

**SENATE MEETING
MONDAY, APRIL 20, 2009
3:30 P.M. UNIVERSITY CENTER
SHILOH ROOM**

Agenda

John Nolt, President
Suzanne Kurth, Secretary to the Senate

Becky Jacobs and Carl Pierce, Co-Parliamentarians
Toby Boulet, President-Elect

ANNOUNCEMENTS

Establishment of Quorum (S. Kurth)
Senate President's Report (J. Nolt)
Chancellor's Report (J. Cheek)
Provost's Report (S. Martin)

MINUTES

Faculty Senate Meeting, March 23, 2009 (for approval)
Faculty Senate Executive Committee Meeting, April 6, 2009 (information item)

MINUTES POSTED ELECTRONICALLY

Minutes from the Undergraduate Council of April 7, 2009 were distributed to Senators electronically prior to the meeting and are available at http://web.utk.edu/~ugcouncil/docs/minutes/UGCouncilMinutes_4-7-09.pdf. (J. Romeiser)
Implementation of these minutes takes place after approval of the Faculty Senate.

PREVIOUS BUSINESS

Proposed Faculty Senate Bylaws Changes (T. Boulet)
Faculty Affairs: Resolutions on Annual Review and Retention Review (J. Heminway)

REPORTS OF STANDING COMMITTEES

Budget and Planning: Report on Spending on Institutional Support in the UT System and a Resolution (D. Bruce)

NEW BUSINESS AND ANNOUNCEMENTS

Procedural Framework for Academic Program Discontinuance and Reorganization (J. Nolt, S. Martin)
Election of Senators and Committee Assignments (T. Boulet)

ADJOURNMENT

ATTACHMENTS:

Faculty Senate Meeting Minutes, March 23, 2009 (for approval)
Faculty Senate Executive Committee Meeting Minutes, April 6, 2009 (information item)
Proposed Changes to the Faculty Senate Bylaws
Resolutions from the Faculty Affairs Committee of the Faculty Senate
Spending on Institutional Support in the University of Tennessee System
A Resolution from the Budget and Planning Committee
Procedural Framework for Academic Program Discontinuance and Reorganization

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The University of Tennessee Faculty Senate
MINUTES
March 23, 2009

Absent: Lt. Col. Michael Angle, Janice Appier, David Atkins, Lora Beebe, Roberto Benson, Bill Blass, Thomas Boehm, Bill Bradshaw, Cathy Cochran*, Jim Conant, Daniela Corbetta, Steven Dandaneau, Jim Drake, Michael Essington, Lee Han, Robert Heller, Russel Hirst, Roxanne Hovland, Yuri Kamychkov, Jeff Kovac, Ramon Leon, Bruce MacLennan*, Norman Magden, Murray Marks, Susan Martin, Mike McKinney, John McRae, Lynne Parker, Natalia Pervukhin, W. Tim Rogers, Rupy Sawhney, Neal Shover, Montgomery Smith, Edgar Stach, Marlys Staudt, Patricia Tithof, Gary Ubben, Michelle Violanti, Peiling Wang, Pia Wood, Tim Young, Yang Zhong

*Alternate Senators: Carol Collins for Cathy Cochran, Michael Thomason for Bruce MacLennan

J. Nolt called the meeting to order at 3:34 p.m.

ANNOUNCEMENTS

Establishment of a Quorum (S. Kurth)

S. Kurth reported a quorum was present.

Senate President's Report (J. Nolt)

J. Nolt announced that he would not be presenting a report because of the long meeting agenda. He noted that his update on the budget situation appeared in the recently distributed March Faculty Senate Newsletter.

President's Report (J. Simek)

J. Simek referred to the recent events that had led to his sabbatical being abruptly ended and his appointment as President for two years. He addressed pivotal issues confronting the University of Tennessee.

Budget. Governor Bredesen was scheduled to give his budget address that evening addressing the impact of the federal stimulus package. A system-wide committee was in place to work to direct funds to the various campuses' faculties to make proposals to agencies. The current suspicion was that the stimulus money for education would for the most part be handled through the Tennessee Higher Education Commission (THEC). The money would probably be equal to what the University's budget had been reduced in recent times, so the money would only provide a two-year reprieve. He anticipated that the state might require implementation of the planned budget cuts, given the impact of recurring costs. In that case the stimulus money would be used to backfill. Simek said he would work to make certain that the University would be in the best possible position in two years, noting that ideally the economy would recover by that time. He expressed the hope that the Governor had developed some way to use the stimulus money to reduce base budget cuts. Simek announced that he would engage in a web cast the next afternoon.

Higher Education Reorganization. The possible reorganization of higher education had been brought up in Nashville in part because of fortuitous timing: the top positions in both systems of higher education would be open. Simek said he thought it never hurt to have a reasonable rational discussion of change. He noted the University of Tennessee had done well over the last decade—better than it had before—and that the campuses were stronger together. He raised the question of how the UT system would fit in a reorganized system of higher education.

Comments/Questions. D. Birdwell commented that it was better to have a two-year planning horizon than a three-month one. He noted that agencies, such as NIH, had already begun spending stimulus money by going deeper into their highly rated proposals. D. Patterson queried whether it was a propitious time to look at the campus/system organization. Simek agreed, noting that the Vice President structure was being reviewed. He said it was complicated, but there was interest in reducing the number of Vice Presidents, not simply the number of people holding the title but rather the number of people. J. Malia commented that the faculty was looking forward to working positively with the system for the next couple of years.

Chancellor's Report (J. Cheek)

J. Cheek expressed appreciation for the President's update on the budget. He said the campus had prepared a list of possible actions in anticipation of any opportunities that might arise. For example, there was a list of buildings to be built and renovated, as well as joint projects. And, there was a list focused on developing academic programs. He pointed out that for whatever bridge money there was there were budget cuts and increased costs for various items (e.g., utilities, graduate student insurance, faculty promotions) to address. As a consequence, a 9 % tuition increase was proposed. Of that increase, the majority (7%) would address increased costs. The remaining 2% would be used to accomplish anything additional.

Comments/Questions. Cheek was asked whether anything in the stimulus package addressed tuition. Cheek said the only thing would be the restoration of the budget to 2006-2007, but he did not know about tuition. Simek said some language addressed it. He said the campus probably would not get as large an increase as proposed, so that pressure probably needed to be maintained.

Vice Chancellor for Development and Alumni Affairs Report (L. Davidson)

L. Davidson reported the good news that 3.05 million of the 4 million dollar fund raising goal had been attained. In other words with 60% of the campaign completed, 70% of the money had been raised. She noted that proposals had been made that would allow achievement of the goal. She said one question was how to raise money during difficult times. She had looked at giving during previous difficult times and learned that there was under a 4% decline in giving. People who are philanthropic (and are employed) typically continue to give. Some people are relatively insulated from economic downturns. And, the last charitable contributions that people tend to cut are to their churches and alma maters. The strategy development officers were employing was to stick with those who had previously donated. She noted the importance of accommodating people seeking to adjust their pledges. She then posed the question of what the campaign donations meant for the campus. She said 30% of the donations would be deferred. And, 99% of the gifts would be restricted, noting that significant money had been designated for professorships and chairs. Davidson said the faculty played an important role in creating a future generation of grateful graduates, in addition to its other contributions.

Comments/Questions. J. Shefner said H. Dye and others have said that legislators have a basic lack of understanding of what the faculty does. He asked whether there was some way to use alumni to get across the political message of supporting the University. Davidson said that Dye worked with a group divided by districts on legislative lobbying. Simek noted that there was alumni support. He noted that caution should be exercised, so that legislators were not overwhelmed. He went on to say that the problem with the legislature is that they have so many issues to address singly or in combination. The question is how to get them behind higher education.

MINUTES

Faculty Senate Meeting

The minutes of the February 25, 2009, Faculty Senate meeting were moved and seconded. Minutes approved.

Faculty Senate Executive Committee Meeting

The minutes of the March 9, 2009, meeting of the Executive Committee were available as an information item.

MINUTES POSTED ELECTRONICALLY

Graduate Council Minutes (V. Anfara)

V. Anfara highlighted the minutes of the February 26, 2009, meeting of the /Graduate Council. He began by expressing appreciation for the actions of the Graduate School. He pointed out that the meeting addressed revisions of the Bylaws for various Council committees, approvals for dissertation directions, and election of a Vice Chair/Chair-elect. Minutes approved.

Statements of Presidential Candidates (B. Lyons)

The agenda order was modified to allow both candidates to make presentations. B. Lyons, Nominating Committee Chair, said it was traditional for oral statements to be made by the candidates, in addition to the written ones. He anticipated that ballots would be distributed later in the week and the election results would be announced at the April meeting of the Faculty Senate. G. Graber spoke first. He noted that the Senate had had extraordinary leadership in recent years. And, he expressed the belief that the proposed Senate Bylaws changes would make the Senate more nimble. J. Heminway said she and Graber supported similar views as evidenced by their written statements. She noted that she focused on trust and communication. She said a time of change provides opportunities.

PREVIOUS BUSINESS

Task Force on Faculty Senate Effectiveness: Proposed Bylaws Changes (T. Boulet)

Committee Chair C. White was out of the country, so T. Boulet as President-elect handled the proposed Bylaws changes. The Executive Committee had reviewed and approved them. Some changes introduced at the last meeting would be voted on, while others were being introduced and would be subject to a vote at the next meeting.

Boulet said one action at the March Executive Committee meeting was removal of the proposed elimination of the Athletics Committee. C. Pierce made a correction. The Executive Committee referred the section of the Bylaws referring to the Athletics Committee to that Committee for review. Birdwell asked about the issue of Appeals Committee members' terms. Boulet said the Executive Committee agreed to a different term structure for members of that Committee. The phrase "except as noted below" would be inserted and the existing language on staggered three-year terms would not be stricken. The motion to approve the proposed amendments to the proposed changes was approved. The motion to approve the proposed changes as amended passed.

The new proposals approved by the Executive Committee included clarifying the Bylaws language (e.g., by referring to campuses in a new Section 3 of Article I) and establishing that once a quorum is obtained "it cannot be lost before the meeting is adjourned" (new Section 4, Article II). M. Holland asked about the intent behind the quorum proposal, as she understood the goal was for meetings to end at 5 p.m. She specifically asked whether a motion to adjourn could still be used to terminate a meeting. She was informed that it could.

REPORTS OF STANDING COMMITTEES

Research Council (J. Hall)

J. Hall reviewed the policy documents approved by the Research Council.

Research Data Policy. The goal of the document was to meet federal obligations for ownership of research data. It would not override other policies governing intellectual property. There was no discussion.

Tangible Research Property Policy. The policy addressed issues of definition, control, and commercialization.

Nolt pointed out that the policies had been approved by the Executive Committee and posted on the web. Motion to approve the policies passed.

Resolution on Response to the American Recovery and Reinvestment Act. The resolution constituted an affirmation of the desirability of responding to the new opportunities for funding. The Executive Committee added to the statement "collaboration of Office of Research." The Executive Committee had approved the resolution. Motion approved.

Faculty Affairs Committee (J. Heminway)

J. Heminway presented an overhaul of the annual review and retention policies. One goal of the changes was coordination of the reviews for those on tenure track. The three-year review time frame would provide fairer evaluation with long-term projects. She pointed out the new form for reporting on external activities. For faculty members in good standing the annual evaluation process would be somewhat truncated as regards the nature of the Department Head's narrative and the materials a faculty member would need to submit. Approval of a new evaluation scheme with five categories was being sought. Tentative approval of the scheme had been received to submit it to the Board of Trustees, if the Senate approved it.

Birdwell had distributed proposed changes (these are included as Appendix A below). Amendments to Exhibit F were moved and seconded. A change in terminology, namely, replacing "employment" with "engagement" was proposed. Amendment 2 proposed another change in wording on p. 24, as the "no expense" wording was at variance with current policy stating "without significant direct expense." Amendment 3 was complex. It addressed federal contracts, specifically OMB Circular No. A21 that does not mention "100% effort." Amendment 4 addressed the confidentiality issue—what *additional information* would be provided. Amendment 5 proposed substituting "or" for "and." Amendment 6 addressed redundancy in two sentences, namely "total consulting time."

J. Malia asked Heminway's view of the proposed changes. Heminway said she did not object to them, although some were more important than others. S. Gardial said she did not see any big problem for the Office of Research. G. Reed said he did not see any problem with what Birdwell proposed. Lyons said whether the form was changed or a wording change was required on compensated outside activity. Wang raised a question about Amendment 5. She asked why limit compensation to enhancement of "professional status." With reference to compensated outside activity could it be modified to "may"? Lyons pointed out that the intention behind Chapter 7 was to have outside activities discussed during the annual review. He noted the goal was to prevent things like running a karate studio. Lyons indicated he supported the changes proposed by Birdwell, but he did not want to introduce other activities, noting that the issue was recurring, not non-recurring activities. Heminway said the goal was to not have people engage in significant outside activities that detracted from their performance. The six proposed amendments were approved.

Discussion of Wang's point about page 24 Exhibit F was resumed. The question was why did it only state "federal." Did it mean that filing was not required for other agencies? Heminway replied that if other agencies were involved that one sentence would not apply, but faculty would still have to file. The question of what constituted "significant outside activity" was raised, particularly if a faculty member has received positive evaluations.

A resolution by G. Pulsinelli to amend proposed paragraph A.5 of Part II of the *Manual for Faculty Evaluation* (page 9 of the Faculty Affairs packet distributed prior to the meeting) was distributed at the meeting. The resolution was moved and seconded. The goal of the proposed stipulations about communication during the Annual Review Process was to clarify channels of communication. Heminway said there was concern about department heads talking to deans ahead of time or a faculty member immediately going to the Dean after meeting with the Head. Birdwell expressed concern about the last line that mentioned the ombudsperson but not the Appeals Committee. Heminway said meeting with the ombudsperson would constitute a consultation rather than an appeal. Birdwell pointed out that an early meeting with the Appeals Committee Chair would be a consultation also. Heminway responded that nothing could be appealed until the Chief Academic Officer ruled. Birdwell said communication usually began earlier than that. Boulet pointed out that a faculty member usually learns how to file an appeal through conversations. Heminway said the issue was one of process versus substance. T. Wang asked when the annual review process would be complete. Heminway said while there was still not a calendar for next year, she anticipated it would be late in the fall semester. Vice Provost S. Gardial offered that it likely would be early December. Wang said she thought the right to consult was important. Birdwell proposed an amendment to the Pulsinelli amendment: insert at the end of the last sentence of the proposed text of the Pulsinelli amendment: "pursuing possible rights of appeal available under Chapter 5 of the *Faculty Handbook*." N. Mertz seconded. Heminway said the proposed amendment would require a small change to separate that last part of the last sentence into two labeled clauses, (a) and (b), with (a) including the mentor exception and (b) including the Birdwell amendment. G. Pulsinelli was asked for his view (as a current member of the Appeals Committee) on the timing issue, that is, whether consultations with the Appeals Committee or its Chair should start taking place before the annual review process is completed. Boulet said faculty members should be able to enter into confidential conversations with the Appeals Committee Chair at any time. G. Fox said she was concerned about clause (a). Heminway said the mentoring process is also supposed to be confidential.

Motion to move the question was made and seconded. The Birdwell amendment to the Pulsinelli amendment was approved. A motion to postpone action on the overall Pulsinelli amendment, as amended by the Birdwell amendment, was made, seconded, and approved.

N. Mertz moved to adjourn. Motion died for lack of a second.

NEW BUSINESS

Faculty Senate Elections (T. Boulet)

Boulet announced that that evening faculty members would receive an email with a link allowing them to vote for the candidates for Senate from their unit. The voting would close on Saturday at 5 p.m.

ADJOURNMENT

Motion to adjourn made, seconded and approved. Meeting adjourned at 5:12 p.m.

Respectfully submitted,
Suzanne Kurth, Secretary

APPENDIX A

Doug Birdwell's proposed Amendments to "RESOLUTION FROM THE FACULTY AFFAIRS COMMITTEE OF THE FACULTY SENATE PROPOSED FOR ADOPTION AT A MEETING OF THE FACULTY SENATE TO BE HELD ON March 23, 2009"

I plan to move that the following amendments to Exhibit F of the above resolution be adopted at today's meeting of the Faculty Senate.

--Doug Birdwell / EECS / College of Engineering / March 23, 2009

Amendment 1: In exhibit F, change "employment" to "engagement" as follows:

on p. 24:

(a) Change:

"The proposed employment will not interfere with my assigned duties. In such outside employment, I will act as an individual and not as a representative of The University of Tennessee."

to

"The proposed engagement will not interfere with my assigned duties. In such outside engagement, I will act as an individual and not as a representative of The University of Tennessee."

(b) Change:

"I understand that consulting/outside employment may not be undertaken on that portion of time covered by federal grants or contracts. I further understand that this request applies only to that portion of my time for which I am employed by The University of Tennessee. I agree to furnish reports and additional details of employment as reasonably required (taking into account, for example, professional or contractual obligations of confidentiality) and to update this form when appropriate during the academic year."

to

"I understand that consulting/outside engagement may not be undertaken on that portion of time covered by federal grants or contracts. I further understand that this request applies only to that portion of my time for which I am employed by The University of Tennessee. I agree to furnish reports and additional details of engagement as reasonably required (taking into account, for example, professional or contractual obligations of confidentiality) and to update this form when appropriate during the academic year."

(c) Change:

"I certify that there will be no conflict of interest between this outside employment and my responsibilities as an employee of The University of Tennessee. I also certify that this employment/consulting work will be conducted at no expense to The University of Tennessee."

to

"I certify that there will be no conflict of interest between this outside engagement and my responsibilities as an employee of The University of Tennessee. I also certify that this engagement/consulting work will be conducted at no expense to The University of Tennessee."

(d) Change:

"I have read Chapter 7 of the Faculty Handbook (Compensated Outside Services) and agree to conduct my outside employment/consulting in accordance with the applicable provisions of this Chapter"

to

"I have read Chapter 7 of the Faculty Handbook (Compensated Outside Services) and agree to conduct my outside engagement/consulting in accordance with the applicable provisions of this Chapter"

on p. 25:

(a) Change "Names and addresses of employing firms, agencies or individuals" to "Names and addresses of firms, agencies or individuals" (deleting the word employing).

Rationale: Consulting is often performed by a faculty member as an independent contractor, and not as an employee. The IRS treats these situations differently, and a publicly available form signed by the faculty member referring to the relationship as "employment" could create problems.

Amendment 2: In Exhibit F, change the wording on p. 24 from:

"I also certify that this employment/consulting work will be conducted at no expense to The University of Tennessee."

to

"I also certify that this engagement/consulting work will be conducted without significant direct expense to UT or significant use of university facilities, equipment, or services unless procedures and fee schedules have been established and approved as specified in the Faculty Handbook."

Rationale: The historical standard has been one of "no significant impact", not "no expense" to UT. See section 7.3, item #6 of the *Faculty Handbook*. This issue also came up a number of years ago with regard to the use of UT IT resources such as the network and email -- and the Research Council (including Bill Blass and myself, among others) affirmed its position in these discussions (with OIT) that an expectation of "no expense" was unreasonable and could open a faculty member to criticism for activities such as use of a UT email account to communicate with a client. This position is reflected in the current wording in the *Faculty Handbook*, which is extracted to form the proposed change.

Amendment 3: On p. 24, change:

"if I receive compensation from federal grants and contracts, the additional commitment reported with this form cannot result in more than 100% effort as detailed in OMB Regulation A21"

to

"if I receive compensation from federal grants and contracts, I understand that this compensation must be in compliance with OMB Circular No. A21".

Rationale: OMB Circular No. A21 (its official name) does not mention "100% effort", and it does not restrict total effort to 100%. The current wording is not consistent with either historical UT practice and policies or the requirements of OMB Circular No. A21. The relevant portion of A21 is reprinted at the end of this document for your review. For the full text, see <http://www.whitehouse.gov/omb/circulars/a021/a021.html>.

Amendment 4: On p. 24, change:

"I agree to furnish reports and additional details of employment as reasonably required (taking into account, for example, professional or contractual obligations of confidentiality) and to update this form when appropriate during the academic year."

to

"I agree to furnish additional information as reasonably required, so long as this is consistent with, for example, my professional or contractual obligations of confidentiality, and to update this form when appropriate during the academic year."

Rationale: The issues of confidentiality can not be overstated. "Reports" – which could be interpreted as being written – are a particularly severe problem.

Amendment 5: On p. 24, change:

"my value as a faculty member and my own professional status will be enhanced and improved by the proposed outside professional activity"

to

"my value as a faculty member or my own professional status will be enhanced and improved by the proposed outside professional activity"

Rationale: It would be difficult to firmly establish that one's value as a faculty member is enhanced and improved by a single activity. This standard is also unfair to faculty members who agreed to employment at UT with the understanding and expectation that they were free to consult for external organizations up to one day a week without any restrictions.

Amendment 6: On p. 25, delete the lines that begin:

"Total consulting time requested for period"

and

"Total consulting time requested (including previous approvals)"

Rationale: Many consulting projects are open-ended and may continue for an extended period of time. I believe the rest of the form adequately captures the need for reporting and oversight without attempting to account for every hour or day of labor in advance.

Faculty Senate Executive Committee
MINUTES
April 6, 2009

Present: Vince Anfara, Doug Birdwell, Toby Boulet, Marianne Breinig, Donald Bruce, Jimmy Cheek, Becky Fields, Joanne Hall, Joan Heminway, Margo Holland, Becky Jacobs, Suzanne Kurth, India Lane, Catherine Luther, Beauvais Lyons, Susan Martin, John Nolt, Carl Pierce, Jan Simek, Anne Smith, and Tse-Wei Wang.

Guests: Scott Simmons (Graduate Assistant), Jeff Maples

I. CALL TO ORDER

J. Nolt called the meeting to order at 3:32 p.m.

II. REVIEW OF MINUTES

Beauvais Lyons requested that the comment attributed to him in the next to the last sentence of the first paragraph of the Senate President's Report be changed to: " ...not a focus *on individual positions.*" The Minutes of the March 9 meeting were moved, seconded and approved.

III. REPORTS

Senate President's Report (J. Nolt)

John Nolt reported Joan Heminway was elected to the position of President-elect. He and Toby Boulet attended the TUFS (Tennessee University Faculty Senates) retreat over the weekend. The organization's constitution has now been ratified by all the UT and four-year Board of Regents schools, except for Tennessee Technological University, which did not have a representative present. Nolt was elected TUFS President. Nolt reported that there was a belief that the discussions about reorganizing the structure of higher education in the state might lead Governor Bredesen to appoint a commission. A faculty seat on such a commission, if appointed, was the focus of a letter writing campaign.

Nolt and Jon Shefner, Chair of the Legislative Task Force, and others had participated in various meetings with constitutional officers and legislators. They worked closely with Hank Dye and Anthony Haynes.

Margo Holland asked if the discussion of reorganizing higher education included THEC (Tennessee Higher Education Commission). Nolt said there was talk of an independent commission because various models included elimination of THEC.

Provost's Report (S. Martin)

Susan Martin indicated the administration was still trying to understand the stimulus package. She noted that the administration's knowledge of the stimulus package was continually changing. Ads had been placed in the *Chronicle of Higher Education* in an effort to backfill lecturer positions. She said Nolt would talk about the Program Review, Reallocation and Reduction document. The campus had more time to be deliberative about looking at programs, but serious planning needed to continue. She complimented the Faculty Affairs Committee on its good work. She noted that until May 1 admissions would be uncertain. She said that

commitments were coming in a little slower perhaps due to the date change. Wang asked about the enrollment goal. Martin said it was 4100-4200.

Lyons asked how much of the stimulus money could be used for improvements and maintenance. Jeff Maples stated there was a clear stipulation against using the funds for bricks and mortar. Money could be used for maintenance and for improvements associated with improving instruction and energy saving. The percentage used for maintenance would be monitored. Lyons asked whether maintenance activities were being prioritized, e.g., for energy saving. Maples indicated they were in the midst of listing the top 10. Jimmy Cheek said he had talked with Martin and Maples about renovation projects critical to address beyond that time frame.

Vince Anfara said as a representative of the Graduate Council that he thought while it was good to mention the quality of undergraduate admissions, that the quality of graduate students was unfortunately not mentioned. Awareness of the quality of our graduate students and graduate programs needs to be increased. Martin said he had a good point, but that for many years the campus had relatively open admission at the undergraduate level and the change in that was being addressed. She noted there was a need to provide updated data on graduate students. Also an effort to be more aggressive in soliciting funds for them was underway. Cheek said Martin was working closely with Oak Ridge to obtain resources to support students.

Doug Birdwell expressed concern that some people were essentially told that their positions were gone. Stimulus money helps to offer classes, but some people will not be rehired. Martin explained that there were always shifts in the employment of contingent faculty. She said there was a need for part time temporary people to teach courses in foreign languages, for example.

Chancellor's Report (J. Cheek)

Jimmy Cheek noted that he met regularly with President Simek. Progress was being made on the tuition increase. Cheek said he would like a 9% increase. He said he heard the concerns of the Executive Committee about conducting searches. He appreciated the frank comments and noted that two searches were underway.

He said the campus was fortunate that the Governor and the legislature were using the stimulus money. He agreed with Anfara's comment about graduate education. He said he was committed to finding additional resources and hoped to have them in August.

Higher education reorganization was critical, although there was a need to wait before staking out a position. The campus holds a special position given its research and economic development potential that differentiates it from other public universities and that needs to be protected. The state should not develop a second major research university when there was inadequate funding for the first one. He noted President Simek was meeting with the Governor the next day.

As the President had left, other business was discussed while waiting for his return. Joan Heminway asked whether people would be available between 1:30 and 2:30 (day of the week to be determined) for a meeting with the search committee. Lyons asked Cheek about his impressions after meeting with the Deans and their faculties. Cheek said one issue was dropping courses. Other issues were graduation rates, moving students through more quickly,

and recapping full-time as 15 hours (not 12) rather than uncapping. Newly approved fees were expected to provide additional revenue. Anbara wanted to acknowledge India Lane's receipt of her doctoral degree and an award for the best dissertation in his college.

President's Report (J. Simek)

Jan Simek said it was his official visit to the Executive Committee. He reviewed what he had said at other campuses. His goal was to do the best for all four campuses. He had no mandate to dramatically alter anything. It was made clear to him that he could shrink the number of positions to be more efficient, while recognizing that maintenance of some activities was expected. There were accomplishments in recent years that no one wants to overturn. While a decision was made five years ago to sell the President and the presidency, now the emphasis is on the University's accomplishments and its students. Simek indicated that he was getting ready to meet with various state commissions addressing governance. UTK's survival is tied to the UT system. It might sound attractive to say UTK is the flagship institution, but such a stance could devolve into a battle over resources. The system has political authority because UT Martin, for example, brings in their area legislators, as does UT Chattanooga. One problem is the push to have the University of Memphis become a second Research 1 institution in the state. The campus needs to talk up the positive things it does.

The budget remained a serious concern. The stimulus money delayed rather than saved the University from budget cuts. The stimulus money would allow the University to gently diminish resources. The amount of reduction required did not change, but the timing of the reductions did. Having additional time might provide the opportunity to increase tuition over more than one year. Fixed costs remained a problem. There would be layoffs.

Nolt indicated that he had reported on the meeting of TUFs. He expressed the hope that if the Governor formed a commission that TUFs would have a seat at the table. He asked Simek to communicate that message to the Governor. Simek said if he were asked he would say it was never a bad idea to look at reorganization, but that it would be important to consult with numerous constituents and to examine models in other states. He stressed the importance of not acting precipitously.

IV. OLD BUSINESS

Faculty Affairs Committee: Update on Changes to *Faculty Handbook* and *Manual for Faculty Evaluation* (J. Heminway)

Joan Heminway noted a set of amendments (proposed by Doug Birdwell) was passed by the Senate. She had incorporated any changes associated with the amendments into the form. Birdwell had proposed an amendment to the proposed Pulsinelli amendment. The proposal was to add in consultation with right of appeal, "pursuing possible rights of appeals under Chapter 5 of the *Faculty Handbook*." She asked for responses. Birdwell said he thought it was fine and left flexibility for changes in Chapter 5. The Committee also discussed clarifying the role of the Ombudsperson. The Committee members wanted confidential consultation with the Ombudsperson included as an option. Lyons said the hope had been that consultation with the Ombudsperson might prevent an appeal. Heminway noted that the date of the process starting varies. Tse-Wei Wang asked with reference to including consultation with the Ombudsperson whether the Office of Equity and Diversity (OED) should be explicitly listed. Heminway said the question was when such conversations would be proper.

Program Review, Reallocation and Reduction (PRRR) Task Force: Procedural Framework for Academic Program Discontinuance and Reorganization (J. Nolt)

Nolt reported that the Task Force had pursued its task in two parts: development of procedures and development of criteria. At the same time the system was developing a document. The PRRR Task Force used it in drafting the campus document. Its goal was to have faculty involved throughout the process, not just at its end.

The "Preface" and "Guiding Principles" sections were different. The procedures were reviewed and approved by the Graduate and Undergraduate Councils and subsequently the Senate. They were incorporated in the document. Focus was expanded by the PRRR Task Force to include mergers and other changes that would seriously impact academics. Faculty involvement was included throughout the process, even for the suggestion of a merger. The remainder of the draft paralleled the system document, but the criteria, though similar, were in some cases different. An issue previously raised was the usage of CIP codes in the system document, i.e., anything with a CIP code could be closed. Nolt pointed out that an individual faculty member like himself could be the only person in a CIP category. The Senate already passed a definition of "program" that was incorporated into the document instead of CIP codes. Birdwell noted that the campus tenure and promotion guidelines had specific sentences about inserting comments. He thought that everyone should be able to come to the table and be heard. He raised the question of whether any parties have the right to write comments. Nolt suggested Birdwell could propose an amendment at the April 20 Senate meeting. Birdwell mentioned a potential place on p. 4 based on his experience with false comments being made. Nolt said an insertion might belong on p. 2 under the discussion of mergers.

Lyons noted the stipulation was for all academic units reporting to the Provost and wondered about the Agriculture Campus. Martin explained that that campus had submitted a document for the last Board of Trustees meeting. Lyons sought clarification of the 15 factors listed on pp. 3-4. He said he assumed they were unranked but because they were numbered he sought clarification of their relative importance. Nolt suggested that Lyons introduce an amendment at the next Senate meeting. Lyons noted 3.11.7 of the *Faculty Handbook* discusses what happens to tenured faculty when a program is closed. Boulet pointed out that the tenured faculty issue was addressed in the system document.

Anfara referred to previous discussion about the location of the document and asked whether it would be posted on the website. Martin said it would. Heminway noted that when discussion started the argument was about having quality comparable data. Report approved.

Elections and Committee Appointments (T. Boulet)

Toby Boulet distributed information about the recent election of Senators, noting he was contacting write-in candidates in cases of vacancies. He reported that the response rates for the online ballots appeared to be reasonable. Wang asked about comparative data. No historical data were available.

Athletics Committee (M. Holland)

Margo Holland reported that the Committee had not met yet to discuss possible changes, but committee members had expressed some concern about consolidating the Athletics Committee and the Athletics Board. There currently was interface between the two. She noted that the Board meets twice a year. Holland said she attended the meetings and was vocal at them. She

also noted that the Thornton Center handles academic issues for student athletes and that no other entity was eligible to put an academic program in place for them. The Athletics Committee continuously works with the Thornton Center.

V. NEW BUSINESS

Budget and Planning Committee (D. Bruce)

Don Bruce reported that the Committee had been reviewing the system budget for months. A tremendous increase in spending for "Institutional Support" occurred over the previous five years. The Committee presented a resolution. Bruce noted that Jeff Maples and Chris Crimino had been very helpful. Growth in institutional support was faster than the growth in overall spending. Two-thirds of the increase was at the system level for personnel and benefits (not capital expenditures). The Committee compared spending with UT's selected peer group. Based on its findings, the Committee developed a resolution asking the acting President to cut the expenditures. India Lane asked about older data. Don Bruce said they had not accessed it yet. Recent data were easier to obtain. Wang asked about interpreting Figure 3. Bruce said how it was distributed could not be easily ascertained. Birdwell said he suspected there were other instances of misuse, noting a fancy office for a system official in his area that had never been used. Resolution approved.

Nolt asked for advice for responding to Haynes and Dye. They had mentioned bills that might be of interest to the Faculty Senate that were perhaps less relevant than efforts to permit guns on campus. He sought advice on how involved the Senate President should be in the legislative process. He brought up two issues: suspending students for hazing and extending notification of parents of students who engaged in drug and alcohol abuse to students at private institutions. It was agreed that those were student affairs issues and not issues of concern to the Faculty Senate. Lyons commented that some concerns about textbook selection seemed to run counter to Simek's assertion that at UTK students learn from students who write the textbooks. Bruce cautioned that the comments made by the Senate President should be clearly differentiated from Senate actions. Simek suggested that any proposal that suggested anyone other than the faculty should make the decision should be opposed. Catherine Luther emphasized the importance of voicing an opinion.

A motion to adjourn was made, seconded and approved. Meeting adjourned 5:14 p.m.

Proposed Changes to the Faculty Senate Bylaws

April 20, 2009

At its meeting on March 9, 2009, the Executive Committee approved the following proposed changes to the Bylaws. These proposed changes were presented to the Senate at its meeting on March 23, 2009.

Article I, Section 3. (New section) The Faculty Senate in Knoxville represents three distinct campuses: Knoxville (UTK), the Institute of Agriculture (UTIA) and the Space Institute (UTSI). Hereinafter, these are referred to collectively as the Campuses. Unless otherwise specified below, the title of Chief Academic Officer refers to the Chief Academic Officers of the Campuses.

Article II, Section 4. At the end of the section, add the sentence "Once a quorum is achieved at a meeting of the Faculty Senate, it cannot be lost before the meeting is adjourned."

In what follows, line numbers, section numbers, subsection letters and paragraph numbers are as found in the proposed changes to the Bylaws that were adopted by the Senate at its meeting on March 23, 2009 (not those in the current Bylaws).

Article III, Section 1, Paragraph 2. (Page 1, line 29) At the end of the paragraph, add "Unless otherwise specified below, ex-officio members of committees shall be nonvoting members. Except for the President of the Senate, the term of office for all officers, committee chairs and committee members shall be from August 1 to July 31."

Article III, Section 2, Subsection G, Paragraph 4. (Page 7, line 42) Change "... agenda and minutes ..." to "... agenda, a summary of substantive actions taken and the minutes"

Article III, Section 2, Subsection K, Paragraph 4. (Page 12, line 14) Change "... agenda and minutes ..." to "... agenda, a summary of substantive actions taken and the minutes"

Article III, Section 4. (Page 12, lines 40-43) Change "In the event of a vacancy in the faculty membership of the Committee on Nominations and Appointments or of any committee, the Faculty Senate shall fill ~~such~~ the vacancy by an election at the next regular meeting. The new members shall be elected for the unexpired portion of the term vacated." to "In the event of a vacancy in the faculty membership of any committee, the vacancy shall be filled by action of the Executive Council."

**RESOLUTIONS FROM THE FACULTY AFFAIRS COMMITTEE OF THE
FACULTY SENATE
PROPOSED FOR ADOPTION AT A MEETING OF THE
FACULTY SENATE TO BE HELD ON
April 20, 2009¹**

WHEREAS, under Section 3.E. of the Bylaws of the Faculty Senate, the Faculty Senate Faculty Affairs Committee of the Faculty Senate “is responsible for reviewing proposed revisions and recommending changes to the *Faculty Handbook* following review provisions as set forth in the *Faculty Handbook*, and for reviewing the *Manual for Faculty Evaluation*,” and

WHEREAS, the Office of the Provost and the Deans’ Council recommended that the Faculty Senate Faculty Affairs Committee review and recommend proposed revisions to the *Faculty Handbook* and the *Manual for Faculty Evaluation* to improve, clarify, and simplify the faculty annual review and retention review processes;

WHEREAS, under Section 8.3 of the *Faculty Handbook*, the Faculty Senate Faculty Affairs Committee “is responsible for recommending changes, which should have input from the chancellor, the vice president, and their administrative staff including deans for consideration by the Faculty Senate Executive Committee and final consideration by the full Faculty Senate;” and

WHEREAS, under Appendix D of the *Manual for Faculty Evaluation*, “[r]evisions to the *Manual for Faculty Evaluation* are made in consultation with and the approval of the Faculty Senate Faculty Affairs Committee and the Faculty Senate Executive Committee for final approval by the full Faculty Senate;” and

WHEREAS, the Faculty Senate Faculty Affairs Committee has reviewed—and sought (i) input from the Interim Chancellor and the Vice President of Agriculture and (ii) consideration by, consultation with, and the approval of the Faculty Senate Executive Committee on—various revisions to the *Faculty Handbook* and the *Manual for Faculty Evaluation* designed to improve, clarify, and simplify the faculty annual review and retention review processes; and

WHEREAS, the memorandum from the Faculty Senate Faculty Affairs Committee to the Faculty Senate attached to the minutes of this meeting as Exhibit A describes these various revisions to the *Faculty Handbook* and the *Manual for Faculty Evaluation*;

now, therefore, it is

RESOLVED, that the changes to the *Faculty Handbook* and the *Manual for Faculty Evaluation* attached to these minutes as Exhibits B and C are approved and adopted and that the changes to the *Manual for Faculty Evaluation* become effective only if and at the time the changes to the *Faculty Handbook* become effective; and it is further

RESOLVED, that the Annual Recommendation on Retention of Tenure-Track Faculty and the Faculty Annual Evaluation Report attached as part of Appendix A to the *Manual for Faculty Evaluation* are deleted and that the two-sided Faculty Annual Review Form attached to these minutes as Exhibit D is substituted for those documents; and it is further

RESOLVED, that, in addition to the changes to the *Faculty Handbook* noted in Exhibits B and C to these minutes, paragraph 3 of Section 7.2 of the *Faculty Handbook* is revised to delete the following sentence:

¹ These resolutions are revised to reflect a revised Exhibit F--Faculty External Compensation and Consulting Annual Report Form—which was amended by resolution of Senator Doug Birdwell at the March 23, 2009 Faculty Senate meeting.

“The faculty member may choose to include a description and review of compensated outside activities as a separate addendum to the annual review, if appropriate.”

And it is further

RESOLVED, that in addition to the changes to Parts I and II of the *Manual for Faculty Evaluation* noted in Exhibits B and C to these minutes, certain conforming changes are made in the *Manual for Faculty Evaluation* as follows:

(1) the term “annual evaluation” in the text of the “Introduction: General Information and Guidelines for Using this Manual,” Part V.A.1., Part V.A.2.a., Part V.A.2.b., and Part V.A.3. of the *Manual for Faculty Evaluation* is changed to “annual review;”

(2) the reference in Part IV.A.1.e.i. to “Annual Recommendation on Retention forms and Faculty Annual Evaluation Reports” is changed to “Retention Review Forms and Annual Review Forms;”

(3) the two references in Part IV.B.3.d.i. of the *Manual for Faculty Evaluation* to “Annual Recommendation on Retention forms” are changed to “Retention Review Forms” and that the word “for” be inserted after the first reference;

(4) the two references in Part IV.A.1.e.ii. and the reference in Part V.B.1.a. of the *Manual for Faculty Evaluation* to “Faculty Annual Evaluation Reports” are changed to “Annual Review Forms;”

(5) the reference to “Faculty Annual Evaluation Report” in Part V.A.3. of the *Manual for Faculty Evaluation* is changed to “Annual Review Form;”

(6) Appendix A to the *Manual for Faculty Evaluation* is re-titled as follows “Faculty Annual Review Report and Cumulative Peer Review Report;”

(7) the first two listed items in Instruction G and the two items in numbered paragraphs 1 and 2 of Part G in Appendix B are deleted and are replaced with “Retention Review Forms (for tenure-track faculty only)” and “Annual Review Forms (for faculty seeking promotion only),” respectively;

(8) the reference to “Annual Recommendation on Retention forms and/or the Faculty Annual Evaluation Reports” in Part A. 3. of Appendix B is replaced with a reference to “Retention Review Forms and/or Annual Review Forms;” and

(9) references to “annual evaluation” and “annual teaching evaluation” in the “Best Practices for Assessment and Evaluation of Faculty Teaching” attached to the *Manual for Faculty Evaluation* are changed to “annual review” and “annual teaching review,” respectively; and it is further

RESOLVED, that this Faculty Senate approves and adopts a five-category evaluation scale (as included in the Annual Review side of the Faculty Annual Review Report attached to these minutes as Exhibit E) for use in annual reviews on a pilot basis commencing in the fall 2009 semester and that the Faculty Annual Review Report attached to these minutes as Exhibit E be used for faculty annual reviews commencing in the fall 2009 semester and continuing until the pilot program is terminated; and it is further

RESOLVED, that the Faculty External Compensation and Consulting Annual Report Form attached to these minutes as Exhibit F is approved and adopted and that this form be included as part of Appendix A to the *Manual for Faculty Evaluation*; and it is further

RESOLVED, that the changes to the *Faculty Handbook* approved in these resolutions be presented to the Chancellor and the Vice President of Agriculture (who then will submit their recommendations concerning the proposed revisions to the chief academic officer for the system, who then will submit his or her recommendation to other appropriate vice presidents, the general counsel, and the president).

To: Faculty Senate
From: Faculty Senate Faculty Affairs Committee
Date: March 4, 2009

Re: Annual Performance Reviews and Retention Reviews – Proposed Changes to the *Faculty Handbook* and *Manual for Faculty Evaluation*; Related Pilot Program

This memorandum explains proposed changes to the *Faculty Handbook* and *Manual for Faculty Evaluation* relating to both (1) annual performance reviews for tenure-track and tenured faculty and (2) retention reviews for tenure-track faculty. The memorandum also describes a related pilot program for annual performance reviews. These changes and the basic description of the related pilot program incorporate suggestions from the UTK Dean's Council, the Vice President of Agriculture, the Dean of the University of Tennessee Space Institute, the Office of the Provost, and faculty members serving on the Faculty Affairs Committee. The changes, the pilot program, the related drafting, and the summary provided in this memorandum, have been discussed and vetted by the Faculty Affairs Committee over a period of many months.

As you will see, there are many interrelated changes. Since our objective is to propose these changes and the pilot program for approval and adopted at the March Faculty Senate meeting, **I ask that you review this memorandum and post your comments in the related discussion forum on the Faculty Senate Blackboard site.**

A. Changes Affecting both the Annual Performance Review Process and Retention Review Process

1. *Ensure that basic substantive descriptions of both processes are included in the Faculty Handbook and that the procedures regarding each are included in the Manual for Faculty Evaluation.* This mostly requires shifting some text back and forth between the two documents, but also involves a limited amount new drafting.
2. *For untenured UTK and UTSI faculty, coordinate the annual review and retention review processes so that tenure-track faculty members prepare and submit review materials once every year.* With both reviews occurring in the fall at UTK and UTSI, faculty members on those campuses will complete and file Faculty Activity Reports (see item 4 below) once each year, in or about August (to cover the preceding academic year).
3. *Provide for a single report (i.e., Faculty Annual Review Report) for each tenure-track and tenured faculty member that will include evaluation results for that faculty member and any required form of narrative or substitute, as well as, in the case of a tenure-track faculty member, the retention review results for that faculty member.* The revised, consolidated, two-sided report will be included as an attachment to the *Manual for Faculty Evaluation*. At UTK and UTSI, the two sides of the report will be prepared, signed, and transmitted together, streamlining the review process for the faculty member and administrators. At UTIA, where the annual review and retention review processes will not take place in the same semester for operational and administrative reasons, the two sides of the report will be separately prepared, signed, and transmitted.
4. *Formalize the name and genesis of the contents of the annual report prepared and filed by each faculty member at the department level.* The proposed text labels this report by its common moniker—Faculty

Activity Report—and provides that the form and content of the report be determined by college and department bylaws.

5. *In both the annual review and retention review processes, add express provisions (a) allowing for department heads to formally respond when the college dean disagrees with the department head's determinations and (b) providing that any such response (i) be disseminated to the faculty member and the dean and (ii) be included in the formal record of the review.* This seems like an approach that is more transparent and fair to both the faculty member and the involved administrators.
6. *In both the annual review and retention review processes, add a statement requiring that the threshold decision-making person (the department head, for the annual review) or body (the tenured faculty, for the retention review) only rely on and include in the review and any related narrative documented and substantiated information available at the time of the review.* The text includes an express clarification that neither the review nor the narrative may be based on rumor or speculation. This additional guidance is designed to help department heads and tenured faculty meaningfully and fairly distinguish and employ information important to the review.

B. Changes Affecting the Annual Performance Review Process

1. *Conform references to this process in the Faculty Handbook and Manual for Faculty Evaluation so that they use consistent terminology.* I note that the UT Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure (March 2006), available at <http://bot.tennessee.edu/policies-acad.html#evaluationoftenuredfaculty>, calls this activity an "Annual Performance-and-Planning Review." The *Manual* variously uses "annual evaluation" and "annual review." We chose the latter (the term used in the *Faculty Handbook*) and plan to make the Part consistent. (Note that the Policies refer to this process only in the context of tenured faculty.)
2. *Provide that each year, faculty are evaluated based on their performance during the prior three years.* This enables faculty members with long-term projects to more easily show progress that then can be credited and, under current metrics, awarded with merit pay, when it is made available. Although the UT Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure (March 2006), available at <http://bot.tennessee.edu/policies-acad.html#evaluationoftenuredfaculty>, provide that the annual evaluation examines "the current fiscal/academic year's activities," the Office of the Provost and the Faculty Affairs Committee agree that this language in the Policies is not intended to be exclusive (i.e., that an examination of more than just the current year's activities is compliant with the Policies).
3. *Clearly state that neither faculty nor administration is permitted to communicate about the substance of the faculty member's annual review except as part of the formal review process itself.* Some faculty members have learned that unit leaders have informally discussed their evaluation of a faculty member with, for example, a more senior administrator within the review system before review processes have been undertaken or fully completed. This compromises the fairness of the evaluation process and must not occur.
4. *Provide that faculty members must prepare and submit the Faculty External Compensation and Consulting Annual Report Form among the materials required to be supplied in connection with each annual review.* This new form reports compensated outside activities engaged in by faculty. Currently, some units successfully capture this information and some do not, creating inequities. With this change, both faculty and unit leaders are responsible for the failure of a faculty member to complete and file this information on an annual basis and can be held accountable for a failure to do so. Implementation of

this change requires small changes to both the *Faculty Handbook* (Section 7.2) and the *Manual for Faculty Evaluation* (Part II.D.).

5. *Allow tenured faculty members in good standing to submit abbreviated materials in connection with annual reviews.* For these purposes, a tenured faculty member is in good standing if he or she (a) received a rating in the previous annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (b) is not under a Cumulative Performance Review.
6. *Permit unit leaders to attach the Faculty Activity Report of a faculty member in good standing (as defined in item B.5. above) in lieu of writing a separate narrative about the faculty member's performance for inclusion with the faculty member's Faculty Annual Evaluation Report, unless (i) the faculty member requests that the department head write a separate narrative in that year or (ii) it has been three years since the department head last wrote a narrative for that faculty member.* The Deans' Council requested a short-form process under these circumstances. The UT Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure (March 2006), available at <http://bot.tennessee.edu/policies-acad.html#evaluationoftenuredfaculty>, provide that

[e]ach faculty member and his or her Department Head will engage in a formal annual Performance-and-Planning Review, examining the current fiscal/academic year's activities and planning what should occur during the coming fiscal/academic year. . . . A document summarizing the review-including an objective rating of the faculty member's performance, as listed below-must be signed by the faculty member (to acknowledge receipt of the review document) and the Department Head. The Head must send a copy to the Dean. The Dean must send copies of the documents or a list of names by category to the Chief Academic Officer for review and approval/disapproval.

The proposed short-form process does not appear to violate the letter or spirit of these provisions and relieves unit leaders of what we deem to be inconsequential reporting obligations. The Faculty Affairs Committee considered the possibility of only extending the good standing definition to tenured full professors or faculty tenured for at least five years, but we determined that a tenured faculty member in good standing who desires that his or her department head draft a full narrative more often than once every three years (e.g., as he or she prepares for promotion to full professor) could request that the department head draft a narrative and should feel secure in doing so. We also afforded the department head an express right to voluntarily provide a narrative at any time.

Related Pilot Program

Also, the Deans' Council and the Faculty Affairs Committee concur that a five-category annual review ranking system, with "meets expectations" as the equivalent of the middle ranking category, is preferable to the current four-category system in which "meets expectations" is the second-highest ranking category. This would allow for more refined judgments to be made about the performance of faculty and normalize the ranking scale around a defined midpoint. The UT Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure (March 2006), available at <http://bot.tennessee.edu/policies-acad.html#evaluationoftenuredfaculty>, mandate the current four-category system, so we currently are unable to propose a change in this regard. However, UTK Vice Provost for Faculty Affairs, Sarah Gardial, has received tentative approval from the University system administration to suggest and implement a pilot program for a five-category system at UTK, UTIA, and UTSI. Accordingly, we also are asking for Faculty Senate approval of this pilot program for implementation in the 2009-2010 academic year, beginning with the fall 2009 review cycle at UTK (and if the Faculty Senate approves the related changes set forth in this memorandum, UTSI), assuming Faculty Senate and Board of Trustees approval this spring.

C. Changes Affecting the Retention Review Process

1. *Mandate a more substantive review of each faculty member in the year following the midpoint of their probationary period (for most faculty members, in their fourth year of service) that focuses specifically and comprehensively on the faculty member's ability to meet the requirements for tenure in the department, college, campus, and University.* Units will need to provide for specific procedures for this enhanced review in their bylaws, but this new provision in the *Manual for Faculty Evaluation* will call for the tenure-track faculty member to prepare, with the guidance and counsel of the Dean, a file on her or his cumulative performance that is, in substance, a tenure "pre-dossier," reflecting her or his degree of progress in satisfying the requirements for tenure in teaching, research / scholarship / creative activity, and service. This file will be completed in time for the faculty member's annual retention review. A faculty member with a probationary period of less than four years is exempt from this enhanced review process but may voluntarily request that the tenured faculty provide such a review in any one year during the probationary period.
2. *Clarify the meaning of the tenured faculty's vote on retention.* The Deans' Council and the Faculty Affairs Committee both are concerned that the purpose of the tenured faculty's vote on retention is unclear and that more clarity may enhance the informational value of the retention review for faculty members and the better delineate the nature of the tenured faculty's review process. Accordingly, the tenured faculty's vote in the years before any enhanced retention review referenced in item C.1. above shall focus primarily (but not exclusively) on the tenure-track faculty member's ability to sustain a level of teaching, research / scholarship / creative activity, and service that comports with the unit's expectations for faculty members at the rank of the faculty member under review. Beginning in the year in which the tenure-track faculty member is the subject of the enhanced retention review process referenced in item C.1. above (or, for a faculty member who is exempt from the enhanced retention review process, in every year of his or her probationary period), the tenured faculty's vote on retention shall focus primarily (and increasingly, in succeeding years) on the tenure-track faculty member's ability to meet the requirements for tenure in the department, college, campus, and University.

UTK Faculty Senate Faculty Affairs Committee

Annual Review for All Faculty Members

Recommended Changes to Faculty Handbook (Section 3.8.1)

3.8.1 Annual Review for All Faculty Members

Every tenure-track and tenured faculty member at the University of Tennessee who is not on leave is reviewed annually. The goals of these reviews are to:

1. review accomplishments as compared to previously set specific objectives for the faculty member by the faculty member and the head consistent with this *Faculty Handbook*, the *Manual for Faculty Evaluation*, and departmental bylaws;
2. establish new objectives for the coming year, as appropriate, using clearly understood standards that are consistent with this *Faculty Handbook*, the *Manual for Faculty Evaluation*, and departmental bylaws;
3. provide the necessary support (resources, environment, personal and official encouragement) to achieve these objectives;
4. fairly and honestly assess the performance of the faculty member by the department head and, where appropriate, by colleagues; and
5. recognize and reward outstanding achievement.

The review processes is established in Board Policy, the *Manual for Faculty Evaluation*, and departmental bylaws.

Recommended Changes to Manual for Faculty Evaluation (Part II)

A. GENERAL INFORMATION

1. Policies Governing Annual Review. Policies adopted by The University of Tennessee Board of Trustees require that each faculty member and his or her department head engage in a formal annual performance-and-planning review. Each faculty member's annual performance-and-planning review must proceed from guidelines and criteria contained in Section 3.8.1 of the *Faculty Handbook*, this manual, and collegiate or departmental bylaws.

2. Goals of the Annual Review. The goals of the annual performance and planning review are set forth in Section 3.8.1 of the *Faculty Handbook*.

3. Timetable for Annual Review. Each faculty member at The University of Tennessee, Knoxville and the University of Tennessee Space Institute is evaluated annually on his or her performance during the previous three academic years. Each faculty member at the University of Tennessee Institute of Agriculture is evaluated annually on his or her performance during the previous three calendar years. In either such case, the three-year period is referred to as the "Evaluation Period." For each tenured or tenure-track faculty member at The University of Tennessee, Knoxville or the University of Tennessee Space Institute, the Annual Review side of the Faculty Annual Review Report attached at Appendix A to this manual (the "Annual Review Form") will be completed at and transmitted from the faculty member's department in the fall semester of each academic year,

as set forth in the Faculty Evaluation Calendar. For each tenured or tenure-track faculty member at the University of Tennessee Institute of Agriculture, the Annual Review Form will be completed in the spring semester of each academic year, as set forth in the Faculty Evaluation Calendar.

4. Articulation with the Retention Review. Tenure-track faculty members undergo the annual retention review process described in Part I of this manual as well as an annual review. The retention review process for tenure-track faculty members at The University of Tennessee, Knoxville and the University of Tennessee Space Institute shall be coordinated with the annual review process described in this Part II, and the results of the retention review process shall be recorded on the appropriate side of the Faculty Annual Review Report (see paragraph B.4. of this Part II and Appendix A of this manual).

5. No *Ex Parte* Communications. The annual review process exists to provide fair and objective feedback and relevant support to faculty members on a regular and constructive basis. Accordingly, the procedures for the annual review are designed to create and preserve specific lines of communication between faculty and administrators. As a means of preserving this process, neither the faculty member under review nor any administrator managing or conducting the review is permitted to communicate substantive information about the review with others in or outside the review process except as specified in this manual. For example, a department head shall not communicate with a dean about the substance a faculty member's review except through the Annual Review Form.

B. PROCEDURES FOR THE ANNUAL REVIEW OF FACULTY

1. Initiating the Annual Review Process. The department head manages the process of annual review of tenured and tenure-track faculty in a timely way to ensure compliance with all deadlines for submission of the review forms to the dean and chief academic officer.

a. Scheduling the annual review conference. The department head should schedule the annual review conference with each tenured and tenure-track faculty member at least two weeks in advance of the date to allow faculty adequate notice to prepare the required materials.

b. Preparing for the review conference. The department head will inform the departmental faculty of the materials that should be prepared and submitted before the conference and the format to be used for submission of materials for the review, in each case as set forth in paragraph B.2. of this Part II.

2. Documents Prepared by the Faculty Member. The faculty member prepares a written summary of work in teaching, research/scholarship/creative activity, and service. The summary includes work accomplished during the Evaluation Period. Except as otherwise noted at the end of this paragraph 2., it is suggested that each faculty member under review provide to the department head review materials which contain at least the following:

a. a summary of the past year's plans and goals developed at the previous year's annual review;

b. a summary of the faculty member's activities and accomplishments during the Evaluation Period in teaching, research/scholarship/creative activity, and service, in accordance with Section 3.8.1 of the *Faculty Handbook* (the "Faculty Activity Report"), the form and content of which shall be determined based on college and department bylaws, but each of which should include evidence, if any, of international and intercultural expertise or experience;

c. a list of specific plans and goals for the upcoming year;

- d. any documentation requested by the department head or required by departmental or collegiate bylaws that evidences the faculty member's activities during the Evaluation Period, which may include information supporting accomplishments in teaching, research/scholarship/creative activity, and service;
- e. a completed, signed copy of the Faculty External Compensation and Consulting Annual Report Form (see Appendix A of this manual and Section D. of this Part II); and
- f. a current *curriculum vitae*.

Collegiate or departmental bylaws may require that less extensive review materials be submitted by a tenured faculty member who (i) received an overall rating in his or her most recent annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (ii) is not under a Cumulative Performance Review (as described in Part V of this manual). A faculty member meeting the criteria set forth in clauses (i) and (ii) of the preceding sentence is in "Good Standing."

3. The Department Head's Evaluation. The faculty member and the department head have a scheduled conference (a) to discuss the faculty member's (i) goals for the previous year and (ii) accomplishments during the Evaluation Period and (b) to formulate goals for the faculty member for the coming year.

4. Preparation of the Annual Review Form. The department head documents his or her review of each faculty member on the Annual Review Form with attachments if necessary. The department head signs the Annual Review Form. The Annual Review Form should include the components set forth below, as applicable.

a. The department head writes a narrative describing and discussing the faculty member's progress on his or her goals for the previous year and the performance of the faculty member in the areas of teaching, research/scholarship/creative activity, and service during the Evaluation Period, in each case, based on procedures and standards set forth in the *Faculty Handbook*, this manual, and the departmental bylaws ("Progress and Performance Narrative"). The Progress and Performance Narrative also outlines goals for the faculty member for the coming year and should include evidence, if any, of international and intercultural expertise or experience. The department head's review and the Progress and Performance Narrative only shall rely on and include documented and substantiated information available to the department head at the time of the review and shall not be based on rumor or speculation.

b. The department head may, but is not required to, write a Progress and Performance Narrative for a faculty member in any year in which the faculty member is in Good Standing, unless (i) the faculty member requests that the department head write a Progress and Performance Narrative in that year or (ii) it has been three years since the department head has written a Progress and Performance Narrative for that faculty member. In any year in which the department head does not write a Progress and Performance Narrative for a faculty member as permitted by the previous sentence, the department head shall attach to the Annual Review Form that faculty member's Faculty Activity Report.

c. The department head indicates on the Annual Review Form whether the performance of the faculty member exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, or is unsatisfactory for his or her rank, based on previously established objectives for that faculty member and departmental bylaws (including the department's criteria for the various ratings at the different ranks).

5. Reviewing and Signing the Annual Review Form. The department head gives the Annual Review Form to the faculty member, who reviews and signs it. The faculty member's signature indicates that he or she has read the

entire Annual Review Form, but the signature does not necessarily imply agreement with the Progress and Performance Narrative, performance evaluation, or other contents.

6. Responding to the Annual Review Form. The faculty member may prepare a written response to the Annual Review Form. This response should be copied to the department head, and the department head shall include it in the materials forwarded to the dean under paragraph 7 of this Part II.B. The faculty member shall be allowed two weeks from the date of receipt of the finalized Annual Review Form from the department head to submit any written response. If no response is received by the department head after two weeks from the date the faculty member receives the Annual Review Form from the department head, the faculty member relinquishes the right to respond.

7. Transmitting the Evaluation. The department head forwards to the dean the Annual Review Form and any attachments. The department head also forwards any written response received from the faculty member.

8. The Dean's Review of the Annual Review Form

a. Reviewing and signing the review forms. The dean reviews the Annual Review Forms submitted by each department head and signs the Annual Review Forms, indicating either concurrence with or dissent from the department head's rating of each faculty member.

b. Dissent from the department head's rating. In cases where the dean does not concur with the department head's rating, the dean (i) assigns a different rating, indicating whether the performance of the faculty member exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, or is unsatisfactory for his or her rank, based on previously established objectives for that faculty member and departmental bylaws (including the department's criteria for the various ratings at the different ranks), and (ii) prepares a written rationale summarizing the reasons for his or her dissent from the department head's rating. Copies of the dean's rating and rationale must be forwarded to the faculty member and the department head.

c. Faculty member's and department head's right to respond. Each of the faculty member and the department head has the right to submit a written response to the dean's rating or the accompanying rationale. Any response by the faculty member should be copied to the dean and the department head, and the dean shall include it in the materials forwarded to the chief academic officer under subparagraph d. of this Part II.B.8. Similarly, any response by the department head should be copied to the dean and the faculty member, and the dean shall include it in the materials forwarded to the chief academic officer under subparagraph d. of this Part II.B.8. The faculty member and department head will be allowed two weeks from the date of receipt of the dean's rating and rationale to submit any written response. If no response is received after two weeks from the date of receipt of the dean's rating and rationale, the faculty member or department head, as applicable, relinquishes the right to respond.

d. Transmitting the Annual Review Forms. The dean forwards the Annual Review Form for each faculty member, together with any attachments and any written responses received from the faculty member and the department head, to the chief academic officer by the deadline established in the Faculty Evaluation Calendar. In addition, the dean prepares a spreadsheet listing all faculty and the ratings for each (exceeds expectations, meets expectations, needs improvement, unsatisfactory), organized by academic department, and forwards the spreadsheet to the chief academic officer with the Annual Review Forms.

9. Chief Academic Officer's Review of the Annual Review Forms

The chief academic officer reviews the Annual Review Forms, indicates a final decision on the rating to be assigned to the faculty member (exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, unsatisfactory for his or her rank), and signs the form. Fully executed copies of the Annual Review Form will be returned to the faculty member, the department head, and the dean. In cases where the chief academic officer does not concur with the rating given by the dean, the chief academic officer (a) assigns a different rating, indicating whether the performance of the faculty member exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, or is unsatisfactory for his or her rank, based on previously established objectives for that faculty member and departmental bylaws (including the department's criteria for the various ratings at the different ranks), and (b) prepares a narrative summarizing the reasons for his or her dissent from the dean's rating. Copies of the chief academic officer's rating and narrative must be forwarded to the faculty member, the dean, and the department head.

C. FOLLOW-UP IN CASES OF NEEDS IMPROVEMENT OR UNSATISFACTORY RATINGS

Faculty members who receive notice from the chief academic officer that they have received ratings of "needs improvement" or "unsatisfactory" must develop a plan of improvement and submit the plan to the department head within 30 days of receipt of the fully executed Annual Review Form (as described in Part II.B.9 of this manual). The faculty member has the responsibility of developing a written response for each area needing attention in the Annual Review Form, including the goals and benchmarks for improvement and the resources, if any, to be allocated for this purpose. The faculty member will follow up on this plan at subsequent annual reviews.

1. **Administrative Review of the Plan of Improvement.** The department head will review each plan of improvement developed and submitted by a faculty member under this Part II.C. The department head must approve the plan before forwarding it to the dean for approval. The dean must approve the plan before forwarding it to the chief academic officer for approval. The chief academic officer will notify the dean, department head, and faculty member of his or her approval of the plan. The department head has primary responsibility for monitoring the progress of the faculty member in accordance with standards and procedures established in the departmental bylaws.

2. Following up on the Plan of Improvement

a. **Progress reports.** To permit the department head to monitor the progress of the faculty member, the faculty member should submit to the department head periodic updates on progress on the goals and benchmarks established in the improvement plan, in the form and at the times requested by the department head. The first annual review following a review rating indicating that the faculty member's performance needs improvement or is unsatisfactory shall include a report that clearly describes progress in any area(s) needing improvement or noted as unsatisfactory.

b. **Cumulative Performance Review.** Cumulative performance reviews for tenured faculty are triggered by the rating from the annual review. A faculty member whose performance is found to be unsatisfactory for his or her rank in two out of five consecutive annual reviews or whose reviews in any three of five consecutive years indicate performance that needs improvement for his or her rank or is unsatisfactory for his or her rank shall undergo a cumulative performance review. This process is described in Part V of this manual.

3. **Rating of Unsatisfactory.** A faculty member who receives a rating of unsatisfactory shall be ineligible for rewards.

D. COMPENSATED OUTSIDE ACTIVITIES

As outside compensated activities are not part of the full-time commitments of a faculty member, they cannot be substituted for commitments of a faculty member to teaching, research/scholarship/creative activity, and service within the University. Correspondingly, the annual review of the performance of a faculty member is based only on her/his regular responsibilities and duties as part of her/his full-time commitments to the University which are negotiated annually and must be consistent with the *Faculty Handbook* and applicable bylaws. Should a faculty member wish to pursue compensated outside activities, the faculty member and her/his department head must agree about the faculty development benefits that will be gained by the planned activities, as part of the annual review process. (Faculty members should review and ensure they comply with the full policy on Compensated Outside Services in Chapter 7 of the *Faculty Handbook*.)

UTK Faculty Senate Faculty Affairs Committee

Retention Review for All Faculty Members

Recommended Changes to *Faculty Handbook* (Section 3.8.2)

3.8.2 Annual Retention Review for Tenure Track Faculty Members

In addition to (and at The University of Tennessee, Knoxville and the University of Tennessee Space Institute, coincident with) the annual performance and planning review described in Section 3.8.1, tenure-track faculty members receive an annual retention review. See section 3.11.3.

Recommended Changes to *Faculty Handbook* (Sections 3.11.3.3 and 3.11.3.4)

3.11.3.3 Notice of Non-renewal

Notice that a tenure-track faculty member's appointment will not be renewed for the next year shall be made in writing by the chief academic officer, upon the recommendation of the department head and dean, according to the following schedule:

1. In the first year of the probationary period, not later than March 1 for an academic year appointment and no less than three months in advance for any other term of appointment;
2. In the second year of the probationary period, not later than December 15 for an academic year appointment and no less than six months in advance for any other term of appointment; and
3. In the third and subsequent years of the probationary period, not less than 12 months in advance.

These notice requirements relate only to service in a probationary period with The University of Tennessee, Knoxville, the University of Tennessee Institute of Agriculture, and the University of Tennessee Space Institute. Credit for prior service with another campus or institution shall not be considered in determining the required notice. Notice of non-renewal shall be effective upon personal delivery or upon mailing, postage prepaid, to the faculty member's residential address of record at the university.

3.11.3.4 Annual Retention Review

An annual retention review of tenure-track faculty is conducted by the department head in consultation with the tenured faculty during the fall semester (and at The University of Tennessee, Knoxville and the University of Tennessee Space Institute, coincident with the annual performance and planning review process described in Section 3.8.1). The regular and thorough assessment of tenure-track faculty is an important step in the professional development of those faculty members. The annual retention review process is designed to ensure that a tenure-track faculty member receives clear and timely feedback from the tenured faculty and the department head about his or her contribution to the department, development, and prospects for advancement. Accordingly, the tenured faculty plays an important role in the retention process and is responsible for providing the faculty member with a clear, thoughtful, and professional consideration of both (a) the faculty member's ability to sustain a level of activity that comports with the department's expectations for faculty members at the rank of the faculty member under review and (b) the faculty member's

progress toward promotion and tenure in the context of this *Faculty Handbook*, the *Manual for Faculty Evaluation*, his or her appointment, and departmental bylaws. More information about annual retention reviews and procedures for annual retention reviews is contained in the *Manual for Faculty Evaluation*.

Each tenure-track faculty member will first be reviewed in the fall of his or her second year of appointment. Departmental bylaws shall provide for specific criteria for annual retention reviews of faculty, consistent with the standards and procedures set forth in this Section 3.11.3.4 and the *Manual for Faculty Evaluation* and any criteria established by the department's college.

If the retention decision is negative, the chief academic officer shall give the faculty member written notice of non-renewal in accordance with the notice requirements described in Section 3.11.3.3 above. The faculty member is entitled to a statement in writing of the reasons for the non-renewal decision. This statement, together with any subsequent correspondence concerning the reasons, is a part of the official record.

If the retention decision is positive, the department head will convey the outcome to the faculty member in writing and in a timely manner. The department head will also advise the faculty member as to the time remaining in the probationary period and as to how the quality of his or her performance is likely to be assessed by the tenured faculty and the head in the context of tenure consideration.

Recommended Changes to Part I of the *Manual for Faculty Evaluation*

A. GENERAL INFORMATION

1. Annual Review Process and Retention Review

Department heads evaluate tenured and tenure-track faculty members annually. For information on the annual review of faculty, please refer to Part II of this manual. In accordance with the *Faculty Handbook* (3.8.2; 3.11.3.4), tenure-track faculty members receive an annual retention review in addition to (and at The University of Tennessee, Knoxville and the University of Tennessee Space Institute, coincident with) the annual performance and planning review. The specific criteria for the evaluation and review of tenure-track faculty must be described in collegiate and/or departmental bylaws.

2. Annual Retention Review Process for Tenure-Track Faculty

a. Schedule for retention reviews. The annual retention review will take place in each year of the probationary period leading up to (but not including) the year of tenure consideration. For the schedule of due dates for retention reviews in a given academic year, please consult the Faculty Evaluation Calendar. Each tenure-track faculty member with a probationary period of four or more years shall undergo an enhanced retention review in the academic year following the midpoint in his or her probationary period (typically, the faculty member's fourth year of employment). A tenure-track faculty member with a probationary period of less than four years may request that the tenured faculty provide him or her with an enhanced retention review in any one year of the probationary period up to (but not including) the faculty member's year of tenure consideration. The procedures for regular and enhanced retention reviews are set forth in Section B of this Part I.

b. Recommendation form. The retention review process is documented using the Retention Review side of the Faculty Annual Review Report attached at Appendix A to this manual (the “Retention Review Form”). For each tenure-track faculty member at The University of Tennessee, Knoxville, the University Institute of Agriculture, and the University of Tennessee Space Institute, the Retention Review Form will be completed at and transmitted from the faculty member’s department in the fall semester of each academic year, as set forth in the Faculty Evaluation Calendar.

c. English language competency. The University of Tennessee Board of Trustees mandates that each candidate for tenure and promotion who is not a native speaker of English be certified as competent to communicate in English. The department head monitors effectiveness in communication in English in the annual retention review process. Should student evaluations or other indicators suggest that the faculty member’s English language communication is not effective, the department head will work with the faculty member to identify areas for improvement and to develop, as appropriate, a plan for improving the faculty member’s skills in English language communication.

3. Mentor

The department head assigns a faculty mentor or a mentoring committee for each tenure-track faculty member. The mentor should be a senior member of the same department or another unit, who can serve as a model and as a source of information for the tenure-track faculty member. Department heads should not serve as mentors for faculty within their own departments. The mentor or mentoring committee may participate in the annual retention review in a manner to be determined in collegiate and/or departmental bylaws (see the Best Practices for Faculty-to-Faculty Mentoring annexed to this manual).

B. PROCEDURES FOR RETENTION AND NON-RETENTION

1. Departmental Retention Review Process for Tenure-Track Faculty

a. Preparation for the retention review.

Except in years in which an enhanced retention review occurs (as provided for in paragraph A.2.a. of this Part I), the faculty member prepares and submits to the department head (for distribution to the tenured faculty) a written summary of his or her accomplishments in teaching, research / scholarship / creative activity, and service for the previous academic year in accordance with departmental bylaws. The department head requests this summary in writing from each tenure-track faculty member on behalf of the tenured faculty at least two weeks before it is needed for the review. It is expected that, at The University of Tennessee, Knoxville and the University of Tennessee Space Institute, the Faculty Activity Report submitted to the department head in accordance with paragraph B.2.b. of Part II of this manual will serve as the summary required under this paragraph.

In the year in which an enhanced retention review occurs (as provided for in paragraph A.2.a. of this Part I), the faculty member shall, with the guidance and counsel of the department head, prepare and submit to the department head (for distribution to the tenured faculty) a file on her or his cumulative performance, reflecting her or his degree of progress in satisfying the requirements for tenure in teaching, research / scholarship / creative activity, and service. The file (which shall be prepared by the faculty member as a preliminary draft of the faculty member’s file in support of a tenure dossier) shall contain: the faculty member’s Faculty Activity Reports submitted to the department head in accordance with paragraph B.2.b. of Part II of this manual, computer-tabulated teaching evaluations, and annual retention reports compiled during the faculty member’s probationary period; copies of

research / scholarship / creative activity published or otherwise completed during the probationary period; teaching materials; evidence of research / scholarship / creative activity work in progress; a statement prepared by the faculty member describing other research / scholarship / creative activity in progress but not included in the file, a summary of service to the department, college, University, and other relevant constituencies; and any other materials that the department head requests or the faculty member desires to make available to the tenured faculty.

Faculty members also may be required or permitted to submit other materials in accordance with collegiate and/or departmental bylaws. The department head shall make the materials prepared and submitted in accordance with this paragraph B.1.a. available to the tenured faculty in advance of the meeting on retention.

b. Review by the tenured faculty. The tenured faculty will review the summary submitted by the faculty member in accordance with Part I.B.1.a and, as provided in collegiate and/or departmental bylaws, solicit input from the faculty member's mentor or mentoring committee. The tenured faculty then will construct a narrative that describes and discusses both (i) the faculty member's ability to sustain a level of activity that comports with the department's expectations for faculty members at the rank of the faculty member under review and (ii) the faculty member's progress toward promotion and tenure in the context of the *Faculty Handbook*, this manual, his or her appointment, and departmental bylaws. The review and narrative should specifically address (among other things) the faculty member's establishment and development of teaching methods and tools, program of disciplinary research / scholarship / creative activity, and record of institutional, disciplinary, and professional service, as well as progress toward promotion (where applicable) and tenure. The tenured faculty's review and narrative only shall rely on and include documented and substantiated information available to the tenured faculty at the time of the review and shall not be based on rumor or speculation.

c. The vote of the tenured faculty. The tenured faculty will take a formal retention vote. In the years before any enhanced retention review (as provided for in paragraph A.2.a. of this Part I), this vote shall focus primarily (but not exclusively) on the tenure-track faculty member's ability to sustain a level of teaching, research / scholarship / creative activity, and service that comports with the unit's expectations for faculty members at the rank of the faculty member under review. Beginning in the year in which the tenure-track faculty member is the subject of the enhanced retention review process (or, for a faculty member who is exempt from the enhanced retention review process, in every year of his or her probationary period, even if he or she chooses to undergo a voluntary enhanced retention review in any year), the tenured faculty's vote on retention shall focus primarily (and increasingly, in succeeding years) on the tenure-track faculty member's ability to meet the requirements for tenure in the department, college, campus, and University. The tenured faculty will share the vote and the written narrative with the faculty member and the department head.

d. The department head's review. The department head conducts an independent retention review based upon the faculty member's written summary, the written narrative and vote of the tenured faculty, and a scheduled meeting with the faculty member. The department head shall attach the tenured faculty's vote and narrative (as provided in paragraph B.1.c. of this Part I) to the Retention Review Form. In conducting his or her independent retention review, the department head also may have other consultations with the tenured faculty as needed.

e. The department head's report. The department head makes an independent recommendation on retention and reports this recommendation on the Retention Review Form. The department head's report includes a written recommendation to the dean as to retention or non-retention, including an

evaluation of performance that uses the ratings for annual performance and planning reviews (see Part II)—from “exceeds expectation” to “unsatisfactory.” The department head signs the Retention Review Form.

i. If a retention review results in a recommendation by the department head to retain the tenure-track faculty member, the department head shall ensure that the written report includes express guidance to the faculty member on ways to improve performance.

ii. If the retention review results in a recommendation by the department head not to retain the tenure-track faculty member, the department head includes in the report specific reasons for that decision.

f. Dissemination of the Retention Review Form. The department head will provide to the faculty member a copy of the finalized Retention Review Form, including the department head’s retention report and recommendation. The department head will furnish to the tenured faculty a copy of the department head’s retention report and recommendation.

g. Dissenting statements. Any member of the tenured faculty may submit a dissenting statement to the department head. A copy of the dissenting statement will be furnished to the faculty member under review. The dissenting statement will be attached to the Retention Review Form.

h. Faculty member’s review and signature on the Retention Review Form. The faculty member reviews the Retention Review Form. The faculty member’s signature indicates that she or he has read the entire evaluation, but the signature does not necessarily imply agreement with its findings.

i. Faculty member’s response. The faculty member under review has the right to submit a written response to the vote and narrative of the tenured faculty, to the report and recommendation of the department head, and/or to any dissenting statements. The faculty member shall be allowed two weeks from the date of receipt from the head of the finalized Retention Review Form and its complete set of attachments to submit any written response. If no response is received after two weeks of the date of receipt, the faculty member relinquishes the right to respond.

j. Transmission of the Retention Review Form. The department head will forward to the dean the finalized Retention Review Form, together with the department head’s report and recommendation, the retention vote and the narrative of the tenured faculty, and all dissenting statements and responses.

2. Dean’s Review of the Retention Review Form

a. The dean’s review and recommendation. The dean makes an independent review and recommendation on retention after reviewing the materials referred to in Part I. B.1.j. The dean shall prepare a statement summarizing his or her recommendation when it differs from that of the department head or tenured faculty or stating any other concerns the dean might wish to record, as appropriate.

b. Transmission of the dean’s recommendation and statement. The dean will indicate his or her recommendation for retention or non-retention on the Retention Review Form, sign the Retention Review Form, attach his or her statement, if any, and forward the Retention Review Form with its complete set of attachments to the chief academic officer. The dean will send a copy of his or her recommendation and statement, if any, to the department head and the faculty member.

c. Faculty member's and department head's right to respond. Each of the faculty member and the department head has the right to submit a written response to the dean's retention recommendation or any accompanying statement. Any response by the faculty member should be copied to the dean and the department head. Similarly, any response by the department head should be copied to the dean and the faculty member. The dean shall include any response by the faculty member or department head in the materials forwarded to the chief academic officer under subparagraph d. of this Part I.B.2. The faculty member and the department head will be allowed two weeks from the date of receipt of the dean's recommendation to submit any written response. If no response is received after two weeks from the date of receipt, the faculty member or department head, as applicable, relinquishes the right to respond.

d. Transmitting the retention recommendation. The dean forwards the retention recommendation and any accompanying statement for each faculty member, together with any attachments and any written responses received from the faculty member and the department head, to the chief academic officer by the deadline established in the Faculty Evaluation Calendar.

3. Chief Academic Officer's Review of Recommendations for Retention

a. The chief academic officer's review. The chief academic officer shall review all retention recommendations, make the final decision on retention, and indicate his or her decision on retention on the Retention Review Form. The chief academic officer signs the Retention Review Form and sends a copy of the fully executed Retention Review Form to the faculty member with copies to the dean and department head.

b. Notification in cases of non-retention. If the chief academic officer decides that the faculty member will not be retained, the chief academic officer will notify the faculty member receiving the negative decision in accordance with notification requirements described in the *Faculty Handbook* and the Faculty Evaluation Calendar. The chief academic officer will attach to the Retention Review Form a written statement of the reasons for the non-renewal decision. The chief academic officer's statement, together with any subsequent correspondence concerning the reasons, becomes a part of the official record.

FACULTY ANNUAL REVIEW REPORT - ANNUAL REVIEW

Exhibit D

Faculty member: _____
 Rank: _____

Department: _____
 Evaluation Period: _____

Areas to be evaluated and rated are (1) teaching, (2) research/scholarship/creative activity, (3) service, and (4) overall performance.² In each area, the department head rates faculty performance on a scale of 1 to 4, as set forth below, relative to expectations for his or her rank, based on previously established objectives for that faculty member (including goals for the previous year and each of the preceding two years in the Evaluation Period) and departmental bylaws (including the department's criteria for the various ratings at the different ranks).

- 4 – Exceeds expectations**
- 3 – Meets expectations**
- 2 – Needs improvement³**
- 1 – Unsatisfactory²**

	<i>Unsatisfactory</i>			<i>Exceeds expectations</i>	
Teaching	1	2	3	4	NA
Research/Scholarship/Creative Activity	1	2	3	4	NA
Service	1	2	3	4	NA
Overall	1	2	3	4	NA

The department head's Progress and Performance Narrative shall be attached to this Report. Other supporting materials also may be attached. For tenured faculty in Good Standing,⁴ the department head is required to attach a Progress and Performance Narrative only every three years, unless the faculty member asks the department head to draft and attach a narrative for that year.⁵ In years for which a Progress and Performance Narrative is not attached, the faculty member's Faculty Activity Report for that year is attached to this Report in lieu of the Progress and Performance Narrative.

- For purposes of merit and performance-based salary adjustments, this faculty member:
- ___ Exceeds expectations (is eligible for significant merit/performance pay adjustments)
 - ___ Meets expectations (is eligible for minimum merit/performance pay adjustments)
 - ___ Needs improvement (is not eligible for merit/performance pay adjustments)²
 - ___ Unsatisfactory (is not eligible for merit/performance pay adjustments)²

By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (*without implying agreement or disagreement*). I understand that I have the right to respond in writing to this form within two weeks from the date I received this form in accordance with Part II.B. of the *Manual for Faculty Evaluation*.

Faculty Member: _____ Date: _____

Department Head: _____ Date: _____

Dean:⁶ _____ Date: _____

Chief Academic Officer:⁵ _____ Date: _____

² Procedures and standards are set forth in the *Faculty Handbook*, the *Manual for Faculty Evaluation*, and the departmental bylaws.

³ An improvement plan is required.

⁴ A tenured faculty member is in "Good Standing" if he or she (a) receives an overall rating in this annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (b) is not under a Cumulative Performance Review.

⁵ A department head may also voluntarily attach a Progress and Performance Narrative in any year in which it is not required.

⁶ Attach rating and rationale, as necessary.

FACULTY ANNUAL REVIEW REPORT - RETENTION REVIEW

Faculty member: _____ Department: _____
Year of appointment: _____ Tenure consideration scheduled for AY: _____
Assigned mentor(s): _____

Retention reviews specifically address (among other things) the faculty member's (a) establishment and development of (1) teaching methods and tools, (2) program of disciplinary research/ scholarship/ creative activity, and (3) record of institutional, disciplinary, and/or professional service, as well as (b) progress toward promotion (where applicable) and tenure.

For retention reviews prior to the enhanced retention review⁷ (i.e., typically in the second and third year of the probationary period), the tenured faculty's retention vote shall focus primarily (but not exclusively) on the tenure-track faculty member's ability to sustain a level of teaching, research /scholarship/creative activity, and service that comports with the unit's expectations for faculty members at the rank of the faculty member under review.

The enhanced retention review⁶ (i.e., typically in year four) reflects a comprehensive, substantive evaluation based upon a file prepared by the faculty member, in accordance with requirements set forth in the *Manual for Faculty Evaluation* as a preliminary draft of the faculty member's tenure dossier. Beginning in the year of the tenure-track faculty member's enhanced retention review (and beginning with the first retention review for each faculty member exempt from the enhanced retention review), the tenured faculty's retention vote shall focus primarily (and increasingly, in succeeding years) on the tenure-track faculty member's ability to meet the requirements for tenure in the department, college, campus, and University.

1. **Review by the tenured faculty.** The narrative of the tenured faculty is attached and the vote recorded below.

Vote of the tenured faculty: For retention _____ Against retention _____ Abstain _____

2. **Review by the department head.** The report of the department head is attached.

The department head recommends: Retention _____ Termination as of _____

3. **Review by the faculty member.** By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (*without implying agreement or disagreement*). I understand that I have the right to respond in writing to the vote and narrative of the tenured faculty, to the report and recommendation of the department head, and/or to any dissenting statements within two weeks from the date I received this form in accordance with Part I.B. of the *Manual for Faculty Evaluation*.

Faculty Member: _____ Date: _____

4. **Review by the dean.**⁸

The dean recommends: Retention _____ Termination _____

Dean: _____ Date: _____

5. **Review by chief academic officer.**⁹

The chief academic officer recommends: Retention _____ Termination _____

Chief Academic Officer: _____ Date: _____

⁷ The enhanced retention review process is provided for in paragraph A.2.a. of Part I of the *Manual for Faculty Evaluation*.

⁸ A dean's statement should be attached when his or her recommendation "differs from that of the department head or tenured faculty or stating any other concerns the dean might wish to record, as appropriate," as provided in paragraph B.2.a. of Part I of the *Manual for Faculty Evaluation*.

⁹ The chief academic officer's statement may be attached when appropriate.

FACULTY ANNUAL REVIEW REPORT - ANNUAL REVIEW

Exhibit E

Faculty member: _____
 Rank: _____

Department: _____
 Evaluation Period: _____

Areas to be evaluated and rated are (1) teaching, (2) research/scholarship/creative activity, (3) service, and (4) overall performance.¹⁰ In each area, the department head rates faculty performance on a scale of 1 to 5, as set forth below, relative to expectations for his or her rank, based on previously established objectives for that faculty member (including goals for the previous year and each of the preceding two years in the Evaluation Period) and departmental bylaws (including the department's criteria for the various ratings at the different ranks).

- 5 – Outstanding (Excellent):** Far exceeds expectations
- 4 – More Than Expected (Very Good):** Exceeds expectations
- 3 – Expected (Good):** Meets expectations
- 2 – Less Than Expected (Fair):** Falls short of meeting expectations¹¹
- 1 – Unsatisfactory (Poor):** Falls far short of meeting expectations¹⁰

	<i>Unsatisfactory</i>				<i>Outstanding</i>		
Teaching	1	2	3	4	5		NA
Research/Scholarship/Creative Activity	1	2	3	4	5		NA
Service	1	2	3	4	5		NA
Overall	1	2	3	4	5		NA

The department head's Progress and Performance Narrative shall be attached to this Report. Other supporting materials also may be attached. For tenured faculty in Good Standing,¹² the department head is required to attach a Progress and Performance Narrative only every three years, unless the faculty member asks the department head to draft and attach a narrative for that year.¹³ In years for which a Progress and Performance Narrative is not attached, the faculty member's Faculty Activity Report for that year is attached to this Report in lieu of the Progress and Performance Narrative.

- For purposes of merit and performance-based salary adjustments, this faculty member:
- ___ Exceeds expectations (is eligible for significant merit/performance pay adjustments)
 - ___ Meets expectations (is eligible for minimum merit/performance pay adjustments)
 - ___ Needs improvement (is not eligible for merit/performance pay adjustments)¹⁰
 - ___ Unsatisfactory (is not eligible for merit/performance pay adjustments)¹⁰

By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (*without implying agreement or disagreement*). I understand that I have the right to respond in writing to this form within two weeks from the date I received this form in accordance with Part II.B. of the *Manual for Faculty Evaluation*.

Faculty Member: _____ Date: _____

Department Head: _____ Date: _____

Dean:¹⁴ _____ Date: _____

Chief Academic Officer:¹³ _____ Date: _____

¹⁰ Procedures and standards are set forth in the *Faculty Handbook*, the *Manual for Faculty Evaluation*, and the departmental bylaws.
¹¹ An improvement plan is required.
¹² A tenured faculty member is in "Good Standing" if he or she (a) receives an overall rating in this annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (b) is not under a Cumulative Performance Review.
¹³ A department head may also voluntarily attach a Progress and Performance Narrative in any year in which it is not required.
¹⁴ Attach rating and rationale, as necessary.

FACULTY ANNUAL REVIEW REPORT - RETENTION REVIEW

Faculty member: _____ Department: _____
Year of appointment: _____ Tenure consideration scheduled for AY: _____
Assigned mentor(s): _____

Retention reviews specifically address (among other things) the faculty member's (a) establishment and development of (1) teaching methods and tools, (2) program of disciplinary research/ scholarship/ creative activity, and (3) record of institutional, disciplinary, and/or professional service, as well as (b) progress toward promotion (where applicable) and tenure.

For retention reviews prior to the enhanced retention review¹⁵ (i.e., typically in the second and third year of the probationary period), the tenured faculty's retention vote shall focus primarily (but not exclusively) on the tenure-track faculty member's ability to sustain a level of teaching, research /scholarship/creative activity, and service that comports with the unit's expectations for faculty members at the rank of the faculty member under review.

The enhanced retention review¹⁴ (i.e., typically in year four) reflects a comprehensive, substantive evaluation based upon a file prepared by the faculty member, in accordance with requirements set forth in the *Manual for Faculty Evaluation* as a preliminary draft of the faculty member's tenure dossier. Beginning in the year of the tenure-track faculty member's enhanced retention review (and beginning with the first retention review for each faculty member exempt from the enhanced retention review), the tenured faculty's retention vote shall focus primarily (and increasingly, in succeeding years) on the tenure-track faculty member's ability to meet the requirements for tenure in the department, college, campus, and University.

1. **Review by the tenured faculty.** The narrative of the tenured faculty is attached and the vote recorded below.

Vote of the tenured faculty: For retention _____ Against retention _____ Abstain _____

2. **Review by the department head.** The report of the department head is attached.

The department head recommends: Retention _____ Termination as of _____

3. **Review by the faculty member.** By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (*without implying agreement or disagreement*). I understand that I have the right to respond in writing to the vote and narrative of the tenured faculty, to the report and recommendation of the department head, and/or to any dissenting statements within two weeks from the date I received this form in accordance with Part I.B. of the *Manual for Faculty Evaluation*.

Faculty Member: _____ Date: _____

4. **Review by the dean.**¹⁶

The dean recommends: Retention _____ Termination _____

Dean: _____ Date: _____

5. **Review by chief academic officer.**¹⁷

The chief academic officer recommends: Retention _____ Termination _____

Chief Academic Officer: _____ Date: _____

¹⁵ The enhanced retention review process is provided for in paragraph A.2.a. of Part I of the *Manual for Faculty Evaluation*.

¹⁶ A dean's statement should be attached when his or her recommendation "differs from that of the department head or tenured faculty or stating any other concerns the dean might wish to record, as appropriate," as provided in paragraph B.2.a. of Part I of the *Manual for Faculty Evaluation*.

¹⁷ The chief academic officer's statement may be attached when appropriate.

FORM A – CONSULTING ENGAGEMENT REPORT

The information requested below is supplied to the extent available and to the extent the requested information can be provided consistent with professional and contractual obligations of confidentiality

1. Names and addresses of firms, agencies or individuals: _____

2. Nature of work: _____

3. Basis for requesting consulting time, if applicable (discuss remuneration, value to UT, professional enhancement):

4. Period of request: _____ through _____
Date Date

5. Equity ownership involved? _____ If so, the amount and type of equity interest owned:

**RESOLUTIONS FROM THE FACULTY AFFAIRS COMMITTEE OF THE
FACULTY SENATE
PROPOSED FOR ADOPTION AT A MEETING OF THE
FACULTY SENATE TO BE HELD ON
April 20, 2009¹**

WHEREAS, under Section 3.E. of the Bylaws of the Faculty Senate, the Faculty Senate Faculty Affairs Committee of the Faculty Senate “is responsible for reviewing proposed revisions and recommending changes to the *Faculty Handbook* following review provisions as set forth in the *Faculty Handbook*, and for reviewing the *Manual for Faculty Evaluation*,” and

WHEREAS, the Office of the Provost and the Deans’ Council recommended that the Faculty Senate Faculty Affairs Committee review and recommend proposed revisions to the *Faculty Handbook* and the *Manual for Faculty Evaluation* to improve, clarify, and simplify the faculty annual review and retention review processes;

WHEREAS, under Section 8.3 of the *Faculty Handbook*, the Faculty Senate Faculty Affairs Committee “is responsible for recommending changes, which should have input from the chancellor, the vice president, and their administrative staff including deans for consideration by the Faculty Senate Executive Committee and final consideration by the full Faculty Senate;” and

WHEREAS, under Appendix D of the *Manual for Faculty Evaluation*, “[r]evisions to the *Manual for Faculty Evaluation* are made in consultation with and the approval of the Faculty Senate Faculty Affairs Committee and the Faculty Senate Executive Committee for final approval by the full Faculty Senate;” and

WHEREAS, the Faculty Senate Faculty Affairs Committee has reviewed—and sought (i) input from the Interim Chancellor and the Vice President of Agriculture and (ii) consideration by, consultation with, and the approval of the Faculty Senate Executive Committee on—various revisions to the *Faculty Handbook* and the *Manual for Faculty Evaluation* designed to improve, clarify, and simplify the faculty annual review and retention review processes; and

WHEREAS, the memorandum from the Faculty Senate Faculty Affairs Committee to the Faculty Senate attached to the minutes of this meeting as Exhibit A describes these various revisions to the *Faculty Handbook* and the *Manual for Faculty Evaluation*;

now, therefore, it is

RESOLVED, that the changes to the *Faculty Handbook* and the *Manual for Faculty Evaluation* attached to these minutes as Exhibits B and C are approved and adopted and that the changes to the *Manual for Faculty Evaluation* become effective only if and at the time the changes to the *Faculty Handbook* become effective; and it is further

RESOLVED, that the Annual Recommendation on Retention of Tenure-Track Faculty and the Faculty Annual Evaluation Report attached as part of Appendix A to the *Manual for Faculty Evaluation* are deleted and that the two-sided Faculty Annual Review Form attached to these minutes as Exhibit D is substituted for those documents; and it is further

RESOLVED, that, in addition to the changes to the *Faculty Handbook* noted in Exhibits B and C to these minutes, paragraph 3 of Section 7.2 of the *Faculty Handbook* is revised to delete the following sentence:

¹ These resolutions are revised to reflect a revised Exhibit F--Faculty External Compensation and Consulting Annual Report Form—which was amended by resolution of Senator Doug Birdwell at the March 23, 2009 Faculty Senate meeting.

“The faculty member may choose to include a description and review of compensated outside activities as a separate addendum to the annual review, if appropriate.”

And it is further

RESOLVED, that in addition to the changes to Parts I and II of the *Manual for Faculty Evaluation* noted in Exhibits B and C to these minutes, certain conforming changes are made in the *Manual for Faculty Evaluation* as follows:

(1) the term “annual evaluation” in the text of the “Introduction: General Information and Guidelines for Using this Manual,” Part V.A.1., Part V.A.2.a., Part V.A.2.b., and Part V.A.3. of the *Manual for Faculty Evaluation* is changed to “annual review;”

(2) the reference in Part IV.A.1.e.i. to “Annual Recommendation on Retention forms and Faculty Annual Evaluation Reports” is changed to “Retention Review Forms and Annual Review Forms;”

(3) the two references in Part IV.B.3.d.i. of the *Manual for Faculty Evaluation* to “Annual Recommendation on Retention forms” are changed to “Retention Review Forms” and that the word “for” be inserted after the first reference;

(4) the two references in Part IV.A.1.e.ii. and the reference in Part V.B.1.a. of the *Manual for Faculty Evaluation* to “Faculty Annual Evaluation Reports” are changed to “Annual Review Forms;”

(5) the reference to “Faculty Annual Evaluation Report” in Part V.A.3. of the *Manual for Faculty Evaluation* is changed to “Annual Review Form;”

(6) Appendix A to the *Manual for Faculty Evaluation* is re-titled as follows “Faculty Annual Review Report and Cumulative Peer Review Report;”

(7) the first two listed items in Instruction G and the two items in numbered paragraphs 1 and 2 of Part G in Appendix B are deleted and are replaced with “Retention Review Forms (for tenure-track faculty only)” and “Annual Review Forms (for faculty seeking promotion only),” respectively;

(8) the reference to “Annual Recommendation on Retention forms and/or the Faculty Annual Evaluation Reports” in Part A. 3. of Appendix B is replaced with a reference to “Retention Review Forms and/or Annual Review Forms;” and

(9) references to “annual evaluation” and “annual teaching evaluation” in the “Best Practices for Assessment and Evaluation of Faculty Teaching” attached to the *Manual for Faculty Evaluation* are changed to “annual review” and “annual teaching review,” respectively; and it is further

RESOLVED, that this Faculty Senate approves and adopts a five-category evaluation scale (as included in the Annual Review side of the Faculty Annual Review Report attached to these minutes as Exhibit E) for use in annual reviews on a pilot basis commencing in the fall 2009 semester and that the Faculty Annual Review Report attached to these minutes as Exhibit E be used for faculty annual reviews commencing in the fall 2009 semester and continuing until the pilot program is terminated; and it is further

RESOLVED, that the Faculty External Compensation and Consulting Annual Report Form attached to these minutes as Exhibit F is approved and adopted and that this form be included as part of Appendix A to the *Manual for Faculty Evaluation*; and it is further

RESOLVED, that the changes to the *Faculty Handbook* approved in these resolutions be presented to the Chancellor and the Vice President of Agriculture (who then will submit their recommendations concerning the proposed revisions to the chief academic officer for the system, who then will submit his or her recommendation to other appropriate vice presidents, the general counsel, and the president).

To: Faculty Senate
From: Faculty Senate Faculty Affairs Committee
Date: March 4, 2009

Re: Annual Performance Reviews and Retention Reviews – Proposed Changes to the *Faculty Handbook* and *Manual for Faculty Evaluation*; Related Pilot Program

This memorandum explains proposed changes to the *Faculty Handbook* and *Manual for Faculty Evaluation* relating to both (1) annual performance reviews for tenure-track and tenured faculty and (2) retention reviews for tenure-track faculty. The memorandum also describes a related pilot program for annual performance reviews. These changes and the basic description of the related pilot program incorporate suggestions from the UTK Dean's Council, the Vice President of Agriculture, the Dean of the University of Tennessee Space Institute, the Office of the Provost, and faculty members serving on the Faculty Affairs Committee. The changes, the pilot program, the related drafting, and the summary provided in this memorandum, have been discussed and vetted by the Faculty Affairs Committee over a period of many months.

As you will see, there are many interrelated changes. Since our objective is to propose these changes and the pilot program for approval and adopted at the March Faculty Senate meeting, **I ask that you review this memorandum and post your comments in the related discussion forum on the Faculty Senate Blackboard site.**

A. Changes Affecting both the Annual Performance Review Process and Retention Review Process

1. *Ensure that basic substantive descriptions of both processes are included in the Faculty Handbook and that the procedures regarding each are included in the Manual for Faculty Evaluation.* This mostly requires shifting some text back and forth between the two documents, but also involves a limited amount new drafting.
2. *For untenured UTK and UTSI faculty, coordinate the annual review and retention review processes so that tenure-track faculty members prepare and submit review materials once every year.* With both reviews occurring in the fall at UTK and UTSI, faculty members on those campuses will complete and file Faculty Activity Reports (see item 4 below) once each year, in or about August (to cover the preceding academic year).
3. *Provide for a single report (i.e., Faculty Annual Review Report) for each tenure-track and tenured faculty member that will include evaluation results for that faculty member and any required form of narrative or substitute, as well as, in the case of a tenure-track faculty member, the retention review results for that faculty member.* The revised, consolidated, two-sided report will be included as an attachment to the *Manual for Faculty Evaluation*. At UTK and UTSI, the two sides of the report will be prepared, signed, and transmitted together, streamlining the review process for the faculty member and administrators. At UTIA, where the annual review and retention review processes will not take place in the same semester for operational and administrative reasons, the two sides of the report will be separately prepared, signed, and transmitted.
4. *Formalize the name and genesis of the contents of the annual report prepared and filed by each faculty member at the department level.* The proposed text labels this report by its common moniker—Faculty

Activity Report—and provides that the form and content of the report be determined by college and department bylaws.

5. *In both the annual review and retention review processes, add express provisions (a) allowing for department heads to formally respond when the college dean disagrees with the department head's determinations and (b) providing that any such response (i) be disseminated to the faculty member and the dean and (ii) be included in the formal record of the review.* This seems like an approach that is more transparent and fair to both the faculty member and the involved administrators.
6. *In both the annual review and retention review processes, add a statement requiring that the threshold decision-making person (the department head, for the annual review) or body (the tenured faculty, for the retention review) only rely on and include in the review and any related narrative documented and substantiated information available at the time of the review.* The text includes an express clarification that neither the review nor the narrative may be based on rumor or speculation. This additional guidance is designed to help department heads and tenured faculty meaningfully and fairly distinguish and employ information important to the review.

B. Changes Affecting the Annual Performance Review Process

1. *Conform references to this process in the Faculty Handbook and Manual for Faculty Evaluation so that they use consistent terminology.* I note that the UT Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure (March 2006), available at <http://bot.tennessee.edu/policies-acad.html#evaluationoftenuredfaculty>, calls this activity an "Annual Performance-and-Planning Review." The *Manual* variously uses "annual evaluation" and "annual review." We chose the latter (the term used in the *Faculty Handbook*) and plan to make the Part consistent. (Note that the Policies refer to this process only in the context of tenured faculty.)
2. *Provide that each year, faculty are evaluated based on their performance during the prior three years.* This enables faculty members with long-term projects to more easily show progress that then can be credited and, under current metrics, awarded with merit pay, when it is made available. Although the UT Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure (March 2006), available at <http://bot.tennessee.edu/policies-acad.html#evaluationoftenuredfaculty>, provide that the annual evaluation examines "the current fiscal/academic year's activities," the Office of the Provost and the Faculty Affairs Committee agree that this language in the Policies is not intended to be exclusive (i.e., that an examination of more than just the current year's activities is compliant with the Policies).
3. *Clearly state that neither faculty nor administration is permitted to communicate about the substance of the faculty member's annual review except as part of the formal review process itself.* Some faculty members have learned that unit leaders have informally discussed their evaluation of a faculty member with, for example, a more senior administrator within the review system before review processes have been undertaken or fully completed. This compromises the fairness of the evaluation process and must not occur.
4. *Provide that faculty members must prepare and submit the Faculty External Compensation and Consulting Annual Report Form among the materials required to be supplied in connection with each annual review.* This new form reports compensated outside activities engaged in by faculty. Currently, some units successfully capture this information and some do not, creating inequities. With this change, both faculty and unit leaders are responsible for the failure of a faculty member to complete and file this information on an annual basis and can be held accountable for a failure to do so. Implementation of

this change requires small changes to both the *Faculty Handbook* (Section 7.2) and the *Manual for Faculty Evaluation* (Part II.D.).

5. *Allow tenured faculty members in good standing to submit abbreviated materials in connection with annual reviews.* For these purposes, a tenured faculty member is in good standing if he or she (a) received a rating in the previous annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (b) is not under a Cumulative Performance Review.
6. *Permit unit leaders to attach the Faculty Activity Report of a faculty member in good standing (as defined in item B.5. above) in lieu of writing a separate narrative about the faculty member's performance for inclusion with the faculty member's Faculty Annual Evaluation Report, unless (i) the faculty member requests that the department head write a separate narrative in that year or (ii) it has been three years since the department head last wrote a narrative for that faculty member.* The Deans' Council requested a short-form process under these circumstances. The UT Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure (March 2006), available at <http://bot.tennessee.edu/policies-acad.html#evaluationoftenuredfaculty>, provide that

[e]ach faculty member and his or her Department Head will engage in a formal annual Performance-and-Planning Review, examining the current fiscal/academic year's activities and planning what should occur during the coming fiscal/academic year. . . . A document summarizing the review-including an objective rating of the faculty member's performance, as listed below-must be signed by the faculty member (to acknowledge receipt of the review document) and the Department Head. The Head must send a copy to the Dean. The Dean must send copies of the documents or a list of names by category to the Chief Academic Officer for review and approval/disapproval.

The proposed short-form process does not appear to violate the letter or spirit of these provisions and relieves unit leaders of what we deem to be inconsequential reporting obligations. The Faculty Affairs Committee considered the possibility of only extending the good standing definition to tenured full professors or faculty tenured for at least five years, but we determined that a tenured faculty member in good standing who desires that his or her department head draft a full narrative more often than once every three years (e.g., as he or she prepares for promotion to full professor) could request that the department head draft a narrative and should feel secure in doing so. We also afforded the department head an express right to voluntarily provide a narrative at any time.

Related Pilot Program

Also, the Deans' Council and the Faculty Affairs Committee concur that a five-category annual review ranking system, with "meets expectations" as the equivalent of the middle ranking category, is preferable to the current four-category system in which "meets expectations" is the second-highest ranking category. This would allow for more refined judgments to be made about the performance of faculty and normalize the ranking scale around a defined midpoint. The UT Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure (March 2006), available at <http://bot.tennessee.edu/policies-acad.html#evaluationoftenuredfaculty>, mandate the current four-category system, so we currently are unable to propose a change in this regard. However, UTK Vice Provost for Faculty Affairs, Sarah Gardial, has received tentative approval from the University system administration to suggest and implement a pilot program for a five-category system at UTK, UTIA, and UTSI. Accordingly, we also are asking for Faculty Senate approval of this pilot program for implementation in the 2009-2010 academic year, beginning with the fall 2009 review cycle at UTK (and if the Faculty Senate approves the related changes set forth in this memorandum, UTSI), assuming Faculty Senate and Board of Trustees approval this spring.

C. Changes Affecting the Retention Review Process

1. *Mandate a more substantive review of each faculty member in the year following the midpoint of their probationary period (for most faculty members, in their fourth year of service) that focuses specifically and comprehensively on the faculty member's ability to meet the requirements for tenure in the department, college, campus, and University.* Units will need to provide for specific procedures for this enhanced review in their bylaws, but this new provision in the *Manual for Faculty Evaluation* will call for the tenure-track faculty member to prepare, with the guidance and counsel of the Dean, a file on her or his cumulative performance that is, in substance, a tenure "pre-dossier," reflecting her or his degree of progress in satisfying the requirements for tenure in teaching, research / scholarship / creative activity, and service. This file will be completed in time for the faculty member's annual retention review. A faculty member with a probationary period of less than four years is exempt from this enhanced review process but may voluntarily request that the tenured faculty provide such a review in any one year during the probationary period.
2. *Clarify the meaning of the tenured faculty's vote on retention.* The Deans' Council and the Faculty Affairs Committee both are concerned that the purpose of the tenured faculty's vote on retention is unclear and that more clarity may enhance the informational value of the retention review for faculty members and the better delineate the nature of the tenured faculty's review process. Accordingly, the tenured faculty's vote in the years before any enhanced retention review referenced in item C.1. above shall focus primarily (but not exclusively) on the tenure-track faculty member's ability to sustain a level of teaching, research / scholarship / creative activity, and service that comports with the unit's expectations for faculty members at the rank of the faculty member under review. Beginning in the year in which the tenure-track faculty member is the subject of the enhanced retention review process referenced in item C.1. above (or, for a faculty member who is exempt from the enhanced retention review process, in every year of his or her probationary period), the tenured faculty's vote on retention shall focus primarily (and increasingly, in succeeding years) on the tenure-track faculty member's ability to meet the requirements for tenure in the department, college, campus, and University.

UTK Faculty Senate Faculty Affairs Committee

Annual Review for All Faculty Members

Recommended Changes to Faculty Handbook (Section 3.8.1)

3.8.1 Annual Review for All Faculty Members

Every tenure-track and tenured faculty member at the University of Tennessee who is not on leave is reviewed annually. The goals of these reviews are to:

1. review accomplishments as compared to previously set specific objectives for the faculty member by the faculty member and the head consistent with this *Faculty Handbook*, the *Manual for Faculty Evaluation*, and departmental bylaws;
2. establish new objectives for the coming year, as appropriate, using clearly understood standards that are consistent with this *Faculty Handbook*, the *Manual for Faculty Evaluation*, and departmental bylaws;
3. provide the necessary support (resources, environment, personal and official encouragement) to achieve these objectives;
4. fairly and honestly assess the performance of the faculty member by the department head and, where appropriate, by colleagues; and
5. recognize and reward outstanding achievement.

The review processes is established in Board Policy, the *Manual for Faculty Evaluation*, and departmental bylaws.

Recommended Changes to Manual for Faculty Evaluation (Part II)

A. GENERAL INFORMATION

1. Policies Governing Annual Review. Policies adopted by The University of Tennessee Board of Trustees require that each faculty member and his or her department head engage in a formal annual performance-and-planning review. Each faculty member's annual performance-and-planning review must proceed from guidelines and criteria contained in Section 3.8.1 of the *Faculty Handbook*, this manual, and collegiate or departmental bylaws.

2. Goals of the Annual Review. The goals of the annual performance and planning review are set forth in Section 3.8.1 of the *Faculty Handbook*.

3. Timetable for Annual Review. Each faculty member at The University of Tennessee, Knoxville and the University of Tennessee Space Institute is evaluated annually on his or her performance during the previous three academic years. Each faculty member at the University of Tennessee Institute of Agriculture is evaluated annually on his or her performance during the previous three calendar years. In either such case, the three-year period is referred to as the "Evaluation Period." For each tenured or tenure-track faculty member at The University of Tennessee, Knoxville or the University of Tennessee Space Institute, the Annual Review side of the Faculty Annual Review Report attached at Appendix A to this manual (the "Annual Review Form") will be completed at and transmitted from the faculty member's department in the fall semester of each academic year,

as set forth in the Faculty Evaluation Calendar. For each tenured or tenure-track faculty member at the University of Tennessee Institute of Agriculture, the Annual Review Form will be completed in the spring semester of each academic year, as set forth in the Faculty Evaluation Calendar.

4. Articulation with the Retention Review. Tenure-track faculty members undergo the annual retention review process described in Part I of this manual as well as an annual review. The retention review process for tenure-track faculty members at The University of Tennessee, Knoxville and the University of Tennessee Space Institute shall be coordinated with the annual review process described in this Part II, and the results of the retention review process shall be recorded on the appropriate side of the Faculty Annual Review Report (see paragraph B.4. of this Part II and Appendix A of this manual).

5. No *Ex Parte* Communications. The annual review process exists to provide fair and objective feedback and relevant support to faculty members on a regular and constructive basis. Accordingly, the procedures for the annual review are designed to create and preserve specific lines of communication between faculty and administrators. As a means of preserving this process, neither the faculty member under review nor any administrator managing or conducting the review is permitted to communicate substantive information about the review with others in or outside the review process except as specified in this manual. For example, a department head shall not communicate with a dean about the substance a faculty member's review except through the Annual Review Form.

B. PROCEDURES FOR THE ANNUAL REVIEW OF FACULTY

1. Initiating the Annual Review Process. The department head manages the process of annual review of tenured and tenure-track faculty in a timely way to ensure compliance with all deadlines for submission of the review forms to the dean and chief academic officer.

a. Scheduling the annual review conference. The department head should schedule the annual review conference with each tenured and tenure-track faculty member at least two weeks in advance of the date to allow faculty adequate notice to prepare the required materials.

b. Preparing for the review conference. The department head will inform the departmental faculty of the materials that should be prepared and submitted before the conference and the format to be used for submission of materials for the review, in each case as set forth in paragraph B.2. of this Part II.

2. Documents Prepared by the Faculty Member. The faculty member prepares a written summary of work in teaching, research/scholarship/creative activity, and service. The summary includes work accomplished during the Evaluation Period. Except as otherwise noted at the end of this paragraph 2., it is suggested that each faculty member under review provide to the department head review materials which contain at least the following:

a. a summary of the past year's plans and goals developed at the previous year's annual review;

b. a summary of the faculty member's activities and accomplishments during the Evaluation Period in teaching, research/scholarship/creative activity, and service, in accordance with Section 3.8.1 of the *Faculty Handbook* (the "Faculty Activity Report"), the form and content of which shall be determined based on college and department bylaws, but each of which should include evidence, if any, of international and intercultural expertise or experience;

c. a list of specific plans and goals for the upcoming year;

- d. any documentation requested by the department head or required by departmental or collegiate bylaws that evidences the faculty member's activities during the Evaluation Period, which may include information supporting accomplishments in teaching, research/scholarship/creative activity, and service;
- e. a completed, signed copy of the Faculty External Compensation and Consulting Annual Report Form (see Appendix A of this manual and Section D. of this Part II); and
- f. a current *curriculum vitae*.

Collegiate or departmental bylaws may require that less extensive review materials be submitted by a tenured faculty member who (i) received an overall rating in his or her most recent annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (ii) is not under a Cumulative Performance Review (as described in Part V of this manual). A faculty member meeting the criteria set forth in clauses (i) and (ii) of the preceding sentence is in "Good Standing."

3. The Department Head's Evaluation. The faculty member and the department head have a scheduled conference (a) to discuss the faculty member's (i) goals for the previous year and (ii) accomplishments during the Evaluation Period and (b) to formulate goals for the faculty member for the coming year.

4. Preparation of the Annual Review Form. The department head documents his or her review of each faculty member on the Annual Review Form with attachments if necessary. The department head signs the Annual Review Form. The Annual Review Form should include the components set forth below, as applicable.

a. The department head writes a narrative describing and discussing the faculty member's progress on his or her goals for the previous year and the performance of the faculty member in the areas of teaching, research/scholarship/creative activity, and service during the Evaluation Period, in each case, based on procedures and standards set forth in the *Faculty Handbook*, this manual, and the departmental bylaws ("Progress and Performance Narrative"). The Progress and Performance Narrative also outlines goals for the faculty member for the coming year and should include evidence, if any, of international and intercultural expertise or experience. The department head's review and the Progress and Performance Narrative only shall rely on and include documented and substantiated information available to the department head at the time of the review and shall not be based on rumor or speculation.

b. The department head may, but is not required to, write a Progress and Performance Narrative for a faculty member in any year in which the faculty member is in Good Standing, unless (i) the faculty member requests that the department head write a Progress and Performance Narrative in that year or (ii) it has been three years since the department head has written a Progress and Performance Narrative for that faculty member. In any year in which the department head does not write a Progress and Performance Narrative for a faculty member as permitted by the previous sentence, the department head shall attach to the Annual Review Form that faculty member's Faculty Activity Report.

c. The department head indicates on the Annual Review Form whether the performance of the faculty member exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, or is unsatisfactory for his or her rank, based on previously established objectives for that faculty member and departmental bylaws (including the department's criteria for the various ratings at the different ranks).

5. Reviewing and Signing the Annual Review Form. The department head gives the Annual Review Form to the faculty member, who reviews and signs it. The faculty member's signature indicates that he or she has read the

entire Annual Review Form, but the signature does not necessarily imply agreement with the Progress and Performance Narrative, performance evaluation, or other contents.

6. Responding to the Annual Review Form. The faculty member may prepare a written response to the Annual Review Form. This response should be copied to the department head, and the department head shall include it in the materials forwarded to the dean under paragraph 7 of this Part II.B. The faculty member shall be allowed two weeks from the date of receipt of the finalized Annual Review Form from the department head to submit any written response. If no response is received by the department head after two weeks from the date the faculty member receives the Annual Review Form from the department head, the faculty member relinquishes the right to respond.

7. Transmitting the Evaluation. The department head forwards to the dean the Annual Review Form and any attachments. The department head also forwards any written response received from the faculty member.

8. The Dean's Review of the Annual Review Form

a. Reviewing and signing the review forms. The dean reviews the Annual Review Forms submitted by each department head and signs the Annual Review Forms, indicating either concurrence with or dissent from the department head's rating of each faculty member.

b. Dissent from the department head's rating. In cases where the dean does not concur with the department head's rating, the dean (i) assigns a different rating, indicating whether the performance of the faculty member exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, or is unsatisfactory for his or her rank, based on previously established objectives for that faculty member and departmental bylaws (including the department's criteria for the various ratings at the different ranks), and (ii) prepares a written rationale summarizing the reasons for his or her dissent from the department head's rating. Copies of the dean's rating and rationale must be forwarded to the faculty member and the department head.

c. Faculty member's and department head's right to respond. Each of the faculty member and the department head has the right to submit a written response to the dean's rating or the accompanying rationale. Any response by the faculty member should be copied to the dean and the department head, and the dean shall include it in the materials forwarded to the chief academic officer under subparagraph d. of this Part II.B.8. Similarly, any response by the department head should be copied to the dean and the faculty member, and the dean shall include it in the materials forwarded to the chief academic officer under subparagraph d. of this Part II.B.8. The faculty member and department head will be allowed two weeks from the date of receipt of the dean's rating and rationale to submit any written response. If no response is received after two weeks from the date of receipt of the dean's rating and rationale, the faculty member or department head, as applicable, relinquishes the right to respond.

d. Transmitting the Annual Review Forms. The dean forwards the Annual Review Form for each faculty member, together with any attachments and any written responses received from the faculty member and the department head, to the chief academic officer by the deadline established in the Faculty Evaluation Calendar. In addition, the dean prepares a spreadsheet listing all faculty and the ratings for each (exceeds expectations, meets expectations, needs improvement, unsatisfactory), organized by academic department, and forwards the spreadsheet to the chief academic officer with the Annual Review Forms.

9. Chief Academic Officer's Review of the Annual Review Forms

The chief academic officer reviews the Annual Review Forms, indicates a final decision on the rating to be assigned to the faculty member (exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, unsatisfactory for his or her rank), and signs the form. Fully executed copies of the Annual Review Form will be returned to the faculty member, the department head, and the dean. In cases where the chief academic officer does not concur with the rating given by the dean, the chief academic officer (a) assigns a different rating, indicating whether the performance of the faculty member exceeds expectations for his or her rank, meets expectations for his or her rank, needs improvement for his or her rank, or is unsatisfactory for his or her rank, based on previously established objectives for that faculty member and departmental bylaws (including the department's criteria for the various ratings at the different ranks), and (b) prepares a narrative summarizing the reasons for his or her dissent from the dean's rating. Copies of the chief academic officer's rating and narrative must be forwarded to the faculty member, the dean, and the department head.

C. FOLLOW-UP IN CASES OF NEEDS IMPROVEMENT OR UNSATISFACTORY RATINGS

Faculty members who receive notice from the chief academic officer that they have received ratings of "needs improvement" or "unsatisfactory" must develop a plan of improvement and submit the plan to the department head within 30 days of receipt of the fully executed Annual Review Form (as described in Part II.B.9 of this manual). The faculty member has the responsibility of developing a written response for each area needing attention in the Annual Review Form, including the goals and benchmarks for improvement and the resources, if any, to be allocated for this purpose. The faculty member will follow up on this plan at subsequent annual reviews.

1. **Administrative Review of the Plan of Improvement.** The department head will review each plan of improvement developed and submitted by a faculty member under this Part II.C. The department head must approve the plan before forwarding it to the dean for approval. The dean must approve the plan before forwarding it to the chief academic officer for approval. The chief academic officer will notify the dean, department head, and faculty member of his or her approval of the plan. The department head has primary responsibility for monitoring the progress of the faculty member in accordance with standards and procedures established in the departmental bylaws.

2. Following up on the Plan of Improvement

a. **Progress reports.** To permit the department head to monitor the progress of the faculty member, the faculty member should submit to the department head periodic updates on progress on the goals and benchmarks established in the improvement plan, in the form and at the times requested by the department head. The first annual review following a review rating indicating that the faculty member's performance needs improvement or is unsatisfactory shall include a report that clearly describes progress in any area(s) needing improvement or noted as unsatisfactory.

b. **Cumulative Performance Review.** Cumulative performance reviews for tenured faculty are triggered by the rating from the annual review. A faculty member whose performance is found to be unsatisfactory for his or her rank in two out of five consecutive annual reviews or whose reviews in any three of five consecutive years indicate performance that needs improvement for his or her rank or is unsatisfactory for his or her rank shall undergo a cumulative performance review. This process is described in Part V of this manual.

3. **Rating of Unsatisfactory.** A faculty member who receives a rating of unsatisfactory shall be ineligible for rewards.

D. COMPENSATED OUTSIDE ACTIVITIES

As outside compensated activities are not part of the full-time commitments of a faculty member, they cannot be substituted for commitments of a faculty member to teaching, research/scholarship/creative activity, and service within the University. Correspondingly, the annual review of the performance of a faculty member is based only on her/his regular responsibilities and duties as part of her/his full-time commitments to the University which are negotiated annually and must be consistent with the *Faculty Handbook* and applicable bylaws. Should a faculty member wish to pursue compensated outside activities, the faculty member and her/his department head must agree about the faculty development benefits that will be gained by the planned activities, as part of the annual review process. (Faculty members should review and ensure they comply with the full policy on Compensated Outside Services in Chapter 7 of the *Faculty Handbook*.)

UTK Faculty Senate Faculty Affairs Committee

Retention Review for All Faculty Members

Recommended Changes to *Faculty Handbook* (Section 3.8.2)

3.8.2 Annual Retention Review for Tenure Track Faculty Members

In addition to (and at The University of Tennessee, Knoxville and the University of Tennessee Space Institute, coincident with) the annual performance and planning review described in Section 3.8.1, tenure-track faculty members receive an annual retention review. See section 3.11.3.

Recommended Changes to *Faculty Handbook* (Sections 3.11.3.3 and 3.11.3.4)

3.11.3.3 Notice of Non-renewal

Notice that a tenure-track faculty member's appointment will not be renewed for the next year shall be made in writing by the chief academic officer, upon the recommendation of the department head and dean, according to the following schedule:

1. In the first year of the probationary period, not later than March 1 for an academic year appointment and no less than three months in advance for any other term of appointment;
2. In the second year of the probationary period, not later than December 15 for an academic year appointment and no less than six months in advance for any other term of appointment; and
3. In the third and subsequent years of the probationary period, not less than 12 months in advance.

These notice requirements relate only to service in a probationary period with The University of Tennessee, Knoxville, the University of Tennessee Institute of Agriculture, and the University of Tennessee Space Institute. Credit for prior service with another campus or institution shall not be considered in determining the required notice. Notice of non-renewal shall be effective upon personal delivery or upon mailing, postage prepaid, to the faculty member's residential address of record at the university.

3.11.3.4 Annual Retention Review

An annual retention review of tenure-track faculty is conducted by the department head in consultation with the tenured faculty during the fall semester (and at The University of Tennessee, Knoxville and the University of Tennessee Space Institute, coincident with the annual performance and planning review process described in Section 3.8.1). The regular and thorough assessment of tenure-track faculty is an important step in the professional development of those faculty members. The annual retention review process is designed to ensure that a tenure-track faculty member receives clear and timely feedback from the tenured faculty and the department head about his or her contribution to the department, development, and prospects for advancement. Accordingly, the tenured faculty plays an important role in the retention process and is responsible for providing the faculty member with a clear, thoughtful, and professional consideration of both (a) the faculty member's ability to sustain a level of activity that comports with the department's expectations for faculty members at the rank of the faculty member under review and (b) the faculty member's

progress toward promotion and tenure in the context of this *Faculty Handbook*, the *Manual for Faculty Evaluation*, his or her appointment, and departmental bylaws. More information about annual retention reviews and procedures for annual retention reviews is contained in the *Manual for Faculty Evaluation*.

Each tenure-track faculty member will first be reviewed in the fall of his or her second year of appointment. Departmental bylaws shall provide for specific criteria for annual retention reviews of faculty, consistent with the standards and procedures set forth in this Section 3.11.3.4 and the *Manual for Faculty Evaluation* and any criteria established by the department's college.

If the retention decision is negative, the chief academic officer shall give the faculty member written notice of non-renewal in accordance with the notice requirements described in Section 3.11.3.3 above. The faculty member is entitled to a statement in writing of the reasons for the non-renewal decision. This statement, together with any subsequent correspondence concerning the reasons, is a part of the official record.

If the retention decision is positive, the department head will convey the outcome to the faculty member in writing and in a timely manner. The department head will also advise the faculty member as to the time remaining in the probationary period and as to how the quality of his or her performance is likely to be assessed by the tenured faculty and the head in the context of tenure consideration.

Recommended Changes to Part I of the *Manual for Faculty Evaluation*

A. GENERAL INFORMATION

1. Annual Review Process and Retention Review

Department heads evaluate tenured and tenure-track faculty members annually. For information on the annual review of faculty, please refer to Part II of this manual. In accordance with the *Faculty Handbook* (3.8.2; 3.11.3.4), tenure-track faculty members receive an annual retention review in addition to (and at The University of Tennessee, Knoxville and the University of Tennessee Space Institute, coincident with) the annual performance and planning review. The specific criteria for the evaluation and review of tenure-track faculty must be described in collegiate and/or departmental bylaws.

2. Annual Retention Review Process for Tenure-Track Faculty

a. Schedule for retention reviews. The annual retention review will take place in each year of the probationary period leading up to (but not including) the year of tenure consideration. For the schedule of due dates for retention reviews in a given academic year, please consult the Faculty Evaluation Calendar. Each tenure-track faculty member with a probationary period of four or more years shall undergo an enhanced retention review in the academic year following the midpoint in his or her probationary period (typically, the faculty member's fourth year of employment). A tenure-track faculty member with a probationary period of less than four years may request that the tenured faculty provide him or her with an enhanced retention review in any one year of the probationary period up to (but not including) the faculty member's year of tenure consideration. The procedures for regular and enhanced retention reviews are set forth in Section B of this Part I.

b. Recommendation form. The retention review process is documented using the Retention Review side of the Faculty Annual Review Report attached at Appendix A to this manual (the “Retention Review Form”). For each tenure-track faculty member at The University of Tennessee, Knoxville, the University Institute of Agriculture, and the University of Tennessee Space Institute, the Retention Review Form will be completed at and transmitted from the faculty member’s department in the fall semester of each academic year, as set forth in the Faculty Evaluation Calendar.

c. English language competency. The University of Tennessee Board of Trustees mandates that each candidate for tenure and promotion who is not a native speaker of English be certified as competent to communicate in English. The department head monitors effectiveness in communication in English in the annual retention review process. Should student evaluations or other indicators suggest that the faculty member’s English language communication is not effective, the department head will work with the faculty member to identify areas for improvement and to develop, as appropriate, a plan for improving the faculty member’s skills in English language communication.

3. Mentor

The department head assigns a faculty mentor or a mentoring committee for each tenure-track faculty member. The mentor should be a senior member of the same department or another unit, who can serve as a model and as a source of information for the tenure-track faculty member. Department heads should not serve as mentors for faculty within their own departments. The mentor or mentoring committee may participate in the annual retention review in a manner to be determined in collegiate and/or departmental bylaws (see the Best Practices for Faculty-to-Faculty Mentoring annexed to this manual).

B. PROCEDURES FOR RETENTION AND NON-RETENTION

1. Departmental Retention Review Process for Tenure-Track Faculty

a. Preparation for the retention review.

Except in years in which an enhanced retention review occurs (as provided for in paragraph A.2.a. of this Part I), the faculty member prepares and submits to the department head (for distribution to the tenured faculty) a written summary of his or her accomplishments in teaching, research / scholarship / creative activity, and service for the previous academic year in accordance with departmental bylaws. The department head requests this summary in writing from each tenure-track faculty member on behalf of the tenured faculty at least two weeks before it is needed for the review. It is expected that, at The University of Tennessee, Knoxville and the University of Tennessee Space Institute, the Faculty Activity Report submitted to the department head in accordance with paragraph B.2.b. of Part II of this manual will serve as the summary required under this paragraph.

In the year in which an enhanced retention review occurs (as provided for in paragraph A.2.a. of this Part I), the faculty member shall, with the guidance and counsel of the department head, prepare and submit to the department head (for distribution to the tenured faculty) a file on her or his cumulative performance, reflecting her or his degree of progress in satisfying the requirements for tenure in teaching, research / scholarship / creative activity, and service. The file (which shall be prepared by the faculty member as a preliminary draft of the faculty member’s file in support of a tenure dossier) shall contain: the faculty member’s Faculty Activity Reports submitted to the department head in accordance with paragraph B.2.b. of Part II of this manual, computer-tabulated teaching evaluations, and annual retention reports compiled during the faculty member’s probationary period; copies of

research / scholarship / creative activity published or otherwise completed during the probationary period; teaching materials; evidence of research / scholarship / creative activity work in progress; a statement prepared by the faculty member describing other research / scholarship / creative activity in progress but not included in the file, a summary of service to the department, college, University, and other relevant constituencies; and any other materials that the department head requests or the faculty member desires to make available to the tenured faculty.

Faculty members also may be required or permitted to submit other materials in accordance with collegiate and/or departmental bylaws. The department head shall make the materials prepared and submitted in accordance with this paragraph B.1.a. available to the tenured faculty in advance of the meeting on retention.

b. Review by the tenured faculty. The tenured faculty will review the summary submitted by the faculty member in accordance with Part I.B.1.a and, as provided in collegiate and/or departmental bylaws, solicit input from the faculty member's mentor or mentoring committee. The tenured faculty then will construct a narrative that describes and discusses both (i) the faculty member's ability to sustain a level of activity that comports with the department's expectations for faculty members at the rank of the faculty member under review and (ii) the faculty member's progress toward promotion and tenure in the context of the *Faculty Handbook*, this manual, his or her appointment, and departmental bylaws. The review and narrative should specifically address (among other things) the faculty member's establishment and development of teaching methods and tools, program of disciplinary research / scholarship / creative activity, and record of institutional, disciplinary, and professional service, as well as progress toward promotion (where applicable) and tenure. The tenured faculty's review and narrative only shall rely on and include documented and substantiated information available to the tenured faculty at the time of the review and shall not be based on rumor or speculation.

c. The vote of the tenured faculty. The tenured faculty will take a formal retention vote. In the years before any enhanced retention review (as provided for in paragraph A.2.a. of this Part I), this vote shall focus primarily (but not exclusively) on the tenure-track faculty member's ability to sustain a level of teaching, research / scholarship / creative activity, and service that comports with the unit's expectations for faculty members at the rank of the faculty member under review. Beginning in the year in which the tenure-track faculty member is the subject of the enhanced retention review process (or, for a faculty member who is exempt from the enhanced retention review process, in every year of his or her probationary period, even if he or she chooses to undergo a voluntary enhanced retention review in any year), the tenured faculty's vote on retention shall focus primarily (and increasingly, in succeeding years) on the tenure-track faculty member's ability to meet the requirements for tenure in the department, college, campus, and University. The tenured faculty will share the vote and the written narrative with the faculty member and the department head.

d. The department head's review. The department head conducts an independent retention review based upon the faculty member's written summary, the written narrative and vote of the tenured faculty, and a scheduled meeting with the faculty member. The department head shall attach the tenured faculty's vote and narrative (as provided in paragraph B.1.c. of this Part I) to the Retention Review Form. In conducting his or her independent retention review, the department head also may have other consultations with the tenured faculty as needed.

e. The department head's report. The department head makes an independent recommendation on retention and reports this recommendation on the Retention Review Form. The department head's report includes a written recommendation to the dean as to retention or non-retention, including an

evaluation of performance that uses the ratings for annual performance and planning reviews (see Part II)—from “exceeds expectation” to “unsatisfactory.” The department head signs the Retention Review Form.

i. If a retention review results in a recommendation by the department head to retain the tenure-track faculty member, the department head shall ensure that the written report includes express guidance to the faculty member on ways to improve performance.

ii. If the retention review results in a recommendation by the department head not to retain the tenure-track faculty member, the department head includes in the report specific reasons for that decision.

f. Dissemination of the Retention Review Form. The department head will provide to the faculty member a copy of the finalized Retention Review Form, including the department head’s retention report and recommendation. The department head will furnish to the tenured faculty a copy of the department head’s retention report and recommendation.

g. Dissenting statements. Any member of the tenured faculty may submit a dissenting statement to the department head. A copy of the dissenting statement will be furnished to the faculty member under review. The dissenting statement will be attached to the Retention Review Form.

h. Faculty member’s review and signature on the Retention Review Form. The faculty member reviews the Retention Review Form. The faculty member’s signature indicates that she or he has read the entire evaluation, but the signature does not necessarily imply agreement with its findings.

i. Faculty member’s response. The faculty member under review has the right to submit a written response to the vote and narrative of the tenured faculty, to the report and recommendation of the department head, and/or to any dissenting statements. The faculty member shall be allowed two weeks from the date of receipt from the head of the finalized Retention Review Form and its complete set of attachments to submit any written response. If no response is received after two weeks of the date of receipt, the faculty member relinquishes the right to respond.

j. Transmission of the Retention Review Form. The department head will forward to the dean the finalized Retention Review Form, together with the department head’s report and recommendation, the retention vote and the narrative of the tenured faculty, and all dissenting statements and responses.

2. Dean’s Review of the Retention Review Form

a. The dean’s review and recommendation. The dean makes an independent review and recommendation on retention after reviewing the materials referred to in Part I. B.1.j. The dean shall prepare a statement summarizing his or her recommendation when it differs from that of the department head or tenured faculty or stating any other concerns the dean might wish to record, as appropriate.

b. Transmission of the dean’s recommendation and statement. The dean will indicate his or her recommendation for retention or non-retention on the Retention Review Form, sign the Retention Review Form, attach his or her statement, if any, and forward the Retention Review Form with its complete set of attachments to the chief academic officer. The dean will send a copy of his or her recommendation and statement, if any, to the department head and the faculty member.

c. Faculty member's and department head's right to respond. Each of the faculty member and the department head has the right to submit a written response to the dean's retention recommendation or any accompanying statement. Any response by the faculty member should be copied to the dean and the department head. Similarly, any response by the department head should be copied to the dean and the faculty member. The dean shall include any response by the faculty member or department head in the materials forwarded to the chief academic officer under subparagraph d. of this Part I.B.2. The faculty member and the department head will be allowed two weeks from the date of receipt of the dean's recommendation to submit any written response. If no response is received after two weeks from the date of receipt, the faculty member or department head, as applicable, relinquishes the right to respond.

d. Transmitting the retention recommendation. The dean forwards the retention recommendation and any accompanying statement for each faculty member, together with any attachments and any written responses received from the faculty member and the department head, to the chief academic officer by the deadline established in the Faculty Evaluation Calendar.

3. Chief Academic Officer's Review of Recommendations for Retention

a. The chief academic officer's review. The chief academic officer shall review all retention recommendations, make the final decision on retention, and indicate his or her decision on retention on the Retention Review Form. The chief academic officer signs the Retention Review Form and sends a copy of the fully executed Retention Review Form to the faculty member with copies to the dean and department head.

b. Notification in cases of non-retention. If the chief academic officer decides that the faculty member will not be retained, the chief academic officer will notify the faculty member receiving the negative decision in accordance with notification requirements described in the *Faculty Handbook* and the Faculty Evaluation Calendar. The chief academic officer will attach to the Retention Review Form a written statement of the reasons for the non-renewal decision. The chief academic officer's statement, together with any subsequent correspondence concerning the reasons, becomes a part of the official record.

FACULTY ANNUAL REVIEW REPORT - ANNUAL REVIEW

Exhibit D

Faculty member: _____
 Rank: _____

Department: _____
 Evaluation Period: _____

Areas to be evaluated and rated are (1) teaching, (2) research/scholarship/creative activity, (3) service, and (4) overall performance.² In each area, the department head rates faculty performance on a scale of 1 to 4, as set forth below, relative to expectations for his or her rank, based on previously established objectives for that faculty member (including goals for the previous year and each of the preceding two years in the Evaluation Period) and departmental bylaws (including the department's criteria for the various ratings at the different ranks).

- 4 – Exceeds expectations**
- 3 – Meets expectations**
- 2 – Needs improvement³**
- 1 – Unsatisfactory²**

	<i>Unsatisfactory</i>			<i>Exceeds expectations</i>	
Teaching	1	2	3	4	NA
Research/Scholarship/Creative Activity	1	2	3	4	NA
Service	1	2	3	4	NA
Overall	1	2	3	4	NA

The department head's Progress and Performance Narrative shall be attached to this Report. Other supporting materials also may be attached. For tenured faculty in Good Standing,⁴ the department head is required to attach a Progress and Performance Narrative only every three years, unless the faculty member asks the department head to draft and attach a narrative for that year.⁵ In years for which a Progress and Performance Narrative is not attached, the faculty member's Faculty Activity Report for that year is attached to this Report in lieu of the Progress and Performance Narrative.

- For purposes of merit and performance-based salary adjustments, this faculty member:
- Exceeds expectations (is eligible for significant merit/performance pay adjustments)
 - Meets expectations (is eligible for minimum merit/performance pay adjustments)
 - Needs improvement (is not eligible for merit/performance pay adjustments)²
 - Unsatisfactory (is not eligible for merit/performance pay adjustments)²

By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (*without implying agreement or disagreement*). I understand that I have the right to respond in writing to this form within two weeks from the date I received this form in accordance with Part II.B. of the *Manual for Faculty Evaluation*.

Faculty Member: _____ Date: _____

Department Head: _____ Date: _____

Dean:⁶ _____ Date: _____

Chief Academic Officer:⁵ _____ Date: _____

² Procedures and standards are set forth in the *Faculty Handbook*, the *Manual for Faculty Evaluation*, and the departmental bylaws.

³ An improvement plan is required.

⁴ A tenured faculty member is in "Good Standing" if he or she (a) receives an overall rating in this annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (b) is not under a Cumulative Performance Review.

⁵ A department head may also voluntarily attach a Progress and Performance Narrative in any year in which it is not required.

⁶ Attach rating and rationale, as necessary.

FACULTY ANNUAL REVIEW REPORT - RETENTION REVIEW

Faculty member: _____ Department: _____
Year of appointment: _____ Tenure consideration scheduled for AY: _____
Assigned mentor(s): _____

Retention reviews specifically address (among other things) the faculty member's (a) establishment and development of (1) teaching methods and tools, (2) program of disciplinary research/ scholarship/ creative activity, and (3) record of institutional, disciplinary, and/or professional service, as well as (b) progress toward promotion (where applicable) and tenure.

For retention reviews prior to the enhanced retention review⁷ (i.e., typically in the second and third year of the probationary period), the tenured faculty's retention vote shall focus primarily (but not exclusively) on the tenure-track faculty member's ability to sustain a level of teaching, research /scholarship/creative activity, and service that comports with the unit's expectations for faculty members at the rank of the faculty member under review.

The enhanced retention review⁶ (i.e., typically in year four) reflects a comprehensive, substantive evaluation based upon a file prepared by the faculty member, in accordance with requirements set forth in the *Manual for Faculty Evaluation* as a preliminary draft of the faculty member's tenure dossier. Beginning in the year of the tenure-track faculty member's enhanced retention review (and beginning with the first retention review for each faculty member exempt from the enhanced retention review), the tenured faculty's retention vote shall focus primarily (and increasingly, in succeeding years) on the tenure-track faculty member's ability to meet the requirements for tenure in the department, college, campus, and University.

1. **Review by the tenured faculty.** The narrative of the tenured faculty is attached and the vote recorded below.

Vote of the tenured faculty: For retention _____ Against retention _____ Abstain _____

2. **Review by the department head.** The report of the department head is attached.

The department head recommends: Retention _____ Termination as of _____

3. **Review by the faculty member.** By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (*without implying agreement or disagreement*). I understand that I have the right to respond in writing to the vote and narrative of the tenured faculty, to the report and recommendation of the department head, and/or to any dissenting statements within two weeks from the date I received this form in accordance with Part I.B. of the *Manual for Faculty Evaluation*.

Faculty Member: _____ Date: _____

4. **Review by the dean.**⁸

The dean recommends: Retention _____ Termination _____

Dean: _____ Date: _____

5. **Review by chief academic officer.**⁹

The chief academic officer recommends: Retention _____ Termination _____

Chief Academic Officer: _____ Date: _____

⁷ The enhanced retention review process is provided for in paragraph A.2.a. of Part I of the *Manual for Faculty Evaluation*.

⁸ A dean's statement should be attached when his or her recommendation "differs from that of the department head or tenured faculty or stating any other concerns the dean might wish to record, as appropriate," as provided in paragraph B.2.a. of Part I of the *Manual for Faculty Evaluation*.

⁹ The chief academic officer's statement may be attached when appropriate.

FACULTY ANNUAL REVIEW REPORT - ANNUAL REVIEW

Exhibit E

Faculty member: _____
 Rank: _____

Department: _____
 Evaluation Period: _____

Areas to be evaluated and rated are (1) teaching, (2) research/scholarship/creative activity, (3) service, and (4) overall performance.¹⁰ In each area, the department head rates faculty performance on a scale of 1 to 5, as set forth below, relative to expectations for his or her rank, based on previously established objectives for that faculty member (including goals for the previous year and each of the preceding two years in the Evaluation Period) and departmental bylaws (including the department's criteria for the various ratings at the different ranks).

- 5 – Outstanding (Excellent):** Far exceeds expectations
- 4 – More Than Expected (Very Good):** Exceeds expectations
- 3 – Expected (Good):** Meets expectations
- 2 – Less Than Expected (Fair):** Falls short of meeting expectations¹¹
- 1 – Unsatisfactory (Poor):** Falls far short of meeting expectations¹⁰

	<i>Unsatisfactory</i>				<i>Outstanding</i>		
Teaching	1	2	3	4	5		NA
Research/Scholarship/Creative Activity	1	2	3	4	5		NA
Service	1	2	3	4	5		NA
Overall	1	2	3	4	5		NA

The department head's Progress and Performance Narrative shall be attached to this Report. Other supporting materials also may be attached. For tenured faculty in Good Standing,¹² the department head is required to attach a Progress and Performance Narrative only every three years, unless the faculty member asks the department head to draft and attach a narrative for that year.¹³ In years for which a Progress and Performance Narrative is not attached, the faculty member's Faculty Activity Report for that year is attached to this Report in lieu of the Progress and Performance Narrative.

- For purposes of merit and performance-based salary adjustments, this faculty member:
- ___ Exceeds expectations (is eligible for significant merit/performance pay adjustments)
 - ___ Meets expectations (is eligible for minimum merit/performance pay adjustments)
 - ___ Needs improvement (is not eligible for merit/performance pay adjustments)¹⁰
 - ___ Unsatisfactory (is not eligible for merit/performance pay adjustments)¹⁰

By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (*without implying agreement or disagreement*). I understand that I have the right to respond in writing to this form within two weeks from the date I received this form in accordance with Part II.B. of the *Manual for Faculty Evaluation*.

Faculty Member: _____ Date: _____

Department Head: _____ Date: _____

Dean:¹⁴ _____ Date: _____

Chief Academic Officer:¹³ _____ Date: _____

¹⁰ Procedures and standards are set forth in the *Faculty Handbook*, the *Manual for Faculty Evaluation*, and the departmental bylaws.
¹¹ An improvement plan is required.
¹² A tenured faculty member is in "Good Standing" if he or she (a) receives an overall rating in this annual review indicating that his or her performance meets or exceeds expectations for his or her rank and (b) is not under a Cumulative Performance Review.
¹³ A department head may also voluntarily attach a Progress and Performance Narrative in any year in which it is not required.
¹⁴ Attach rating and rationale, as necessary.

FACULTY ANNUAL REVIEW REPORT - RETENTION REVIEW

Faculty member: _____ Department: _____
Year of appointment: _____ Tenure consideration scheduled for AY: _____
Assigned mentor(s): _____

Retention reviews specifically address (among other things) the faculty member's (a) establishment and development of (1) teaching methods and tools, (2) program of disciplinary research/ scholarship/ creative activity, and (3) record of institutional, disciplinary, and/or professional service, as well as (b) progress toward promotion (where applicable) and tenure.

For retention reviews prior to the enhanced retention review¹⁵ (i.e., typically in the second and third year of the probationary period), the tenured faculty's retention vote shall focus primarily (but not exclusively) on the tenure-track faculty member's ability to sustain a level of teaching, research /scholarship/creative activity, and service that comports with the unit's expectations for faculty members at the rank of the faculty member under review.

The enhanced retention review¹⁴ (i.e., typically in year four) reflects a comprehensive, substantive evaluation based upon a file prepared by the faculty member, in accordance with requirements set forth in the *Manual for Faculty Evaluation* as a preliminary draft of the faculty member's tenure dossier. Beginning in the year of the tenure-track faculty member's enhanced retention review (and beginning with the first retention review for each faculty member exempt from the enhanced retention review), the tenured faculty's retention vote shall focus primarily (and increasingly, in succeeding years) on the tenure-track faculty member's ability to meet the requirements for tenure in the department, college, campus, and University.

1. **Review by the tenured faculty.** The narrative of the tenured faculty is attached and the vote recorded below.

Vote of the tenured faculty: For retention _____ Against retention _____ Abstain _____

2. **Review by the department head.** The report of the department head is attached.

The department head recommends: Retention _____ Termination as of _____

3. **Review by the faculty member.** By signing below, I acknowledge that I have participated in the review process and have received a copy of this review (*without implying agreement or disagreement*). I understand that I have the right to respond in writing to the vote and narrative of the tenured faculty, to the report and recommendation of the department head, and/or to any dissenting statements within two weeks from the date I received this form in accordance with Part I.B. of the *Manual for Faculty Evaluation*.

Faculty Member: _____ Date: _____

4. **Review by the dean.**¹⁶

The dean recommends: Retention _____ Termination _____

Dean: _____ Date: _____

5. **Review by chief academic officer.**¹⁷

The chief academic officer recommends: Retention _____ Termination _____

Chief Academic Officer: _____ Date: _____

¹⁵ The enhanced retention review process is provided for in paragraph A.2.a. of Part I of the *Manual for Faculty Evaluation*.

¹⁶ A dean's statement should be attached when his or her recommendation "differs from that of the department head or tenured faculty or stating any other concerns the dean might wish to record, as appropriate," as provided in paragraph B.2.a. of Part I of the *Manual for Faculty Evaluation*.

¹⁷ The chief academic officer's statement may be attached when appropriate.

FORM A – CONSULTING ENGAGEMENT REPORT

The information requested below is supplied to the extent available and to the extent the requested information can be provided consistent with professional and contractual obligations of confidentiality

1. Names and addresses of firms, agencies or individuals: _____

2. Nature of work: _____

3. Basis for requesting consulting time, if applicable (discuss remuneration, value to UT, professional enhancement):

4. Period of request: _____ through _____
Date Date

5. Equity ownership involved? _____ If so, the amount and type of equity interest owned:

Spending on Institutional Support in the University of Tennessee System

Budget and Planning Committee¹
Faculty Senate
University of Tennessee, Knoxville

April 2009

The Budget and Planning Committee of the UTK Faculty Senate regularly reviews UT budget and financial documents. In the context of recent discussions of budget cuts, stimulus fund availability, and possible reductions in force at the Knoxville campus, the Committee has taken an even closer look at the budget in recent months. Our efforts have revealed an unusually high increase in spending under the category of Institutional Support between 2004 and 2008.

Spending at the University of Tennessee, as at other institutions of higher learning, is traditionally reported in the broad categories of Instruction, Research, Public Service, Academic Support, Student Services, Institutional Support, Operation and Maintenance of Plant, Scholarships and Fellowships, Auxiliaries, and Independent Operations. The UT Budget web site defines Institutional Support as “costs associated with executive management, fiscal operations, personnel services, and administrative computing.”²

An analysis of UT budget documents available at the same web site reveals that system-wide spending on Institutional Support increased by \$25.9 million between 2004 and 2008 (Figure 1). This represents growth of about 32.6 percent, which outpaced overall spending growth of about 11.4 percent during this same period of time. Even during the time that UT was engaged in difficult discussions regarding budget cuts and program closures, Institutional Support was growing as a share of total UT spending.

A determination of the specific sources of this increase in Institutional Support spending is made difficult by the fact that the UT system underwent significant change in recent years in the accounting for various administrative spending categories. The most prominent example of this involved the creation of the “University Support Services” budget entity during the Gilley administration. This entity has since been dissolved and the associated spending elements have been transferred to other units,

¹ We thank Jeff Maples (Interim UTK Vice Chancellor for Finance and Administration), Dr. Gary W. Rogers (Senior UT Vice President and Chief Financial Officer), Charles M. Peccolo (UT Vice President and Treasurer), Chris Cimino (Assistant UT Vice President for Budgeting), and Ron Maples (Assistant UT Vice President and Controller) for their gracious efforts to provide the data underlying our report, and to increase our understanding of UT accounting procedures.

² <http://web.dii.utk.edu/budget/>.

namely the various campuses and what has always been known as System Administration.

Table 1 below, provided by the UT System Budget Office, shows both the raw changes in Institutional Support spending by major entity as well as adjusted numbers that account for the transfer of various functions from the category of “System Administration” (which for earlier years includes University Support Services) to the various campus units. Figure 2 presents the distribution of the sources of the \$25.9 million increase in Institutional Support spending after this adjustment has been accounted for. As shown in Figure 2, about two-thirds of the increase occurred at the System Administration level. Figure 3, which is based on the accompanying UT System Budget Office data in Table 2, shows that over 80 percent of the \$25.9 million increase went toward “Total Personnel” (which, as shown in Table 2, consists almost entirely of non-academic salaries) and “Staff Benefits.” Additional spending detail by entity and cost center, also provided by the UT System Budget Office, is provided in Appendix Tables 1 and 2 at the end of this report.

Data in the UT budget documents shows that the total state appropriation for the UT system only increased by about 23.9 percent during the same period of time (from just over \$406 million in 2004 to just under \$503 million in 2008). This suggests that a portion of the increase in Institutional Support spending came at the expense of other functional areas of the UT system, including Instruction and Research. The budget documents and discussions with campus and system budget office staff indicate that spending at the system administration level above and beyond the state appropriation is funded primarily by (a) transfers from the various campus units and (b) interest earnings on short-term deposits of tuition and scholarship payments.

One might wonder whether UT’s spending on Institutional Support is out of line with other similar institutions of higher learning. The National Center for Education Statistics’ Integrated Postsecondary Education Data System (IPEDS) allows such a comparison, and summary data are provided in Figures 4 and 5 below. UT Institutional Support spending amounted to 7 percent of total spending in 2007, which ranks as third-highest in UT’s self-selected peer group within the IPEDS.³ On a per-full-time-equivalent (FTE) student basis as shown in Figure 5, UT again ranks third-highest. To put this in broader perspective, reducing Institutional Support to a level equal to the peer group median of 6 percent would generate approximately \$14.9 million in savings for the UT system.

³ We should note that the NCES IPEDS data separate UT system data into the three major accreditation units. Specifically, the Chattanooga and Martin campuses are reported as separate entities, and all else is reported as “The University of Tennessee.” Institutional Support spending at the Chattanooga and Martin campuses was 5 percent of total core spending in FY2007.

Figure 1: Total UT Institutional Support Spending, 2004-2008

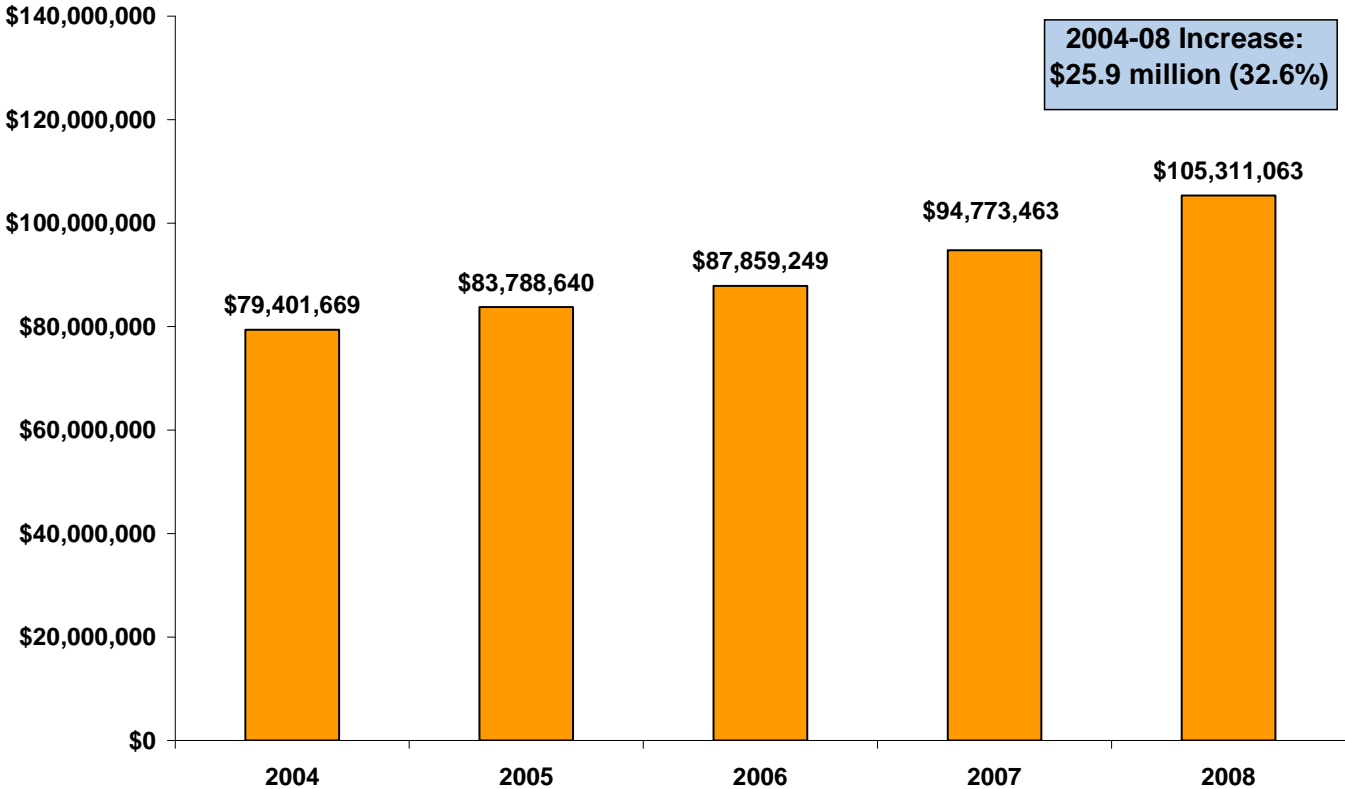


Figure 2: Sources of the \$25.9 Million 2004-08 Increase in UT Institutional Support Spending, 2004-2008

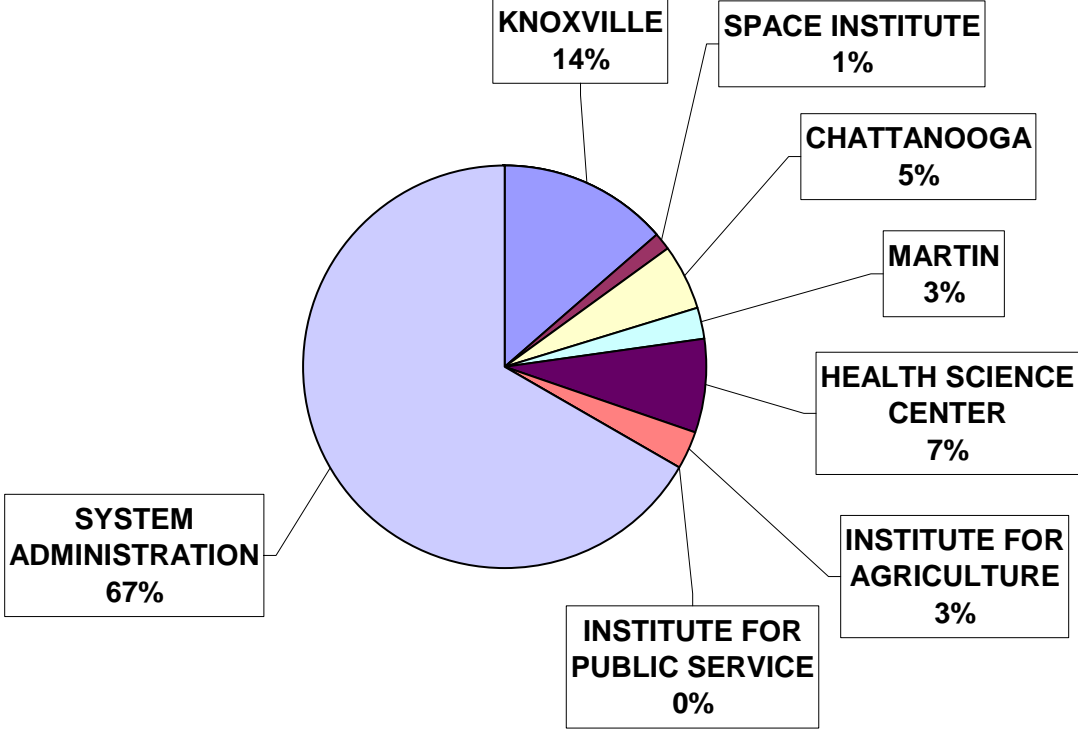


Figure 3: Distribution of the \$25.9 Million 2004-08 Increase in UT Institutional Support Spending by Expense Category

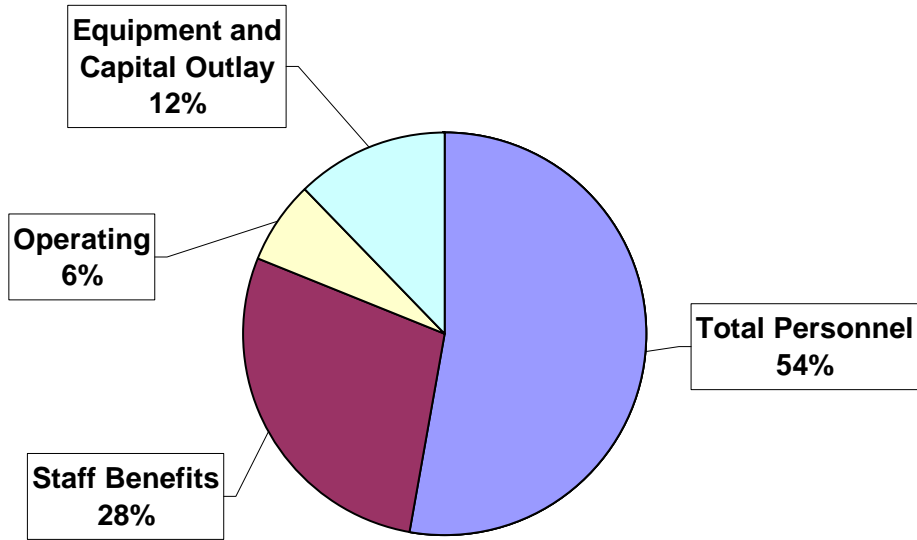
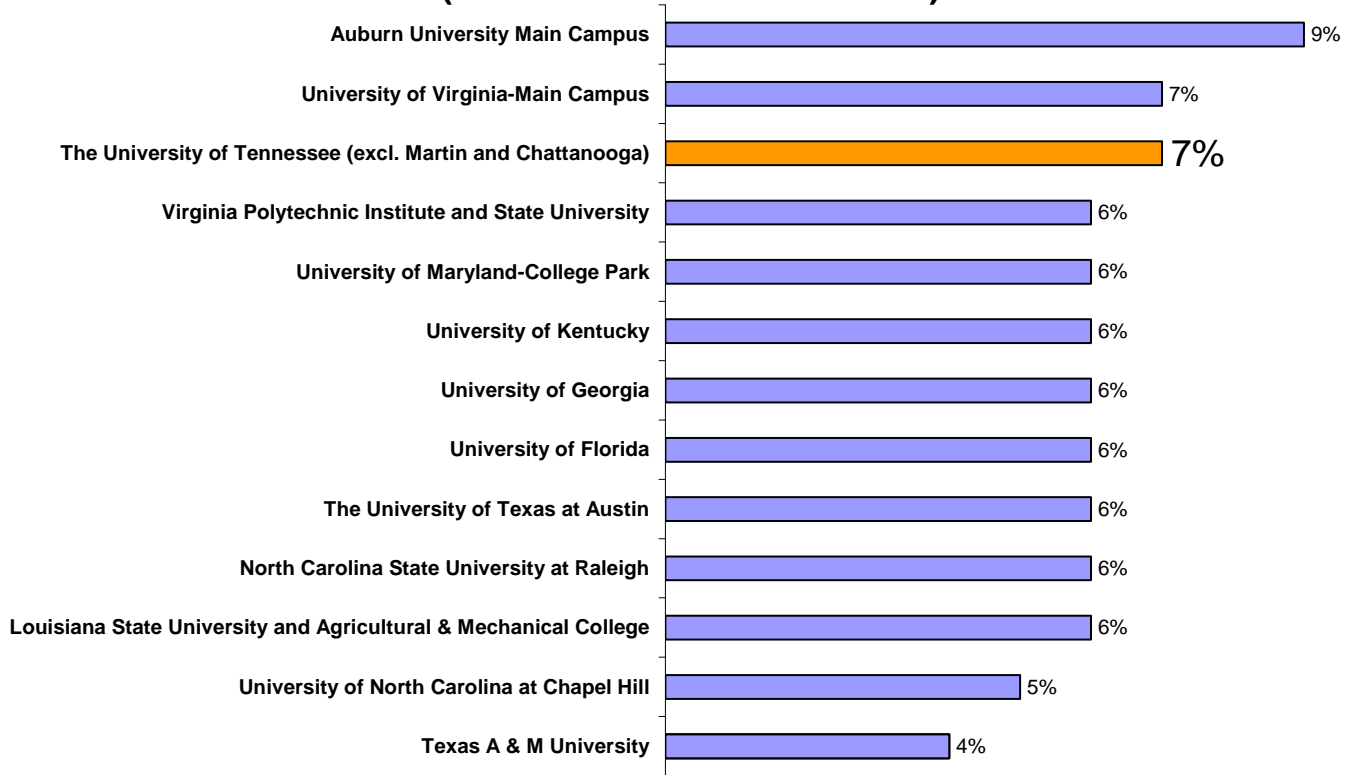


Figure 4: Institutional Support as a Percent of Total Core Spending, 2007
(Source: NCES IPEDS Data)



**Figure 5: Institutional Support Spending
per FTE Student, 2007
(Source: NCES IPEDS Data)**

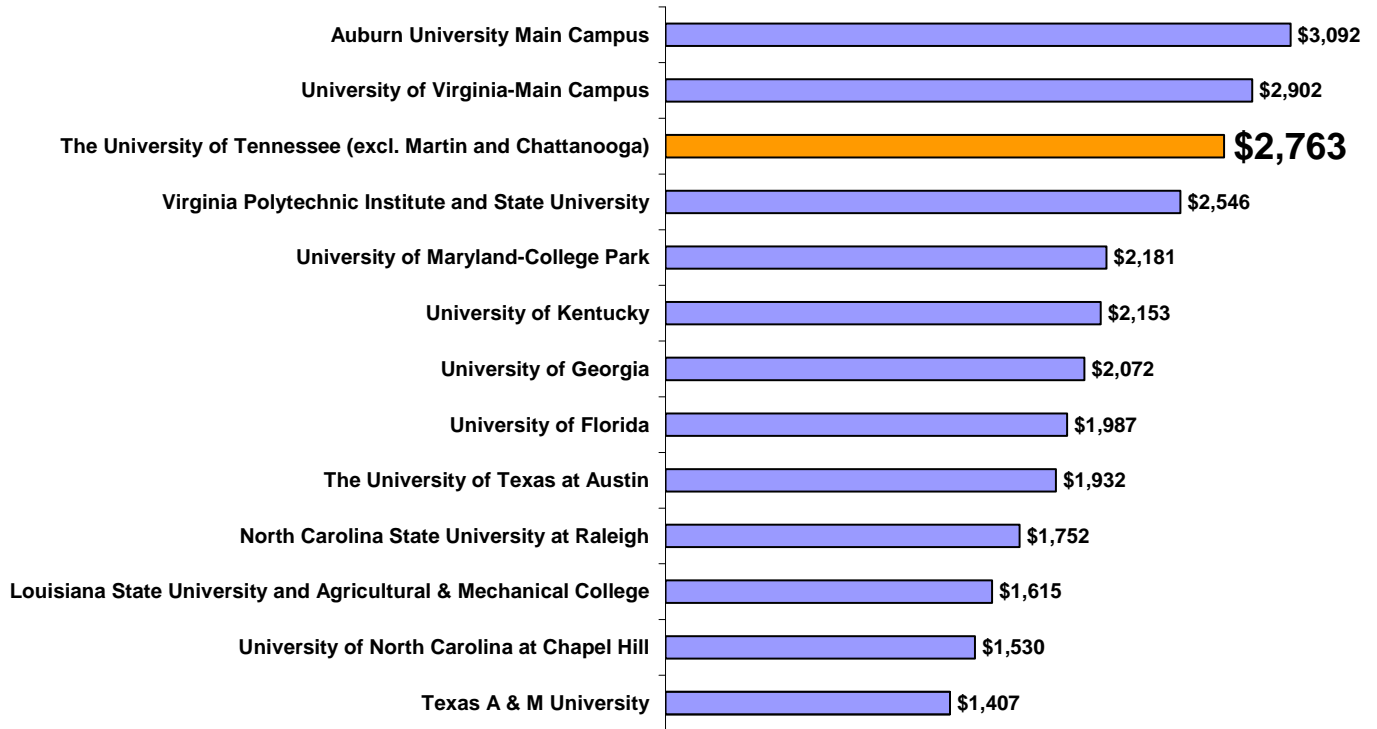


Table 1: UT Institutional Support Spending by Entity, 2004-2008

Fiscal year	2004	2005	2006	2007	2008	5 Year Change	% 5 Year Change	Adjustment to Exclude Reorganization	Adjusted 5 Year Change	Adjusted % 5 Year Change
	Actuals	Actuals	Actuals	Actuals	Actuals					
TOTAL INSITUTIONAL SUPPORT	79,401,669.24	83,788,639.79	87,859,248.51	94,773,463.15	105,311,063.37	25,909,394.13	32.63%	0.00	25,909,394.13	32.63%
KNOXVILLE	8,385,815.88	9,390,422.79	11,448,213.02	12,700,182.21	23,368,940.38	14,983,124.50	178.67%	11,468,242.94	3,514,881.56	41.91%
SPACE INSTITUTE	657,820.44	750,858.46	1,058,047.96	920,378.24	1,271,158.77	613,338.33	93.24%	226,338.00	387,000.33	58.83%
CHATTANOOGA	5,702,095.11	6,126,430.83	6,007,870.10	6,855,976.54	7,396,813.30	1,694,718.19	29.72%	356,602.64	1,338,115.55	23.47%
MARTIN	3,635,917.24	3,656,594.58	3,721,862.49	4,143,770.64	4,337,372.67	701,455.43	19.29%		701,455.43	19.29%
HEALTH SCIENCE CENTER	9,126,734.22	10,615,284.33	9,830,362.69	10,752,522.40	15,174,996.61	6,084,262.39	66.66%	4,164,420.26	1,919,842.13	21.04%
INSTITUTE FOR AGRICULTURE	996,969.35	897,713.71	1,111,080.43	1,241,718.71	1,771,962.71	774,993.36	77.73%		774,993.36	77.73%
INSTITUTE FOR PUBLIC SERVICE	579,786.17	462,580.72	509,625.85	514,600.96	573,406.38	-6,379.79	-1.10%		-6,379.79	-1.10%
SYSTEM ADMINISTRATION	50,316,530.83	51,888,754.37	54,172,185.97	57,644,313.45	51,416,412.55	1,099,881.72	2.19%	-16,215,603.84	17,315,485.56	34.41%

Table 2: UT Institutional Support Spending by Spending Category, 2004-2008

Fiscal year		2004	2005	2006	2007	2008	5 Year Change	% 5 Year Change
		Actuals	Actuals	Actuals	Actuals	Actuals		
Overall Result		79,401,669.24	83,788,639.79	87,859,248.51	94,773,463.15	105,311,063.37	25,909,394.13	32.63%
COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	79,401,669.24	83,788,639.79	87,859,248.51	94,773,463.15	105,311,063.37	25,909,394.13	32.63%
UT/400000	ALL EXPENSES	79,401,669.24	83,788,639.79	87,859,248.51	94,773,463.15	105,311,063.37	25,909,394.13	32.63%
UT/41TSAL	Total Personnel	55,503,484.91	56,892,492.12	59,721,321.14	63,083,373.57	69,181,768.18	13,678,283.27	24.64%
UT/41ACAD	Academic Salaries	949,166.63	737,845.06	914,631.48	1,135,147.74	982,740.45	33,573.82	3.54%
UT/41NONA	NonAcademic Salaries	53,577,447.61	55,296,976.58	57,962,650.97	61,016,119.23	67,266,675.32	13,689,227.71	25.55%
UT/41STU	Student Employees	976,870.67	857,670.48	844,038.69	932,106.60	932,352.41	(44,518.26)	-4.56%
UT/42SBEN	Staff Benefits	16,403,835.89	18,027,875.37	19,009,571.95	21,534,585.52	23,758,791.64	7,354,955.75	44.84%
UT/421000	Staff Benefits	16,420,506.77	18,050,227.83	19,024,965.05	21,535,705.52	23,760,041.33	7,339,534.56	44.70%
UT/421900	Staff Benefits Recov	(16,670.88)	(22,352.46)	(15,393.10)	(1,120.00)	(1,249.69)	15,421.19	-92.50%
UT/43OPER	Operating	4,542,846.97	1,819,447.93	2,151,134.85	4,819,221.64	6,222,742.16	1,679,895.19	36.98%
UT/419000	NonWage,Contract Pay				22,000.00	500.00	500.00	
UT/431000	Travel	1,373,569.71	1,462,255.08	1,804,173.69	2,194,310.83	2,263,853.95	890,284.24	64.82%
UT/432000	Motor Vehicle Oper	453,076.23	470,509.77	508,512.92	525,399.39	573,905.64	120,829.41	26.67%
UT/433000	Media Processing	1,534,834.12	755,143.69	728,541.46	765,788.75	1,489,350.66	(45,483.46)	-2.96%
UT/434000	Utilities & Fuel	855,677.05	1,076,296.05	1,438,212.17	1,533,297.40	1,972,701.40	1,117,024.35	130.54%
UT/435000	Communication	4,823,206.12	4,859,311.60	5,431,062.47	5,188,061.68	5,762,768.81	939,562.69	19.48%
UT/436000	Maintenance,Repairs	3,033,642.54	2,768,005.13	2,644,913.64	2,565,321.71	2,685,565.91	(348,076.63)	-11.47%
UT/437000	Prof Svc,Memberships	5,381,240.55	4,134,811.29	5,826,541.84	6,588,198.17	7,120,875.79	1,739,635.24	32.33%
UT/438000	Computer Services	(2,938,552.88)	(2,784,158.64)	(3,171,498.35)	(3,151,317.50)	(2,997,233.16)	(58,680.28)	2.00%
UT/439000	Supplies	5,632,406.77	4,238,777.50	5,210,530.86	6,818,126.53	7,763,413.63	2,131,006.86	37.83%
UT/441000	Rentals & Insurance	270,102.38	1,113,465.70	103,429.98	152,121.75	226,870.17	(43,232.21)	-16.01%
UT/442000	Insur & Interest	756,787.32	679,300.45	494,472.82	(25,048.42)	382,849.78	(373,937.54)	-49.41%
UT/443000	Awards	125,628.33	96,509.25	124,951.89	155,265.74	82,497.77	(43,130.56)	-34.33%
UT/444000	Grants & Subsidies	235,562.36	396,764.46	213,227.16	140,741.27	128,440.76	(107,121.60)	-45.47%
UT/446000	Contractual,Spec Svc	3,390,807.36	4,242,053.69	4,340,239.86	4,231,627.08	5,464,450.61	2,073,643.25	61.15%
UT/448000	Svc Dept Credits	(25,322,038.23)	(25,858,921.69)	(27,674,701.04)	(26,638,016.79)	(31,055,983.17)	(5,733,944.94)	22.64%
UT/449000	Other Services & Exp	831,858.27	510,738.85	205,879.39	(94,500.98)	399,084.92	(432,773.35)	-52.02%
UT/450000	All Stores Resale	722,490.96	789,159.28	757,009.25	852,486.10	956,482.11	233,991.15	32.39%
UT/451000	Stores for Resale	1,961,217.08	1,987,531.44	2,223,547.16	2,289,089.99	2,206,312.02	245,094.94	12.50%
UT/452000	Stores for Resale	587,707.28	588,784.24	644,218.73	314,453.23	340,343.37	(247,363.91)	-42.09%
UT/453000	Stores for Resale	164,496.44	153,223.09	191,511.70	181,348.45	205,382.34	40,885.90	24.86%
UT/454000	Stores for Resale	586,530.28	55,151.96	21,166.02	33,102.44	31,986.57	(554,543.71)	-94.55%
UT/455000	Stores for Resale	21,295.23	22,482.21	22,930.69	15,128.77		(21,295.23)	-100.00%
UT/456000	Stores for Resale	511.25	623.85	608.76	90,284.62	149,026.88	148,515.63	29049.51%
UT/457000	Stores for Resale	42,890.60	44,715.31	40,660.66	55,115.89	47,853.20	4,962.60	11.57%
UT/458000	Stores for Resale	12,202.91	12,630.18	15,712.72	12,259.19	16,843.78	4,640.87	38.03%
UT/459000	Stores for Resale	5,696.94	4,284.19	5,278.40	4,576.35	4,598.42	(1,098.52)	-19.28%
UT/46EQCO	Equip, Cap Outlay	2,951,501.47	7,048,824.37	6,977,220.57	5,336,282.42	6,147,761.39	3,196,259.92	108.29%
UT/461000	Equipment	2,066,388.63	6,285,371.52	6,132,904.56	4,455,719.14	5,101,621.83	3,035,233.20	146.89%
UT/462000	Minor Equip FY2001							
UT/463000	Library Acquisitions	(2,630.86)	24.00	(20.00)	-	-	2,630.86	-100.00%
UT/466000	Software-Cap Outlay	96,426.00	37,754.00	63,800.00	-	95,649.99	(776.01)	-0.80%
UT/471000	Land-Cap Outlay							
UT/472000	Buildings-Cap Outlay		-	-	-	84,465.00	84,465.00	
UT/473000	Imprvs Oth Than Bldg							
UT/474000	Depreciation	791,317.70	725,674.85	780,536.01	880,563.28	866,024.57	74,706.87	9.44%

Appendix Table 1: UT Institutional Support Spending by Entity and Spending Category, 2004-2008

		Fiscal year	2004	2005	2006	2007	2008	5 Year Change	% 5 Year Change
			Actuals	Actuals	Actuals	Actuals	Actuals		
Overall Result			79,401,669.24	83,788,639.79	87,859,248.51	94,773,463.15	105,311,063.37	25,909,394.13	32.63%
1101	CUR UNREST KNOXVILLE E&G	COMMITMENT ITEM HIERARCHY	8,385,815.88	9,390,422.79	11,448,213.02	12,700,182.21	23,368,940.38	14,983,124.50	178.67%
1101	CUR UNREST KNOXVILLE E&G	UT/400000	8,385,815.88	9,390,422.79	11,448,213.02	12,700,182.21	23,368,940.38	14,983,124.50	178.67%
1101	CUR UNREST KNOXVILLE E&G	UT/41TSAL	5,488,896.57	5,561,373.63	6,982,930.19	7,433,592.93	15,542,790.55	10,053,893.98	183.17%
1101	CUR UNREST KNOXVILLE E&G	UT/41ACAD	151,406.06	114,587.34	106,378.25	184,817.89	359,442.70	208,036.64	137.40%
1101	CUR UNREST KNOXVILLE E&G	UT/41NONA	5,295,355.84	5,418,524.34	6,822,237.60	7,196,191.41	14,766,199.46	9,470,843.62	178.85%
1101	CUR UNREST KNOXVILLE E&G	UT/41STU	42,134.67	28,261.95	54,314.34	52,583.63	417,148.39	375,013.72	890.04%
1101	CUR UNREST KNOXVILLE E&G	UT/42SBEN	1,778,347.68	1,802,357.28	2,269,686.57	2,641,421.83	5,032,232.60	3,253,884.92	182.97%
1101	CUR UNREST KNOXVILLE E&G	UT/421000	1,778,347.68	1,802,357.28	2,269,686.57	2,641,421.83	5,032,232.60	3,253,884.92	182.97%
1101	CUR UNREST KNOXVILLE E&G	UT/43OPER	837,595.81	1,998,933.68	2,188,863.96	2,395,811.83	2,709,757.38	1,872,161.57	223.52%
1101	CUR UNREST KNOXVILLE E&G	UT/419000				22,000.00	500.00	500.00	
1101	CUR UNREST KNOXVILLE E&G	UT/431000	64,365.42	105,820.84	140,161.40	187,394.06	371,427.81	307,062.39	477.06%
1101	CUR UNREST KNOXVILLE E&G	UT/432000	75,547.06	35,335.01	28,504.77	24,741.34	45,415.92	(30,131.14)	-39.88%
1101	CUR UNREST KNOXVILLE E&G	UT/433000	70,336.74	92,574.67	314,498.85	325,984.77	375,810.11	305,473.37	434.30%
1101	CUR UNREST KNOXVILLE E&G	UT/434000	5.14					(5.14)	-100.00%
1101	CUR UNREST KNOXVILLE E&G	UT/435000	(87,465.30)	132,718.21	245,261.20	252,082.88	441,372.68	528,837.98	-604.63%
1101	CUR UNREST KNOXVILLE E&G	UT/436000	1,014,145.52	(4,907.09)	14,846.03	358,478.36	840,699.75	(173,445.77)	-17.10%
1101	CUR UNREST KNOXVILLE E&G	UT/437000	241,962.42	209,118.44	254,045.07	191,610.88	433,193.20	191,230.78	79.03%
1101	CUR UNREST KNOXVILLE E&G	UT/438000	28,472.67	32,988.25	56,553.25	59,091.02	(406,676.19)	(435,148.86)	-1528.30%
1101	CUR UNREST KNOXVILLE E&G	UT/439000	323,042.45	369,475.69	505,992.70	636,971.61	1,061,886.69	738,844.24	228.71%
1101	CUR UNREST KNOXVILLE E&G	UT/441000	7,047.99	355.07	9,867.79	4,471.00	10,268.28	3,220.29	45.69%
1101	CUR UNREST KNOXVILLE E&G	UT/442000	170,574.00	199,447.29	189,403.00	50.00	142,590.60	(27,983.40)	-16.41%
1101	CUR UNREST KNOXVILLE E&G	UT/443000		200.00	8,037.50	32,246.35	5,250.03	5,250.03	
1101	CUR UNREST KNOXVILLE E&G	UT/444000		2,631.28	(21,807.09)	(20,239.05)	(12,217.12)	(12,217.12)	
1101	CUR UNREST KNOXVILLE E&G	UT/446000	(24,780.50)	445,259.99	546,672.35	464,579.66	(530,460.28)	(505,679.78)	2040.64%
1101	CUR UNREST KNOXVILLE E&G	UT/448000	(1,326,291.14)	377,645.70	(89,255.55)	(118,722.28)	(65,598.58)	1,260,692.56	-95.05%
1101	CUR UNREST KNOXVILLE E&G	UT/449000	5,607.65	270.33	(13,917.31)	(24,928.77)	(3,705.52)	(9,313.17)	-166.08%
1101	CUR UNREST KNOXVILLE E&G	UT/450000							
1101	CUR UNREST KNOXVILLE E&G	UT/452000	275,025.69					(275,025.69)	-100.00%
1101	CUR UNREST KNOXVILLE E&G	UT/46EQCO	280,975.82	27,758.20	6,732.30	229,355.62	84,159.85	(196,815.97)	-70.05%
1101	CUR UNREST KNOXVILLE E&G	UT/461000		27,758.20	6,732.30	229,355.62	84,159.85	84,159.85	
1101	CUR UNREST KNOXVILLE E&G	UT/462000							
1101	CUR UNREST KNOXVILLE E&G	UT/466000							
1101	CUR UNREST KNOXVILLE E&G	UT/472000							
1101	CUR UNREST KNOXVILLE E&G	UT/473000							
1101	CUR UNREST KNOXVILLE E&G	UT/474000	280,975.82					(280,975.82)	-100.00%

1102	CUR UNKRES1 SPACE INSTITUTE	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER								
				657,820.44	750,858.46	1,058,047.96	920,378.24	1,271,158.77	613,338.33	93.24%	
		UT/400000	ALL EXPENSES	657,820.44	750,858.46	1,058,047.96	920,378.24	1,271,158.77	613,338.33	93.24%	
		UT/41TSAL	Total Personnel	409,198.87	476,397.46	731,927.33	618,971.05	990,911.38	581,712.51	142.16%	
		UT/41ACAD	Academic Salaries	4,737.80	34,787.92	41,550.32	33,570.71	323.81	(4,413.99)	-93.17%	
		UT/41NONA	NonAcademic Salaries	404,461.07	441,609.54	690,377.01	585,400.34	990,587.57	586,126.50	144.92%	
		UT/42SBEN	Staff Benefits	137,523.75	137,899.89	162,731.53	193,987.46	347,378.26	209,854.51	152.60%	
		UT/421000	Staff Benefits	137,523.75	137,899.89	162,731.53	193,987.46	347,378.26	209,854.51	152.60%	
		UT/421900	Staff Benefits Recov								
		UT/43OPER	Operating	113,787.67	136,561.11	163,409.10	98,191.84	(73,615.87)	(187,403.54)	-164.70%	
		UT/431000	Travel	15,136.27	13,384.70	23,280.02	19,008.30	18,823.32	3,687.05	24.36%	
		UT/432000	Motor Vehicle Oper	22,352.31	24,250.59	22,220.17	32,556.09	32,743.19	10,390.88	46.49%	
		UT/433000	Media Processing	2,515.40	396.40	1,558.50	1,882.85	1,951.35	(564.05)	-22.42%	
		UT/434000	Utilities & Fuel	5,525.95	6,918.75	12,089.80	8,275.46	20,490.21	14,964.26	270.80%	
		UT/435000	Communication	57,745.70	64,507.80	60,992.09	67,310.81	144,932.24	87,186.54	150.98%	
		UT/436000	Maintenance,Repairs	18,033.51	5,023.11	5,752.94	9,541.91	9,863.36	(8,170.15)	-45.31%	
		UT/437000	Prof Svc,Memberships	31,949.00	55,149.00	64,963.05	6,880.04	13,241.56	(18,707.44)	-58.55%	
		UT/438000	Computer Services	36.96	34.95	18.29	18.38	21.26	(15.70)	-42.48%	
		UT/439000	Supplies	37,843.33	74,988.70	86,918.63	86,551.30	149,115.25	111,271.92	294.03%	
		UT/441000	Rentals & Insurance	19,555.72	26,895.62	26,868.99	23,994.63	25,305.15	5,749.43	29.40%	
		UT/442000	Insur & Interest	4,378.00	2,355.83	4,073.83		1,640.72	(2,737.28)	-62.52%	
		UT/443000	Awards	3,117.23	2,566.02	58.00	2,228.83	552.84	(2,564.39)	-82.27%	
		UT/446000	Contractual,Spec Svc	22,471.24	21,337.12	49,235.09	83,681.64	35,971.04	13,499.80	60.08%	
		UT/448000	Svc Dept Credits	(127,272.95)	(161,247.48)	(194,808.30)	(244,004.60)	(528,539.16)	(401,266.21)	315.28%	
		UT/449000	Other Services & Exp	400.00		188.00	266.20	271.80	(128.20)	-32.05%	
		UT/450000	All Stores Resale								
		UT/46EQCO	Equip, Cap Outlay	(2,689.85)		(20.00)	9,227.89	6,485.00	9,174.85	-341.09%	
		UT/461000	Equipment			-	9,227.89	6,485.00	6,485.00		
		UT/463000	Library Acquisitions	(2,689.85)		(20.00)			2,689.85	-100.00%	

	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER								
1103	CUR UNREST UNIV SUPPORT E&G		28,505,033.02	26,555,526.25	27,240,861.69	28,115,778.26	-	(28,505,033.02)	-100.00%	
1103	CUR UNREST UNIV SUPPORT E&G	UT/400000	ALL EXPENSES	28,505,033.02	26,555,526.25	27,240,861.69	28,115,778.26	-	(28,505,033.02)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/41TSAL	Total Personnel	22,005,250.54	17,968,411.21	18,474,119.17	18,965,352.14	-	(22,005,250.54)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/41ACAD	Academic Salaries	333,372.61	219,333.05	265,008.21	238,023.52	-	(333,372.61)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/41NONA	NonAcademic Salaries	21,056,663.04	17,240,733.57	17,727,560.28	18,176,576.71	-	(21,056,663.04)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/41STU	Student Employees	615,214.89	508,344.59	481,550.68	550,751.91	-	(615,214.89)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/42SBEN	Staff Benefits	6,097,200.54	5,661,289.45	5,942,972.53	6,496,945.63	-	(6,097,200.54)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/421000	Staff Benefits	6,097,200.54	5,661,289.45	5,942,972.53	6,496,945.63	-	(6,097,200.54)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/421900	Staff Benefits Recov							
1103	CUR UNREST UNIV SUPPORT E&G	UT/43OPER	Operating	(511,062.93)	(1,425,089.87)	(1,277,097.39)	844,235.26	-	511,062.93	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/419000	NonWage,Contract Pay							
1103	CUR UNREST UNIV SUPPORT E&G	UT/431000	Travel	527,493.90	481,326.27	561,563.00	677,771.20	-	(527,493.90)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/432000	Motor Vehicle Oper	138,762.17	125,234.83	126,111.45	133,579.69	-	(138,762.17)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/433000	Media Processing	252,771.51	237,056.95	268,754.28	261,727.18	-	(252,771.51)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/434000	Utilities & Fuel	1.07	3.12	9.30	33.47	-	(1.07)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/435000	Communication	3,998,217.47	3,989,866.69	4,213,039.51	4,258,458.77	-	(3,998,217.47)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/436000	Maintenance,Repairs	1,190,572.55	1,312,621.04	1,412,037.22	1,494,258.85	-	(1,190,572.55)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/437000	Prof Svc,Memberships	737,566.09	670,561.86	646,910.22	937,735.47	-	(737,566.09)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/438000	Computer Services	(3,443,856.05)	(3,327,467.28)	(3,809,376.00)	(3,752,910.06)	-	3,443,856.05	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/439000	Supplies	3,356,716.87	2,199,747.59	2,895,359.93	4,132,995.42	-	(3,356,716.87)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/441000	Rentals & Insurance	40,039.78	18,148.41	33,587.22	44,374.40	-	(40,039.78)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/442000	Insur & Interest	570.26	54.75	424.75	920.75	-	(570.26)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/443000	Awards	46,915.19	500.00	-	-	-	(46,915.19)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/444000	Grants & Subsidies	56,076.70	98,492.19	98,559.34	94,330.70	-	(56,076.70)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/446000	Contractual,Spec Svc	145,869.08	1,482,512.47	1,639,801.05	1,378,577.13	-	(145,869.08)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/448000	Svc Dept Credits	(7,588,386.78)	(8,715,191.41)	(9,367,275.45)	(8,822,444.89)	-	7,588,386.78	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/449000	Other Services & Exp	29,558.65	1,442.65	3,378.84	4,827.18	-	(29,558.65)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/451000	Stores for Resale	-	-	-	-	-	-	-
1103	CUR UNREST UNIV SUPPORT E&G	UT/453000	Stores for Resale	48.61	-	17.95	-	-	(48.61)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/46EQCO	Equip, Cap Outlay	913,644.87	4,350,915.46	4,100,867.38	1,809,245.23	-	(913,644.87)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/461000	Equipment	840,618.87	4,342,119.46	4,100,867.38	1,809,245.23	-	(840,618.87)	-100.00%
1103	CUR UNREST UNIV SUPPORT E&G	UT/463000	Library Acquisitions	-	-	-	-	-	-	-
1103	CUR UNREST UNIV SUPPORT E&G	UT/466000	Software-Cap Outlay	73,026.00	8,796.00	-	-	-	(73,026.00)	-100.00%

		COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER								
1104	CUR UNREST CHATTANOOGA E&G			5,702,095.11	6,126,430.83	6,007,870.10	6,855,976.54	7,396,813.30	1,694,718.19	29.72%	
1104	CUR UNREST CHATTANOOGA E&G	UT/400000	ALL EXPENSES	5,702,095.11	6,126,430.83	6,007,870.10	6,855,976.54	7,396,813.30	1,694,718.19	29.72%	
1104	CUR UNREST CHATTANOOGA E&G	UT/41TSAL	Total Personnel	3,733,312.62	3,998,758.28	4,029,656.22	4,438,598.07	4,727,830.97	994,518.35	26.64%	
1104	CUR UNREST CHATTANOOGA E&G	UT/41ACAD	Academic Salaries	97,336.62	25,421.69	105,000.59	109,931.55	19,098.10	(78,238.52)	-80.38%	
1104	CUR UNREST CHATTANOOGA E&G	UT/41NONA	NonAcademic Salaries	3,583,798.98	3,926,923.95	3,873,172.17	4,267,463.53	4,637,434.88	1,053,635.90	29.40%	
1104	CUR UNREST CHATTANOOGA E&G	UT/41STU	Student Employees	52,177.02	46,412.64	51,483.46	61,202.99	71,297.99	19,120.97	36.65%	
1104	CUR UNREST CHATTANOOGA E&G	UT/42SBEN	Staff Benefits	1,139,915.95	1,303,868.27	1,336,873.12	1,599,982.42	1,744,908.43	604,992.48	53.07%	
1104	CUR UNREST CHATTANOOGA E&G	UT/421000	Staff Benefits	1,139,915.95	1,303,868.27	1,336,873.12	1,599,982.42	1,744,908.43	604,992.48	53.07%	
1104	CUR UNREST CHATTANOOGA E&G	UT/43OPER	Operating	699,418.03	724,352.21	600,963.30	670,401.28	838,261.66	138,843.63	19.85%	
1104	CUR UNREST CHATTANOOGA E&G	UT/431000	Travel	63,738.04	71,437.29	61,536.54	110,156.96	112,901.51	49,163.47	77.13%	
1104	CUR UNREST CHATTANOOGA E&G	UT/432000	Motor Vehicle Oper	20,464.39	21,283.30	20,180.12	20,862.14	25,759.48	5,295.09	25.87%	
1104	CUR UNREST CHATTANOOGA E&G	UT/433000	Media Processing	85,698.40	93,750.64	89,029.39	87,941.59	99,539.84	13,841.44	16.15%	
1104	CUR UNREST CHATTANOOGA E&G	UT/434000	Utilities & Fuel	49,319.29	60,738.15	97,312.07	89,293.91	114,740.41	65,421.12	132.65%	
1104	CUR UNREST CHATTANOOGA E&G	UT/435000	Communication	(123,343.63)	(201,859.00)	199,305.04	(58,893.28)	(12,072.82)	111,270.81	-90.21%	
1104	CUR UNREST CHATTANOOGA E&G	UT/436000	Maintenance,Repairs	88,890.47	130,748.71	77,635.74	92,413.39	134,883.70	45,993.23	51.74%	
1104	CUR UNREST CHATTANOOGA E&G	UT/437000	Prof Svc,Memberships	1,098,046.74	1,052,356.40	1,110,986.77	1,112,292.69	1,081,190.10	(16,856.64)	-1.54%	
1104	CUR UNREST CHATTANOOGA E&G	UT/438000	Computer Services			2,638.50					
1104	CUR UNREST CHATTANOOGA E&G	UT/439000	Supplies	420,496.00	314,229.63	297,244.45	232,918.05	395,788.84	(24,707.16)	-5.88%	
1104	CUR UNREST CHATTANOOGA E&G	UT/441000	Rentals & Insurance	(1,833.22)	4,747.00	279.50	3,468.00	1,171.00	3,004.22	-163.88%	
1104	CUR UNREST CHATTANOOGA E&G	UT/442000	Insur & Interest	42,736.00	56,163.46	47,522.26	1.28	32,266.96	(10,469.04)	-24.50%	
1104	CUR UNREST CHATTANOOGA E&G	UT/443000	Awards	4,701.00	4,713.29	10,443.64	8,956.08	9,649.78	4,948.78	105.27%	
1104	CUR UNREST CHATTANOOGA E&G	UT/444000	Grants & Subsidies	12,126.23	-	-	-	2,643.03	(9,483.20)	-78.20%	
1104	CUR UNREST CHATTANOOGA E&G	UT/446000	Contractual,Spec Svc	540,064.53	699,211.32	750,217.01	925,158.25	913,893.22	373,828.69	69.22%	
1104	CUR UNREST CHATTANOOGA E&G	UT/448000	Svc Dept Credits	(1,622,532.17)	(1,914,141.25)	(2,313,007.62)	(1,834,658.96)	(2,165,966.95)	(543,434.78)	33.49%	
1104	CUR UNREST CHATTANOOGA E&G	UT/449000	Other Services & Exp	(42,719.19)	272,360.99	93,114.24	(192,204.90)	14,169.91	56,889.10	-133.17%	
1104	CUR UNREST CHATTANOOGA E&G	UT/450000	All Stores Resale	1,583.91	(2,574.89)	(4,062.61)	6,364.53	(1,962.70)	(3,546.61)	-223.91%	
1104	CUR UNREST CHATTANOOGA E&G	UT/452000	Stores for Resale	46,153.61	46,567.30	47,481.90	53,037.80	54,147.35	7,993.74	17.32%	
1104	CUR UNREST CHATTANOOGA E&G	UT/453000	Stores for Resale	15,827.63	14,619.87	13,106.36	13,293.75	25,519.00	9,691.37	61.23%	
1104	CUR UNREST CHATTANOOGA E&G	UT/46EQCO	Equip, Cap Outlay	129,448.51	99,452.07	40,377.46	146,994.77	85,812.24	(43,636.27)	-33.71%	
1104	CUR UNREST CHATTANOOGA E&G	UT/461000	Equipment	129,389.52	70,494.07	40,377.46	146,994.77	85,812.24	(43,577.28)	-33.68%	
1104	CUR UNREST CHATTANOOGA E&G	UT/463000	Library Acquisitions	58.99					(58.99)	-100.00%	
1104	CUR UNREST CHATTANOOGA E&G	UT/466000	Software-Cap Outlay		28,958.00						
1104	CUR UNREST CHATTANOOGA E&G	UT/472000	Buildings-Cap Outlay			-					

		COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER								
1105	CUR UNREST MARTIN E&G			3,635,917.24	3,656,594.58	3,721,862.49	4,143,770.64	4,337,372.67	701,455.43	19.29%	
1105	CUR UNREST MARTIN E&G	UT/400000	ALL EXPENSES	3,635,917.24	3,656,594.58	3,721,862.49	4,143,770.64	4,337,372.67	701,455.43	19.29%	
1105	CUR UNREST MARTIN E&G	UT/41TSAL	Total Personnel	2,267,117.52	2,409,061.55	2,515,440.75	2,653,530.07	2,786,115.70	518,998.18	22.89%	
1105	CUR UNREST MARTIN E&G	UT/41ACAD	Academic Salaries	12,724.48	24,599.18	55,089.37	59,157.28	31,105.43	18,380.95	144.45%	
1105	CUR UNREST MARTIN E&G	UT/41NONA	NonAcademic Salaries	2,143,938.59	2,290,152.55	2,368,465.82	2,483,728.99	2,651,653.52	507,714.93	23.68%	
1105	CUR UNREST MARTIN E&G	UT/41STU	Student Employees	110,454.45	94,309.82	91,885.56	110,643.80	103,356.75	(7,097.70)	-6.43%	
1105	CUR UNREST MARTIN E&G	UT/42SBEN	Staff Benefits	752,282.11	886,529.19	948,973.37	1,084,764.09	1,061,090.80	308,808.69	41.05%	
1105	CUR UNREST MARTIN E&G	UT/421000	Staff Benefits	752,282.11	886,529.19	948,973.37	1,084,764.09	1,061,090.80	308,808.69	41.05%	
1105	CUR UNREST MARTIN E&G	UT/43OPER	Operating	566,845.62	290,197.51	185,917.49	349,636.77	407,301.40	(159,544.22)	-28.15%	
1105	CUR UNREST MARTIN E&G	UT/431000	Travel	51,422.30	52,083.26	68,752.03	90,611.91	90,656.00	39,233.70	76.30%	
1105	CUR UNREST MARTIN E&G	UT/432000	Motor Vehicle Oper	27,743.97	29,297.24	27,308.32	27,581.21	26,114.30	(1,629.67)	-5.87%	
1105	CUR UNREST MARTIN E&G	UT/433000	Media Processing	143,745.90	144,443.43	111,769.67	116,043.65	160,032.63	16,286.73	11.33%	
1105	CUR UNREST MARTIN E&G	UT/434000	Utilities & Fuel	87,093.38	112,203.18	169,576.65	169,751.93	220,198.68	133,105.30	152.83%	
1105	CUR UNREST MARTIN E&G	UT/435000	Communication	273,078.76	292,157.51	236,870.08	259,357.94	319,973.07	46,894.31	17.17%	
1105	CUR UNREST MARTIN E&G	UT/436000	Maintenance,Repairs	121,405.88	121,975.10	110,233.11	122,294.55	133,808.88	12,403.00	10.22%	
1105	CUR UNREST MARTIN E&G	UT/437000	Prof Svc,Memberships	75,163.13	97,163.99	112,648.13	105,887.47	155,068.20	79,905.07	106.31%	
1105	CUR UNREST MARTIN E&G	UT/438000	Computer Services								
1105	CUR UNREST MARTIN E&G	UT/439000	Supplies	370,489.69	493,722.28	556,426.93	525,127.87	552,057.52	181,567.83	49.01%	
1105	CUR UNREST MARTIN E&G	UT/441000	Rentals & Insurance	4,393.13	3,052.55	1,315.00	1,054.00	1,260.00	(3,133.13)	-71.32%	
1105	CUR UNREST MARTIN E&G	UT/442000	Insur & Interest	288,283.45	152,265.51	524.00	100.00	19,976.28	(268,307.17)	-93.07%	
1105	CUR UNREST MARTIN E&G	UT/443000	Awards	2,262.25	22,533.90	19,951.75	19,286.43	5,057.61	2,795.36	123.57%	
1105	CUR UNREST MARTIN E&G	UT/444000	Grants & Subsidies		(350.00)						
1105	CUR UNREST MARTIN E&G	UT/446000	Contractual,Spec Svc	464,340.83	455,857.76	557,744.28	649,058.18	619,872.48	155,531.65	33.50%	
1105	CUR UNREST MARTIN E&G	UT/448000	Svc Dept Credits	(1,250,728.92)	(1,585,106.67)	(1,682,435.92)	(1,604,456.73)	(1,807,258.37)	(556,529.45)	44.50%	
1105	CUR UNREST MARTIN E&G	UT/449000	Other Services & Exp	(5,786.50)	(4,386.38)	(15,216.69)	(17,998.34)	(28,024.60)	(22,238.10)	384.31%	
1105	CUR UNREST MARTIN E&G	UT/450000	All Stores Resale	(86,061.63)	(96,715.15)	(89,549.85)	(114,063.30)	(61,491.28)	24,570.35	-28.55%	
1105	CUR UNREST MARTIN E&G	UT/46EQCO	Equip, Cap Outlay	49,671.99	70,806.33	71,530.88	55,839.71	82,864.77	33,192.78	66.82%	
1105	CUR UNREST MARTIN E&G	UT/461000	Equipment	42,615.00	61,275.00	63,274.88	49,917.11	57,462.39	14,847.39	34.84%	
1105	CUR UNREST MARTIN E&G	UT/463000	Library Acquisitions		24.00						
1105	CUR UNREST MARTIN E&G	UT/474000	Depreciation	7,056.99	9,507.33	8,256.00	5,922.60	25,402.38	18,345.39	259.96%	

1107	CUR UNREST MEMPHIS E&G	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	8,405,636.53	10,375,190.39	9,460,358.09	10,247,627.30	14,458,316.59	6,052,680.06	72.01%
1107	CUR UNREST MEMPHIS E&G	UT/400000	ALL EXPENSES	8,405,636.53	10,375,190.39	9,460,358.09	10,247,627.30	14,458,316.59	6,052,680.06	72.01%
1107	CUR UNREST MEMPHIS E&G	UT/41TSAL	Total Personnel	6,233,469.79	6,015,668.77	6,342,222.17	6,975,391.24	10,313,096.37	4,079,626.58	65.45%
1107	CUR UNREST MEMPHIS E&G	UT/41ACAD	Academic Salaries	289,611.96	244,546.41	239,363.72	384,841.14	259,370.64	(30,241.32)	-10.44%
1107	CUR UNREST MEMPHIS E&G	UT/41NONA	NonAcademic Salaries	5,933,319.58	5,756,659.32	6,084,162.45	6,573,726.46	10,026,127.73	4,092,808.15	68.98%
1107	CUR UNREST MEMPHIS E&G	UT/41STU	Student Employees	10,538.25	14,463.04	18,696.00	16,823.64	27,598.00	17,059.75	161.88%
1107	CUR UNREST MEMPHIS E&G	UT/42SBEN	Staff Benefits	1,842,454.94	1,893,786.90	1,963,698.61	2,234,191.70	3,326,743.48	1,484,288.54	80.56%
1107	CUR UNREST MEMPHIS E&G	UT/421000	Staff Benefits	1,859,125.82	1,914,911.36	1,979,091.71	2,234,191.70	3,327,993.17	1,468,867.35	79.01%
1107	CUR UNREST MEMPHIS E&G	UT/421900	Staff Benefits Recov	(16,670.88)	(21,124.46)	(15,393.10)	-	(1,249.69)	15,421.19	-92.50%
1107	CUR UNREST MEMPHIS E&G	UT/43OPER	Operating	329,711.80	2,466,004.72	1,081,332.71	1,038,044.36	762,826.75	433,114.95	131.36%
1107	CUR UNREST MEMPHIS E&G	UT/431000	Travel	94,216.35	106,707.51	190,371.78	203,168.32	292,092.15	197,875.80	210.02%
1107	CUR UNREST MEMPHIS E&G	UT/432000	Motor Vehicle Oper	20,847.50	15,546.25	22,316.80	11,035.68	28,888.37	8,040.87	38.57%
1107	CUR UNREST MEMPHIS E&G	UT/433000	Media Processing	96,679.47	62,785.95	26,473.23	62,207.42	346,531.36	249,851.89	258.43%
1107	CUR UNREST MEMPHIS E&G	UT/434000	Utilities & Fuel					22.59	22.59	
1107	CUR UNREST MEMPHIS E&G	UT/435000	Communication	100,067.75	501,563.40	122,586.72	93,200.41	(524,767.16)	(624,834.91)	-624.41%
1107	CUR UNREST MEMPHIS E&G	UT/436000	Maintenance,Repairs	30,533.40	184,726.94	78,409.05	46,763.14	70,955.44	40,422.04	132.39%
1107	CUR UNREST MEMPHIS E&G	UT/437000	Prof Svc,Memberships	104,359.88	312,550.97	287,139.82	417,552.38	634,876.83	530,516.95	508.35%
1107	CUR UNREST MEMPHIS E&G	UT/438000	Computer Services	74,121.60	60,472.20	71,087.75	65,635.00	1,738.45	(72,383.15)	-97.65%
1107	CUR UNREST MEMPHIS E&G	UT/439000	Supplies	437,973.59	333,058.79	309,520.44	351,742.34	561,875.47	123,901.88	28.29%
1107	CUR UNREST MEMPHIS E&G	UT/441000	Rentals & Insurance	154,228.06	984,884.02	(26,077.59)	23,733.17	75,974.31	(78,253.75)	-50.74%
1107	CUR UNREST MEMPHIS E&G	UT/442000	Insur & Interest	77,112.00	109,571.00	87,097.00	136.00	68,039.90	(9,072.10)	-11.76%
1107	CUR UNREST MEMPHIS E&G	UT/443000	Awards	30,113.50	23,190.13	18,843.02	38,777.59	31,118.39	1,004.89	3.34%
1107	CUR UNREST MEMPHIS E&G	UT/444000	Grants & Subsidies	129,987.43	259,488.99	64,918.16	30,456.66	39,464.42	(90,523.01)	-69.64%
1107	CUR UNREST MEMPHIS E&G	UT/446000	Contractual,Spec Svc	529,907.78	446,561.55	466,071.90	252,808.90	194,268.74	(335,639.04)	-63.34%
1107	CUR UNREST MEMPHIS E&G	UT/448000	Svc Dept Credits	(4,633,458.71)	(3,552,220.34)	(3,440,652.24)	(3,347,637.85)	(3,801,521.12)	831,937.59	-17.96%
1107	CUR UNREST MEMPHIS E&G	UT/449000	Other Services & Exp	222,110.89	220,537.66	125,900.44	118,532.15	142,878.48	(79,232.41)	-35.67%
1107	CUR UNREST MEMPHIS E&G	UT/451000	Stores for Resale	1,955,623.83	1,981,869.94	2,217,903.33	2,281,647.15	2,199,314.06	243,690.23	12.46%
1107	CUR UNREST MEMPHIS E&G	UT/452000	Stores for Resale	195,093.67	249,196.40	293,470.32	240,401.62	261,223.75	66,130.08	33.90%
1107	CUR UNREST MEMPHIS E&G	UT/453000	Stores for Resale	118,569.93	104,630.89	143,022.09	132,755.51	139,852.32	21,282.39	17.95%
1107	CUR UNREST MEMPHIS E&G	UT/454000	Stores for Resale	570,328.65	38,400.26				(570,328.65)	-100.00%
1107	CUR UNREST MEMPHIS E&G	UT/455000	Stores for Resale	21,295.23	22,482.21	22,930.69	15,128.77		(21,295.23)	-100.00%
1107	CUR UNREST MEMPHIS E&G	UT/46EQCO	Equip, Cap Outlay		(270.00)	73,104.60	-	55,649.99	55,649.99	
1107	CUR UNREST MEMPHIS E&G	UT/461000	Equipment		(270.00)	9,304.60	-	-	-	
1107	CUR UNREST MEMPHIS E&G	UT/466000	Software-Cap Outlay			63,800.00		55,649.99	55,649.99	
1107	CUR UNREST MEMPHIS E&G	UT/471000	Land-Cap Outlay							
1107	CUR UNREST MEMPHIS E&G	UT/472000	Buildings-Cap Outlay							
1108	CUR UNREST CEC-KNOXVILLE E&G	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	675,055.69	201,693.94	324,370.98	463,295.10	447,386.02	(227,669.67)	-33.73%
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/400000	ALL EXPENSES	675,055.69	201,693.94	324,370.98	463,295.10	447,386.02	(227,669.67)	-33.73%
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/41TSAL	Total Personnel							
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/41ACAD	Academic Salaries							
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/41NONA	NonAcademic Salaries							
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/42SBEN	Staff Benefits							
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/421000	Staff Benefits							
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/43OPER	Operating	675,055.69	201,693.94	324,370.98	463,295.10	447,386.02	(227,669.67)	-33.73%
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/431000	Travel					-		
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/433000	Media Processing	32.05					(32.05)	-100.00%
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/435000	Communication	81.62	129.24	39.12	32.00	27.00	(54.62)	-66.92%
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/436000	Maintenance,Repairs		1,372.00	1,240.00				
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/437000	Prof Svc,Memberships	364,728.96	(82,760.00)	51,272.00	238,223.19	257,064.00	(107,664.96)	-29.52%
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/438000	Computer Services	227,698.50	226,840.98	211,654.98	168,489.35	129,056.04	(98,642.46)	-43.32%
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/439000	Supplies	75.90	111.72	118.56	118.56	38.78	(37.12)	-48.91%
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/441000	Rentals & Insurance			-	-	-		
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/446000	Contractual,Spec Svc	42,038.66	56,000.00	60,046.32	56,432.00	61,200.20	19,161.54	45.58%
1108	CUR UNREST CEC-KNOXVILLE E&G	UT/449000	Other Services & Exp	40,400.00					(40,400.00)	-100.00%

1109	CUR UNREST CEC-CHATT E&G	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	17,200.00	24,800.00	29,615.44	25,600.00	28,800.00	11,600.00	67.44%
1109	CUR UNREST CEC-CHATT E&G	UT/400000	ALL EXPENSES	17,200.00	24,800.00	29,615.44	25,600.00	28,800.00	11,600.00	67.44%
1109	CUR UNREST CEC-CHATT E&G	UT/42SBEN	Staff Benefits							
1109	CUR UNREST CEC-CHATT E&G	UT/421000	Staff Benefits							
1109	CUR UNREST CEC-CHATT E&G	UT/43OPER	Operating	17,200.00	24,800.00	29,615.44	25,600.00	28,800.00	11,600.00	67.44%
1109	CUR UNREST CEC-CHATT E&G	UT/446000	Contractual,Spec Svc	17,200.00	24,800.00	29,615.44	25,600.00	28,800.00	11,600.00	67.44%
1109	CUR UNREST CEC-CHATT E&G	UT/449000	Other Services & Exp							
1110	CUR UNREST MEM RES CNTR E&G	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	2,014.00	1,200.00	800.00	800.00	800.00	(1,214.00)	-60.28%
1110	CUR UNREST MEM RES CNTR E&G	UT/400000	ALL EXPENSES	2,014.00	1,200.00	800.00	800.00	800.00	(1,214.00)	-60.28%
1110	CUR UNREST MEM RES CNTR E&G	UT/42SBEN	Staff Benefits							
1110	CUR UNREST MEM RES CNTR E&G	UT/421000	Staff Benefits							
1110	CUR UNREST MEM RES CNTR E&G	UT/43OPER	Operating	2,014.00	1,200.00	800.00	800.00	800.00	(1,214.00)	-60.28%
1110	CUR UNREST MEM RES CNTR E&G	UT/446000	Contractual,Spec Svc	1,214.00	1,200.00	800.00	800.00	800.00	(414.00)	-34.10%
1110	CUR UNREST MEM RES CNTR E&G	UT/449000	Other Services & Exp	800.00					(800.00)	-100.00%

1111	CUK UNKRESI AG EXPEK STAI	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER							
	E&C			401,768.67	376,807.13	425,455.87	562,691.82	826,962.92	425,194.25	105.83%
1111	CUK UNKRESI AG EXPEK STAI	UT/400000	ALL EXPENSES	401,768.67	376,807.13	425,455.87	562,691.82	826,962.92	425,194.25	105.83%
1111	E&C	UT/41TSAL	Total Personnel	571,494.01	511,462.62	553,379.48	747,027.02	1,114,314.21	542,820.20	94.98%
1111	CUK UNKRESI AG EXPEK STAI	UT/41ACAD	Academic Salaries		4,000.00	5,000.00	2,499.98	1,764.72	1,764.72	
1111	E&C	UT/41NONA	NonAcademic Salaries	570,135.30	506,214.62	546,157.48	744,527.04	1,112,549.49	542,414.19	95.14%
1111	CUK UNKRESI AG EXPEK STAI	UT/41STU	Student Employees	1,358.71	1,248.00	2,222.00			(1,358.71)	-100.00%
1111	E&C	UT/42SBEN	Staff Benefits	144,137.25	151,167.64	168,455.11	237,248.34	371,770.68	227,633.43	157.93%
1111	CUK UNKRESI AG EXPEK STAI	UT/421000	Staff Benefits	144,137.25	151,167.64	168,455.11	237,248.34	371,770.68	227,633.43	157.93%
1111	E&C	UT/43OPER	Operating	(336,150.03)	(305,582.28)	(308,904.22)	(442,476.64)	(680,308.67)	(344,158.64)	102.38%
1111	CUK UNKRESI AG EXPEK STAI	UT/431000	Travel	25,757.47	19,746.10	33,896.69	26,929.63	39,289.30	13,531.83	52.54%
1111	E&C	UT/432000	Motor Vehicle Oper	10,369.50	5,149.52	11,448.05	18,585.65	18,605.05	8,235.55	79.42%
1111	CUK UNKRESI AG EXPEK STAI	UT/433000	Media Processing	24,232.60	24,354.63	24,270.06	43,341.77	47,881.47	23,648.87	97.59%
1111	E&C	UT/434000	Utilities & Fuel			61.18	160.26	89.39	89.39	
1111	CUK UNKRESI AG EXPEK STAI	UT/435000	Communication	25,483.91	18,699.07	19,172.51	29,389.38	34,201.42	8,717.51	34.21%
1111	E&C	UT/436000	Maintenance,Repairs	45,388.86	29,137.97	39,048.26	34,723.37	48,905.99	3,517.13	7.75%
1111	CUK UNKRESI AG EXPEK STAI	UT/437000	Prof Svc,Memberships	8,166.80	8,144.36	17,099.20	8,027.39	5,239.65	(2,927.15)	-35.84%
1111	E&C	UT/438000	Computer Services	16,141.54	6,704.34	2,986.44	3,567.37	5,106.12	(11,035.42)	-68.37%
1111	CUK UNKRESI AG EXPEK STAI	UT/439000	Supplies	47,606.25	46,236.74	48,457.76	63,572.00	58,624.20	11,017.95	23.14%
1111	E&C	UT/441000	Rentals & Insurance	6,058.90	540.00	1,461.70	4,802.26	4,076.75	(1,982.15)	-32.71%
1111	CUK UNKRESI AG EXPEK STAI	UT/442000	Insur & Interest	15,274.33	18,908.00	17,221.00	14,922.50	9,540.90	(5,733.43)	-37.54%
1111	E&C	UT/443000	Awards		80.00	581.14		294.12	294.12	
1111	CUK UNKRESI AG EXPEK STAI	UT/444000	Grants & Subsidies				1,079.36	895.72	895.72	
1111	E&C	UT/446000	Contractual,Spec Svc	(475,563.20)	(404,991.65)	(469,457.92)	(619,411.61)	(894,695.76)	(419,132.56)	88.13%
1111	CUK UNKRESI AG EXPEK STAI	UT/448000	Svc Dept Credits	(87,866.99)	(78,306.36)	(55,150.29)	(72,165.97)	(58,362.99)	29,504.00	-33.58%
1111	E&C	UT/449000	Other Services & Exp	2,800.00	15.00				(2,800.00)	-100.00%
1111	CUK UNKRESI AG EXPEK STAI	UT/46EQCO	Equip, Cap Outlay	22,287.44	19,759.15	12,525.50	20,893.10	21,186.70	(1,100.74)	-4.94%
1111	E&C	UT/461000	Equipment					6,766.00	6,766.00	
1111	CUK UNKRESI AG EXPEK STAI	UT/474000	Depreciation	22,287.44	19,759.15	12,525.50	20,893.10	14,420.70	(7,866.74)	-35.30%

	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER								
1112	CUR UNREST EXTENSION E&G		319,549.73	245,706.76	399,338.78	346,244.40	432,325.58	112,775.85	35.29%	
1112	CUR UNREST EXTENSION E&G	UT/400000	319,549.73	245,706.76	399,338.78	346,244.40	432,325.58	112,775.85	35.29%	
1112	CUR UNREST EXTENSION E&G	UT/41TSAL					1,269.24	1,269.24		
1112	CUR UNREST EXTENSION E&G	UT/41ACAD								
1112	CUR UNREST EXTENSION E&G	UT/41NONA					1,269.24	1,269.24		
1112	CUR UNREST EXTENSION E&G	UT/42SBEN					395.00	395.00		
1112	CUR UNREST EXTENSION E&G	UT/421000					395.00	395.00		
1112	CUR UNREST EXTENSION E&G	UT/43OPER	319,549.73	245,706.76	399,338.78	346,244.40	430,661.34	111,111.61	34.77%	
1112	CUR UNREST EXTENSION E&G	UT/435000					172.07	172.07		
1112	CUR UNREST EXTENSION E&G	UT/436000					26.00	26.00		
1112	CUR UNREST EXTENSION E&G	UT/437000								
1112	CUR UNREST EXTENSION E&G	UT/439000		18.87						
1112	CUR UNREST EXTENSION E&G	UT/442000	20,426.00	27,099.00	32,712.00		18,715.00	(1,711.00)	-8.38%	
1112	CUR UNREST EXTENSION E&G	UT/446000	297,923.73	218,588.89	366,626.78	346,244.40	411,748.27	113,824.54	38.21%	
1112	CUR UNREST EXTENSION E&G	UT/449000	1,200.00					(1,200.00)	-100.00%	

1113	CUR UNREST INI PUBLIC SERV	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	563,506.17	450,205.72	497,540.85	508,141.96	561,198.38	(2,307.79)	-0.41%
1113	CUR UNREST INI PUBLIC SERV	UT/400000	ALL EXPENSES	563,506.17	450,205.72	497,540.85	508,141.96	561,198.38	(2,307.79)	-0.41%
1113	CUR UNREST INI PUBLIC SERV	UT/41TSAL	Total Personnel	374,927.66	301,400.51	348,305.25	360,655.78	393,261.03	18,333.37	4.89%
1113	CUR UNREST INI PUBLIC SERV	UT/41ACAD	Academic Salaries	(22.00)					22.00	-100.00%
1113	CUR UNREST INI PUBLIC SERV	UT/41NONA	NonAcademic Salaries	374,949.66	301,400.51	348,305.25	360,655.78	393,261.03	18,311.37	4.88%
1113	CUR UNREST INI PUBLIC SERV	UT/42SBEN	Staff Benefits	116,677.97	91,115.72	107,002.93	114,382.26	122,837.53	6,159.56	5.28%
1113	CUR UNREST INI PUBLIC SERV	UT/421000	Staff Benefits	116,677.97	91,115.72	107,002.93	114,382.26	122,837.53	6,159.56	5.28%
1113	CUR UNREST INI PUBLIC SERV	UT/43OPER	Operating	71,900.54	57,689.49	42,232.67	33,103.92	45,099.82	(26,800.72)	-37.27%
1113	CUR UNREST INI PUBLIC SERV	UT/431000	Travel	17,064.57	12,983.30	12,446.39	13,258.88	12,923.20	(4,141.37)	-24.27%
1113	CUR UNREST INI PUBLIC SERV	UT/432000	Motor Vehicle Oper	11,430.00				5,120.43	(6,309.57)	-55.20%
1113	CUR UNREST INI PUBLIC SERV	UT/433000	Media Processing	231.30	974.55	590.05	8.22	52.00	(179.30)	-77.52%
1113	CUR UNREST INI PUBLIC SERV	UT/435000	Communication	7,155.15	6,657.29	6,538.97	4,752.06	4,516.51	(2,638.64)	-36.88%
1113	CUR UNREST INI PUBLIC SERV	UT/436000	Maintenance,Repairs		230.44	69.75	20.13		-	
1113	CUR UNREST INI PUBLIC SERV	UT/437000	Prof Svc,Memberships	10,559.22	6,387.63	5,415.95	84.00	880.00	(9,679.22)	-91.67%
1113	CUR UNREST INI PUBLIC SERV	UT/438000	Computer Services	1,044.00	1,044.00	1,083.00	1,044.00	1,044.00	-	0.00%
1113	CUR UNREST INI PUBLIC SERV	UT/439000	Supplies	6,382.53	4,578.84	1,397.74	3,033.63	4,161.64	(2,220.89)	-34.80%
1113	CUR UNREST INI PUBLIC SERV	UT/441000	Rentals & Insurance	1,013.75	34.80	574.39		114.00	(899.75)	-88.75%
1113	CUR UNREST INI PUBLIC SERV	UT/442000	Insur & Interest	9,361.00	6,487.00	6,911.00		5,130.00	(4,231.00)	-45.20%
1113	CUR UNREST INI PUBLIC SERV	UT/443000	Awards						-	
1113	CUR UNREST INI PUBLIC SERV	UT/446000	Contractual,Spec Svc	7,659.02	18,279.14	7,205.43	10,903.00	11,158.04	3,499.02	45.68%
1113	CUR UNREST INI PUBLIC SERV	UT/448000	Svc Dept Credits		32.50				-	
1113	CUR UNREST INI PUBLIC SERV	UT/449000	Other Services & Exp						-	
1114	CUR UNREST MTAS E&G	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	8,231.00	6,103.00	6,006.00	3,200.00	6,198.00	(2,033.00)	-24.70%
1114	CUR UNREST MTAS E&G	UT/400000	ALL EXPENSES	8,231.00	6,103.00	6,006.00	3,200.00	6,198.00	(2,033.00)	-24.70%
1114	CUR UNREST MTAS E&G	UT/43OPER	Operating	8,231.00	6,103.00	6,006.00	3,200.00	6,198.00	(2,033.00)	-24.70%
1114	CUR UNREST MTAS E&G	UT/442000	Insur & Interest	2,617.00	3,303.00	3,206.00		2,598.00	(19.00)	-0.73%
1114	CUR UNREST MTAS E&G	UT/446000	Contractual,Spec Svc	3,214.00	2,800.00	2,800.00	3,200.00	3,600.00	386.00	12.01%
1114	CUR UNREST MTAS E&G	UT/449000	Other Services & Exp	2,400.00					(2,400.00)	-100.00%
1115	CUR UNREST CTAS E&G	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	8,049.00	6,272.00	6,079.00	3,259.00	6,010.00	(2,039.00)	-25.33%
1115	CUR UNREST CTAS E&G	UT/400000	ALL EXPENSES	8,049.00	6,272.00	6,079.00	3,259.00	6,010.00	(2,039.00)	-25.33%
1115	CUR UNREST CTAS E&G	UT/43OPER	Operating	8,049.00	6,272.00	6,079.00	3,259.00	6,010.00	(2,039.00)	-25.33%
1115	CUR UNREST CTAS E&G	UT/442000	Insur & Interest	3,249.00	3,872.00	3,679.00	59.00	3,210.00	(39.00)	-1.20%
1115	CUR UNREST CTAS E&G	UT/446000	Contractual,Spec Svc	2,400.00	2,400.00	2,400.00	3,200.00	2,800.00	400.00	16.67%
1115	CUR UNREST CTAS E&G	UT/449000	Other Services & Exp	2,400.00					(2,400.00)	-100.00%
1117	CUR UNREST UNIV-WIDE ADM E&G	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	21,811,497.81	25,333,228.12	26,931,324.28	29,528,535.19	51,416,412.55	29,604,914.74	135.73%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/400000	ALL EXPENSES	21,811,497.81	25,333,228.12	26,931,324.28	29,528,535.19	51,416,412.55	29,604,914.74	135.73%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/41TSAL	Total Personnel	14,365,400.79	19,592,899.12	19,685,893.44	20,831,025.41	33,201,335.82	18,835,935.03	131.12%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/41ACAD	Academic Salaries	59,999.10	70,569.47	97,241.02	122,093.43	311,485.05	251,485.95	419.15%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/41NONA	NonAcademic Salaries	14,160,409.01	19,357,699.21	19,444,765.77	20,568,831.35	32,576,899.49	18,416,490.48	130.06%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/41STU	Student Employees	144,992.68	164,630.44	143,886.65	140,100.63	312,951.28	167,958.60	115.84%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/42SBEN	Staff Benefits	4,374,756.94	6,077,287.67	6,085,746.25	6,914,111.87	11,718,798.82	7,344,041.88	167.87%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/421000	Staff Benefits	4,374,756.94	6,078,515.67	6,085,746.25	6,915,231.87	11,718,798.82	7,344,041.88	167.87%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/421900	Staff Benefits Recov		(1,228.00)		(1,120.00)		-	
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/43OPER	Operating	1,513,177.39	(2,817,361.83)	(1,512,417.86)	(1,281,328.19)	684,675.07	(828,502.32)	-54.75%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/419000	NonWage,Contract Pay						-	
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/431000	Travel	510,158.09	596,533.45	710,627.46	865,739.95	1,320,354.53	810,196.44	158.81%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/432000	Motor Vehicle Oper	125,559.33	214,413.03	250,423.24	256,457.59	391,258.90	265,699.57	211.61%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/433000	Media Processing	855,679.10	80,797.64	(112,467.40)	(162,198.32)	431,217.53	(424,461.57)	-49.61%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/434000	Utilities & Fuel	713,732.22	896,432.85	1,159,163.17	1,265,782.37	1,617,160.12	903,427.90	126.58%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/435000	Communication	567,148.54	46,275.96	320,372.71	268,065.46	5,337,922.40	4,770,773.86	841.19%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/436000	Maintenance,Repairs	524,672.35	987,076.91	898,819.56	406,828.01	1,446,066.15	921,393.80	175.61%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/437000	Prof Svc,Memberships	2,708,738.31	1,802,681.89	3,274,036.23	3,569,769.66	4,538,251.75	1,829,513.44	67.54%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/438000	Computer Services	157,265.90	214,875.92	291,507.44	303,399.44	(2,727,870.84)	(2,885,136.74)	-1834.56%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/439000	Supplies	630,036.54	400,197.06	503,160.46	783,258.88	4,974,052.28	4,344,015.74	689.49%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/441000	Rentals & Insurance	39,598.27	74,808.23	55,552.98	46,224.29	108,700.68	69,102.41	174.51%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/442000	Insur & Interest	114,121.28	85,806.32	88,476.98	(41,237.95)	71,266.42	(42,854.86)	-37.55%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/443000	Awards	38,519.16	42,725.91	67,036.84	53,770.46	30,575.00	(7,944.16)	-20.62%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/444000	Grants & Subsidies	37,372.00	36,502.00	71,556.75	35,113.60	97,654.71	60,282.71	161.30%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/446000	Contractual,Spec Svc	1,636,640.26	613,289.86	150,675.61	425,339.18	4,061,080.40	2,424,440.14	148.14%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/448000	Svc Dept Credits	(8,685,500.57)	(10,230,386.38)	(10,532,115.67)	(10,593,925.51)	(22,628,736.00)	(13,943,235.43)	160.53%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/449000	Other Services & Exp	547,886.77	20,498.60	12,431.87	17,005.50	273,494.85	(274,391.92)	-50.08%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/450000	All Stores Resale	806,968.68	888,449.32	850,621.71	960,184.87	1,019,936.09	212,967.41	26.39%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/451000	Stores for Resale	5,593.25	5,661.50	5,643.83	7,442.84	6,997.96	1,404.71	25.11%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/452000	Stores for Resale	71,434.31	293,020.54	303,266.51	21,013.81	24,972.27	(46,462.04)	-65.04%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/453000	Stores for Resale	30,050.27	33,972.33	35,365.30	35,299.19	40,011.02	9,960.75	33.15%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/454000	Stores for Resale	16,201.63	16,751.70	21,166.02	33,102.44	31,986.57	15,784.94	97.43%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/456000	Stores for Resale	511.25	623.85	608.76	90,284.62	149,026.88	148,515.63	29049.51%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/457000	Stores for Resale	42,890.60	44,715.31	40,660.66	55,115.89	47,853.20	4,962.60	11.57%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/458000	Stores for Resale	12,202.91	12,630.18	15,712.72	12,259.19	16,843.78	4,640.87	38.03%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/459000	Stores for Resale	5,696.94	4,284.19	5,278.40	4,576.35	4,998.42	(1,098.52)	-19.28%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/46EQCO	Equip, Cap Outlay	1,558,162.69	2,480,403.16	2,672,102.45	3,064,726.10	5,811,602.84	4,253,440.15	272.98%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/461000	Equipment	1,053,765.24	1,783,994.79	1,912,347.94	2,210,978.52	4,860,936.35	3,807,171.11	361.29%

1117	CUR UNREST UNIV-WIDE ADM E&G	UT/463000	Library Acquisitions					-		-	
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/466000	Software-Cap Outlay	23,400.00				-	40,000.00	16,600.00	70.94%
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/472000	Buildings-Cap Outlay						84,465.00	84,465.00	
1117	CUR UNREST UNIV-WIDE ADM E&G	UT/474000	Depreciation	480,997.45	696,408.37	759,754.51	853,747.58	826,201.49		345,204.04	71.77%

		COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER							
1118	CUR UNREST COL VET MED E&G			275,650.95	275,199.82	286,285.78	332,782.49	512,674.21	237,023.26	85.99%
1118	CUR UNREST COL VET MED E&G	UT/400000	ALL EXPENSES	275,650.95	275,199.82	286,285.78	332,782.49	512,674.21	237,023.26	85.99%
1118	CUR UNREST COL VET MED E&G	UT/41TSAL	Total Personnel	54,416.54	57,058.97	57,447.14	59,229.86	110,842.91	56,426.37	103.69%
1118	CUR UNREST COL VET MED E&G	UT/41ACAD	Academic Salaries				212.24	150.00	150.00	#DIV/0!
1118	CUR UNREST COL VET MED E&G	UT/41NONA	NonAcademic Salaries	54,416.54	57,058.97	57,447.14	59,017.62	110,692.91	56,276.37	103.42%
1118	CUR UNREST COL VET MED E&G	UT/42SBEN	Staff Benefits	20,538.76	22,573.36	23,431.93	17,549.92	32,636.04	12,097.28	58.90%
1118	CUR UNREST COL VET MED E&G	UT/421000	Staff Benefits	20,538.76	22,573.36	23,431.93	17,549.92	32,636.04	12,097.28	58.90%
1118	CUR UNREST COL VET MED E&G	UT/43OPER	Operating	200,695.65	195,567.49	205,406.71	256,002.71	369,195.26	168,499.61	83.96%
1118	CUR UNREST COL VET MED E&G	UT/431000	Travel	4,217.30	2,232.36	1,538.38	271.62	5,386.13	1,168.83	27.72%
1118	CUR UNREST COL VET MED E&G	UT/433000	Media Processing	2,911.65	18,008.83	4,064.83	28,849.62	26,334.37	23,422.72	804.45%
1118	CUR UNREST COL VET MED E&G	UT/435000	Communication	5,036.15	8,595.43	6,884.52	14,305.25	16,491.40	11,455.25	227.46%
1118	CUR UNREST COL VET MED E&G	UT/436000	Maintenance,Repairs			6,821.98		356.64	356.64	
1118	CUR UNREST COL VET MED E&G	UT/437000	Prof Svc,Memberships		3,456.75	2,025.40	135.00	1,870.50	1,870.50	
1118	CUR UNREST COL VET MED E&G	UT/438000	Computer Services	522.00	348.00	348.00	348.00	348.00	(174.00)	-33.33%
1118	CUR UNREST COL VET MED E&G	UT/439000	Supplies	1,743.62	2,411.59	5,933.26	1,836.87	5,812.96	4,069.34	233.38%
1118	CUR UNREST COL VET MED E&G	UT/442000	Insur & Interest	8,085.00	13,967.29	13,222.00		7,875.00	(210.00)	-2.60%
1118	CUR UNREST COL VET MED E&G	UT/446000	Contractual,Spec Svc	167,379.93	146,547.24	164,568.34	210,256.35	304,720.26	137,340.33	82.05%
1118	CUR UNREST COL VET MED E&G	UT/449000	Other Services & Exp	10,800.00					(10,800.00)	-100.00%

1121	CUR UNRES1 FAM PRAC1-KNOX E&C	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	10,828.00	6,800.00	7,600.00	7,200.00	231,694.00	220,866.00	2039.77%
1121	CUR UNRES1 FAM PRAC1-KNOX E&C	UT/400000	ALL EXPENSES	10,828.00	6,800.00	7,600.00	7,200.00	231,694.00	220,866.00	2039.77%
1121	CUR UNRES1 FAM PRAC1-KNOX E&C	UT/42SBEN	Staff Benefits						-	
1121	CUR UNRES1 FAM PRAC1-KNOX E&C	UT/421000	Staff Benefits						-	
1121	CUR UNRES1 FAM PRAC1-KNOX E&C	UT/43OPER	Operating	10,828.00	6,800.00	7,600.00	7,200.00	231,694.00	220,866.00	2039.77%
1121	CUR UNRES1 FAM PRAC1-KNOX E&C	UT/446000	Contractual, Spec Svc	6,028.00	6,800.00	7,600.00	7,200.00	231,694.00	225,666.00	3743.63%
1121	CUR UNRES1 FAM PRAC1-KNOX E&C	UT/449000	Other Services & Exp	4,800.00					(4,800.00)	-100.00%
1123	CUR UNRES1 FAM PRAC1-JACKS E&C	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	4,800.00	1,200.00	3,218.18	3,200.00	3,600.00	(1,200.00)	-25.00%
1123	CUR UNRES1 FAM PRAC1-JACKS E&C	UT/400000	ALL EXPENSES	4,800.00	1,200.00	3,218.18	3,200.00	3,600.00	(1,200.00)	-25.00%
1123	CUR UNRES1 FAM PRAC1-JACKS E&C	UT/42SBEN	Staff Benefits						-	
1123	CUR UNRES1 FAM PRAC1-JACKS E&C	UT/421000	Staff Benefits						-	
1123	CUR UNRES1 FAM PRAC1-JACKS E&C	UT/43OPER	Operating	4,800.00	1,200.00	3,218.18	3,200.00	3,600.00	(1,200.00)	-25.00%
1123	CUR UNRES1 FAM PRAC1-JACKS E&C	UT/446000	Contractual, Spec Svc	2,400.00	1,200.00	3,218.18	3,200.00	3,600.00	1,200.00	50.00%
1123	CUR UNRES1 FAM PRAC1-JACKS E&C	UT/449000	Other Services & Exp	2,400.00					(2,400.00)	-100.00%
1124	CUR UNRES1 FAM PRAC1-MEMP E&C	COMMITMENT ITEM HIERARCHY	COMMITMENT ITEM HIER	11,200.00	4,400.00	4,400.00	4,800.00	4,400.00	(6,800.00)	-60.71%
1124	CUR UNRES1 FAM PRAC1-MEMP E&C	UT/400000	ALL EXPENSES	11,200.00	4,400.00	4,400.00	4,800.00	4,400.00	(6,800.00)	-60.71%
1124	CUR UNRES1 FAM PRAC1-MEMP E&C	UT/42SBEN	Staff Benefits						-	
1124	CUR UNRES1 FAM PRAC1-MEMP E&C	UT/421000	Staff Benefits						-	
1124	CUR UNRES1 FAM PRAC1-MEMP E&C	UT/43OPER	Operating	11,200.00	4,400.00	4,400.00	4,800.00	4,400.00	(6,800.00)	-60.71%
1124	CUR UNRES1 FAM PRAC1-MEMP E&C	UT/446000	Contractual, Spec Svc	4,400.00	4,400.00	4,400.00	4,800.00	4,400.00	-	0.00%
1124	CUR UNRES1 FAM PRAC1-MEMP E&C	UT/449000	Other Services & Exp	6,800.00					(6,800.00)	-100.00%

Appendix Table 2: UT Institutional Support Spending by Cost Center, 2004-2008

Business Unit	Fund	Fiscal year					Change	% Change	
		2004	2005	2006	2007	2008			
		Actuals	Actuals	Actuals	Actuals	Actuals			
Overall		79,401,669.24	83,788,639.79	87,859,248.51	94,773,463.15	105,311,063.37	25,909,394.13	32.63%	
1101	Result	8,385,815.88	9,390,422.79	11,448,213.02	12,700,182.21	23,368,940.38	14,983,124.50	178.67%	
1101	E010115	SPACE&FACILITIES MGT	254,984.36	276,946.33	279,342.68	27,340.08	2,045.45	-252,938.91	-99.20%
1101	E010116	TECHNICAL SERVICES	309,555.17	335,125.25	342,105.73	360,342.92	368,590.08	59,034.91	19.07%
1101	E010120	OFF EQUITY&DIVERSITY	359,706.87	386,530.66	399,680.37	441,037.73	485,532.47	125,825.60	34.98%
1101	E010120002	Intercultural Committee					10,750.00	10,750.00	
1101	E010121	DIVERSITY R&ED COMPL	0.00000000	599.40	428.65	388.90	867.30	867.30	
1101	E010124	Development-Constituency				60.75	100,230.87	100,230.87	
1101	E010125	DEVELOPMENT OFFICE			283,221.06	369,352.27	3,248,836.52	3,248,836.52	
1101	E010125003	Dev-Corporate & Foundation Relations					5,013.16	5,013.16	
1101	E010125005	Development - Stewardship					26,113.33	26,113.33	
1101	E010125006	Development - Donor Benefits					15,795.14	15,795.14	
1101	E010130	OFFICE OF THE CHANCELLOR	1,808,818.10	813,169.59	725,046.57	721,798.62	1,037,847.63	-770,970.47	-42.62%
1101	E010130001	ACAD AFF-ADMIN SVCS	0.00000000	0.00000000	1,200.00			0.00	
1101	E010130024	Federal Relations Knox	47,312.34	64,939.04	98,760.03	97,830.26	12,341.01	-34,971.33	-73.92%
1101	E010135	OFFICE OF RESEARCH	10,154.55	1,765,323.82	1,967,899.16	2,127,599.12	2,209,135.66	2,198,981.11	21655.13%
1101	E010140	VICE CHAN FOR FINANCE & ADMIN	0.00000000		243,981.65	268,717.40	324,741.09	324,741.09	
1101	E010143	SPONSORED PROJECTS ACCOUNTING		304,963.00	456,652.46	521,056.48	695,994.85	695,994.85	
1101	E010144	BURSAR'S OFFICE	1,248,713.69	1,392,100.07	1,452,514.23	1,548,842.13	1,616,565.81	367,852.12	29.46%
1101	E010145	BUDGET & FINANCE	691,300.78	777,700.24	550,051.43	536,054.82	674,928.33	-16,372.45	-2.37%
1101	E010146	Special Events	0.00000000					0.00	
1101	E010147003	ADPS UTK FINANCE OFF	812.96	1,175.76	850.20	282.20	166.88	-646.08	-79.47%
1101	E010147007	ADPS UT Institutional Research	2,694.08	3,386.88	3,065.44	3,843.72	2,852.36	158.28	5.88%
1101	E010148	HUMAN RESOURCES	0.00000000			1,638.41	1,342,063.37	1,342,063.37	
1101	E010148010	Employee Orientation					6,464.12	6,464.12	
1101	E010148020	Service Awards					106,732.62	106,732.62	
1101	E010148030	Fall Festival					2,124.37	2,124.37	
1101	E010149	Associate VC Finance & Administration					43,866.87	43,866.87	
1101	E010155005	OIT ITES-CLASSROOMS	228,110.42	264,695.74	261,444.91	263,369.69	230,522.74	2,412.32	1.06%
1101	E010155006	WIRELESS PROJECT	46,017.07	4,525.37				-46,017.07	-100.00%
1101	E010155017	VP RESEARCH & INFORMATION TECHNOLOGY				6,528.78		0.00	
1101	E010159	CUSTOMER TECH SUPPRT				2,642.70	3,342,218.61	3,342,218.61	
1101	E010159002	OIT CTS-Data Mgmt Services					210,726.25	210,726.25	
1101	E010160	INSTIT RES & ASSESS	643,624.23	712,669.52	658,802.72	626,037.07	664,132.56	20,508.33	3.19%
1101	E010170	BUSINESS SERVICES	527.95	501,268.00	515,170.05	554,739.10	551,822.00	551,294.05	104421.64%
1101	E010175	RECORDS MANAGEMENT	167,389.01	0.00000000				-167,389.01	-100.00%
1101	E010205	SR. ASSOC VC FOR FINANCE & ADMIN	414,449.50	442,446.48	240,417.06	482,477.57	560,543.47	146,093.97	35.25%
1101	E010205002	VP OPERATIONS SUPPRT	21,081.00	39,540.85	13,480.16	41,282.26	25,387.00	4,306.00	20.43%
1101	E010205003	Emergency Management Support				1,073.10	44,369.67	44,369.67	#DIV/0!
1101	E010208	VICE CHANCELLOR-STUDENT AFFAIRS	628,789.12	644,033.26	826,926.10	875,612.58	843,513.29	214,724.17	34.15%
1101	E010405	Vice Chancellor-Communications		107,211.48	272,675.58	300,265.86	375,403.67	375,403.67	
1101	E010405001	Ready For The World-Communications					28,340.18	28,340.18	
1101	E010407	Video & Photography Center			306,985.18	636,648.31	688,639.89	688,639.89	
1101	E010408	Media Relations			242,048.14	279,478.75	496,452.25	496,452.25	
1101	E010425	Creative Services Division-UTK			693,407.36	824,806.14	1,077,263.35	1,077,263.35	
1101	E010440	ALUMNI AFFAIRS				131,574.91	482,271.95	482,271.95	
1101	E010440010	Alumni Affairs-Young Alumni					19,478.81	19,478.81	
1101	E010440020	Alumni Affairs-Homecoming					16,568.15	16,568.15	
1101	E010440030	Alumni Affairs-Black Alumni Associates					4,163.10	4,163.10	
1101	E010440040	Alumni Affairs-Reunion Programs					17,427.18	17,427.18	
1101	E010440050	Alumni Affairs-Student Programs					9,531.71	9,531.71	
1101	E010440060	Alumni Affairs-Student Alumni Associates					10,325.06	10,325.06	
1101	E010440070	Alumni Affairs-TN Apprentice Program					10.56	10.56	
1101	E010440080	Alumni Affairs-Other Alumni Programs					3,985.90	3,985.90	
1101	E010440090	Alumni Affairs-Student Recruiting					7,230.47	7,230.47	
1101	E010440100	Alum Aff-Alumni CE&Lifelong Learning					11,793.31	11,793.31	
1101	E010440110	Alumni Affairs-Chancellor's Associates					20,608.36	20,608.36	
1101	E010441	Advancement Communications				590.55	196,174.53	196,174.53	
1101	E010450	PUBL LIABILITY INSUR	51,115.00	74,122.29	66,675.00		55,175.00	4,060.00	7.94%
1101	E010455	COLLECTN AGENCY COMM	32,001.31	39,002.33	54,524.51	44,822.38	36,011.58	4,010.27	12.53%
1101	E010456	CREDIT CARD FEE VARIANCE	25,434.99	14,456.86	8,098.69	6,583.74	-1,968.32	-27,403.31	-107.74%
1101	E010458	Professional Privilege Tax	88,418.62	52,901.00	57,672.50	56,000.00	57,800.00	-30,618.62	-34.63%
1101	E010460	MISC INST EXP-KNOX	79,679.88	8,985.76	6,576.31	-15,759.42	-34,180.39	-113,860.27	-142.90%
1101	E010465	CAMPUS EVENTS-UTK	9,006.50	13,079.05	10,578.35	10,511.44	5,485.19	-3,521.31	-39.10%
1101	E010470	INSTIT MEMBERSHIPS-K	80,561.50	47,723.00	131,496.07	45,550.45	151,390.53	70,829.03	87.92%
1101	E010485	AUTOMOBILE LOSS LIAB	119,409.00	125,325.00	122,608.00		87,330.00	-32,079.00	-26.86%
1101	E011101	INST OF AG ADM CHRGE	97,334.38	90,022.38	100,000.00	128,344.15	125,838.00	28,503.62	29.28%
1101	E011107	UTIA Support Account				58,217.88	91,476.35	91,476.35	
1101	E012930	ADVANCED INTERNET TECHNOLOGY	5,082.14					-5,082.14	-100.00%

Busi ess	Fund		Fiscal year					Change	% Change
			2004	2005	2006	2007	2008		
			Actuals	Actuals	Actuals	Actuals	Actuals		
1101	E017203	SPECIAL PROJECTS ADM	375,240.24	41,509.56	0.00000000	231,546.72	402,021.26	26,781.02	7.14%
1101	E017233	UNIVERSITY MAIL SVCS	484,614.54	0.00000000		16,017.20	19,762.44	-464,852.10	-95.92%
1101	E019012	BLACK STAFF DEVELOP	5,396.02	7,098.15	14,777.11	19,257.48	20,289.36	14,893.34	276.01%
1101	E019601006	Staff Benefits	48,480.56	37,846.67	39,049.56	45,553.47	74,006.07	25,525.51	52.65%
1101	E019945	TEMPORARY HELP POOL				223.54	0.00000000	0.00	
1102	Result		657,820.44	750,858.46	1,058,047.96	920,378.24	1,271,158.77	613,338.33	93.24%
1102	E020120	Office of the Associate Vice President	178,386.18	281,661.93	530,216.71	368,106.70	365,401.04	187,014.86	104.84%
1102	E020120001	Associate Vice President Search			21,529.41	0.00000000		0.00	
1102	E020130002	STAFF DEV PROGRAM	4,461.52	7,751.99	4,239.21	5,982.79		-4,461.52	-100.00%
1102	E020130007	RACIAL IMAGE-IIJ	1,561.31	3,057.77	1,656.44	2,552.30		-1,561.31	-100.00%
1102	E020140	ASST V P - BUS & FIN	242,806.57	192,651.30	196,012.96	208,409.20	276,166.09	33,359.52	13.74%
1102	E020145	BUSINESS OFFICE	120,658.07	125,398.95	134,550.23	145,048.22	153,416.36	32,758.29	27.15%
1102	E020155	HUMAN RESOURCES					226,338.06	226,338.06	
1102	E020156	UTSI STAFF TRAINING		1,553.96	870.00	5,004.21	3,020.47	3,020.47	
1102	E020157021	Microsoft Excel 2 2/08/05		94.03				0.00	
1102	E020157022	M/S Windows Server 2003 Environment		7,600.00				0.00	
1102	E020157023	MS Access Level 1 3/11&18		550.00				0.00	
1102	E020157025	MS Excel Level 1 04/29/05		176.00				0.00	
1102	E020157026	MS Access Level 2 06/01/05		55.00				0.00	
1102	E020157027	MS Excel Level 2 5/31/05		385.00				0.00	
1102	E020157029	MS Word Level 2 6/17/05		185.50	204.00			0.00	
1102	E020157030	MS Project Level 1		225.25	6,795.80			0.00	
1102	E020157031	M/S Project Level II 8/9&11/05			6,606.50			0.00	
1102	E020157032	M/S Power Point Level 2003 Level II			801.00			0.00	
1102	E020157033	M/S SQL Training			4,396.25			0.00	
1102	E020157034	M/S Word Level 3 8/7/06				531.25		0.00	
1102	E020157035	M/S Excel Level 3 8/14/06				851.50		0.00	
1102	E020157036	M/S Access Level 2 8/28-29				428.47		0.00	
1102	E020157037	M/S PowerPoint Level 2 9/18				357.25		0.00	
1102	E020157038	M/S PowerPoint Level 1 9/14				431.75		0.00	
1102	E020157039	Excel 2003 Intro VBA 9/27/06				-14.25		0.00	
1102	E020157040	M/S FrontPage Level 1				726.50		0.00	
1102	E020157041	M/S FrontPage Level 2				635.75		0.00	
1102	E020157042	VISIO 2003 Level 1 11/06				536.50		0.00	
1102	E020157043	M/S Access Level 1				390.48		0.00	
1102	E020157044	M/S Project Level 1				398.00		0.00	
1102	E020157045	M/S Access Level 2 2/8-9/07				1,494.00		0.00	
1102	E020157047	Visio Level 2 01/31/07				897.00		0.00	
1102	E020157048	MS Project 1 02/02/07 Sanford				945.25		0.00	
1102	E020157049	MS Project II Sanford 2/15/07				937.25		0.00	
1102	E020160	PURCHASING	10,922.69				790.19	-10,132.50	-92.77%
1102	E020165	MAILROOM	21,757.08	25,870.04	23,980.92	21,076.45	27,127.51	5,370.43	24.68%
1102	E020185	DEVELOP & ALUMNI AFF				444.00	6,342.83	6,342.83	
1102	E020198	INST SUPP SERVICES	9,795.46	17,605.27	21,693.02	22,026.38	65,973.63	56,178.17	573.51%
1102	E020410	PUBLIC RELATIONS	6,999.34	37,677.88	53,160.89	74,189.86	76,302.76	69,303.42	990.14%
1102	E020415	UTSI SPECIAL EVENTS	646.15	6.00	28.24	2,528.56	626.19	-19.96	-3.09%
1102	E020415005	SUPPORT COUNCIL ACT	2,369.98	441.51	413.32	283.45	31.80	-2,338.18	-98.66%
1102	E020415006	NAT STEERING COUNCIL				80.00	4,163.96	4,163.96	#DIV/0!
1102	E020415008	STAFF PICNIC	1,389.44	1,551.25	1,794.09	1,780.92	1,720.62	331.18	23.84%
1102	E020415009	SERVICE AWARDS	3,490.98	3,029.70	2,662.36	2,198.62	1,940.26	-1,550.72	-44.42%
1102	E020420	PRINTING SERVICE	0.00000000	0.00000000	0.00000000	0.01	0.00000000	0.00	
1102	E020430	SAFETY & HEALTH	40,251.68	38,064.75	37,184.56	38,986.87	41,369.36	1,117.68	2.78%
1102	E020450	COMPUTER SERVICES	0.00000000	0.00000000	691.78	6,008.00	0.00000000	0.00	
1102	E020454	MOTOR VEHICLE OPER	4,802.39	643.07	4,347.06	1,137.56	7,768.61	2,966.22	61.77%
1102	E020458	Professional Privilege Tax	800.00	400.00	800.00	800.00	1,200.00	400.00	50.00%
1102	E020460	OFFICE SUPPLIES	0.00000000	0.00000000	0.00000000	-0.01	0.00000000	0.00	
1102	E020470	TELEPHONE SERVICES	0.00000000	0.00000000	63.00	67.20	0.00000000	0.00	
1102	E020485	AUTO LOSS LIABILITY	4,378.00	2,305.00	0.00000000		1,640.00	-2,738.00	-62.54%
1102	E024005198	Adobe Acrobat 12/5/07					414.25	414.25	
1102	E029601006	STAFF BENEFITS	2,343.60	1,917.31	3,350.21	4,120.25	9,404.78	7,061.18	301.30%
1103	Result		28,505,033.02	26,555,526.25	27,240,861.69	28,115,778.26	0.00000000	-28,505,033.02	-100.00%
1103	E030200	OFFICE OF RESEARCH	1,227,073.73	145.00	0.00000000	0.00000000		-1,227,073.73	-100.00%
1103	E030201	Vice President for Research	215,367.58	0.00000000				-215,367.58	-100.00%
1103	E030270007	MEMPHIS RES ADM	540,478.59	0.00000000				-540,478.59	-100.00%
1103	E030422017	OIT ADMINISTRATIVE APPL-P2 OPERATIONS	348,682.74	338,509.18	436,149.42	405,310.47	0.00000000	-348,682.74	-100.00%
1103	E030426017	ADMIN IT SYS	288,858.18	311,027.47	226,564.45	232,454.83		-288,858.18	-100.00%
1103	E030458	Professional Privilege Tax	2,000.00	1,200.00				-2,000.00	-100.00%
1103	E030476001	ITES CLASSROOMS	120.00	0.00000000				-120.00	-100.00%
1103	E030480002	COMPUTER SERVICES	343,459.32	330,786.40	344,140.24	359,618.80	0.00000000	-343,459.32	-100.00%
1103	E031000	OIT-CIO	635,251.40	741,242.53	411,389.42	443,438.06	0.00000000	-635,251.40	-100.00%

Busi app	Fund		Fiscal year					Change	% Change
			2004	2005	2006	2007	2008		
			Actuals	Actuals	Actuals	Actuals	Actuals		
1103	E031010	OIT INFORMATION SECURITY	3,247.25	706,472.02	921,470.97	840,270.06	0.00000000	-3,247.25	-100.00%
1103	E031020	Research Support	38,528.04					-38,528.04	-100.00%
1103	E031030	Cyber Security Summit				2,370.79		0.00	
1103	E031050	OIT-DEPUTY CIO-HSC	26,788.67	91,586.96	69,783.16	202,112.73		-26,788.67	-100.00%
1103	E031100	OIT BUSINESS OFFICE-KNOX	993,363.35	1,006,319.22	1,104,198.79	1,096,818.89	0.00000000	-993,363.35	-100.00%
1103	E031150	OIT BUSINESS OFFICE-HSC	162,463.70	171,539.28	174,451.66	186,607.10	0.00000000	-162,463.70	-100.00%
1103	E031200	ASSOC VP OF INFO TECH / CIO	89.61					-89.61	-100.00%
1103	E031205	IT PROJECTS -KNOX	311,298.10		0.00000000			-311,298.10	-100.00%
1103	E031400	OIT COMPUTER SYSTEM SERVICES-KNOX	3,907,138.87	4,638,101.20	4,871,056.26	5,619,281.24	0.00000000	-3,907,138.87	-100.00%
1103	E031400001	SYS ADMIN RECOV -KNOX	-89,346.45	-69,476.34	-61,345.54	-394,150.70		89,346.45	-100.00%
1103	E031500	OIT INFRASTRUCTURE-KNOX	4,312,552.56	5,301,455.13	5,307,287.66	4,352,048.26	0.00000000	-4,312,552.56	-100.00%
1103	E031500001	INFRASTRUCTURE RECOV -KNOX	-3,499,598.12	-3,367,529.88	-4,085,198.67	-3,624,129.33		3,499,598.12	-100.00%
1103	E031555	OIT TELEPHONE SERVICES-HSC	1,086,170.09	994,747.76	1,044,551.48	1,092,121.28	0.00000000	-1,086,170.09	-100.00%
1103	E031555001	TELEPHONE SERVICES RECOVERY -MEMPHIS	-1,007,495.27	-761,684.00	-747,208.35	-804,263.04		1,007,495.27	-100.00%
1103	E031556	OIT TELEPHONE SERVICES-LD-HSC	216,255.02	87,393.47	71,668.45	50,129.00	0.00000000	-216,255.02	-100.00%
1103	E031556001	TS -LONG DIST RECOV -MEMPHIS	-276,881.26	-214,565.95	-196,902.02	-171,789.36		276,881.26	-100.00%
1103	E031599	STATEWIDE INFRASTRUCTURE		5.00				0.00	
1103	E031600	OIT ADMINISTRATIVE APPL & DEV-KNOX	2,821,764.86	2,875,286.55	3,139,077.67	3,102,260.25	0.00000000	-2,821,764.86	-100.00%
1103	E031600001	SYS DEV RECOV -KNOX	-65,411.55	-64,917.80	-71,541.76	-23,775.20		65,411.55	-100.00%
1103	E031700	OIT CUSTOMER TECH SUPPORT-KNOX	3,231,701.32	3,163,428.42	3,433,797.40	3,719,364.07	0.00000000	-3,231,701.32	-100.00%
1103	E031700001	CLIENT SVCS RECOV -KNOX	-487,016.14	-531,988.58	-529,038.36	-560,774.56		487,016.14	-100.00%
1103	E031705	OIT CUSTOMER TECH SUPPORT-DMS	225,002.20	223,199.52	214,190.51	222,972.09	0.00000000	-225,002.20	-100.00%
1103	E031800	STATEWIDE SERVICES	0.00000000	0.00000000				0.00	
1103	E031825	OIT WEB SERVICES GROUP	473,390.69	486,348.02	445,099.56	420,573.54	0.00000000	-473,390.69	-100.00%
1103	E032000017	VP FOR DEVELOPMENT	482,958.30	473,361.29	582,563.98	595,800.89	0.00000000	-482,958.30	-100.00%
1103	E032001017	PRINT-DEV & ALUMNI	12,212.26	10,340.67	8,320.75	5,510.88		-12,212.26	-100.00%
1103	E032100017	ALUMNI AFFAIRS	871,856.06	1,195,511.69	1,331,711.04	1,263,032.93	0.00000000	-871,856.06	-100.00%
1103	E032110017	ALUM AFF ADMIN	182,772.17	139,692.87	185,035.91	136,995.28	0.00000000	-182,772.17	-100.00%
1103	E032111007	SPECIAL EVENTS-MEMPHIS	148,740.13	34,043.74				-148,740.13	-100.00%
1103	E032120017	ALUM AFF WOMEN'S COU	20,938.53	17,465.45	21,322.13	21,066.82		-20,938.53	-100.00%
1103	E032130017	ALUM AFF SCHOL ADM	8,731.23	7,451.86	5,754.36	5,485.86		-8,731.23	-100.00%
1103	E032140017	ALUM AFF ANNUAL GIV	97,380.02	89,303.26	88,368.99	131,179.66		-97,380.02	-100.00%
1103	E032145017	ALUMNI AFFAIRS TELEFUND	88,396.34	89,187.49	60,869.97	75,292.88		-88,396.34	-100.00%
1103	E032160017	ALUM AFF CHAPTER ADM	144,990.88	119,475.07	101,902.23	102,875.75		-144,990.88	-100.00%
1103	E032170017	ANDI	157,823.79	135,956.05	63,854.41	224,417.78		-157,823.79	-100.00%
1103	E032171017	Development-Research	11,418.34	12,865.65	10,440.57	15,507.53		-11,418.34	-100.00%
1103	E032172017	Stewardship and Donor Recognition	17,824.05	32,173.70	31,794.42	16,804.70		-17,824.05	-100.00%
1103	E032180017	ALUM AFF CE PGM	4,500.57	6,440.33	8,525.10	40,750.28		-4,500.57	-100.00%
1103	E032184	ALUM AFF-KNOXVILLE	294,440.46	3,524.25	1,765.92	7.28		-294,440.46	-100.00%
1103	E032184010	ALUMNI AFFAIRS-MARKETING/SPONSORSHIPS	33,980.46	26,484.02	36,601.44	26,256.82		-33,980.46	-100.00%
1103	E032184020	Alumni Affairs-Homecoming	2,365.99	7,724.71	2,696.72	8,739.21		-2,365.99	-100.00%
1103	E032184030	Alumni Affairs-Black Alumni Assoc	1,528.83	1,170.39	599.78	949.81		-1,528.83	-100.00%
1103	E032184040	Alumni Affairs-Golden Grads & Other Reun	6,559.81	7,122.95	6,481.00	26,063.06		-6,559.81	-100.00%
1103	E032184050	Alumni Affairs-Senior Gift	4,760.83	3,661.65	3,154.25	4,214.11		-4,760.83	-100.00%
1103	E032184060	Alumni Affairs-Student Alumni Assoc	6,603.94	5,937.13	4,887.94	10,720.21		-6,603.94	-100.00%
1103	E032184070	Alumni Affairs-Alum Outstanding Teacher	1,458.99	1,466.28	1,490.99	312.91		-1,458.99	-100.00%
1103	E032184080	Alumni Aff-Orientation/Parent Programs	626.16	2,707.47	604.98	1,423.68		-626.16	-100.00%
1103	E032184090	Alumni Affairs-Student Recruitment	2,668.45	8,185.85	777.56	3,636.11		-2,668.45	-100.00%
1103	E032187007	ALUM AFF-MEMPHIS	459,622.14	473,389.11	485,274.36	511,039.45	0.00000000	-459,622.14	-100.00%
1103	E032188	OFFICE OF ADVANCEMENT COMMUN	322,743.03	350,994.73	352,697.45	260,774.77	0.00000000	-322,743.03	-100.00%
1103	E032190017	ADVANCEMENT SERVICES	1,709,267.62	1,879,488.45	1,966,923.42	2,211,995.04	0.00000000	-1,709,267.62	-100.00%
1103	E032191017	WOMEN PHILAN ALLIAN	1,740.33	1,415.14	521.94	120.66		-1,740.33	-100.00%
1103	E032200017	DEVELOPMENT-MAJOR GIFTS	85,840.96	77,200.50	84,068.15	172,089.83		-85,840.96	-100.00%
1103	E032202017	DEVELOPMENT-DONOR BENEFITS	30,939.66	21,407.07	20,665.55	25,464.40		-30,939.66	-100.00%
1103	E032203017	DEV-PLANNED GIVING	38,309.77	37,103.93	150,253.03	153,113.62		-38,309.77	-100.00%
1103	E032210002	DEV-SPACE INSTITUTE	3,923.37		248.30			-3,923.37	-100.00%
1103	E032211011	DEV-INST OF AGRIC	412,438.04	345,334.50	365,084.30	387,611.35	0.00000000	-412,438.04	-100.00%
1103	E032212007	DEVELOPMENT-MEMPHIS	1,342,464.93	1,461,706.83	1,556,341.32	1,265,454.41	0.00000000	-1,342,464.93	-100.00%
1103	E032215	DEVELOPMENT	2,273,183.75	2,572,668.55	2,617,412.20	3,096,499.82	0.00000000	-2,273,183.75	-100.00%
1103	E032215001	CHANCELLOR ASSOCIATES FUND	34,886.77	44,054.53	37,961.73	21,665.65		-34,886.77	-100.00%
1103	E032216	DEV-CORPORATE	4,350.43	8,180.89	5,967.52	2,114.05		-4,350.43	-100.00%
1103	E032217	DEV-LEADERSHIP	13,204.57	9,818.19	4,346.50	6,886.95		-13,204.57	-100.00%
1103	E032218	DEV-CONSTITUENCY	45,426.23	63,865.58	96,569.18	115,827.59	0.00000000	-45,426.23	-100.00%
1103	E032500	Capital Campaign	219,471.42	315,892.28	406,926.88	298,063.53		-219,471.42	-100.00%
1103	E032501	Capital Campaign-Public Relations				100,723.43	0.00000000	0.00	
1103	E033000	HUMAN RESOURCES-KNOX	1,185,948.84	-576.00	1,075.31	420.00		-1,185,948.84	-100.00%
1103	E033003002	HUMAN RES-SPACE INST	161,872.25	0.00000000				-161,872.25	-100.00%
1103	E033006007	Human Resources-Mphs	822,149.78	0.00000000				-822,149.78	-100.00%
1103	E033010	Fall Festival	574.23	0.00000000				-574.23	-100.00%
1103	E033012	Recognition & Service Awds	69,429.26	0.00000000	293.07			-69,429.26	-100.00%

Busi ess	Fund		Fiscal year					Change	% Change
			2004	2005	2006	2007	2008		
			Actuals	Actuals	Actuals	Actuals	Actuals		
1103	E034000	Purchasing	561,847.13	0.00000000				-561,847.13	-100.00%
1103	E034000007	LEGAL AFFAIRS-MEM	0.00000000					0.00	
1103	E035000	SACS Accreditation	105,415.19	0.00000000				-105,415.19	-100.00%
1103	E039601006	STAFF BENEFITS	9,149.65	3,697.57	5,064.64			-9,149.65	-100.00%
1104	Result		5,702,095.11	6,126,430.83	6,007,870.10	6,855,976.54	7,396,813.30	1,694,718.19	29.72%
1104	E040101	UTC-CHANCELLOR	585,082.57	683,535.22	584,254.38	678,555.41	661,206.49	76,123.92	13.01%
1104	E040101002	NCAA Accreditation	1,473.78					-1,473.78	-100.00%
1104	E040101004	VC Provost & Athletic Director		91,513.08	72,368.99	149,489.19	21,120.12	21,120.12	
1104	E040101005	ASSISTANT TO OFFICE OF THE CHANCELLOR		3,839.72	226.06		688.75	150.00	150.00
1104	E040101007	University Outreach				10,516.40	7,559.51	7,559.51	
1104	E040101008	Strategic Planning Initiative					2,224.02	2,224.02	
1104	E040101009	UTC Office of General Counsel					131,025.39	131,025.39	
1104	E040120	VC-UNIV ADVANCEMENT	193,066.64	284,219.14	276,716.66	294,299.48	259,191.30	66,124.66	34.25%
1104	E040125	DEVELOPMENT	453,222.57	402,143.67	551,307.02	543,417.00	446,355.35	-6,867.22	-1.52%
1104	E040125003	ADV-ATH FUNDRAISER	71,766.15	63,523.23	80,887.16	88,342.22	93,990.56	22,224.41	30.97%
1104	E040140	VC-BUSINESS & FIN	230,403.81	246,752.73	254,724.41	269,377.64	303,170.42	72,766.61	31.58%
1104	E040141	BUS & FINANCE AFFRS	448,935.55	426,630.53	451,160.12	515,114.11	526,032.27	77,096.72	17.17%
1104	E040142	ADM AFFAIRS	0.80	0.00000000			0.00000000	-0.80	-100.00%
1104	E040145	BURSAR	463,623.61	504,634.88	494,937.91	522,728.81	548,334.22	84,710.61	18.27%
1104	E040146	Disbursements	255,943.77	279,286.32	269,110.73	280,362.89	314,672.83	58,729.06	22.95%
1104	E040147	AUDIT-MGMT SERVICES	18.00	60.00	2.12	11.70		-18.00	-100.00%
1104	E040148	PERSONNEL SERVICES	263,100.75	302,934.55	299,521.49	317,811.27	355,947.05	92,846.30	35.29%
1104	E040150	PERSONNEL-TRAINING	107,008.39	122,997.14	124,672.35	135,184.39	147,362.69	40,354.30	37.71%
1104	E040155004	AFFIRMATIVE ACTION	77,862.54	84,314.56	82,804.93	89,793.38	96,314.90	18,452.36	23.70%
1104	E040156040	TF-University Administration			7,543.66	1,567.88		0.00	
1104	E040161	SURPLUS EQUIPMENT					27.45	27.45	
1104	E040170	BUSINESS SERVICES	174,720.38	185,000.99	181,931.98	151,859.55	148,673.70	-26,046.68	-14.91%
1104	E040405	UNIVERSITY RELATIONS	320,414.59	325,618.24	324,177.75	391,406.28	392,883.76	72,469.17	22.62%
1104	E040440	ALUMNI	198,285.55	215,606.18	176,384.09	199,622.68	249,445.39	51,159.84	25.80%
1104	E040441	MAIL SERVICE	296,555.49	225,941.30	271,328.88	359,015.75	297,576.67	1,021.18	0.34%
1104	E040450	PUBLIC LIAB INS	15,770.00	34,595.00	27,276.76		17,524.00	1,754.00	11.12%
1104	E040455	COLLECTION AGCY COMM	28,193.04	23,601.42	35,581.94	37,046.06	35,216.88	7,023.84	24.91%
1104	E040456	BANK DISCOUNT-CC	174,554.86	190,710.22	229,066.23	254,348.32	304,458.86	129,904.00	74.42%
1104	E040458	Professional Privilege Tax	11,774.33	7,231.54	8,415.44	7,200.00	8,400.00	-3,374.33	-28.66%
1104	E040460	MISC INST EXPENSE	71,524.55	51,512.09	6,917.50	45,175.93	10,599.51	-60,925.04	-85.18%
1104	E040465	CAMPUS OCCASIONS	52,871.62	55,317.85	87,014.63	78,773.88	110,600.66	57,729.04	109.19%
1104	E040465001	FACULTY CLUB	15,874.50	212.13		74.68	-10.04	-15,884.54	-100.06%
1104	E040470	INST MEMBERSHIPS	29,969.01	26,918.58	27,607.35	68,123.79	45,198.29	15,229.28	50.82%
1104	E040475	COMP WELLNESS PROG	4,250.92	5,472.29	2,943.27	531.99		-4,250.92	-100.00%
1104	E041001	PROVOST	266,173.17	272,267.17	292,395.13	324,183.18	448,867.03	182,693.86	68.64%
1104	E042210	COMPUTER CENTER	849,419.83	818,868.98	745,704.20	1,144,570.66	1,138,751.06	289,331.23	34.06%
1104	E042210002	Admin Computing Operations					225,577.25	225,577.25	
1104	E049601006	STAFF BENEFITS	40,234.34	40,342.13	40,886.96	50,448.90	48,365.71	8,131.37	20.21%
1104	E049910	GRAPHIC SERVICES	0.00000000	107.00	0.00000000	0.00000000	0.00000000	0.00	
1104	E049920	TELECOMM SERV	0.00000000	126,998.21	0.00000000	-153,665.63	0.00000000	0.00	
1104	E049930	MOTOR VEH OPER CLEAR	0.00000000	23,324.74	0.00000000	0.00000000	0.00000000	0.00	
1104	E049945	UTC HEALTH MOC CTR	0.00000000	400.00	0.00000000	0.00000000	0.00000000	0.00	
1105	Result		3,635,917.24	3,656,594.58	3,721,862.49	4,143,770.64	4,337,372.67	701,455.43	19.29%
1105	E050105	Chancellor's Office	398,914.73	434,373.86	442,046.59	493,910.97	476,327.15	77,412.42	19.41%
1105	E050105002	SACS Accreditation			0.70			0.00	
1105	E050105007	Chancellor Search				93,046.98	3,082.87	3,082.87	
1105	E050109	PURCHASING	5.57	87.19		0.00000000	0.00000000	-5.57	-100.00%
1105	E050110	Finance and Administration	296,021.56	342,632.88	345,466.24	365,697.07	474,387.77	178,366.21	60.25%
1105	E050111	BUSINESS AFFAIRS	599,644.60	637,731.83	679,034.92	807,109.16	801,746.79	202,102.19	33.70%
1105	E050112	HUMAN RESOURCES	283,506.70	293,580.57	331,595.37	307,230.00	319,206.35	35,699.65	12.59%
1105	E050113	Equal Employment Opportunity Comp	65,367.76	65,067.93	71,405.42	95,302.91	102,632.37	37,264.61	57.01%
1105	E050115	Prog Adj Development	70.10	578.29	142.91	2.73		-70.10	-100.00%
1105	E050116	Development Office	391,113.94	483,104.43	529,249.93	630,354.54	676,135.20	285,021.26	72.87%
1105	E050117	Dev Skyhawk Club	11,000.41	11,382.51	13,503.02	12,347.41	16,500.00	5,499.59	49.99%
1105	E050118	Dev Special Events	-2,900.05	-10,789.98	-3,963.44	3,415.19	-14,020.73	-11,120.68	383.47%
1105	E050121	Inst Research & Plan	82,772.52	75,996.61	86,501.21	86,425.69	83,528.97	756.45	0.91%
1105	E050136001	Black Staff Dev IIID	5,494.60	8,916.58			0.00000000	-5,494.60	-100.00%
1105	E050136010	A&D F/S Recruitment & Retention					-64,811.39	-64,811.39	
1105	E050136011	A&D F/S Recr & Ret-N					1,938.00	1,938.00	
1105	E050255	POST OFFICE	99,128.53	143,811.85	90,891.87	116,894.98	170,825.80	71,697.27	72.33%
1105	E050415	University Relations	275,886.39	276,733.45	361,157.47	377,810.67	412,139.27	136,252.88	49.39%
1105	E050417	Radio/TV Athletics	33,622.79	24,759.25	72,820.59	66,821.26	72,971.83	39,349.04	117.03%
1105	E050425	GENERAL PUBLICATIONS	123,734.33	146,323.26	155,850.20	157,140.50	167,045.77	43,311.44	35.00%
1105	E050440	Alumni Relations	173,813.12	190,228.92	172,828.95	180,934.87	249,226.52	75,413.40	43.39%
1105	E050450	Public Liability Ins	2,924.01	22,811.00	-12,537.00		3,023.00	98.99	3.39%

Busi acc	Fund		Fiscal year					Change	% Change
			2004	2005	2006	2007	2008		
			Actuals	Actuals	Actuals	Actuals	Actuals		
1105	E050455	Collection Agency Com	11,042.40	16,692.45	11,922.10	13,849.93	14,080.61	3,038.21	27.51%
1105	E050456	Bank Dis Credit Card	87,694.65	83,830.33	108,895.18	113,830.59	127,057.34	39,362.69	44.89%
1105	E050458	Professional Privilege Tax	7,600.00	4,400.00	4,800.00	4,800.00	4,000.00	-3,600.00	-47.37%
1105	E050460	Miscel Inst Expense	518,774.78	243,382.65	107,870.97	81,074.04	80,325.58	-438,449.20	-84.52%
1105	E050465	PUBLIC OCCASIONS	54,686.29	62,674.77	67,827.05	65,478.14	68,919.04	14,232.75	26.03%
1105	E050485	Auto Loss Liability	30,729.00	25,286.00	22,369.00		16,786.00	-13,943.00	-45.37%
1105	E050613	INFORMATION CENTER	10,630.22	3,634.28	291.43	0.00000000		-10,630.22	-100.00%
1105	E050910	Comp Maint Ins Supt	55,020.00	56,234.00	57,085.00	68,578.00	68,578.00	13,558.00	24.64%
1105	E052314	UTM Employee Training					605.71	605.71	
1105	E059601006	Staff Benefits-Institutional Support	19,618.29	13,129.67	4,806.81	1,715.01	5,134.85	-14,483.44	-73.83%
1107	Result		8,405,636.53	10,375,190.39	9,460,358.09	10,247,627.30	14,458,316.59	6,052,680.06	72.01%
1107	E070101	OFFICE OF THE CHANCELLOR	1,142,796.14	1,294,179.33	1,622,080.40	1,121,734.09	943,260.04	-199,536.10	-17.46%
1107	E070101001	Chief of Staff	955,725.23	877,058.19	464,939.38	338,595.78	0.00000000	-955,725.23	-100.00%
1107	E070101002	Strategic Inv Fund-LeapFrog-Master Plan					12,489.00	12,489.00	
1107	E070102	ADMINISTRATIVE PROJECTS	186,924.27	1,917,099.13	80,986.88	249,457.25	-100,167.26	-287,091.53	-153.59%
1107	E070102002	Administrative Support					96,816.36	96,816.36	
1107	E070102003	Institutional Memberships					68,227.00	68,227.00	
1107	E070103	RESEARCH ADMINISTRATION		568,850.70	637,823.59	512,134.89	561,854.23	561,854.23	
1107	E070103001	Sponsored Projects Accounting	333,017.78	346,302.43	427,400.01	393,929.44	421,039.38	88,021.60	26.43%
1107	E070104	INSTITUTIONAL REVIEW BOARD	329,363.47	444,566.64	483,111.91	545,990.42	497,616.69	168,253.22	51.08%
1107	E070107	Vice Chancellor-Finance & Operations	1,800,922.33	1,764,411.40	2,072,397.66	2,526,443.80	2,861,179.49	1,060,257.16	58.87%
1107	E070108	Administration-Madison Buildings	-38,623.80	-83,072.99	15,409.37	8,222.98	0.00000000	38,623.80	-100.00%
1107	E070109	Office of Equity and Diversity	362,547.84	393,415.63	283,211.06	340,569.70	271,511.04	-91,036.80	-25.11%
1107	E070110	Purchasing Services	390,386.26	424,338.25	447,380.49	420,948.74	412,142.30	21,756.04	5.57%
1107	E070110001	Surplus Property		1,586.11	8,022.19	7,375.52	53,581.56	53,581.56	
1107	E070111	SPECIAL EVENTS					31,543.39	31,543.39	
1107	E070112	Office of Compliance Review	102,932.49	113,692.76	131,845.38	114,185.38	132,593.61	29,661.12	28.82%
1107	E070115	DEVELOPMENT OFFICE				0.00000000	1,821,847.63	1,821,847.63	
1107	E070116	Vice Chancellor for Research	334,201.02	375,976.74	700,443.33	1,053,993.77	365,267.78	31,066.76	9.30%
1107	E070116001	Research Services-VC Research				77,467.89	173,708.57	173,708.57	
1107	E070116002	Research Compliance				608.65	512,744.21	512,744.21	
1107	E070116003	Research Informatics					337,896.57	337,896.57	
1107	E070119	UNIVERSITY MEDICAL CENTER ALLIANCE	260,197.01	13,167.46	7,514.43	0.00000000		-260,197.01	-100.00%
1107	E070120	Human Resources	0.00000000			0.00000000	1,141,059.22	1,141,059.22	
1107	E070122	UNIVERSITY RELATIONS	530,524.09	514,372.15	371,016.42	0.00000000		-530,524.09	-100.00%
1107	E070123	Health Science Center Archives	4,813.06		347.48	5.96	13,778.49	8,965.43	186.27%
1107	E070124	HEALTH CAREERS PROGRAM	109,221.98	115,511.11	109,401.99	116,840.80	145,246.50	36,024.52	32.98%
1107	E070130	Community Affairs			108,255.47	317,194.93	259,910.43	259,910.43	
1107	E070140	Acc & Div Stud Recr & Ret-Old-PreHlth	329,799.87	346,509.84	349,798.58	362,082.46	352,833.13	23,033.26	6.98%
1107	E070141	MINORITY STAFF RECRUITMENT	62,984.06	60,785.54	55,280.57	51,722.49		-62,984.06	-100.00%
1107	E070142	MEMPHIS CHALLENGE	19,924.00	21,080.00	16,060.00	20,765.00	20,297.98	373.98	1.88%
1107	E070144	Institutional Research				-1,800.00		0.00	
1107	E070150	Vice Chancellor-Health Affairs & Govt Re			212,648.12	418,027.67	493,054.24	493,054.24	
1107	E070401	Communications & Marketing	255,324.63	264,043.99	242,733.96	710,705.93	530,125.58	274,800.95	107.63%
1107	E070415	ALUMNI AFFAIRS				0.00000000	534,425.30	534,425.30	
1107	E070420	PUBLIC LIABILITY INSURANCE	39,839.98	78,657.00	55,284.00		47,978.00	8,138.02	20.43%
1107	E070435	COST-SHARING	97,284.71	33,679.66	24,257.92		188,801.76	91,517.05	94.07%
1107	E070458001	Professional Privilege Tax-MOSU	109,160.33	58,028.56	64,091.54	61,200.00	75,200.00	-33,960.33	-31.11%
1107	E070458002	Professional Privilege Tax-COMU	144,527.49	110,542.80	138,992.33	136,933.85	146,800.00	2,272.51	1.57%
1107	E070485	AUTOMOBILE LOSS LIABILITY	37,554.00	30,814.00	31,669.00		19,858.00	-17,696.00	-47.12%
1107	E073207	Center on Health Disparities	237,727.49	3.09	0.00000000	0.00000000		-237,727.49	-100.00%
1107	E073901006	ITS Infrastructure Recovery					-534,515.82	-534,515.82	
1107	E073901008	ITS Telephone Services					1,085,325.97	1,085,325.97	
1107	E073901009	ITS Telephone Services Recovery					-766,223.13	-766,223.13	
1107	E073901012	ITS Application Development				0.00000000	882,501.09	882,501.09	
1107	E077202022	MAIL SERVICES	256,890.51	285,501.87	291,782.37	336,887.31	334,823.51	77,933.00	30.34%
1107	E079601006	STAFF BENEFITS	9,621.44	4,089.00	6,172.26	5,402.60	11,884.75	2,263.31	23.52%
1107	E079601026	STAFF BENEFITS-COMU	48.85					-48.85	-100.00%
1108	Result		675,055.69	201,693.94	324,370.98	463,295.10	447,386.02	-227,669.67	-33.73%
1108	E080458	Professional Privilege Tax	82,438.66	56,000.00	60,046.32	56,400.00	61,200.00	-21,238.66	-25.76%
1108	E086348	UHS CHARGES	592,617.03	145,693.94	264,324.66	406,895.10	386,186.02	-206,431.01	-34.83%
1109	Result		17,200.00	24,800.00	29,615.44	25,600.00	28,800.00	11,600.00	67.44%
1109	E090458	Professional Privilege Tax	17,200.00	24,800.00	29,615.44	25,600.00	28,800.00	11,600.00	67.44%
1110	Result		2,014.00	1,200.00	800.00	800.00	800.00	-1,214.00	-60.28%
1110	E100458	Professional Privilege Tax	2,014.00	1,200.00	800.00	800.00	800.00	-1,214.00	-60.28%
1111	Result		401,768.67	376,807.13	425,455.87	562,691.82	826,962.92	425,194.25	105.83%
1111	E110120	INST OF AG ADMIN CHARGE	221,199.98	190,729.68	220,439.55	287,525.00	405,979.00	184,779.02	83.53%
1111	E110450	PUBLIC LIABILITY INSURANCE	7,163.00	16,048.00	16,704.00		7,139.00	-24.00	-0.34%
1111	E110458	Professional Privilege Tax	6,400.00	2,800.00	2,399.24	2,400.00	2,400.00	-4,000.00	-62.50%
1111	E110485	AUTOMOBILE LOSS LIABILITY	963.00	2,860.00	79.00	14,079.00	0.00000000	-963.00	-100.00%

Busi app	Fund		Fiscal year					Change	% Change
			2004	2005	2006	2007	2008		
			Actuals	Actuals	Actuals	Actuals	Actuals		
1111	E111101	INSTITUTE OF AGRICULTURE-ADMIN	679,364.57	488,178.66	603,841.77	861,375.21	894,063.02	214,698.45	31.60%
1111	E111101001	AGRICULTURE RECOGNITION DAY	14,117.45	16,032.69	6,555.56	11,047.28	12,212.07	-1,905.38	-13.50%
1111	E111102	INST OF AGRIC ADMIN RECOVERIES	-730,032.94	-629,470.70	-727,523.27	-938,026.90	-1,323,795.07	-593,762.13	81.33%
1111	E111105	CONFERENCES-INSTITUTE	6,645.50	109.95	-51.95	0.00000000	125.00	-6,520.50	-98.12%
1111	E111106	INST OF AG-GVMNTL & PUBLIC REL	195,447.33	289,241.24	302,577.03	323,032.71	827,647.79	632,200.46	323.46%
1111	E119601006	STAFF BENEFITS	500.78	277.61	434.94	1,259.52	1,192.11	691.33	138.05%
1112	Result		319,549.73	245,706.76	399,338.78	346,244.40	432,325.58	112,775.85	35.29%
1112	E120120	INST OF AG ADMIN CHARGE	297,123.73	217,807.76	365,826.78	345,044.40	410,746.34	113,622.61	38.24%
1112	E120450	PUBLIC LIABILITY INSURANCE	9,611.00	18,719.00	19,766.00		9,218.00	-393.00	-4.09%
1112	E120458	Professional Privilege Tax	2,000.00	800.00	800.00	1,200.00	1,200.00	-800.00	-40.00%
1112	E120485	AUTOMOBILE LOSS LIABILITY	10,815.00	8,380.00	12,946.00		9,497.00	-1,318.00	-12.19%
1112	E125920	UTIA Extension Development					1,661.68	1,661.68	
1112	E129601006	STAFF BENEFITS					2.56	2.56	
1113	Result		563,506.17	450,205.72	497,540.85	508,141.96	561,198.38	-2,307.79	-0.41%
1113	E130101	INSTITUTE FOR PUB SERV-VICE PR	263,374.47	126,241.81	139,688.63	138,898.82	254,681.22	-8,693.25	-3.30%
1113	E130105	IPS-ADM	290,483.13	317,077.86	350,851.48	368,852.87	300,852.85	10,369.72	3.57%
1113	E130119	GOVERNMENT RELATIONS	95.60	306.53				-95.60	-100.00%
1113	E130458	Professional Privilege Tax					400.00	400.00	
1113	E130485	AUTOMOBILE LOSS LIABILITY	9,361.00	6,487.00	6,911.00		5,130.00	-4,231.00	-45.20%
1113	E139601006	STAFF BENEFITS	191.97	60.02	89.74	390.27	134.31	-57.66	-30.04%
1113	E139960	PARKING NASHVILLE		32.50				0.00	
1114	Result		8,231.00	6,103.00	6,006.00	3,200.00	6,198.00	-2,033.00	-24.70%
1114	E140458	Professional Privilege Tax	5,614.00	2,800.00	2,800.00	3,200.00	3,600.00	-2,014.00	-35.87%
1114	E140485	AUTOMOBILE LOSS LIABILITY	2,617.00	3,303.00	3,206.00		2,598.00	-19.00	-0.73%
1115	Result		8,049.00	6,272.00	6,079.00	3,259.00	6,010.00	-2,039.00	-25.33%
1115	E150458	Professional Privilege Tax	4,800.00	2,400.00	2,400.00	3,200.00	2,800.00	-2,000.00	-41.67%
1115	E150485	AUTOMOBILE LOSS LIABILITY	3,249.00	3,872.00	3,679.00	59.00	3,210.00	-39.00	-1.20%
1117	Result		21,811,497.81	25,333,228.12	26,931,324.28	29,528,535.19	51,416,412.55	29,604,914.74	135.73%
1117	E170105	BOARD OF TRUSTEES	155,863.17	160,408.73	161,132.02	167,075.72	142,875.21	-12,987.96	-8.33%
1117	E170110	PRESIDENT	1,051,020.62	1,020,694.73	1,098,255.97	1,145,748.79	1,107,089.78	56,069.16	5.33%
1117	E170110001	Special Advisor			212,700.55	76,494.39		0.00	
1117	E170110002	940 Cherokee Residence					155,805.63	155,805.63	
1117	E170111	ALUMNI CONTINGENCY	5,000.00	5,000.00	5,000.00			-5,000.00	-100.00%
1117	E170112	PRESIDENT EMERITUS - JOHNSON	36,098.01	141,723.41	145,555.54	163,767.80	154,669.08	118,571.07	328.47%
1117	E170113	Capital and Community Projects	1,623.17					-1,623.17	-100.00%
1117	E170114	State Relations	116,451.00	131,685.88	249,270.81	260,127.99	288,889.51	172,438.51	148.08%
1117	E170115	PRESIDENT EMERITUS - BOLING	66,228.97	67,522.77	67,775.39	68,023.28	61,912.20	-4,316.77	-6.52%
1117	E170116001	Access & Div Fac/Staff Recruit & Ret-Old	38,058.77	56,665.00	60,849.56	21,518.61	15,950.00	-22,108.77	-58.09%
1117	E170117	Executive Vice President	447,362.23	481,056.66	466,560.57	587,919.83	538,114.85	90,752.62	20.29%
1117	E170119	OFFICE OF FEDERAL AFFAIRS	237,653.17	162,174.98	206,071.37	259,058.12	264,724.56	27,071.39	11.39%
1117	E170120	REAL ESTATE MANAGEMENT	180,962.36	192,044.99	184,315.32	184,314.90	244,050.76	63,088.40	34.86%
1117	E170122	FACILITIES PLANNING	841,849.25	1,086,357.40	1,199,996.00	1,279,154.35	1,702,877.42	861,028.17	102.28%
1117	E170123	Capital Projects	178,921.11	189,080.46	224,159.37	243,371.46	260,157.68	81,236.57	45.40%
1117	E170130	VP Research & Economic Development	73,834.27	279,771.65	675,643.43	675,631.12	607,828.01	533,993.74	723.23%
1117	E170130001	UT-Battelle Management Fee		58,869.43	150,212.00	458,853.94	135,074.72	135,074.72	
1117	E170130002	RAMSeS					22,921.11	22,921.11	
1117	E170131	IRIS Administrative Support	1,796,312.19	2,070,341.15	2,149,528.32	2,302,753.91	2,551,030.17	754,717.98	42.01%
1117	E170133	VP-ACAD AFF/STUDENT SUCCESS	71,838.46	264,619.93	429,283.42	487,518.06	449,324.43	377,485.97	525.47%
1117	E170133001	SACS Accreditation	30,770.53	208,465.00	1,266.35	0.00000000		-30,770.53	-100.00%
1117	E170133002	UT-Kingsport Center					1,735.35	1,735.35	
1117	E170135	UT PRESS	388,633.76	499,580.18	544,591.83	567,391.88	571,677.08	183,043.32	47.10%
1117	E170136	Vice President for Science & Technology					24,484.83	24,484.83	
1117	E170137	UT Research Foundation	1,164,756.66	1,097,328.03	1,546,775.93	1,260,398.72	1,844,405.55	679,648.89	58.35%
1117	E170138	UT Distance Education					57,197.48	57,197.48	
1117	E170139	VP-Strat Plan & Ops				0.00000000	529,340.45	529,340.45	
1117	E170140	Budget and Finance	533,068.04	613,222.54	652,670.40	760,384.81	263,351.07	-269,716.97	-50.60%
1117	E170140001	SPECIAL PROGRAMS	347.35					-347.35	-100.00%
1117	E170141	Sr. Vice President & CFO	-2,828.59		267,928.95	399,727.04	509,792.84	512,621.43	-18122.86%
1117	E170142	AUDIT AND CONSULTING SERVICES	1,409,766.78	1,415,854.94	1,485,295.25	1,597,732.52	1,738,601.90	328,835.12	23.33%
1117	E170145	TREASURER	24,475.66	66,253.59	-67,924.39	105,838.58	14,355.78	-10,119.88	-41.35%
1117	E170145010	TREASURER-CONTROLLER	1,473,224.95	1,177,288.95	1,120,647.94	1,199,414.60	1,328,422.41	-144,802.54	-9.83%
1117	E170145015	TREASURER-PAYROLL	1,103,990.08	1,119,375.42	1,224,563.32	1,172,668.73	1,192,760.90	88,770.82	8.04%
1117	E170145016	Casual Laborers	-791.59					791.59	-100.00%
1117	E170145020	TREASURER-ACCOUNTS PAYABLE	636,071.24	695,328.76	692,113.78	755,717.81	735,401.37	99,330.13	15.62%
1117	E170145025	TREASURER-TREASURER	983,443.51	1,039,703.74	1,049,851.24	1,095,225.43	1,164,955.99	181,512.48	18.46%
1117	E170145030	TREASURER-RISK MANAGEMENT	115,029.37	123,477.83	119,093.70	137,243.88	250,569.51	135,540.14	117.83%
1117	E170145035	Purchasing	4,616.73	610,497.46	632,658.77	695,061.56	720,929.14	716,312.41	15515.58%
1117	E170145040	Treasurer-Contracts					139,733.65	139,733.65	
1117	E170148	HUMAN RESOURCES	348,140.16	0.00000000				-348,140.16	-100.00%
1117	E170148003	PERSONNEL SERV-HRD LEADERSHIP	22,556.35	0.00000000				-22,556.35	-100.00%

BUSI 000	Fund		Fiscal year					Change	% Change
			2004	2005	2006	2007	2008		
			Actuals	Actuals	Actuals	Actuals	Actuals		
1117	E170149	OFFICE OF RETIREMENT SERVICES	499,653.44	9.52				-499,653.44	-100.00%
1117	E170149001	HR Training&Develop	379,054.09	0.00000000				-379,054.09	-100.00%
1117	E170150	VICE PRES. AND GENERAL COUNSEL	1,821,431.14	1,940,617.48	2,056,989.76	2,308,490.87	2,256,360.47	434,929.33	23.88%
1117	E170161	OFFICE OF EQUITY AND DIVERSITY	161,807.27	148,241.74	142,709.69	192,240.23	218,704.78	56,897.51	35.16%
1117	E170163	Student Information System				119,743.90	108,233.75	108,233.75	
1117	E170199	PROGRAM ADJUSTMENTS	14,299.50					-14,299.50	-100.00%
1117	E170405001	INAUGURATION ACCOUNT	0.00000000			13.89	0.42	0.42	
1117	E170405002	OFFICE OF CREATIVE SERVICES	1,111,392.07	1,125,041.18	461,235.91	557,260.24	576,720.16	-534,671.91	-48.11%
1117	E170405003	OFFICE OF MEDIA RELATIONS	452,366.76	328,058.60	172,730.44	211,803.28	257,637.97	-194,728.79	-43.05%
1117	E170405004	PR CENTRAL OFFICE	352,632.76	90,140.66	410,384.53	361,076.81	483,119.15	130,486.39	37.00%
1117	E170405007	Communications Initiatives			2,514.00	513,598.36	300,000.00	300,000.00	
1117	E170405008	Event Management			1,777.18	86,479.89	169,091.45	169,091.45	
1117	E170415	Outside Counsel Fees	148,412.18	62,724.06	107,525.44	43,607.83	79,044.86	-69,367.32	-46.74%
1117	E170418	INVESTMENT COUNSEL	1,275,799.63	1,070,118.94	1,768,002.28	1,672,468.50	1,931,358.33	655,558.70	51.38%
1117	E170420	BANK CHARGES	66,134.72	34,134.57	49,780.27	74,176.56	63,582.94	-2,551.78	-3.86%
1117	E170420010	BANK CHARGES-SMALL BALANCES	3.99	20.21	-60.62	12.78	13.05	9.06	227.07%
1117	E170425001	PHOTOGRAPHY CENTER	4,163.54	0.00000000				-4,163.54	-100.00%
1117	E170425002	TELEVISION-VIDEO SERVICES	398,068.66	471,746.43	0.00000000	0.00000000		-398,068.66	-100.00%
1117	E170430	TRADEMARK LICENSING	36,526.47	43,925.16	38,405.65	43,910.88	131,610.81	95,084.34	260.32%
1117	E170435	AUDITS	94,689.00	100,208.50	123,274.50	135,882.50	128,368.50	33,679.50	35.57%
1117	E170445	PRESIDENTIAL SEARCH	231,311.50	0.00000000				-231,311.50	-100.00%
1117	E170450	PUBLIC LIABILITY INSURANCE	13,458.00	25,048.00	20,139.00		13,011.00	-447.00	-3.32%
1117	E170458	Professional Privilege Tax	20,104.33	10,414.28	14,038.88	13,600.00	14,400.00	-5,704.33	-28.37%
1117	E170460	MISC INSTITUTIONAL EXPENSE	371,259.82	503,595.92	243,365.02	405,145.58	389,273.19	18,013.37	4.85%
1117	E170461	EQUIP MAINTENANCE MANAGEMENT			70.00			0.00	
1117	E170462	Business Services Support		50,600.00	50,000.00	81,700.00	81,700.00	81,700.00	
1117	E170463	COMPUTING EQUIPMENT	152.35	59.95		81,235.27	11,175.05	11,022.70	7235.12%
1117	E170465	SPECIAL EVENTS	71,700.02	137,974.06	33,690.42	68,096.56	60,862.37	-10,837.65	-15.12%
1117	E170467	ATHLETIC TICKETS			115,529.20	97,358.94	163,126.62	163,126.62	
1117	E170470	INSTITUTIONAL MEMBERSHIPS	68,067.50	111,469.00	75,767.50	106,886.50	129,027.00	60,959.50	89.56%
1117	E170475	ANNUAL GIVING SPECIAL PROJECTS	579,936.33	228,556.69	295,707.50	298,684.39	306,318.66	-273,617.67	-47.18%
1117	E170476	ANNUAL GIVING CAMPUS PROJECTS	22,330.44	1,352.60	141.63	0.00000000	0.00000000	-22,330.44	-100.00%
1117	E170477	NAA ALUMNI LECTURESHIP FUND	2,014.40	14,000.00	9,000.00	7,500.00		-2,014.40	-100.00%
1117	E170485	AUTOMOBILE LOSS LIABILITY	66,267.00	36,324.00	43,681.00		43,585.00	-22,682.00	-34.23%
1117	E173000	Human Resources-Administration		232,995.56	286,425.83	257,088.14	628,439.80	628,439.80	
1117	E173003	Retirement Services	0.00000000	532,709.46	533,090.45	575,143.64	359,535.37	359,535.37	
1117	E173007	Employee & Organizational Development	0.00000000	467,681.46	414,352.99	478,197.64	501,408.74	501,408.74	
1117	E173007001	Leadership Institute		81,066.76	17,796.74	70,995.95	39,157.68	39,157.68	
1117	E173010	Human Resources-Knoxville	0.00000000	1,340,444.24	1,257,991.25	1,326,229.01	0.00000000	0.00	
1117	E173015	Fall Festival		512.44	1,558.40	1,634.32		0.00	
1117	E173018	Employee Orientation				24,662.69	0.00000000	0.00	
1117	E173020	Service Awards		75,052.77	73,406.08	75,004.78	0.00000000	0.00	
1117	E173025	Human Resources-Memphis	4,618.16	856,366.94	968,866.96	878,376.41	770.00	-3,848.16	-83.33%
1117	E173030	Human Resources-UTSI	0.00000000	172,411.33	176,801.69	194,712.48	0.00000000	0.00	
1117	E175000	VP for Development				0.00000000	1,621,227.89	1,621,227.89	
1117	E175000010	Print-Development & Alumni					16,505.95	16,505.95	
1117	E175000020	Incentive Compensation					478,440.98	478,440.98	
1117	E175100	Alumni Affairs				0.00000000	1,438,365.69	1,438,365.69	
1117	E175100010	Alumni Affairs Administration				14.70	123,818.44	123,818.44	
1117	E175100020	Alumni Affairs Women's Council					18,228.02	18,228.02	
1117	E175100030	Alumni Affairs - Scholarship Admin					7,241.19	7,241.19	
1117	E175100040	Alumni Affairs - Annual Giving					127,191.14	127,191.14	
1117	E175100050	Alumni Affairs - Telefund					70,576.38	70,576.38	
1117	E175100060	Alumni Affairs - Chapter Administration					99,969.72	99,969.72	
1117	E175100070	Alumni Affairs - Marketing				0.00000000	20,872.37	20,872.37	
1117	E175100080	Alumni Affairs - Events & Receptions					35,532.73	35,532.73	
1117	E175200	Advancement Services				0.00000000	2,161,839.15	2,161,839.15	
1117	E175201	Advancement Services - ANDI					257,833.26	257,833.26	
1117	E175202	Advancement Services - Research					4,303.01	4,303.01	
1117	E175300	Major Gifts Operating Fund					88,253.14	88,253.14	
1117	E175302	Development - Planned Giving				0.00000000	235,493.13	235,493.13	
1117	E175400	Women Philanthropy Alliance				179.84	0.00000000	0.00	
1117	E175500	Capital Campaign					746,223.18	746,223.18	
1117	E175501	Capital Campaign - PR					264,181.24	264,181.24	
1117	E177000	Chief Information Office					287,944.51	287,944.51	
1117	E177010	IT Business Office				0.00000000	1,027,439.67	1,027,439.67	
1117	E177012	Software for Resale					-16,341.13	-16,341.13	
1117	E177030	Information Security				0.00000000	1,278,843.69	1,278,843.69	
1117	E177031	Cyber Security Summit					-4,445.24	-4,445.24	
1117	E177040	Engineering Services				0.00000000	816,635.74	816,635.74	

Busin ess	Fund		Fiscal year					Change	% Change
			2004	2005	2006	2007	2008		
			Actuals	Actuals	Actuals	Actuals	Actuals		
1117	E177050	Administrative Appl & Dev				0.00000000	3,614,050.17	3,614,050.17	
1117	E177051	Administrative Appl-Oper				0.00000000	432,434.61	432,434.61	
1117	E177060	Computer System Services				0.00000000	5,338,346.75	5,338,346.75	
1117	E177065	Enterprise Equipment					501,456.30	501,456.30	
1117	E177070	Network				0.00000000	1,028,799.53	1,028,799.53	
1117	E179601006	STAFF BENEFITS	9,495.00	5,212.00	8,792.00	37,184.00	58,503.80	49,008.80	516.15%
1118	Result		275,650.95	275,199.82	286,285.78	332,782.49	512,674.21	237,023.26	85.99%
1118	E180120	INST OF AG ADMIN CHA	151,846.85	130,929.75	158,146.82	196,644.00	289,073.00	137,226.15	90.37%
1118	E180120002	Institute of Agriculture Development					590.56	590.56	
1118	E180450	PUBLIC LIABILITY INS		1,376.29	1,078.00			0.00	
1118	E180458	Professional Privilege Tax	23,251.23	12,857.12	10,815.44	11,853.38	11,353.35	-11,897.88	-51.17%
1118	E180485	AUTO LOSS LIABILITY	8,085.00	12,591.00	12,144.00		7,875.00	-210.00	-2.60%
1118	E181701002	CVM Development	92,437.32	117,430.69	104,078.71	124,221.75	203,724.72	111,287.40	120.39%
1118	E189601006	STAFF BENEFITS	30.55	14.97	22.81	63.36	57.58	27.03	88.48%
1121	Result		10,828.00	6,800.00	7,600.00	7,200.00	231,694.00	220,866.00	2039.77%
1121	E210458	Professional Privilege Tax	10,828.00	6,800.00	7,600.00	7,200.00	7,200.00	-3,628.00	-33.51%
1121	E213201	FMU Administrative Support					224,494.00	224,494.00	
1123	Result		4,800.00	1,200.00	3,218.18	3,200.00	3,600.00	-1,200.00	-25.00%
1123	E230458	Professional Privilege Tax	4,800.00	1,200.00	3,218.18	3,200.00	3,600.00	-1,200.00	-25.00%
1124	Result		11,200.00	4,400.00	4,400.00	4,800.00	4,400.00	-6,800.00	-60.71%
1124	E240458	Professional Privilege Tax	11,200.00	4,400.00	4,400.00	4,800.00	4,400.00	-6,800.00	-60.71%

**A Resolution from the Budget and Planning Committee
Faculty Senate, University of Tennessee, Knoxville**

April 2009

Whereas Institutional Support spending is defined by the UT system as “costs associated with executive management, fiscal operations, personnel services, and administrative computing;” and

Whereas UT system-wide spending on Institutional Support increased by \$25.9 million between 2004 and 2008 (or by about 32.6 percent, which exceeded overall spending growth of about 11.4 percent during this same period of time); and

Whereas about two-thirds of the \$25.9 million increase occurred at the System Administration level, and more than 80 percent of the increase went toward non-academic salaries and associated staff benefits; and

Whereas UT Institutional Support spending amounted to 7 percent of total spending in 2007, which ranks as third-highest in UT’s self-selected peer group within the National Center for Education Statistics IPEDS data; and

Whereas higher education in Tennessee faces long-term budget cuts following the two-year period of federal stimulus funding; and

Whereas these budget cuts threaten to impair UTK’s capacity to achieve its most important missions of teaching, research, scholarship and creative activity;

Therefore be it resolved that the UTK Faculty Senate calls upon Acting UT President Jan Simek to:

1. exhaust any and all opportunities for efficiencies in Institutional Support and other administrative spending before cutting any academic programs, reducing class sections, laying off instructional faculty, or otherwise reducing instructional or research capacity;
2. reduce the duplication of administrative functions across the UT system to the greatest extent possible; and
3. engage in the ongoing discussion regarding the restructuring of higher education in Tennessee, with a focus on achieving administrative efficiencies while preserving instructional and research capacity and UTK’s role as the flagship institution of higher learning in the state of Tennessee.

The University of Tennessee Knoxville Procedural Framework for Academic Program Discontinuance and Reorganization

Purpose and Application

This document was developed to systematically guide the process of academic program review at the University of Tennessee, Knoxville campus in situations where programs are considered for discontinuance or reorganization. It is an outgrowth of administrative and faculty deliberations in the aftermath of proposed budget cuts that were made near the close of the 2008 academic year. At the time that those proposals were made, there were no commonly agreed upon principles to guide the decision-making process.

The Program Review, Reallocation, and Reduction Task Force (hereafter referred to as the Task Force) was established by the Provost in fall 2008. The formal charge to the Task Force was:

To advise and consult with central administration on methods for considering terminations of academic programs in the context of budget reduction.

The Task Force focused on developing criteria for the review of programs for discontinuance or reorganization and creating a mechanism for faculty voice on administrative recommendations for program closure. Membership of the Task Force included representatives from the administration (the Provost and Dean of the Graduate School) and the faculty (the President and President-Elect of the Faculty Senate, representatives from the Graduate Council and Undergraduate Council, and a small number of other faculty members).

As the Task Force was pursuing its charge, the system-level administration was developing a *Procedural Framework for Academic Program Discontinuance* to provide a consistent policy for all campuses. The Task Force chose to place its findings into a modified variant of the system-level *Procedural Framework* so there would be greater coherence between system and campus policies and criteria. Several points warrant attention. First, a Procedure for Review of Administrative Proposals to Terminate Programs is included below, as approved by the Faculty Senate. Second, the Task Force adapted and expanded the system criteria for academic program review (see section A). Third, the definition of an “academic program” has been narrowed from the system interpretation to “a degree granting major, minor or concentration.”

Guiding Principles

Academic program review is an essential component of effective functioning of the University. Decisions about program discontinuance or reorganization should be made only after careful review of the mission and effectiveness of the program as compared with the needs and goals of the campus/institute, the University, and the State. These difficult decisions require a frank examination of relevant information and appropriate consultation with faculty.

Shared Governance in Program Reorganizations

Faculty input is essential not only when programs are closed, but also in the development of proposals for program reorganization. Mergers, consolidations and other forms of program reorganization should always be carried out in accord with principles of shared governance. Deans, directors and department heads should actively solicit and consider the concerns of affected faculty while developing reorganization proposals, and should give these faculty adequate notice, information and time to enable them to evaluate those proposals and make their concerns known.

Procedure for Review of Administrative Proposals to Terminate Programs

Authority to approve termination of programs is given by the board of Trustees to the Faculty Senate through its Graduate and Undergraduate councils.

The purpose of the procedure outlined in this section is to provide expedited faculty input when the administration proposes program closures, as, for example, in response to budget cuts. Under more ordinary circumstances, the standard curricular process for program termination will be employed.

If the administration proposes to terminate a program, the [Graduate/ Undergraduate] council at large may hear the proposal without a termination recommendation from that program, provided that (1) there was adequate faculty involvement in developing the proposal and (2) representatives of the Provost's office and the relevant Dean's office appear before the Council to make the case. After hearing the proposal and gathering any other evidence it deems relevant, the Council may adopt a resolution regarding the proposal, which will then become part of the Council's minutes. The minutes are subsequently forwarded to the Faculty Senate. If the Senate approves the resolution or some modification of it, then that resolution becomes the faculty's recommendation to the administration regarding the proposed program termination.

Procedural Framework for Discontinuance

- I. The Provost is responsible for overseeing academic program discontinuance procedures. When discontinuance of a program is proposed, the Provost shall collect appropriate documentation related to the proposal. The Provost shall consult with the Chancellor/Vice President before initiating program discontinuance procedures. The Provost shall also consult with the Faculty Senate President and one other faculty representative designated by the Faculty Senate. The Provost shall continue to consult with the Faculty Senate President and the designated faculty representative throughout the review process.
 - A. The proposal and related documentation should address the following factors, at a minimum, or explain why a factor is not applicable:
 1. Overview of the program including any corresponding degree, the mission and stated objectives of the program, and information regarding the faculty assigned to the program¹;
 2. Contribution to the core mission of the campus and University as a whole, general educational value, and curricular requirements of other programs;
 3. Contribution to accreditation;
 4. Relevance to retention, progression, and graduation of students;
 5. Impact of research, scholarship, and creative activity by program faculty;
 6. Demand within the state, nationwide and internationally for graduates of the program, and evidence of success in preparing graduates for employment, including but not limited to record of placement;
 7. Impact of program on external community in the region or across the state;
 8. National or international reputation of the program, including but not limited to external evaluation from professional and academic review boards;
 9. Program uniqueness or possible duplication or competition with other educational programs within the UT system, the Board of Regents system, or other higher education systems;
 10. Costs (financial and otherwise) associated with the program as well as projected financial savings and timetable for realization of any projected savings;
 11. Impact of program discontinuance on currently enrolled students;
 12. Impact of program discontinuance on faculty and staff;
 13. Feasibility of various opportunities to minimize impact of program discontinuance on the external community, currently enrolled students, faculty, and staff;

¹ The report from any recent academic program review, accreditation documents, or other source of existing data should be included.

Final Draft

14. Results of a due diligence review to determine if discontinuance of the program will impact any contractual or other third-party commitments concerning the program. In conducting this review, the Provost shall consult with all appropriate campus/institute and system offices (e.g., business offices, research offices, Treasurer's Office, General Counsel's Office);

15. Enhancement or advancement of diversity.

The proposal and related documentation shall be presented at each step of the faculty consultation process described below and shall be supplemented with any new information added at any step.

- B. After consulting with the Chancellor, the Provost shall meet with the appropriate Dean and the program faculty to discuss the proposal for program discontinuance. Program faculty should provide (either before or after this meeting) further information supporting either continuation of the program or discontinuance of the program. For example, the faculty might provide details about the program's contribution to the campus mission or suggest reorganization or other ways to maintain the program.
- C. If either the Provost or the Dean then recommends further consideration of program discontinuance, the program faculty shall be given an opportunity to object in writing to the proposed discontinuance. The Provost shall then convene and consult with an appropriate committee of faculty from the affected college.
- D. If either the Provost or the Dean then recommends further consideration of the proposal for program discontinuance, the Provost shall consult with, as appropriate, the Graduate Council and Undergraduate Council of the Faculty Senate as outlined in the Procedure for Review of Administrative Proposals to Terminate Programs.
- E. If either the Provost or the Dean then recommends further consideration of the proposal for program discontinuance, the Provost shall make arrangements for a period of public notice preceding a public forum – electronic or otherwise – through which community constituents can present relevant information, raise questions, or express concerns about discontinuance of the program.
- F. After completing the consultation outlined above, the Provost shall make a written report to the Chancellor summarizing the input of the program faculty, the appropriate college committee, the appropriate Faculty Senate committee, the Dean, and the community. Attaching all documentation gathered in this process, the Provost shall recommend to the Chancellor whether to forward the proposal for program discontinuance to the President.

- G. After reviewing the Provost's recommendation and the related documentation, the Chancellor shall decide whether to submit the proposal for program discontinuance to the President. If so, the Chancellor shall submit the proposal and the supporting documentation to the President through the Vice President for Academic Affairs.
- II. The Vice President for Academic Affairs shall review the proposal for program discontinuance and then provide it to the Vice President and General Counsel for review. The Vice President for Academic Affairs shall then forward the proposal to the President, together with his/her own recommendation and any recommendation of the Vice President and General Counsel.
- III. After consulting with the Vice President for Academic Affairs and the Vice President and General Counsel, the President shall decide whether to submit the proposal for program discontinuance to the Board of Trustees. If so, the President shall submit the proposal and related documentation to the Board through the Academic Affairs and Student Success Committee.
- IV. If the Board of Trustees approves the program discontinuance, and if the program discontinuance may result in termination of tenured faculty, the Provost shall consult with the Vice President for Academic Affairs and the Vice President and General Counsel to ensure compliance with all notice requirements and other requirements of Board policy and the Faculty Handbook, including the following specific requirements of Board policy:
1. "[C]ampus administration shall attempt to place each displaced tenured faculty member in another suitable position. This does not require that a faculty member be placed in a position for which he or she is not qualified, that a new position be created where no need exists, or that a faculty member (tenured or non-tenured) in another department be terminated in order to provide a vacancy for a displaced tenured faculty member."²
 2. "The position of any tenured faculty member displaced because of . . . academic program discontinuance shall not be filled within three years, unless the displaced faculty member has been offered reinstatement and a reasonable time in which to accept or decline the offer."³

² Board of Trustees Policy Governing Academic Freedom, Responsibility and Tenure H(1) at pp. 11-12.

³ *Ibid.*