amp; Theater Renovation</td>
<td>$20,040,000</td>
<td>$5,010,000</td>
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<td>15,030,000</td>
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<td><strong>TOTAL</strong></td>
<td><strong>$178,790,000</strong></td>
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<td>UTIA - Interdisciplinary Research &amp; Education Greenhouses</td>
<td>$4,850,000</td>
<td>465,000</td>
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<td>$4,185,000</td>
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<td>9</td>
<td>UTK - Lab Building Renovations (Buehler &amp; Austin Peay)</td>
<td>$55,000,000</td>
<td>13,750,000</td>
<td></td>
<td>41,250,000</td>
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<td>10</td>
<td>UTC - Maclellan Renovation</td>
<td>$25,200,000</td>
<td>$6,300,000</td>
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<td>18,900,000</td>
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<td>11</td>
<td>UTHSC - Medicine/Administration Building</td>
<td>$99,000,000</td>
<td>$7,500,000</td>
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<td>91,500,000</td>
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<td><strong>TOTAL</strong></td>
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<td>12</td>
<td>UTIA - ETREC-Organic Crops &amp; Beneficial Insect Unit Improvements</td>
<td>$3,700,000</td>
<td>370,000</td>
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<td>$3,330,000</td>
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<td>13</td>
<td>UTK - Academic Support Facility Renovation (Hoskins Library)</td>
<td>$60,000,000</td>
<td>15,000,000</td>
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<td>45,000,000</td>
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<td>14</td>
<td>UTC - Hunter Hall Renovation</td>
<td>$15,100,000</td>
<td>3,775,000</td>
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<td>11,325,000</td>
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<td><strong>TOTAL</strong></td>
<td><strong>$78,800,000</strong></td>
<td><strong>$19,145,000</strong></td>
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<td><strong>$59,655,000</strong></td>
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<td>15</td>
<td>UTK - Classroom &amp; Laboratory Facility (Harms Building)</td>
<td>$49,000,000</td>
<td>12,250,000</td>
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<td>$36,750,000</td>
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<td>16</td>
<td>UTHSC - Health Science Center Building - ST Thomas Campus</td>
<td>$56,500,000</td>
<td>5,650,000</td>
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<td>$50,850,000</td>
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<td>17</td>
<td>UTIA - 4-H Center STEM Education &amp; Staff Housing Facilities</td>
<td>$13,250,000</td>
<td>1,325,000</td>
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<td>11,925,000</td>
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<td><strong>TOTAL</strong></td>
<td><strong>$118,750,000</strong></td>
<td><strong>$19,225,000</strong></td>
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<td><strong>GRAND TOTAL</strong></td>
<td><strong>$934,120,000</strong></td>
<td><strong>$169,270,000</strong></td>
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<td><strong>$757,850,000</strong></td>
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## THE UNIVERSITY OF TENNESSEE
### CAPITAL MAINTENANCE PRIORITIES
#### STATE APPROPRIATIONS

<table>
<thead>
<tr>
<th>Priority</th>
<th>Projects</th>
<th>FY 17-18</th>
<th>FY 18-19</th>
<th>FY 19-20</th>
<th>FY 20-21</th>
<th>FY 21-22</th>
<th>TOTAL</th>
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<tr>
<td>1</td>
<td>UTK - HVAC Improvements</td>
<td>5,500,000</td>
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<td>2</td>
<td>UTC - West Campus Utility Connections</td>
<td>5,630,000</td>
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<td>3</td>
<td>UTM - Fine Arts AHU Replacement &amp; Theater Safety Upgrade</td>
<td>3,260,000</td>
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<tr>
<td>4</td>
<td>UTHSC - GEB Improvements - Ph II</td>
<td>8,300,000</td>
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<td>5</td>
<td>UTIA - Ridley 4-H Center Improvements</td>
<td>4,950,000</td>
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<tr>
<td>6</td>
<td>UTC - Fine Arts Mechanical &amp; Electrical Improvements</td>
<td>8,400,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>UTK - UTSI Building Improvements Ph II</td>
<td>3,000,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>UTM - Upgrade Steam Lines Ph II</td>
<td>5,300,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>UTIA - Clyde York 4-H Center Improvements</td>
<td>1,100,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>UTHSC - Campus Restroom Upgrades</td>
<td>6,500,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>UTK - Utilities Improvements</td>
<td>5,000,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>UTC - Building Envelope Repairs</td>
<td>5,300,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>TOTAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$ 62,240,000</td>
</tr>
<tr>
<td>13</td>
<td>UTIA - College of Vet. Medicine Bldg. &amp; Cherokee Lab Improvements</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$ 4,100,000</td>
</tr>
<tr>
<td>14</td>
<td>UTM - EPS Improvements - Ph II</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3,660,000</td>
</tr>
<tr>
<td>15</td>
<td>UTHSC - Elevator Upgrades</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5,130,000</td>
</tr>
<tr>
<td>16</td>
<td>UTK - Fire Safety Upgrades - Ph II</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7,500,000</td>
</tr>
<tr>
<td>17</td>
<td>UTC - Elevator Upgrades</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3,500,000</td>
</tr>
<tr>
<td>18</td>
<td>UTIA - CRC/MAST Building Improvements</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>650,000</td>
</tr>
<tr>
<td>19</td>
<td>UTM - Paul Meek Library HVAC Improvements</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4,380,000</td>
</tr>
<tr>
<td>20</td>
<td>UTHSC - Roof Replacements</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7,600,000</td>
</tr>
<tr>
<td>21</td>
<td>UTK - Window Replacements and Masonry Repairs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4,500,000</td>
</tr>
<tr>
<td>22</td>
<td>UTC - Pfeiffer Hall Improvements</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4,900,000</td>
</tr>
<tr>
<td>23</td>
<td>UTM - Sociology Building System Upgrades</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4,420,000</td>
</tr>
<tr>
<td>24</td>
<td>UTIA - REC - Livestock Housing Improvements</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>10,000,000</td>
</tr>
<tr>
<td>25</td>
<td>UTHSC - Campus Sidewalk Repair</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2,200,000</td>
</tr>
<tr>
<td></td>
<td>TOTAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$ 62,540,000</td>
</tr>
<tr>
<td></td>
<td>TOTAL FY 19-20</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$ 88,760,000</td>
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<tr>
<td></td>
<td>TOTAL FY 20-21</td>
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<td></td>
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<td></td>
<td></td>
<td>$ 91,190,000</td>
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<tr>
<td></td>
<td>TOTAL FY 21-22</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$ 99,470,000</td>
</tr>
<tr>
<td></td>
<td>GRAND TOTAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$ 404,200,000</td>
</tr>
</tbody>
</table>
The administration has developed the revenue/institutionally funded projects listed on the following schedule for inclusion in the FY 2017-18 State of Tennessee Budget Document. A brief narrative description of the projects follows the schedule. Identified projects total $162,070,000. Although, no state funds are requested, legislative approval of the projects is required. The administration seeks Board approval of these projects prior to submitting them to the Tennessee Higher Education Commission to begin the legislative approval process. The administration also seeks authorization to enter into contracts for design and construction for these projects within available funds.

In addition, the administration seeks authorization to enter into contracts for design and construction associated with revenue/institutionally funded projects subsequently identified during the fiscal year. Any subsequently identified projects will be approved by the President and reported to the Board of Trustees at its next regularly scheduled meeting.

Committee Recommendation
At its meeting on October 14, 2016, the Finance and Administration Committee recommended adoption of the following Resolution by the Board of Trustees:

RESOLVED: The Revenue/Institutionally Funded Projects for FY 2017-18 are approved, with authorization to enter into contracts for design and construction of these projects, within available funds, and, with the approval of the President, for design and construction of other revenue/institutionally funded projects identified during the fiscal year within available funds.
# THE UNIVERSITY OF TENNESSEE

## PROPOSED REVENUE/INSTITUTIONALLY FUNDED PROJECTS

**FY 2017-2018**

<table>
<thead>
<tr>
<th>Projects</th>
<th>FY 17-18</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>UTHSC</strong></td>
<td></td>
</tr>
<tr>
<td>1 Parking Garage - UT Medical Center</td>
<td>$22,000,000 (A)</td>
</tr>
<tr>
<td><strong>UTK</strong></td>
<td></td>
</tr>
<tr>
<td>1 Arena Renovations and Systems Improvements</td>
<td>$7,440,000</td>
</tr>
<tr>
<td>2 Campus Beautification (JW Mall Extension &amp; West Campus)</td>
<td>9,000,000</td>
</tr>
<tr>
<td>3 Campus Beautification Projects (2017-18)</td>
<td>2,000,000</td>
</tr>
<tr>
<td>4 Concord Campus Renovations</td>
<td>1,000,000</td>
</tr>
<tr>
<td>5 Dining Services Improvements (2017-18)</td>
<td>500,000</td>
</tr>
<tr>
<td>6 Housing Facilities Improvements</td>
<td>2,000,000</td>
</tr>
<tr>
<td>7 Neyland Thompson North End Plaza</td>
<td>1,000,000</td>
</tr>
<tr>
<td>8 Neyland Stadium South Renovations</td>
<td>106,000,000 (B)</td>
</tr>
<tr>
<td>9 Parking System Repairs</td>
<td>1,000,000</td>
</tr>
<tr>
<td>10 Thornton Student Life Center Renovations</td>
<td>1,000,000</td>
</tr>
<tr>
<td><strong>UTM</strong></td>
<td></td>
</tr>
<tr>
<td>1 Beef Cattle Teaching &amp; Demonstration Facility</td>
<td>$860,000</td>
</tr>
<tr>
<td>2 Innovation &amp; Product Realization Facility</td>
<td>5,320,000</td>
</tr>
<tr>
<td>3 New Classroom Building (STEM) - Planning</td>
<td>1,100,000</td>
</tr>
<tr>
<td>4 Storm &amp; Sewer Line Upgrades</td>
<td>1,000,000</td>
</tr>
<tr>
<td><strong>UT</strong></td>
<td></td>
</tr>
<tr>
<td>1 Facilities Assessment Survey</td>
<td>$850,000</td>
</tr>
<tr>
<td><strong>GRAND TOTAL</strong></td>
<td>$162,070,000</td>
</tr>
</tbody>
</table>

(A) Pending negotiation with University Health System.

(B) See attachment for funding sources.
Neyland Stadium Renovation – Phase I Summary

- Total project cost estimated at $106.0 million (in escalated dollars);

- Target completion date of August 2019;

- Scope primarily addresses various safety concerns and repurposes underutilized spaces including the following elements:
  
  - South concourse 01 – expansion and renovation of main thoroughfare will enhance patron safety, functionality, and comfort by replacing narrow, dimly lit corridors with an open promenade of modern amenities including additional restrooms and improved concessions;
  
  - South field wall – shifting back wall will improve player safety by conforming to NCAA standards on minimum distance between playing surface and physical boundaries;
  
  - West lower, lower bowl – replacement of original and deteriorating concrete infrastructure dating back to 1921 will extend useful life of seating area;
  
  - Upper bowl handrails – addition and extension of aisle handrails will alleviate risks associated with patron movement up and down steep stairways;
  
  - Patron areas – inclusion of new and diversified patron areas to meet market demands and capitalize on underutilized spaces;

Funding summary:

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount (in millions)</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash on Hand Reserves</td>
<td>$ 15.0</td>
<td>Cash transfer from accumulated reserves</td>
</tr>
<tr>
<td>Donor Gifts</td>
<td>10.0</td>
<td>Cash transfer from restricted capital gifts</td>
</tr>
<tr>
<td>Debt Financing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10-Yr Bond</td>
<td>21.3</td>
<td>Debt service secured by pledged capital gifts</td>
</tr>
<tr>
<td>20-Yr Bond</td>
<td>59.7</td>
<td>Debt service secured by operating revenues*</td>
</tr>
<tr>
<td>Total Funding</td>
<td>$ 106.0</td>
<td></td>
</tr>
</tbody>
</table>

*Current annual debt payments are estimated to be $5.4M less by the time this debt is issued, allowing new debt to be paid without additional sources.*
Revenue/Institutionally Funded Projects

UT – Facilities Assessment Survey - $850,000
This project will provide professional consulting services to assist the University of Tennessee in conducting facilities evaluations at each campus in order to better document and prioritize needed capital maintenance improvements.

UTHSC – Parking Garage – UT Medical Center - $22,000,000
This project will provide approximately 1000 parking spaces in a garage located on the UT Medical Center Campus in Knoxville for the UTHSC buildings. Half of the parking garage (500 parking spots) will be utilized by UTHSC employees and the other half of the parking garage (500 parking spots) will be utilized by the University Medical Center Staff.

UTK – Arena Renovations and Systems Improvements - $7,440,000
This project includes renovations to dressing rooms, meeting rooms, and media center. Ramps will be stabilized and HVAC systems will be upgraded.

UTK – Campus Beautification (JW Mall Extension and West Campus) - $9,000,000
This project will extend the Johnson-Ward Pedestrian Mall to 20th Street with extensions on Pat Head Summit Street and Melrose Place. New greenspace and amenities will be provided within the new Housing and Dining footprints.

UTK – Campus Beautification Projects (2017-18) - $2,000,000
This project will provide improvements to the aesthetics landscaping and site amenities. The areas of improvement are the existing Presidential Courtyard space and Melrose Ave.

UTK – Concord Campus Renovations - $1,000,000
This project will provide renovations to the Concord Street property to accommodate Fleet Management, provide storage, and enhance site security.

UTK – Dining Services Improvements (2017-18) - $500,000
This project will upgrade furnishings, finishes, and equipment in campus dining facilities. These improvements will be funded and accomplished by the food service vendor. This is part of ongoing rebranding and refurbishment of dining facilities across Campus. Renovations may occur in multiple buildings including Volunteer Hall, Greve Hall, Hess Hall, Haslam Business Building, Art and Architecture, Hodges Library, Humanities, and McCord Hall.

UTK – Housing Facilities Improvements (2017-18) - $2,000,000
This project will upgrade furnishings, finishes, and equipment in campus housing facilities. Work will also include replacement of the exterior insulation finish system on Volunteer Hall.

UTK – Neyland Thompson North End Plaza - $1,000,000
This project will create an entry plaza at the north entrance of the Neyland-Thompson Sports Complex located at the corner of Lake Loudoun Blvd. and Johnny Majors Drive. All construction will be exterior and will be comprised of landscaping and hardscaping.
UTK – Neyland Stadium South Renovations - $106,000,000
This project will provide renovations of the south ground and concourse levels and include relocating visitor locker room, addressing life safety issues in the seating areas, and correcting safety regulations at the field level. This is a phased project with planning for the total project included in this first phase.

UTK – Parking System Repairs - $1,000,000
This project will make repairs to existing parking lots and garages and be used for creation of new lots.

UTK – Thornton Student Life Center Renovations - $1,000,000
This project will renovate interior spaces in the Thornton Student Life Center. This project will create individual/small group tutor rooms for the student-athletes and make improvements to the kitchen/break room area.

UTM – Beef Cattle Teaching & Demonstration Facility - $860,000
This project will develop a beef cattle teaching and demonstration facility that will include a classroom, laboratory, handling facilities, beef barn, equipment and fencing.

UTM – Innovation & Product Realization Facility - $5,320,000
This project will provide a facility that will be used in partnership with industry and UTM students to create prototypes in a product realization process. This facility will be used jointly by both agricultural and engineering students in partnership with industry.

UTM – New Classroom Building (STEM) - Planning - $1,100,000
This project will provide for the planning of a new 120,000 square foot classroom/lab building. The new building will serve as the home to the Engineering, Chemistry, Computer Science, Math & Statistics, and Physics departments. Also included is the demolition of the ITV Communications Building.

UTM – Storm and Sewer Line Upgrades - $1,000,000
This project will provide upgrades to campus storm and sewer lines including manhole work throughout the campus.
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: October 14, 2016

ITEM: Minutes of the Last Meeting

PRESENTED BY: Catherine S. Mizell, Secretary

Minutes of the June 23, 2016 meeting of the Board of Trustees follow this memorandum. In accordance with the Bylaws, the minutes are included on the agenda for approval by unanimous consent.

RESOLVED: The reading of the minutes of the June 23, 2016 meeting of the Board of Trustees is omitted, and the minutes are approved as presented in the meeting materials, provided that the Secretary is authorized to make any necessary edits to correct spelling errors, grammatical errors, format errors, or other technical errors subsequently identified.
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

MINUTES OF THE ANNUAL MEETING
June 23, 2016
Knoxville, Tennessee

The Annual Meeting of The University of Tennessee Board of Trustees was held at 1:00 p.m. EDT, on Thursday, June 23, 2016, on the campus of Institute of Agriculture in Knoxville, Tennessee.

I. CALL TO ORDER AND INVOCATION

Raja J. Jubran, Vice Chair of the Board, called the meeting to order. Reverend Andy Morgan offered the invocation.

II. ROLL CALL

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

Raja J. Jubran, Vice Chair
Jalen K. Blue
Shannon A. Brown
Russ Deaton
Joseph A. DiPietro
William Evans
John N. Foy
D. Crawford Gallimore
David A. Golden
Julius T. Johnson
Brad A. Lampley
James L. Murphy III
Sharon Miller Pryse
Jefferson S. Rogers
Rhedona Rose
John D. Tickle
Julia T. Wells
Charles E. Wharton
Tommy G. Whittaker

The Secretary announced the presence of a quorum. Governor Haslam, Commissioner McQueen, and Trustee Driver 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.

Vice Chair Jubran introduced newly appointed Non-voting Faculty Trustee Susan Davidson and presented her with a Trustee lapel pin. He also introduced the new Commissioner of Agriculture for Tennessee, Jai Templeton, attending his first meeting, and presented him with a Trustee lapel pin.

III. ADOPTION OF HONORARY RESOLUTIONS

Chancellor Cheek presented a Resolution honoring Dr. David Golden (Exhibit 1) for his service as a Faculty Trustee. After Dr. Cheek recited the Resolution, Trustee Pryse moved its adoption. The motion was seconded by Trustee Anderson, and the Resolution was adopted unanimously. Dr. Golden thanked the Trustees, President DiPietro and Chancellor Cheek for their support and leadership. He said being involved in the governance of the University and consequently with state government was a valuable learning experience and the greatest experience of his professional career. He thanked the Board and administration for their friendship. In closing, Dr. Golden said that although he is not a native Tennessean, he considers Tennessee home and himself a Vol for life, and he stands ready to serve the University at any time on any campus.

Dr. DiPietro presented a resolution honoring Brian Ferguson for his service as a Trustee. (Exhibit 2). After reciting the Resolution, he especially thanked Mr. Ferguson for serving as Vice Chair of the Board, during which time he assisted in launching a crucial initiative to transform the University’s business model to achieve sustainability for the future. Dr. DiPietro also recited a letter from Governor Haslam thanking Mr. Ferguson for his service as a Trustee. Vice Chair Jubran moved adoption of the Resolution, Trustee Murphy seconded the motion, and the Resolution was adopted unanimously. Mr. Ferguson thanked the Governor, Trustees, and President DiPietro for the honor and privilege of serving the University as a Trustee. He congratulated the efforts of the Trustees, employees and constituents of the University in their excellent progress toward raising academic metrics across board, increasing efficiency, closing the salary gap, increasing development funds and keeping tuition increases to the lowest in years. In closing, he thanked the Board for remaining focused on the University’s core missions, even in tumultuous times.

IV. PRESIDENT’S REPORT

Dr. DiPietro began his presentation (Exhibit 3) by sharing his predictions for the coming year for the University. He stated that the new year will be impacted by important policy and governance changes, cultural, legislative and operational shifts, and leadership changes. He thanked Chancellor Cheek for his service to UT Knoxville, noting he would be formally recognized at a future meeting, and briefly outlined the plans for the search for
the new Chancellor. He updated the Board on the status of searches for the UT Martin Chancellor, Chief Financial Officer, and Executive Vice President/Chief Operating Officer. He mentioned organizational changes that will be made to the senior staff in the next few months as the searches progress. He updated the Board on succession planning efforts across the University, explaining that UT System Administration will be the pilot group for the consultants, the Oliver Group, to analyze. The resulting approach will be utilized by our HR staff and applied across the University. He said the objectives of the succession planning initiative are to identify critical positions and potential successors, to build programs to train, attract and retain personnel, and to develop and implement a sustainable framework to identify candidates for critical positions.

Turning to the subject of diversity and inclusion, Dr. DiPietro said it is imperative that we make evident that diversity and inclusion are important to this institution, and we should not vacillate or waiver on that. He stated that inclusion is essential to student academic success, noting troubling past incidents indicate that some students arrive on campus without an understanding of both the reality and the importance of diversity and multiculturalism. Such an understanding, he said, is key to a campus environment of civility and enhanced learning opportunities and to meeting expectations of prospective employers. He mentioned the appointment of Dr. Noma Anderson as Special Advisor to the President for Diversity and Inclusion/Diversity Advisory Council (DAC) Chair, effective July 1. He said Dr. Anderson will advise him—in collaboration with other members of the President’s Staff—on strategic planning and decision-making for diversity and inclusion initiatives system-wide. He further explained that half of Dr. Anderson’s time will be spent as Special Adviser to the President and as Chair of DAC, and the other half will be devoted to serving in a faculty role tasked with streamlining admissions, transfer and financial aid processes within the Department of Audiology and Speech Pathology.

Dr. DiPietro next updated the Board on the state facilities outsourcing initiative. He said UT remains focused on workforce protections and clarifying available service options. He noted that meetings with campus officials are underway.

Dr. DiPietro then addressed the new Safety Policy on Firearms, which is effective July 1, 2016, in response to newly-enacted legislation. He reported that a system-wide announcement of the new policy, with Frequently Asked Questions, was issued on June 15. He explained that each campus/institute is communicating about the registration process, specific location where firearms are prohibited, training options, and safety efforts.

Dr. DiPietro said that as the Budget Advisory Group (BAG) initiative is reset for the next two year, he would like to take a hard look at ways to garner more control of our own destiny around capital outlay given new paradigms we have encountered in the capital outlay appropriations process.
Dr. DiPietro closed his report by highlighting a recent employee appreciation event, Pizza with Joe, in Knoxville at the UT Gardens. The event gave him an opportunity to express appreciation and encouragement to faculty and staff.

V. FY 2017 OPERATING BUDGET, STUDENT TUITION AND FEES, AND COMPENSATION GUIDELINES FOR ADDITIONAL SALARY INCREASES DURING THE FISCAL YEAR

Interim Treasurer and CFO Ron Maples presented a summary of the proposed FY 2017 Operating Budget, Student Tuition and Fees, and Compensation Guidelines (Exhibit 4), including total current funds, unrestricted education and general (E&G) funds, and tuition and fee recommendations. Mr. Maples thanked Mr. Loewen and Mr. Bodin-Henderson and the campus and unit business officers for their hard work on the FY 2017 proposed budget.

Mr. Maples said the FY 2017 proposed budget of $2.2 billion represents an increase of $72 million, and he reported that the budget is balanced and within available resources. Undergraduate tuition increases are the lowest in over 30 years for the second year in a row. He noted the availability of funding for faculty and staff salary increases and said the budget includes an unrestricted state funding increase of $28 million. He reviewed revenue and expenditure trends for all current funds and specifically for unrestricted E&G funds.

Concerning the FY 2017 salary plans, he noted that the plans were determined by each campus or unit, within overall system guidelines. Trustee Wharton noted some campuses/institutes opted for across-the-board increases while others applied only merit increases or some split between the two. He asked whether the University is moving toward a more merit-driven system. Dr. DiPietro responded that in many cases, the pools are so small, and a difference of opinion exists about whether an across-the-board increase needs to be applied first. He added that such an approach generally is in line with peer regional campuses, but the flagship campus in Knoxville can use a merit-market approach. In response to a follow-up question from Trustee Evans, Dr. DiPietro explained that within a merit pool, supervisors have the leeway to award from 0% to as high as 10%. After further discussion, the Board requested reviewing the approach in light of best practices of peer institutions for each campus/institute.

Mr. Maples outlined the proposed tuition increases for in-state and out-of-state undergraduate and graduate students across the campuses. Dr. DiPietro added that every 1% maintenance fee increase yields approximately $4.5 million, and therefore to replace the approximately $14 million non-formula amount from the state, tuition would need to be increased by about 3.5%. Trustee Wharton said state appropriations helped relieve the burden of tuition this time around, but the University will either be cutting services or something else to achieve this low tuition increase again unless state appropriations
continue at least at this year’s level. Mr. Maples then reviewed other fee changes and additional tuition and fee revenues from fee changes.

Trustee Pryse said she understands the University reports tuition and fees the same as other universities, but it would be helpful to know the final number written on a check by an incoming student for the year—in other words, to roll all fees into one number. Dr. DiPietro pointed out that the number changes from major to major, and also the net cost of attendance is much lower for many students, recalling Interim Chancellor Smith’s statement from the day before that “hardly any UTM student pays sticker price.” Vice Chair Jubran reminded the Board that a new subcommittee on tuition, fees, and financial aid has been established under the Finance and Administration Committee, and this subject would be appropriate for the subcommittee to review. Trustee Pryse also expressed her appreciation to elected officials who worked hard this session for state appropriations that enable tuition to remain at these levels. She noted, however, that keeping tuition at these levels may have impacted the ability to reduce the salary gap.

Dr. DiPietro explained that the formula unit funds received by the campuses were driven by performance, so he has congratulated the Chancellor’s on their performance metrics that qualified them for the allocation of funds. He noted that it is harder and harder within the CCTA metric to always be in the top 5.

Trustee Murphy moved that the Resolution on the FY 2017 Operating Budget, Student Tuition and Fees, and Compensation Guidelines (Exhibit 5) be adopted. Trustee Anderson seconded, a roll call vote was taken, and the motion carried unanimously.

VI. REPORT OF THE EXECUTIVE AND COMPENSATION COMMITTEE

A. Vice Chair’s Report on the President’s Annual Performance Review

Vice Chair Jubran called the Trustees’ attention to his assessment of President DiPietro’s performance for the past year in the meeting materials (Exhibit 6). He noted that the Crawford Gallimore, Chair of Audit and Compliance, and Spruell Driver, Chair of Trusteeship, assisted and concurred with the assessment. He said proposed goals for the coming year are included, and Dr. DiPietro is already proceeding to get his team together to meet those goals. Vice Chair Jubran praised Dr. DiPietro for his performance, noting that he has exceeded expectations on many fronts, and due to his high integrity and moral character, he has reestablished trust and confidence in the office of President. Trustee Gallimore added that the performance review process itself had strong integrity, including telephone interviews members of the senior staff and review of constituent survey responses.

Vice Chair Jubran reported that the Executive and Compensation Committee recommended adoption of the following Resolution by the Board of Trustees:
RESOLVED: The Vice Chair’s assessment of President DiPietro’s performance and the proposed goals are approved.

On the recommendation of the Executive and Compensation Committee, Trustee Murphy moved adoption of the Resolution, and it was unanimously adopted.

B. FY 2016-17 Performance Incentive Payment Plan for University Officers

Vice Chair Jubran reported that the Executive and Compensation Committee recommended adoption of a resolution approving the FY 2016-17 Performance Incentive Payment Plan but recommended deferral of action on the performance goals until the 2016 Fall Meeting Board (Exhibit 7). He explained that the new Plan incorporates a retention component, providing that a Board-approved payment will be paid out in three equal installments: 30 days after approval; one year after approval; and two years after approval. Provisions are made for accelerating the payment in certain circumstances, including termination of employment for medical reasons or by death.

Vice Chair Jubran called the Trustees’ attention to the following Resolution recommended by the Executive and Compensation Committee:

RESOLVED:

1. The FY 2016-17 Performance Incentive Payment Plan for University Officers is approved; and

2. Action on the proposed FY 2016-17 Performance Goals is deferred until the next regular meeting of the Board of Trustees, scheduled for October 14, 2016; and

The Performance-Based Variable Compensation Plan adopted on October 9, 2015 is terminated, provided that provisions concerning payment of a Board-approved payment for FY 2015-16 shall remain in effect until the payment has been made, including any increase or decrease in the Board-approved payment based on the audited recalculation of scores and payment amounts after final data is available for performance that may only be estimated at the time of Board action to approve a payment.

On the recommendation of the Executive and Compensation Committee, Trustee Murphy moved adoption of the Resolution, and it was unanimously adopted.
VII. REPORT OF THE TRUSTEESHIP COMMITTEE

A. Amended and Restated Bylaws

Trusteeship Chair Pro Tempore Murphy reported that the Trusteeship Committee, at its meeting the day before, completed its comprehensive review of the Bylaws (Exhibit 8). He reported that the Bylaws include amendments resulting from the Committee’s comprehensive review and other amendments required to comply with Public Chapter 753. He reported that Trustee Wharton had raised concern in the Committee meeting about the amendments allowing extension of the Vice Chair’s term and extension of committee chair terms.

Committee Chair Murphy reported that the Trusteeship Committee recommended adoption of the following Resolution on the Amended and Restated Bylaws:

RESOLVED: The Amended and Restated Bylaws are adopted as presented in the meeting materials, provided that the Secretary is authorized to make organizational changes, format changes, and technical corrections prior to publication of the Amended and Restated Bylaws.

On the recommendation of the Trusteeship Committee, Committee Chair Murphy moved adoption of the Resolution. The Vice Chair called for any further discussion. Trustee Wharton said the term limits for the Vice Chair and committee chairs were established to ensure new viewpoints. He noted that when the Vice Chair term was extended by a year during the transition of the office of the President, he objected at that time for the same reason. He argued that this change creates a risk that he believes ultimately outweighs the benefits. Trustee Gallimore stated the benefit of having the flexibility in extraordinary circumstances and the importance of having continuity in navigating a transition in the Presidency. At the request of Trustee Evans, Secretary Mizell recited the Bylaw amendment noting that with respect to the Vice Chair position, the Chair, who is the Governor, would request the term be extended by two years, and the extension would require approval by two-thirds majority of the voting members of the Board. In the case of committee chairs, the amendment gives the Board flexibility for good cause, to allow a committee chair to serve more than two, two-year terms. Vice Chair Jubran said an example might be necessary to continue progress on a complex initiative such as the Budget Advisory Group initiative.

A roll call vote was taken, and the Resolution on the Amended and Restated Bylaws was adopted, with Trustee Wharton voting “no.”

B. Standing Rule Governing Requests to Address the Board of Trustees

Trusteeship Chair Pro Tempore Murphy reported that the Trusteeship Committee reviewed a proposed standing rule to govern requests to address the Board (Exhibit 9). He explained
that Public Chapter 753, enacted during the 2016 session of the General Assembly, requires the Board of Trustees to provide an opportunity in connection with regular Board meetings for members of the public to address the Board or a committee of the Board. This requirement has been incorporated in the Amended and Restated Bylaws, which also include a requirement for the Board to adopt a standing rule to govern requests to address the Board.

Committee Chair Murphy reported the Trusteeship Committee recommended adoption of the following Resolution by the Board of Trustees:

RESOLVED: The Standing Rule Governing Requests to Address the Board of Trustees is adopted as presented in the meeting materials.

On the recommendation of the Trusteeship Committee, Committee Chair Murphy moved adoption, and the Resolution was unanimously adopted.

VIII. REPORT OF THE FINANCE AND ADMINISTRATION COMMITTEE

Finance and Administration Committee Chair Anderson reported that the Committee took action on several items. He reported that the proposal for a differential tuition program for the UTC doctoral programs in occupational therapy and physical therapy were recommended by the Committee for Board approval on the consent agenda. He reported that the “Soar in Four” undergraduate tuition model for UTM was recommended for approval by the Board on the consent agenda.

Committee Chair Anderson reported that the Committee also considered a new system Rule on student housing and repeal of campus student housing rules (Exhibit 10). He explained that the Rule establishes a uniform framework within which each campus will manage student housing, providing greater flexibility to change specific campus housing policies. He added that the broad system Rule is consistent with what the Tennessee Board of Regents has done in this area. He then reported that the Finance and Administration Committee recommended the following Resolution for adoption by the Board of Trustees:

RESOLVED:

The Board of Trustees adopts Chapter 1720-01-13 of the Rules of The University of Tennessee as presented in the meeting materials to be effective upon completion of the rulemaking procedures under the Uniform Administrative Procedures Act; and

The Board of Trustees repeals Chapter 1720-02-02, Chapter 1720-03-06, Chapter 1720-04-04, and Chapter 1720-05-04 of the Rules of The University of Tennessee to be effective upon completion of the rulemaking procedures under the Uniform Administrative Procedures Act.
On the recommendation of the Finance and Administration Committee, Committee Chair Anderson moved adoption of the Resolution. A roll call vote was taken, and the Resolution was adopted.

Committee Chair Anderson reported that the Committee heard from two employees of the University on the subject of outsourcing facilities services. Melanie Barron, a graduate assistant and Ph.D. candidate, asked the Trustees to reject the Governor’s proposal to outsource facilities services, saying the work of the facilities services personnel behind the scenes makes the University a safer place. She urged the University to do the right thing and not make short-sighted attempts to make money off of its employees. Mr. Ed Daniel, a lock and key shop employee and member of United Campus Workers described UT as not just a place to work, but a family. He said he is concerned for his future and his co-workers’ futures if outsourcing takes place. He called UT’s expenditure on facilities services an investment in the hard working team dedicated to the safety of students, working to serve, not just to get rich. Committee Chair Anderson reported that Dr. DiPietro responded to the employee comments by expressing the University’s gratitude for its hard working employees and reiterating that the campuses and institutes will have the option of keeping their current facilities services operations.

IX. REPORT OF THE AUDIT AND COMPLIANCE COMMITTEE

Trustee Gallimore, Chair of the Audit and Compliance Committee, reported that the Committee last met in May and heard from the State Auditors on the results of the annual financial and compliance audit. As part of their work this year, the auditors conducted information technology fieldwork at several campuses. Eight information technology control weaknesses were identified, and details of the findings were discussed with the Committee. Management representative indicated they are working to correct the weaknesses and will be reporting back to the Committee at the August and December meetings. The Committee remains committed to overseeing the maturing of IT security at the University and will continue to follow-up on these matters.

Committee Chair Gallimore stated that each year the Division of State Audit of the Comptroller’s Office performs agreed-upon procedures for Athletics to comply with NCAA Bylaws. At the May meeting, the Committee reviewed the agreed-upon procedures report issued by State Audit. A copy of the report is included in the meeting materials (Exhibit 11). This work is not a financial statement audit and the State Auditors do not issue an opinion on statements. Instead, this work involves a series of procedures to meet the requirements of the NCAA.

Committee Chair Gallimore also reported that the Committee heard from all three athletics departments on their five-year revenue and expense trends. He reported that for UTK, athletics total revenue was $126 million with $113 million in total expenses for fiscal year
2014-2015. There were several fluctuations in the revenue and expense line items, largely due significant changes in the reporting definitions for the updated NCAA agreed-upon procedures. Revenue was up in 2015 primarily due to an increase in unrestricted annual donations, the recognition of $7.5 million for the initial year of the SEC Network, and a one-time $2 million commitment bonus from new apparel partner Nike. For UTC, athletics operating revenue and expenses each equaled $17 million for fiscal year 2015, about $1 million greater than last year. Again, some changes in revenue reporting occurred because of reporting definition changes. The most significant expense fluctuation was an increase of $640,000 for coaches’ salaries. For UTM, athletics operating revenue and expenses each equaled $10.6 million, up almost $1 million from 2014. The most significant expense fluctuation was an increase of $262,000 for coaches’ salaries.

Committee Chair Gallimore reported that the Executive Director of Audit and Compliance has provided the required report on the previous year’s audits and the plans for the current year. The report is included in the materials (Exhibit 12) and provides a summary of the 2015 accomplishments and 2016 plans. The Audit and Compliance Committee reviewed this report at our last meeting.

In closing, Committee Chair Gallimore said for the remainder of the year, the Committee will continue to receive monthly updates on the audit plan and results of audits. The Committee will meet again in August and December. Agenda items for those meetings include IT security, institutional compliance, as well as approval of the Committee and departmental charters and the 2017 audit plan. As always, he will forward the results of the chief executive officer audits to all Trustees in December. On behalf of the Committee, he thanked Executive Director Sandy Jansen and her staff for their hard work. Vice Chair Jubran echoed appreciation for the excellent work of Ms. Jansen and her staff.

X. CONSENT AGENDA

The Vice Chair directed the Trustees’ attention to the Consent Agenda. He called for any requests to remove items from the Consent Agenda. He commented on the renewal of the President Emeritus agreement with Dr. Joe Johnson, saying how much the University appreciates his continuing service to the University.

Hearing no requests to remove items from the Consent Agenda, the Vice Chair called for a motion to approve the Consent Agenda, consisting of the following items:

A. Minutes of the Last Meeting (Exhibit 13)
B. 2017 Board of Trustees Meeting Dates (Exhibit 14)
C. Resolution Appointing a Managerial Group for U.S. Government Contracts (Exhibit 15)
D. Ratification of FY 2015-16 Quasi-Endowments (Exhibit 16)
E. FY 2017 Distribution of UC Foundation Unrestricted Endowment Funds (Exhibit 17)
F. Annual Report of Sale of Gift Property (Exhibit 18)
G. Easement to KUB/Andy Holt Avenue and Twentieth Street (UTK) (Exhibit 19)
H. Easement to KUB/1800-1806 Lake Avenue (UTK) (Exhibit 20)
I. President Emeritus Agreement with Dr. Joseph E. Johnson (Exhibit 21)
J. UTC Differential Tuition Plan for the Doctoral Program in Occupational Therapy (Exhibit 22)
K. UTC Differential Tuition Plan for the Doctoral Program in Physical Therapy (Exhibit 23)
L. “Soar in Four: A New Undergraduate Tuition Model for UT Martin” (Exhibit 24)
M. Revised Finance and Administration Committee Charter (Exhibit 25)
N. Revised Research, Outreach, and Economic Development Committee Charter (Exhibit 26)
O. 2016 Comprehensive List of Academic Programs (Exhibit 27)
P. Administrative Action to Terminate or Inactivate Academic Programs (Exhibit 28)
Q. Revised Academic Affairs and Student Success Committee Charter (Exhibit 29)
R. UT Knoxville Strategic Plan Refresh, Vol Vision 2020 (Exhibit 30)
S. Tenure Recommendations (Exhibit 31)
T. Revised Advancement and Public Affairs Committee Charter (Exhibit 32)

Trustee Cates moved approval of the Consent Agenda, Trustee Driver seconded, and the motion carried unanimously.

XI. FUTURE BOARD AND COMMITTEE MEETING DATES

Vice Chair Jubran announced that the 2016-17 Scheduled Meetings and Workshop were included in the meeting materials (Exhibit 33) and can be found on the Board of Trustees website.
Vice Chair Jubran presented Dr. DiPietro a plaque commemorating his ten years of service to the University, signed by Governor Haslam. Dr. DiPietro said it is his privilege to serve the University.

Vice Chair concluded the meeting saying this meeting has revealed how much work has been done in the past year. He reminded everyone that this year’s tuition increase is the lowest in thirty years, the salary gap has been reduced, and each campus is doing extremely well on most metrics the Board reviews. He urged the Trustees to be proud of the University, proud of what the campuses have done well, including improved graduation rates across the board. He added that the medical school is a great source of pride, as are the great things happening with UT Battelle. He encouraged the Trustees to remember all these positives when there are negative comments about the University.

Dr. DiPietro thanked Trustee Anderson, Trustee Jubran, and Trustee Pryse for hosting an excellent reception and dinner on Wednesday evening.

XII. ADJOURNMENT

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

Respectfully Submitted,

___________________________________
Catherine S. Mizell, Secretary
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES

ACTION ITEM

DATE: October 14, 2016

ITEM: Ratification of Vice Chair’s Appointment of New Committee and Subcommittee Chairs and Members

RECOMMENDATION: Approval

PRESENTED BY: Raja J. Jubran, Vice Chair of the Board

Public Chapter 753 of the Public Acts of 2016 established a standing committee and subcommittee structure for the Board of Trustees, including two new standing committees and five new subcommittees. To allow the new committees and subcommittees to hold their first meeting during the Fall Meeting of the Board on October 13-14, 2016, the Vice Chair has appointed committee and subcommittee chairs and members as shown on the following list. The Vice Chair requests that the Board ratify those appointments.

RESOLVED: The Vice Chair’s appointment of chairs and members of the new committees and subcommittees established pursuant to Public Chapter 753 (2016) is hereby ratified.
New appointments are highlighted.

THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES
Standing Committee Appointments, 2016-2017

EXECUTIVE AND COMPENSATION COMMITTEE
Principal Staff Liaison: Catherine S. Mizell, General Counsel and Secretary

Charles C. Anderson, Chair of Finance and Administration/Chair of Health Affairs
Shannon A. Brown, Chair of University Life Committee
Spruell Driver, Jr., Chair of Trusteeship
William E. Evans, Chair of Research, Outreach, and Economic Development
D. Crawford Gallimore, Chair of Audit and Compliance
Vicky B. Gregg, Chair of Academic Affairs and Student Success
Sharon J. Pryse, Chair of Advancement and Public Affairs

Ex Officio:
Raja J. Jubran, Vice Chair of the Board, Chair of Executive and Compensation, and Chair of Athletics)
Joseph A. DiPietro, President (non-voting)

ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE
Principal Staff Liaison: Katherine N. High, Vice President for Academic Affairs and Student Success

Vicky B. Gregg, Chair
John N. Foy
Brad A. Lampley
Julia T. Wells
Charles E. Wharton

Ex Officio:
Raja J. Jubran, Vice Chair of the Board
Joseph A. DiPietro, President (non-voting)
Jai Templeton, Commissioner of Agriculture
Candice McQueen, Commissioner of Education
Mike Krause, Executive Director of THEC (non-voting)

Ex Officio Non-voting Faculty and Student Representatives:
Faculty Senate President UTC  Faculty Senate President UTHSC  Faculty Senate President UTM
SGA President UTC  SGA President UTK  SGA President UTI
Graduate Student Association President UTC  Graduate Student Senate President UTK
Faculty Senate President UTHSC  Faculty Senate President UTM
SGAEC President UTHSC  SGA President UTI
SGAEC Vice President UTHSC  SGA President UTSI
Subcommittee on Student Conduct, Rights, and Responsibilities
Principal Staff Liaison: Matthew M. Scoggins, III, Deputy General Counsel

Brad A. Lampley, Chair
Julia T. Wells
Tommy G. Whittaker
Voting Student Trustee (ex officio, voting)
Voting Faculty Trustee (ex officio, voting)

UNIVERSITY LIFE COMMITTEE
Principal Staff Liaison: Katherine N. High, Vice President for Academic Affairs & Student Success

Shannon A. Brown, Chair
Rhedona Rose
Julia T. Wells
Voting Faculty Trustee (ex officio, voting)
Voting Student Trustee (ex officio, voting)

Ex Officio:
Raja J. Jubran, Vice Chair of the Board
Joseph A. DiPietro, President (non-voting)

Subcommittee on Nonacademic Programs
Principal Staff Liaison: Katherine N. High, Vice President for Academic Affairs & Student Success

Rhedona Rose, Chair
Tommy G. Whittaker
Voting Faculty Trustee (ex officio, voting)
Voting Student Trustee (ex officio, voting)

ADVANCEMENT AND PUBLIC AFFAIRS COMMITTEE
Principal Staff Liaisons: Anthony C. Haynes, Vice President for Government Relations; Tonjanita L. Johnson, Vice President for Communications and Marketing; and Rickey N. McCurry, Vice President for Development and Alumni Affairs

Sharon J. Pryse, Chair
Rhedona Rose
Julia T. Wells
Charles E. Wharton

Ex Officio:
Raja J. Jubran, Vice Chair of the Board
Joseph A. DiPietro, President (non-voting)
Subcommittee on Community and Alumni Relations
Principal Staff Liaison: Rickey N. McCurry, Vice President for Development and Alumni Affairs Programs; Anthony Haynes, Vice President for Government Relations and Advocacy

Julia T. Wells, Chair
Rhedona Rose
Charles E. Wharton
Tommy G. Whittaker

ATHLETICS COMMITTEE
Principal Staff Liaison: Matthew M. Scoggins, III, Deputy General Counsel

Ex Officio, Voting: (membership prescribed by the Bylaws)
Raja J. Jubran, Vice Chair of the Board, Chair of Athletics Committee
Spruell Driver, Jr., Chair of Trusteeship
Charles C. Anderson, Chair of Finance and Administration
D. Crawford Gallimore, Chair of Audit and Compliance
Vicky B. Gregg, Chair of Academic Affairs and Student Success

At-Large Member
Brad A. Lampley

Ex Officio, Non-voting:
Joseph A. DiPietro, President

AUDIT AND COMPLIANCE COMMITTEE
Principal Staff Liaison: Sandy S. Jansen, Executive Director, Audit and Compliance

D. Crawford Gallimore, Chair
Waymon Hickman, External Member
Brad A. Lampley
Sharon J. Pryse
Tommy G. Whittaker

Ex Officio:
Raja J. Jubran, Vice Chair of the Board

FINANCE AND ADMINISTRATION COMMITTEE
Principal Staff Liaison: James R. Maples, Interim Treasurer and Chief Financial Officer

Charles C. Anderson, Chair
Shannon A. Brown
John N. Foy
John D. Tickle

Ex Officio:
Raja J. Jubran, Vice Chair of the Board
Joseph A. DiPietro, President (non-voting)
Subcommittee on Efficiency and Cost Savings
Principal Staff Liaison: James R. Maples, Interim Treasurer and CFO

John D. Tickle, Chair
John N. Foy
George E. Cates

Subcommittee on Tuition, Fees, and Financial Aid
Principal Staff Liaison: Ron Loewen, Director, System Budget Office

John N. Foy, Chair
Brad Lampley
George E. Cates
John D. Tickle
Charles E. Wharton
Voting Faculty Trustee (ex officio, voting)
Voting Student Trustee (ex officio, voting)
Non-voting Faculty Trustee (ex officio, non-voting)
Non-voting Student Trustee (ex officio, non-voting)

HEALTH AFFAIRS COMMITTEE
Principal Staff Liaisons: Steve J. Schwab, Chancellor, UTHSC; James R. Maples, Interim Treasurer and Chief Financial Officer

Ex Officio, Voting: (membership prescribed by the Bylaws)
Charles C. Anderson, Chair of Finance and Administration/Chair of Health Affairs
Spruell Driver, Jr., Chair of Trusteeship
D. Crawford Gallimore, Chair of Audit
Raja J. Jubran, Vice Chair of the Board

Shelby County or Ninth District Member: George E. Cates

At Large Member: Vicky B. Gregg

Ex Officio, Non-voting: (membership prescribed by the Bylaws)
Joseph A. DiPietro, President
David E. Millhorn, Executive Vice President
RESEARCH, OUTREACH, AND ECONOMIC DEVELOPMENT COMMITTEE
Principal Staff Liaison: David E. Millhorn, Executive Vice President and Vice President for Research and Economic Development

William E. Evans, Chair
George E. Cates
Rhedona Rose

Ex Officio:
Raja J. Jubran, Vice Chair of the Board
Joseph A. DiPietro, President (non-voting)
Jai Templeton, Commissioner of Agriculture
Candice McQueen, Commissioner of Education
Mike Krause, Executive Director of THEC (non-voting)

Professional Staff Non-voting Representatives:
David Stern, UT Health Science Center
Margaret Norris, Institute for Public Service
Tim Cross, Institute of Agriculture

TRUSTEESHIP COMMITTEE
Principal Staff Liaison: Catherine S. Mizell, General Counsel and Secretary

Spruell Driver, Jr., Chair
Tommy G. Whittaker

Ex Officio:
Raja J. Jubran, Vice Chair of the Board
Joseph A. DiPietro, President (non-voting)
At the June 23, 2016 meeting, the Board of Trustees approved the following 2017 dates for two regular meetings and a workshop:

- Spring Meeting, March 28-29, 2017 in Chattanooga
- Annual Meeting, June 21-22, 2017 in Knoxville
- Workshop, August 9, 2017 (location to be determined)

The following date is now proposed for the 2017 Fall Meeting:

- Fall Meeting, November 2-3, 2017 in Knoxville

RESOLVED: The Fall Meeting of the Board of Trustees is set for November 2-3, 2017 in Knoxville.
FUTURE BOARD OF TRUSTEES MEETINGS
AND COMMITTEE MEETINGS

2016

Dec 15: Audit & Compliance, Nashville
Health Affairs, Nashville

2017

March 3: Executive & Compensation, Nashville
March 28-29: Spring Meeting of the Board, Chattanooga
June 21-22: Annual Meeting of the Board, Knoxville
Aug 9: Workshop (tentative)
Nov 2-3: Fall Meeting of the Board, Knoxville