CHAPTER ONE
Governance and Organization

1.1 NATURE AND PURPOSE
This Handbook contains material that applies to all faculty in The University of Tennessee’s
Knoxville location, faculty in the University of Tennessee Institute of Agriculture, and faculty at
the University of Tennessee Space Institute.

As the state’s leading comprehensive research and land-grant institution, the University of
Tennessee’s primary purpose is to move forward the frontiers of human knowledge and enrich
and elevate society, as further elaborated in its Mission Statement [link]. The University does not
discriminate on the basis of race, gender, color, religion, national origin, age, handicap, or veteran
status in provision of educational opportunities or employment opportunities or benefits. [link to
EEO/AA] The institution welcomes and honors people of all races, creeds, cultures and sexual
orientations, and values intellectual curiosity, pursuit of knowledge, and academic freedom and
integrity. Faculty prepare students to lead lives of personal integrity and civic responsibility. The
university encourages and supports interdisciplinary activities by its faculty.

1.2 BOARD OF TRUSTEES
The governing body of the University of Tennessee is the Board of Trustees. The Board has
delegated administrative authority to the President, who exercises this authority through
delegation to, and in consultation with, a staff of Vice Presidents and Chancellors. The Board has
delegated to The University of Tennessee Faculty Senates the authority, subject to the approval of
the Chancellor, the President, and the board itself, to determine general educational objectives
and policies at The University of Tennessee and regulations related to those objectives, such as
requirements for admission, retention, readmission, graduation, and honors for all degree and
certificate programs. For a more complete description of the organization, duties, and powers of
the Board of Trustees, please consult The University of Tennessee Charter & Bylaws. [link]

1.3 THE UNIVERSITY OF TENNESSEE ADMINISTRATION
The system administration [link], headed by the President, enunciates the general mission of the
University, its practical and philosophical bases, and coordinates comprehensive, long-range
plans, growth, and development of the campuses and statewide operating divisions. [PLEASE
NOTE: A more comprehensive statement describing roles of senior-level administration will be
inserted here when the university’s organization is clarified.]
1.4 COLLEGE AND DEPARTMENTAL ADMINISTRATION

Academic units of The University of Tennessee are varied and diverse both in their role and scope and in their mode of organization. In most colleges, an Academic Dean serves as the chief officer and Department Heads administer the work of academic departments within the college. Other college administrators include assistant deans, associate deans, and/or directors. In some smaller colleges, the dean also has responsibilities assigned to department heads. All administrators are expected to act on principles of shared governance and hence seek the advice and recommendations of faculty [link].

Academic Deans. Generally, the Dean has these administrative concerns:

1. the academic program in its college-wide aspects, in the special relationships among its departments, and its relation to the larger University and public;
2. the faculty of the college and the leadership of the college (directors and department heads, college committees and task forces), their well-being, development, review, assessment, and renewal;
3. encouraging research and creative activity;
4. support services for the conduct of college business (staff, facilities, equipment);
5. strategic planning;
6. budget preparation, review and analysis for the college; and
7. fundraising and developing relationships with outside constituents.

The University looks to the Dean for definitive recommendations about the curriculum; staffing; faculty promotion, tenure, and review; development needs; and all financial aspects of college operation. These recommendations are made after consultation with appropriate faculty and/or college or department level committees, as well as department heads.

Deans are appointed after an internal or external search conducted according to guidelines published by the office for diversity affairs. The chief academic officer selects the chair of the search committee from outside the college and appoints members of the committee from persons nominated by tenured and tenure-track faculty members of the college. A majority of the search committee is composed of tenured faculty members of the college, representing each academic department of the college, but the committee may include representation from tenure-track faculty members, non-tenure-track faculty members, students, and where appropriate faculty members from outside of the college, as covered by collegiate bylaws. According to University requirements for senior-level searches (department head and above), the must include a representative of Black faculty.

The Dean is expected to take an active role in decision-making that may or may not be in agreement with faculty and/or department heads and that may involve identification of needs that have not been made explicit in department reports, or that recommend the orchestration of joint programs and ventures, and the development and execution of alternative means for doing the work of the college. The office of the dean, like all other administrative offices, carries no tenure. The Dean serves at the will of the chief academic officer, normally for a five-year term that may
be renewed. The chief academic officer shall conduct annual reviews of the Dean, including surveys of tenured, tenure-track, and non-tenure-track faculty as well as staff. Written feedback from annual reviews shall be provided to the Dean and to members of the college participating in the surveys. The decision to reappoint a dean to a new term shall be made after a reappointment review, based on annual reviews and written evaluations by the chief academic officer. In no case should a judgement on retention or non-retention be made without consultation with the faculty, who are involved to a degree at least co-extensive with their role in the selection process.

**Department Head.** In discipline-specific colleges not organized into schools or departments, the dean serves as both dean and department head. In this handbook, the term “department head” includes administrators with other titles, such as director, who performs the duties of a unit administrator, where the basic administrative units are typically departments, but not always (e.g. schools). The Head is a member of the faculty who is assigned the special duty of administering the department. The Head is appointed in consultation with the faculty of the unit that he/she will administer.

The Head’s responsibilities include:

(a) to provide leadership for the departmental academic program in relation to the comprehensive academic program of the University, through

1. recruitment, development and evaluation [link] of the faculty and staff [link];
2. working with faculty to plan, execute, and review curriculum;
3. encouragement and support of faculty teaching, research and creative activity, and public service;
4. counsel and advice to students majoring in the discipline; and
5. representation of the department to the public, the other faculty and administration, colleagues at other universities and institutions, and the constituency supporting the University.

(b) to provide leadership for the infrastructure necessary for support of the academic programs through

1. employment and supervision of clerical and supporting personnel;
2. management of departmental physical facilities and planning for space and equipment needs;
3. resource enhancement
4. preparation, presentation, and management of the departmental budget; and
5. authorization of all expenditures from the department budget.

(c) annual performance planning and review of faculty and staff.

**Effective Departmental Governance.** Successful governance of a department is critical to achieving the teaching, research, and service missions of the unit. The collaboration of the department head and the departmental faculty is an essential cornerstone of this success. This collaboration is best implemented through departmental bylaws that define the policies and procedures of the department, and a departmental strategic plan that articulates the vision for the future of the department. Ideally, the head is but one voice in the construction of such documents.
with the added responsibility of guiding the faculty toward a clear articulation of their policies and vision. Faculty members are responsible for participating constructively in the creation of these documents, which should represent a strong departmental consensus. Departmental bylaws must be congruent with college and University rules, and the Faculty Handbook. The bylaws must address issues, such as the governance structure of the department; search process for new tenure-track faculty; departmental voting protocols; criteria for promotion, retention and evaluation of tenure-track and tenured faculty members; selection, evaluation and roles of non-tenure-track faculty members in the department; input into criteria for evaluation of department heads; application of faculty evaluations to salary adjustments; and the role of the faculty in setting departmental budget priorities. A departmental strategic plan discusses the needs, goals, and aspirations of the department, providing guidance to both the head and the faculty members about achieving departmental objectives in teaching, research and service. Such plans should be constructed and revised as necessary in the context of college and University goals.

Departmental bylaws and the strategic plan provide the head with guidance for day-to-day decisions about personnel evaluations, handling budgetary responsibilities, dealing with facilities issues, improving the student experience, achieving appropriate diversity goals, and representing the department to the college and University. The head conducts regular faculty meetings (at least two per semester), and facilitates the work of departmental faculty committees as outlined in the bylaws. After approval by the dean, the head conducts searches for new faculty and staff members in accordance with departmental bylaws and University policies. The head meets annually with each faculty member to conduct a performance review and writes an evaluation, in accordance with departmental bylaws, the Faculty Handbook [link] and the Manual for Faculty Evaluation [link].

Selection of Department Heads. The head is appointed to a five-year term and can be reappointed by the college dean. Prior to initiating a search for a new department head, the departmental faculty meets and drafts a statement, using input from all departmental constituencies including minority opinions, that is sent to the dean, containing their expectations for the position in the context of the departmental vision and their recommendation for an internal or external search. This communication is followed by a meeting of the dean with all departmental faculty members. Typically the dean’s decision to conduct an external or internal search is a function of departmental, college, and institutional priorities and budget. The dean will communicate a decision to the departmental faculty about the search with allowance for response and discussion, particularly where the decision of the dean disagrees with the departmental expectations. However, the dean's decision is final and must be consistent with the University's diversity and equity policies.

For internal and external searches, the dean appoints the chair of the search committee from outside the department. Departmental tenure-track and tenured faculty members collectively

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1 Bylaws are the academic unit’s core procedures and policies that have been ratified by a majority of the tenured and tenure-track faculty of the unit.
recommend a slate of departmental faculty for the search committee, from which the dean selects
all departmental representatives on the search committee. A majority of the search committee is
composed of tenured faculty members of the department, representing the academic
constituencies of the unit, but the committee may include representation from tenure-track faculty
members, non-tenure-track faculty members, students, and where appropriate faculty members
from outside the department, as covered by departmental bylaws. According to University
requirements for senior-level searches, committee members must include a representative of
Black faculty. The Dean has responsibility to assure appropriate representation in search
committee membership, consistent with this policy.

The search committee follows the institutional procedures for a senior-level search as published
by the campus office for diversity affairs. After all candidates for the headship are interviewed,
the departmental personnel meet to discuss their preferences. While all departmental
constituencies have input into the discussion, only the tenure-track and tenured faculty members
conduct a confidential vote for their choice, unless non-tenure-track faculty are otherwise
permitted by departmental bylaws to vote in department head selections. A summary of the
faculty discussion and a record of the vote become part of the narrative that the search committee
submits to the dean with the recommendation of the committee about candidates for the headship.
Normally, the vote of the faculty guides the decision of the search committee. Similarly, the vote
of the faculty and the recommendation of the search committee guide the decision of the dean. If
the dean’s choice of candidate for the headship disagrees with the vote of the faculty, he/she will
provide reasons in writing to the departmental faculty and offer the tenure-track and tenured
faculty members as a group the opportunity to discuss the decision. The faculty has a right to
appeal this decision to the chief academic officer.

Reappointment of Department Heads. Departmental faculty members provide annual
objective and systematic evaluation of the head to the dean of the college, following procedures
stated in departmental bylaws that are consistent with University policy. The dean meets with
the head annually to discuss job performance. This discussion is based on the review of the
departmental faculty and the evaluation of the dean. The dean provides a summary assessment,
including goals established for the coming year, that is available for inspection by departmental
faculty.

Reappointment decisions involve a five-year review based on annual reviews by the departmental
faculty and written annual evaluations by the dean. The reappointment review is written by the
dean, including a recommendation for or against reappointment. The departmental personnel
meet to discuss reappointment of the head, and are given the dean’s review to consider. While all
departmental groups, including faculty, staff, and students, have input into the discussion, only
the tenure-track and tenured faculty members conduct a confidential vote about reappointment.
This vote guides the reappointment decision of the dean. If a dean’s decision is the opposite of

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1 In cases where a department head reports to more than one dean, unit bylaws determine inclusion of
additional supervisors.
the departmental faculty, she/he provides reasons in writing to the department and offers the
tenure-track and tenured faculty members as a group the opportunity to discuss the decision. The
faculty as a whole has the right to request a meeting with the chief academic officer should they
continue to disagree with the dean. Once the decision is made, the dean either reappoints the
head or begins the process of selecting a new head when reappointment does not occur.

1.5 SHARED GOVERNANCE
The responsibilities of the faculty in the governance of the University are important and varied.
They are discharged in two basic ways: (1) through the work of the Faculty Senate [link]
(regarding the general policies of the campus as a whole) and (2) through the work of faculty and
faculty committees within departments, colleges, and the university as a whole. Faculty members
should be active participants in deliberations and decisions at all of these levels. At the same
time, the perspectives of administrators, students, and professional and support staff are essential
to shared governance. It is the responsibility of the faculty to work collaboratively with these and
other university constituencies.

The University practices shared governance. It acts on principles derived from in-depth
correspondence amongst faculty representatives and academic administrators that are in accordance
with the following principles:

1. Communication — regular and timely sharing of information amongst faculty, staff,
   students, administration, and trustees;
2. Faculty responsibility — primary role in determining curriculum, educational policy,
   standards for evaluating teaching and scholarship, selection of new faculty, and
   promotion and tenure;
3. Faculty representation in university decision-making that directly or indirectly affects
   faculty ability to function effectively;
4. Timely consultation between faculty and administrators on academic matters; and
5. Peer nomination of faculty to serve on university committees.

The process of shared governance depends upon:
• transparency—of information and responses of others, so that constituents are able to
  fully understand policy and related issues,
• accessibility—to information and the responses of others, so that constituents are able to
  consider various perspectives,
• adequate time—to reflect on information and the responses of others as well as share
  one’s own response, so that constituents can fully participate,
• opportunity—to communicate collaboratively, so that constituents can reach decisions
  that serve the common good
• consistency—in the process of shared governance, so that an atmosphere of openness and
  trust prevails.
Dissemination of information is only one part of the process. Responses from constituents need to be shared as appropriate, where a record of these responses is available to everyone who chooses to review this information. The open sharing of constituent responses requires that gathered information be put in a useful form accessible to the community. In many cases, face-to-face dialogue provides the best opportunity to communicate collaboratively. While the Faculty Senate and other university committees provide a major source of faculty representation in shared governance, faculty should have the opportunity to share their input prior to the establishment of policy related to academic matters and the welfare of the university community.

The faculty is authorized, subject to the approval of the chief academic officer, the President, and the Board of Trustees, to formulate policies and regulations regarding the general educational objectives of the University, including those policies and regulations related to the overall general requirements for admission, readmission, retention, graduation and honors for the degree programs and certificate programs of The University of Tennessee. Departmental proposals for the curriculum are transmitted by a departmental representative (or Head) for review by divisional, college, and university committees. The Head does not have veto power in curricular recommendations approved by departmental faculty, although it is important for college and university committees to have full benefit of the Head’s advice and judgment about such recommendations. All faculty members are expected to accept the responsibility of shared governance and act as good university citizens through service on committees, task forces, and the Faculty Senate.

1.6 THE FACULTY SENATE [LINK]

The faculty role in campus-wide governance is through the Faculty Senate, the representative body specifically charged by the Board of Trustees (a) to formulate the University’s educational standards and degree requirements, including approval of academic programs and their curricula; and (b) to consider, advise, and recommend to the administration policies about a wide range of issues affecting the welfare of the campus. Among these issues are:

1. criteria for faculty appointment, dismissal, evaluation, promotion, tenure, and retirement;
2. criteria for the selection of the Chancellor, and other campus administrative officers;
3. criteria for the selection of the President and other statewide executive officers of the University (in conjunction with other Faculty Senates or corresponding bodies of the other entities within the University system);
4. priorities for the University development plan;
5. changes in physical facilities; and
6. policies regarding student life, rights, and responsibilities.
7. peer selection of faculty representation on university committees.

The Faculty Senate is authorized to review curriculum, including admission and graduation requirements for programs of all academic units. The review process takes place through designated committees at the college and university level, proceeding to the Faculty Senate through the Undergraduate and/or Graduate Councils and the Educational Policy Committee.
Each academic unit is represented on the Faculty Senate by an equitable number of Senators as stated in the Senate Bylaws [link]. Other faculty members may serve on Faculty Senate committees and task forces to assist in this process.

The Senate has no management or administrative functions either in itself or through its committees, since such functions are expressly reserved to the President (as delegated by the Board of Trustees) and through the President to the Chancellor. But the advice and recommendation of the Senate about all of the concerns listed above is considered carefully by all administrative officers. The Faculty Senate Bylaws [link] contain detailed information about the operation of the Senate, its organization, officers, meetings, committees, appointment of faculty members to Senate committees and task forces and recommendation of faculty members to serve on administrative committees and task forces. Administrative committees and Task Forces are determined by the chief academic officer. Other Task Forces are established by the Faculty Senate according to its bylaws. In an effort to act on shared governance, the chief academic officer works closely with the Senate President in establishing joint task forces.

1.7 FACULTY ROLE IN SELECTION AND EVALUATION OF UNIVERSITY ADMINISTRATORS.
All administrators at the department head level or higher who have responsibilities touching or affecting the academic programs of the University must understand and respect the values of the academic profession and its ethos of commitment to freedom in open and objective inquiry. That is why the University seeks always to ensure appropriate faculty participation in the appointment of its administrators. The faculty should help to select their peers who serve on search advisory committees, interview prospective candidates, and submit evaluations of those candidates for academic administrative offices.

The faculty will be involved in the annual evaluation of department heads, deans, and chief academic officers and their staffs through a process approved by the Faculty Senate. A more extensive evaluation, including a survey, is conducted during the fifth year of the five-year appointment. Input is sought from all faculty across the University, or within the college or department, as appropriate.

1.8 FACULTY ROLE IN BUDGET MAKING
Faculty judgments about the academic program have significant bearing on the shape of the budget, and budgetary decisions affect the shape of the academic programs. The faculty are asked to participate in establishing major institutional priorities in several ways. The Faculty Senate, through its Undergraduate Council, Graduate Council, and Educational Policy Committee, gives approval for establishing new programs and for terminating existing ones. Administrative judgments about the costs of these programs inform this deliberation and in turn are affected by the judgments of the faculty as to the pedagogical and intellectual soundness of such proposals. Deans, Department Heads, and the chief academic officer consult with appropriate faculty groups at their respective levels concerning the general fiscal implications of decisions about the
curriculum, enrollment, class-size, and admission policies. The Faculty Senate Budget Committee participates in the presentation of budgetary needs presented to the chief academic officer on an annual basis. The Chair of the Faculty Senate Budget Committee serves on the Executive Budget Committee.

1.9 OTHER USEFUL UNIVERSITY POLICY DOCUMENTS

Faculty should be aware of university policy guidelines related to their work.

1. Charter and By-laws of the University [link] (contains statement of legal establishment of the University, including charter provisions and by-laws).
2. The University of Tennessee Strategic Planning Document [link] (outlines the fundamental vision, mission, values, goals and objectives of The University of Tennessee).
3. Personnel Policy Manual [link] (contains all current official personnel policies and The University of Tennessee procedures for implementing these policies; includes hiring and termination procedures; leave, absence, and vacation policies).
4. Fiscal Policies and Procedures Statements [link] (contains all current official statements of University system and The University of Tennessee policies and procedures related to funds, including billing, accounting, and depositing procedures).
5. Affirmative Action Plan [link] (describes the comprehensive plan for ensuring equal employment opportunity and appropriate affirmative measures for all UTK employees; also contains procedures for presenting and investigating complaints of discrimination).
7. Benefits and Services [link] (describes benefits and insurance plans available to University employees).
8. Undergraduate Catalog. [link]
9. Graduate Catalog. [link]
10. Manual for Faculty Evaluation [link].
11. Hilltopics [link]: The University of Tennessee handbook for students (includes statements of rights, responsibilities, appeals procedures, and rules governing student organizations).
12. Traffic and Parking Regulations [link] (describes rules, regulations, procedures, and penalties relating to parking and traffic on the University campus).

Annual publications include the following:

1. The University of Tennessee Guide to Scholarships [link] (contains comprehensive description of procedures for establishing, maintaining, and awarding both annually funded and endowed scholarships).
2. Faculty/Staff Directory (contains campus telephones and addresses, hard copy only).
3. Student Directory (contains campus and home telephones and addresses, hard copy only).