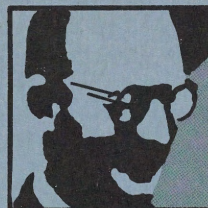


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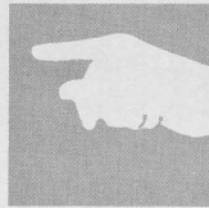


THE
UNIVERSITY
OF
TENNESSEE, Knoxville

HANDBOOK OF THE FACULTY THE UNIVERSITY OF TENNESSEE, KNOXVILLE

APPROVED BY
THE BOARD OF TRUSTEES, 1973

AN EQUAL OPPORTUNITY EMPLOYER



FOREWORD

This edition of The University of Tennessee, Knoxville, *Faculty Handbook* provides the faculty with information concerning many aspects of their relationship with the University. Included are statements on governance, the appointment and termination of faculty, promotions and salary adjustments, tenure, research policies and procedures, and other topics of interest and significance to the faculty.

This handbook describes policies and procedures effective at the time of its publication. Certain sections (such as the chapter dealing with travel regulations) may from time to time be supplanted by policy statements issued through the appropriate University channels. In such cases, every effort will be made to distribute replacement pages for the *Faculty Handbook*; however, in the interim between the announcement of a new or revised policy and the issuance of appropriate corrections to the handbook, the latest University statement will be considered official policy.

This *Faculty Handbook* represents the cooperative effort of many individuals. It has been thoroughly reviewed and approved by The University of Tennessee, Knoxville, administration, the Board of Deans, the Faculty Senate, and the President and his staff; and it was endorsed by the Board of Trustees on June 21, 1973. I should like to thank all faculty and staff who participated in the compilation of the document, and I hope that its delineation of University policies will be of substantial benefit to the faculty.



Jack E. Reese
Chancellor

PREFACE

More than one hundred and seventy-five years ago (1794) Samuel Carrick opened Blount College, the earliest predecessor of The University of Tennessee. Carrick served as president as well as instructor for the few students who were enrolled. Today, however, The University of Tennessee, Knoxville, alone enrolls a full-time student population of well over 20,000 plus a large number of part-time and non-credit students in other programs, with an accompanying complex of teaching, extension and public service, research, and administrative personnel. The size and diversity of the University make it necessary to establish uniform personnel policies and procedures.

This handbook is designed to reduce to one quick source of reference certain operational procedures which concern the faculty. Such information should be of value to the present and new or prospective faculty.

Because this handbook has been designed for the use of the faculty, it does not contain information applicable to secretarial, clerical, maintenance, custodial, and other non-faculty staff members. A separate handbook is available for this purpose.

This publication has been reviewed by the Faculty Senate and approved by the Board of Trustees. It represents a joint effort on the part of the faculty and administration of the University. Faculty members should feel free to make suggestions as operational practice and need seem to justify change.



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THE NATURE AND PURPOSE OF THE UNIVERSITY

The mission of The University of Tennessee is to offer *instruction* on all levels of higher education, encourage *research*, and provide *extended services of great variety*. The obligations of this mission are reinforced by the fact that The University of Tennessee is both a state university and an official land-grant institution.

THE CAMPUS IS THE STATE

Its nature as a land-grant and state university requires that the University be both a center of learning and a center of service; that it be responsible for the enlargement and communication of knowledge; and that it provide extended service through professional training, consultation, and continuing adult education for people throughout the state. The campus of the University is thus the state of Tennessee.

Another essential characteristic of the land-grant university is its obligation to provide suitable higher education for all who have the ability and the desire to pursue higher education. This mission requires a variety of programs which provide both liberal and practical education designed to develop the full capabilities of students as individuals and citizens and help prepare them for their intended occupations. Through various cooperative programs, UT, Knoxville, works across the state with other units of The University of Tennessee to provide a maximum flexibility of educational opportunities for Tennessee students.

Although assigned a specific role in higher education, The University of Tennessee, Knoxville, is part of the total educational structure of the state. Along with all the other institutions of higher education in the state, both public and private, the University profits from and contributes to the results of education at every level. UT, Knoxville, therefore, is deeply concerned with the welfare of education in Tennessee from the kindergarten to the doctoral and postdoctoral levels.

CAPSTONE OF EDUCATION AND RESEARCH

As the capstone of the state's educational system and the state's chief research agency, The University of Tennessee is expected to provide programs in many fields and at all levels of higher education that are needed by the people of the state, as well as make its proper contributions to the needs of the larger world. Three legislative acts of the state provide the University with its commission: an act of 1869 designated "East Tennessee University" as the state's federal land-grant institution; an act of 1879 commissioned it as "The University of Tennessee"; and in 1968 it became The University of Tennessee, Knoxville, part of the state-wide University of Tennessee.

CLIMATE FOR INTELLECTUAL GROWTH

Many of its aims the University shares not only with Tennessee's other public and private institutions of higher education, but with all good colleges everywhere. Among these aims probably the most inclusive are to help students *learn* as much as they can of both facts and theories, acquire the ability to *make thoughtful decisions*, and learn how to *communicate*, so that they may become increasingly well informed and mentally alert individuals able to help improve society. These high ideals require for their nurture the intellectual climate in which mind is continually interacting with mind. One major aim of the University, therefore, is the ambitious and complicated one of providing an environment conducive to *maximum intellectual development*, as well as balanced physical, aesthetic, and ethical growth.

VITAL AND EFFECTIVE TEACHING

Shared, too, is the obligation to make teaching vital and effective and to influence students to form useful life-long learning habits. The University aims to provide teaching which:

- (1) is dynamic and stimulating;
- (2) is based upon expertise and specialization within the various academic disciplines;
- (3) is founded upon research and revitalized by constant inquiry;
- (4) is objective in its pursuit of truth;
- (5) involves an awareness of both the immediate aims of the discipline and the broader objectives of the institution;
- (6) gives heed to varying abilities and makes paramount the maximum progress of the individual student.

ADVANCED GRADUATE WORK AND RESEARCH

The University of Tennessee, Knoxville, has some obligations not shared in the same degree by other public colleges and universities of the state, although these specialized functions are common to most major state universities and land-grant institutions. For instance, as the primary state institution in Tennessee committed to *advanced graduate work and research*, the University must develop and maintain advanced instruction and research in the basic arts and sciences and in professional and occupational areas dependent upon the fundamental fields of learning. Such a state university must seek to advance the frontiers of knowledge in all areas of human concern, to discover facts previously unknown, to present new theories and test those previously not established, thereby augmenting the intellectual heritage of the human race and providing society with solutions to problems which interfere with the pursuit of happiness by all people.

The search for new knowledge and its application to the changing needs of society is therefore a major aim of the University. Although in recent years highly developed societies have come to rely increasingly on research, the term is not fully understood by all who use it. As practiced in good universities, "research" means the critical and generally exhaustive investigation or experimentation carried on or directed by trained personnel for the purpose of discovering, interpreting, and putting to use new and significant knowledge about human beings and the universe. Two processes occur simultaneously in the research activity of the faculty: (1) They are engaged in a variety of ways to add to the sum total of knowledge, and (2) at the same time they are passing on to new generations of students the excitement of and the methodology required for testing old discoveries and making new ones. Instruction is best when teacher and students together are experiencing the processes of formulating and testing hypotheses and interpretations.

So far as publicly supported higher education in this state is concerned, UT, Knoxville, is the major center of advanced graduate training and research. At present the University provides Master's level work in over 100 fields of knowledge and doctoral work in approximately 50, enrolling nearly 6,000 graduate students.

The University's graduate and research programs are considerably enhanced by cooperation with the Oak Ridge National Laboratory, the Tennessee Valley Authority, the Arnold Engineering Development Center (where the University operates a Space Institute for the further education of graduate engineers and scientists interested in the space-related sciences and engineering), and many private industries.

The University also provides instruction in professional and occupational areas. Professional majors (in most instances on both undergraduate and graduate levels) are now offered in all the basic arts and sciences and in various aspects of agriculture (including forestry), architecture, business administration, communications, education, engineering, home economics, law, library and information science, nursing, planning, public administration, and social work.

POSTDOCTORAL STUDIES

In many areas, completion of doctoral level studies is insufficient to allow advanced research in some of the most critical areas related to problems facing Tennesseans and humanity in general. Accordingly, The University of Tennessee, Knoxville, welcomes those engaged in such advanced studies and makes available to them whenever possible the facilities which are required.

EXTENDED SERVICES AND CONTINUING EDUCATION

A third special assignment of the state university and land-grant institution is that of extended services and continuing education: the obligation to extend information to all parts of the state, to all vocations and professions requiring the kinds and levels of expertise represented by a university faculty, and to conduct research on topics of special importance to the state. The growing demand for scientific and technical information and skill in a state that is becoming increasingly industrialized requires the University to strengthen its present research and extension activities.

In a state university such as this, learning, teaching, research, extension activities, and public service are interwoven and interdependent.

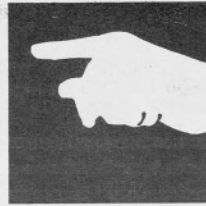
FULFILLING A BROAD ASSIGNMENT

The University's assignment is very broad and complex, requiring a complex organization for its accomplishment. The scope may be seen in some of the activities undertaken by the University, which administers programs in approximately 150 specialized areas of knowledge, involving more than 7,000 different courses, 10 special research organizations, and 3 large continuing education divisions concerned with "out of school" adults. The scope of the extended service function is suggested by the University's enrolling through Continuing Education a large number of part-time students each quarter in evening and off-campus courses, correspondence courses, conferences and institutes; by providing instruction over closed-circuit television and radio broadcasting; by lending library packages; and by providing technical assistance to cities and towns. In resident, on-campus instruction the University now provides educational programs for over 26,000 students in degree programs.

Each of the colleges and schools of the University has these university-wide objectives as well as its own, more particular aims, which are described in other publications. Whatever their specific objectives, all units of the University attempt to help students come to maturity thoughtfully, and to equip them with a basic education that will facilitate their continuing education after they leave the University.

In summary, the chief purposes of the University are:

- (1) to provide effective instruction in the basic arts and sciences as an educational core and as a foundation for the professions;
- (2) to provide opportunities for specialization in subjects requiring a good foundation in general education;
- (3) to provide vocational and professional education in a wide variety of fields, especially those which require several years of higher education and are based on thorough preparation in the basic fields of learning;
- (4) to provide graduate training in the basic arts and sciences and in business and professional subjects;
- (5) to accommodate postdoctoral fellows and research assistants by providing an atmosphere for the most specific and advanced research endeavors;
- (6) to carry on research both to advance knowledge and to reinforce instruction, and to train others to do so;
- (7) to provide, through extended service, educational opportunities to those not enrolled as regular, full-time students but who need to or desire to expand their education in areas within the special competence of University faculty members; and
- (8) to perform public service activities of benefit to the state and the community.



Now, as never before in human history, every state must support at least one center of excellent and diversified instruction, research, and continuing adult education. The University of Tennessee, Knoxville, is such a center.

ORGANIZATION AND GOVERNANCE

1

The governance of the University is provided for by charter provisions and by-laws. The charter provisions, for the most part, represent the legislative acts relating specifically to the organization and structure of The University of Tennessee. The by-laws were developed from *Tennessee Code Annotated*, *The Official Code of Tennessee* and from policy decisions of the Trustees. The following information concerning governance of the University is taken from a publication entitled *The University of Tennessee Charter and By-Laws* (1969). The first paragraph comes from charter provisions; the remainder of the quoted material is from the by-laws adopted by the Board of Trustees.

Membership of the Board of Trustees. The governing body of the University is a Board of Trustees consisting of the following persons: The Governor of the State, the Commissioner of Education, the Commissioner of Agriculture, the Executive Director of the Tennessee Higher Education Commission (as a non-voting member), and the President of the University, all of whom are *ex officio* members; one Trustee representing each Congressional District of the State; two Trustees representing Knox County, two representing Shelby County, one representing Weakley County, one representing Hamilton County, and one representing Anderson, Bedford, Coffee, Franklin, Lincoln, Moore, and Warren Counties. At least one member must be a woman. At least one-third of the appointive members must be members of the principal minority political party in the state; and at least one-third must be alumni of The University of Tennessee.

Authority of the Board. The Board of Trustees, which is the governing body of The University of Tennessee, has full and complete control over its organization and administration, as well as its constituent parts and its financial affairs. The responsibilities of the Board are as follows:

- (1) To establish policies controlling the scope of the educational opportunities to be offered by the University and also policies determining its operation in general; however, the planning and development of curricula is the function of the faculties;
- (2) To have full authority to determine and control the activities and policies of all organizations and activities that bear, or that may be carried under, the name of the University;
- (3) Not to undertake to direct matters of administration or of executive action except through the President; and
- (4) To control the election, appointment and removal of all officers, faculty, and employees of the University and the fixing of their compensation. At its annual meeting, the Board elects and fixes the compensation of the President and of all other executive and administrative officers and the members of the faculties; and fixes the compensation of all other employees as it may deem necessary for the proper operation and management of the University. All such elections shall be for one year or during the pleasure of the Board. Appointments for special purposes for a lesser period may be made.

Standing Committees of the Board. The following standing committees, chosen from members of the Board, are appointed by the Board upon nomination of the President:

- Executive Committee
- Finance and Business Committee
- Buildings and Grounds Committee
- Academic Affairs Committee
- Agriculture Committee
- Athletics Committee
- Development, Alumni Affairs, and Public Relations Committee
- Faculty and Staff Affairs Committee
- Medical Affairs Committee
- Student Affairs Committee
- Urban Affairs and Public Services Committee

Responsibilities of the President. The President is the chief executive officer of The University of Tennessee. He exercises complete executive authority over the institutions comprising The University of Tennessee, subject to the direction and control of the Board of Trustees.

The President is the primary spokesman for The University of Tennessee to the alumni of the institution, the news media, the educational world, and the general public. He initiates and administers University policies, speaks for the University as its official head, and coordinates all activities of each campus of the institution directly or through his designated representatives.

The President formulates the educational and administrative policies of The University of Tennessee and performs all duties prescribed by the Board of Trustees.

The President makes nominations for all personnel appointments and all recommendations for promotions, salaries, transfers, suspensions, and dismissals of administrative, academic, and non-academic staff members of the institutions comprising The University of Tennessee.

The President is the leader and coordinator of all institutions of The University of Tennessee and promotes the general welfare and development of the University in its several parts and as a whole. The faculties, staffs, or students or any member thereof have the right of appeal from the Chancellor to the President. The channel for official communications between the President and the several institutions in all matters is through the Chancellors.

The President establishes an administrative organization to execute policies of The University of Tennessee. (See Chart I attached to this chapter.) In the execution of his duties and responsibilities, the President may delegate to subordinate officers portions of his duties, but this action shall not reduce the President's responsibility.

Responsibilities of the Chancellor, The University Tennessee, Knoxville. The Chancellor who is elected for and assigned jurisdiction over a campus is the chief administrative officer and shall be fully responsible for the administration and management of that campus subject to the general supervision of the President and coordinate relationships with the Vice Presidents. The Chancellor directs instructional, research, service, student, development, finance and business, and athletics programs on his campus within general policies established by the President and the Board of Trustees. Appropriate functional relationships are maintained between the Chancellors and the Vice Presidents for Academic Affairs, Agriculture, Business and Finance, Continuing Education, Urban and Public Affairs, and the Office of Institutional Research.

The Chancellor recommends to the President appointment of personnel on his campus. He recommends major policy and operational changes in the areas of academic affairs, student affairs, business and finance, and development to the President for review and consideration prior to enactment.

ADMINISTRATIVE ORGANIZATION OF THE UNIVERSITY OF TENNESSEE, KNOXVILLE.

Charts II and III attached to this chapter show, respectively, the general administrative organization of The University of Tennessee, Knoxville, and a more detailed diagram of the organization of the academic units and programs. Recommendations regarding employment of new faculty, promotion, tenure, salaries, retention or non-reappointment of non-tenured faculty, budgets, travel authorizations, and other responsibilities defined by the Chancellor are transmitted to that office along the administrative lines indicated in these two charts.

ADMINISTRATIVE AND ACADEMIC COMMITTEES.

There are a number of University-wide committees. Certain standing committees are appointed by the Faculty Senate and by administrative officials. In addition, *ad hoc* committees and task forces are appointed by the Faculty Senate, the Chancellor, and the various Vice Chancellors.



CHART I: THE UNIVERSITY OF TENNESSEE ORGANIZATION

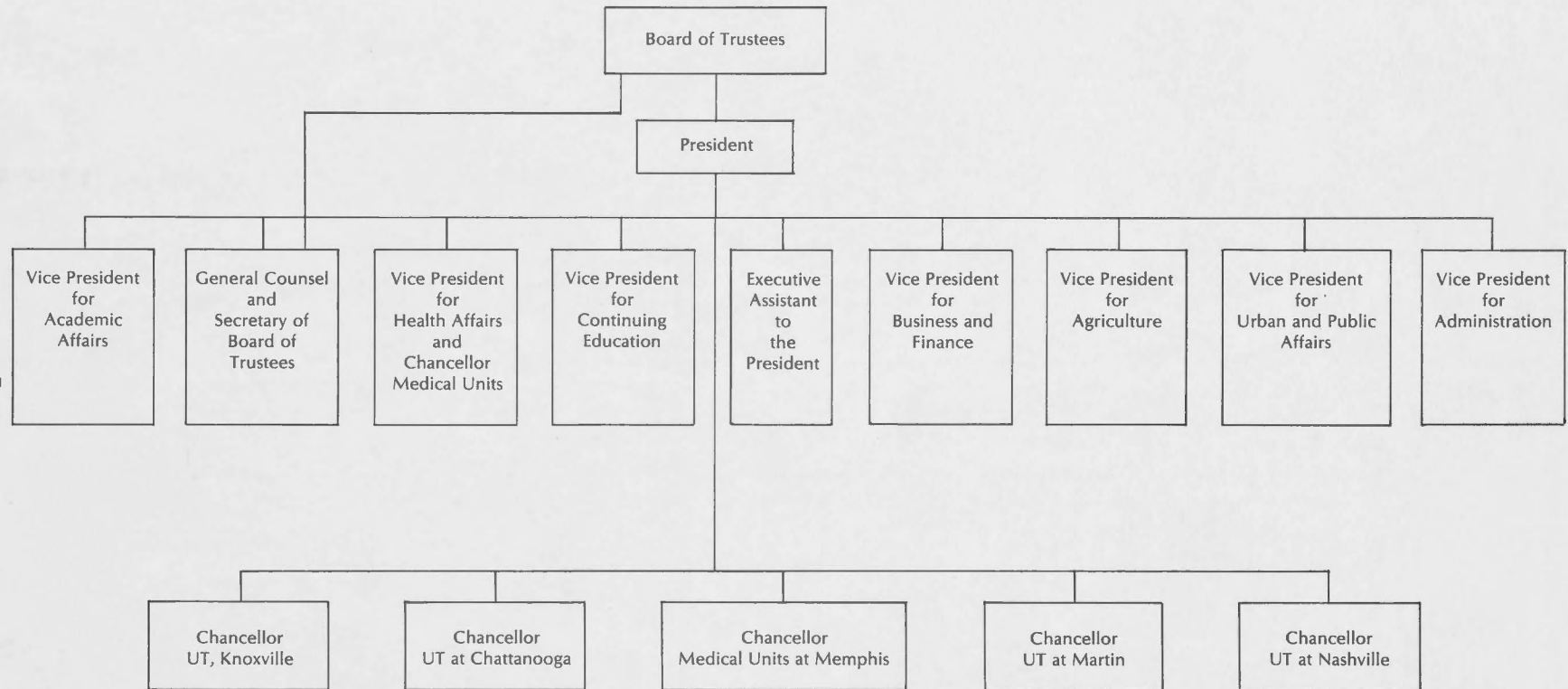


CHART II: GENERAL ADMINISTRATIVE ORGANIZATION
THE UNIVERSITY OF TENNESSEE, KNOXVILLE

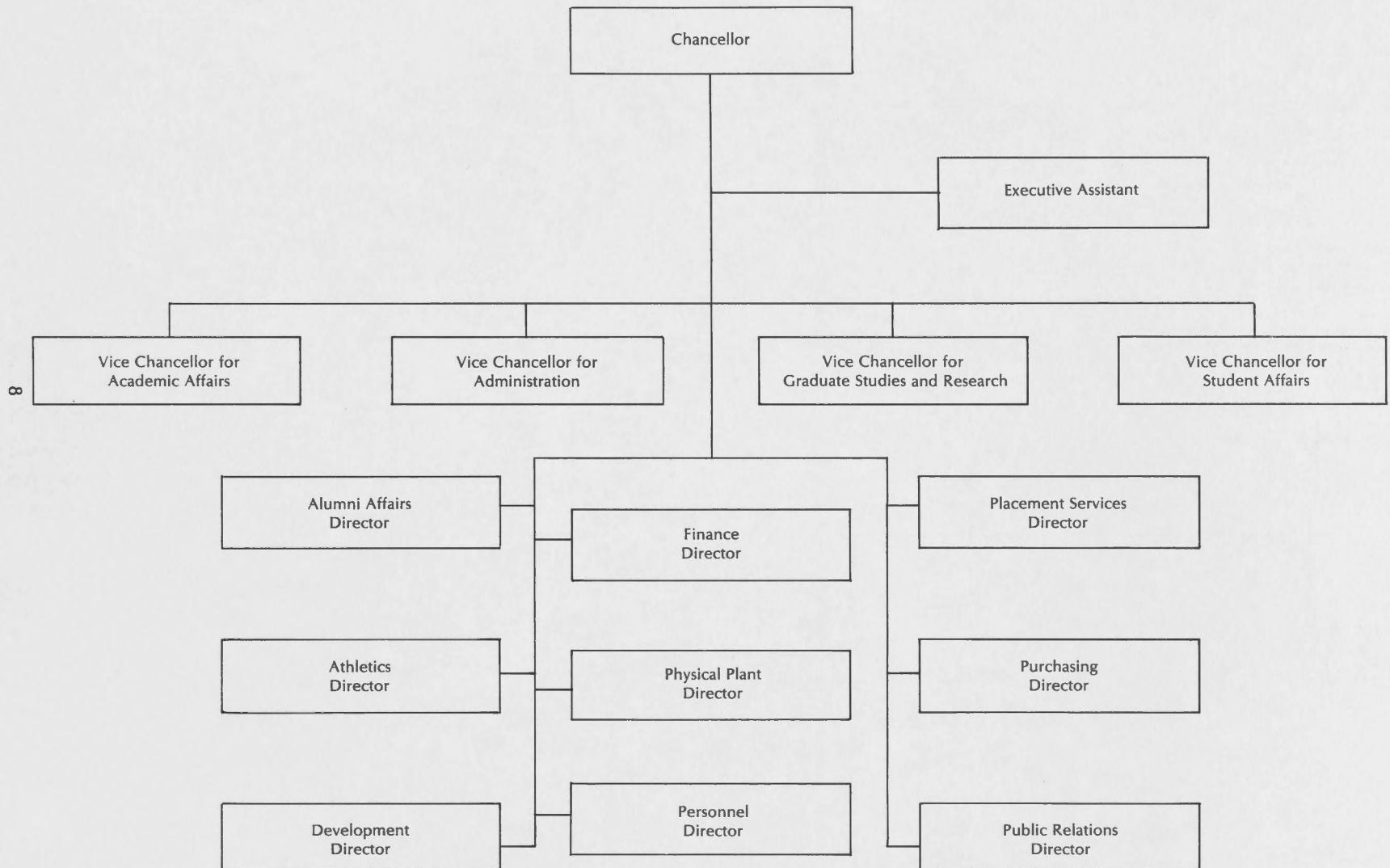
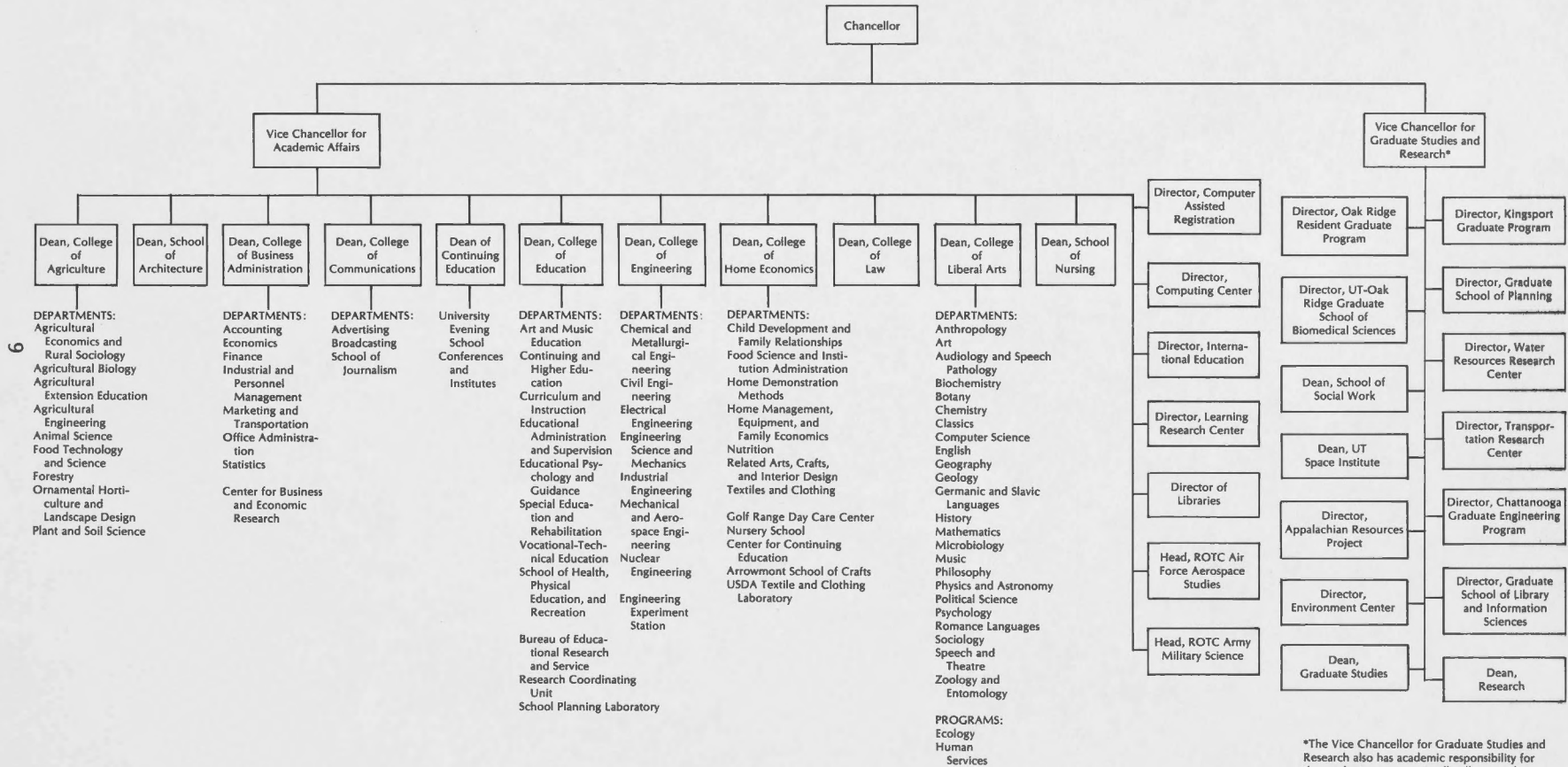


CHART III: ORGANIZATION OF ACADEMIC PROGRAMS THE UNIVERSITY OF TENNESSEE, KNOXVILLE



ANNUAL MEETING.

The faculty holds an annual meeting in the spring quarter of each year, called by the Chancellor. It may meet at other times, upon petition of 10 per cent of the faculty.

Certain powers and duties rest in the faculty of the University. This organization, however, may delegate its functions to the Faculty Senate. The faculty receives reports from the Senate on action accomplished during the year and may revise or alter such action, provided that no rights or acts of third parties are affected by such revision or alteration.

THE FACULTY SENATE.

The faculty delegates to a subordinate legislative body, called the Faculty Senate, the transacting of most of its business. Originally designated by the Board of Trustees as the University Senate in August, 1949, this body was reorganized into a Faculty Senate by approval of the Board of Trustees on June 15, 1972. The organization and responsibilities of the Faculty Senate are defined as follows in the resolution adopted by the Board:

BE IT RESOLVED that in order to facilitate the governance of The University of Tennessee, Knoxville, a Faculty Senate be organized from the faculties of the several colleges and divisions of The University of Tennessee, Knoxville.

The Faculty Senate will be composed of not fewer than eight and not more than twelve administrative officers of The University of Tennessee, Knoxville, to be determined by the Senate, and of elected representatives from the faculties of each college or division of The University of Tennessee, Knoxville. In other words, by the election process in each college or division, the University faculty is reduced to a more effective, workable, deliberative body.

The method of apportioning representatives among colleges and divisions and the rules governing their election shall be determined by the Faculty Senate, except for the purpose of the first election of the Faculty Senate when the election rules will be determined, for that election only, by the University Senate which the Faculty Senate will subsequently replace.

Said Faculty Senate is authorized, subject to the approval of the Chancellor, 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, retention, readmission, graduation and honors for the degree programs and certificate programs of The University of Tennessee, Knoxville.

Said Faculty Senate is authorized to review the actions of the Special Faculties of The University of Tennessee, Knoxville, concerning the specific admission and graduation requirements for the programs of the various academic units.

Said Faculty Senate in consultation with academic officials may also consider, advise, and recommend to the Chancellor or, if appropriate, through the Chancellor to the President, policies and procedures in other matters which concern the general welfare of the faculty of The University of Tennessee, Knoxville, such as, but not exclusively limited to, criteria for faculty appointment, dismissal, promotions, tenure, and retirement; criteria for the selection of the Chancellor, Vice Chancellors, and other campus administrative officers; criteria, in conjunction with other Faculty Senates or corresponding bodies of the other campuses of The University of Tennessee, for the selection of the President of the University system, and other system executive officers; priorities for the University budget; priorities for the University development plan; and changes in physical facilities. The Faculty Senate may consider, advise, and recommend on proposed policies regarding student life, rights, and responsibilities.

The Faculty Senate shall report all of its actions to the faculty (1) through distribution of copies of the actions of each Senate meeting along with necessary supporting documents; and (2) upon request at any special meeting of the faculty. Its actions shall be subject to review by the faculty, provided that no rights or acts of third parties shall be affected by such revision or alteration.

The Faculty Senate is hereby authorized to determine its own organization and to adopt its own by-laws and rules of procedure to facilitate its performance of the functions hereby authorized.

The Senate has no management or administrative functions, either in itself or through the instrumentality of its committees, administrative matters being expressly reserved to the President of the University, as delegated by the Board of Trustees and through the President to the Chancellor of The University of Tennessee, Knoxville.

Organization of the Faculty Senate.

At the time of the printing of this *Handbook*, neither the reorganization of the Senate nor the approval of its new by-laws had been completed. The following organizational structure was under consideration for implementation by fall quarter, 1973.



Members, Number, Classification, and Terms of Office.

The voting membership in The University of Tennessee, Knoxville, Faculty Senate is divided into two classes: administration members and elected faculty members. The members of both classes shall hold *bona fide* academic rank of assistant professor or above in order to be eligible. Administration members are: the Chancellor and Vice Chancellors for Academic Affairs, Student Affairs, Graduate Studies and Research, and Administration. In addition, five members will be elected by the deans and directors from among the deans and directors of the academic units concerned with student instruction. These members are elected for non-consecutive three-year terms.

Elective seats are apportioned in February of each year among the respective colleges and divisions by the Secretary of the Faculty Senate on the basis of a formula established by the Faculty Senate. The faculty of each college or division of The University of Tennessee, Knoxville, shall elect its representatives to the Faculty Senate in May of each year. The term of office begins on the second Monday of the fall quarter. After completion of a full three-year term or any partial term of more than one year, an elected member shall be ineligible for one year for reelection.

Meetings.

The Faculty Senate meets on the second and sixth Monday of each quarter, or at the call of the Chairman of the Faculty Senate, or in his absence, the Vice Chairman of the Faculty Senate, on their own initiative, or pursuant to a petition signed by one-fourth of the elected members of the Faculty Senate.

Officers.

The Chairman, Vice Chairman, and Secretary of the Faculty Senate are elected for one-year terms from among the elected members of the Faculty Senate in the winter term, with terms beginning at the first fall meeting.

Representation to the University Council.

Three individuals are elected from the elected faculty members of the Faculty Senate to serve with the Chairman, the Vice Chairman, and the Secretary of the Faculty Senate on the University Council as representative of the Faculty Senate and the University faculty on all matters that come before the University Council, and to communicate to the Faculty Senate all actions of the University Council.

REPRESENTATION IN THE FACULTY SENATE

(subject to change annually) To become effective fall quarter, 1973

Group Represented

Agriculture
Architecture
Biomedical Sciences
Business Administration
Communications
Continuing Education
Education
Engineering
Home Economics
Law
Liberal Arts
Library and Information Science
Libraries
Nursing
Planning
Social Work
Space Institute

Administrative Members

Chancellor	1
Vice Chancellor, Academic Affairs	1
Vice Chancellor, Student Affairs	1
Vice Chancellor, Graduate Studies and Research	1
Vice Chancellor, Administration	1
Members elected from Deans	5

This distribution provides a minimum of one elected member for each degree-granting college or school with a full-time faculty of five engaged in teaching or research and having the rank, or equivalent rank, of assistant professor or higher. When a college or school has a faculty, as defined above, of at least fifteen, there are three elected members. Above twenty full-time faculty, one elected member is added for each additional twenty until the representation reaches 12; thereafter one elected member is added for each 30 faculty members. The full-time equivalent (FTE) faculty member is used in determining a unit's representation. This method applies to each off-campus center, institute, and school reporting to UTK. In addition, there is one elected member from the Agricultural Extension Service of the Institute of Agriculture.

COMMITTEES OF THE SENATE

Committee on Committees.

It shall be the duty of the Committee on Committees to make nominations to the Faculty Senate of the faculty membership of all special and standing committees except the Undergraduate and Graduate Councils. The Committee on Committees shall render a report to the Senate at its first regular meeting in the fall quarter of each year and at such other times as may be required.

Standing and Special Committees.

The Committees of the Faculty Senate are:

(1) *Educational Policy Committee.* Membership shall consist of seven elected faculty members from the Faculty Senate, one elected faculty member from each adjunct Council, one student designated by the Student Academic Council, and one student each from the Undergraduate and Graduate Councils. *Ex officio* members shall be the Vice Chancellor for Academic Affairs (or his designate), the Vice Chancellor for Graduate Studies and Research (or his designate), the Vice Chancellor for Student Affairs (or his designate), seven administration members to be elected from among the deans and directors of the academic units concerned with student instruction by the deans and directors, and a secretary appointed by the Chairman. The Chairman shall be the Vice Chancellor for Academic Affairs (or his designate). This Committee will concern itself with the study, establishment, and implementation of the institutional goals for instruction, research, and service and shall make recommendations regarding these matters to the Senate for its action. This Committee will function through an Undergraduate Council, a Graduate Council, a Research Council, a Public Service Council, and such subcommittees as it may from time to time establish.

(a) *Undergraduate Council.* Membership shall consist of faculty representatives elected for three-year terms by each unit granting baccalaureate degrees and two students designated by the Student Academic Council. *Ex officio* members shall be the Vice Chancellor for Academic Affairs (or his designate) and the Director of the Learning Research Center. Elective seats shall be apportioned in July of each year among the baccalaureate degree-granting units of UT, Knoxville, on the basis of the following formula: There shall be a minimum of one elected member for each college or school granting up to 200 degrees in the prior academic year. Above 200 degrees or major fraction thereof, one elected member shall be added for each additional 200 degrees granted in the prior academic year. In the case of the College of Liberal Arts, representatives shall be apportioned on the basis of the Divisions of the Social Sciences, the Humanities, and the Natural Sciences. The Chairman shall be the Vice Chancellor for Academic Affairs (or his designate). The Undergraduate Council shall concern itself with standards for admission, retention, and graduation; with curricular matters in the undergraduate programs; with development of interdisciplinary programs; with approval of new programs and any other matters of educational policy pertaining to undergraduate programs.

(b) *Graduate Council.* Membership shall consist of elected members chosen for three-year terms by the units of the University engaged in graduate work and two graduate students elected by the Student Senate. Elective seats shall be apportioned by 200 full-time equivalent graduate students or major fraction thereof per college or school. Three to five members may be appointed at large by the Vice Chancellor for Graduate Studies and Research. *Ex officio* members shall be the Vice Chancellor for Graduate Studies and Research and the Dean for Graduate Studies. The Chairman shall be the Vice Chancellor for Graduate Studies and Research.

The Graduate Council shall concern itself with graduate standards for admission, retention, and graduation, and with curricular matters in graduate programs, with development of interdisciplinary programs, with approval of new graduate programs, with approval of individuals to teach doctoral courses and direct doctoral research, with financial support of graduate students, and with any other matters of educational policy pertaining to graduate programs.

(c) *Research Council.* (Membership has not been established.)

(d) *Public Service Council.* (Membership has not been established.)

(2) *Committee on Faculty Affairs.* Membership shall consist of seven elected faculty members and as *ex officio* members shall include the Vice Chancellor for Academic Affairs, the Director of Finance, and the deans of two of the colleges on a rotating basis every two years. This Committee shall concern itself with the development of criteria and procedures for faculty appointment, promotion, the granting of tenure, and discharge for cause; it shall make recommendations to the Senate with respect to policies on retirement, leave, faculty welfare, and fringe benefits. The Chairman shall be a faculty member.

(3) *Student Affairs Committee.* Membership shall consist of seven elected faculty members, three students elected by the Student Senate, and as *ex officio* members shall include the President of the Student Senate and the Vice Chancellor for Student Affairs. The Chairman shall be a faculty member. This Committee shall concern itself with student life, rights, privileges, and responsibilities; and with social disciplinary matters, student government, and organizations. It shall make recommendations to the Faculty Senate on these matters.

(4) *Executive Committee of the Faculty Senate.* Membership shall consist of eight elected members of the Senate, elected to two-year terms (four each year), and as *ex officio* members shall include the Vice Chancellor for Academic Affairs, the Chairman and Vice Chairman of the Faculty Senate, the Secretary of the Faculty Senate, and the University Councilors elected by the Senate, and the President of the Student Senate. The presiding officer of the Faculty Senate shall be the Chairman of this Committee. This Committee shall arrange the agenda for each Senate meeting and represent the Faculty Senate on an emergency and interim basis to the Chancellor, and with the Chancellor to the President and to the Board of Trustees. This Committee shall concern itself with the formulation and review of the long- and short-range educational policies of the University as represented by the monetary allocations made in the budget. This Committee shall not concern itself with individual salaries nor with college or departmental allocations, except as they may relate to the aforementioned educational policy decisions. Also, the Chairman shall submit an annual report on the economic and educational state of the University for the past year at the first fall meeting of the Faculty Senate.

When campus or system administrative appointments are to be filled and where it is appropriate for faculty to be of assistance in the recruitment and screening of candidates, the Executive Committee shall assist in the selection of the faculty members of such screening committees and lend its counsel to the development of procedures for recruitment and screening of such candidates.

(5) *Educational Facilities Committee.* Membership shall consist of seven elected faculty members who shall serve for a three-year term. *Ex officio* members shall be the Vice Chancellor for Academic Affairs (or his designate), the Vice Chancellor for Student Affairs (or his designate), the President of the Student Senate (or a substitute elected by the Student Senate), the Dean of the School of Architecture, the Vice Chancellor for Administration, and the Director of the Physical Plant. The Committee shall choose its chairman from among the elected faculty members. This Committee will advise the Administration through the Senate speaking through its Chairman on building priorities; siting and design of new academic, residential, recreational, and service structures and facilities; and the renovation of existing structures. It will help in the nomination of faculty program committees for new structures.

(6) *Development and Alumni Relations Committee.* Membership shall consist of seven elected faculty members and as *ex officio* members shall include the Director of Alumni Affairs, the Director of Development, the Director of Public Relations, the President of the University of Tennessee Alumni Association, the President of the Student Senate (or a substitute elected by the Student Senate), and the Vice Chancellor for Administration. The responsibilities of this Committee shall include advice and consultation with University officials on alumni programs, alumni relations, and development.

(7) *Athletics Committee.* Membership shall consist of seven elected faculty members; and as *ex officio* members shall include the Vice Chancellor for Academic Affairs (or his designate); the Director of Athletics; the Director of the School of Health, Physical Education, and Recreation (or his designate); and two students elected by the Student Senate. This Committee shall concern itself with academic aspects of intramural athletics as well as the intercollegiate athletics program.

(8) *Library Advisory Committee.* Membership shall consist of one elected faculty representative from each college or school, except in the case of Liberal Arts, from which there shall be three representatives, one from each of the major divisions of the college. One third of the membership shall be selected each year for three-year terms. Two students shall be designated by the Student Senate. *Ex officio* members shall be the Vice Chancellor for Academic Affairs (or his designate) and the Vice Chancellor for Graduate Studies and Research (or his designate).

(9) *Nominating Committee.* Membership shall consist of five elected members of the Senate, none of whom shall be a member of the Committee on Committees. This Committee shall nominate two candidates each for Chairman, Vice Chairman, Secretary, and each of the faculty positions on the University Council.

The members of all committees shall hold office for one year from the time of their election, unless otherwise specified. Membership on these committees may include faculty other than Senators, as well as students and staff. The Chancellor of The University of Tennessee, Knoxville, and the elected Chairman of the Senate are *ex officio* members of all standing committees.

APPOINTMENT OF THE FACULTY

3

Faculty Ranks. The term "faculty" is normally reserved for persons holding the following ranks:

<i>Instructional</i>	<i>Research</i>
Professor	Research Professor
Associate Professor	Research Associate Professor
Assistant Professor	Research Assistant Professor
Instructor	Research Instructor

Full-time faculty in these ranks enjoy the following privileges:

- (1) Eligibility for tenure. Only full-time faculty in the above ranks are eligible for tenure. (See Chapter 5, below.)*
- (2) Automatic membership in UT Joint Contributory Retirement System/TIAA-CREF. (See Chapter 8, below.)
- (3) Eligibility for University insurance benefits. (See Chapter 8, below.)
- (4) Automatic coverage under the provisions of the Federal Old Age and Survivors Insurance Program (Social Security). (See Chapter 8, below.)
- (5) With the exception of instructors and research instructors, voting participation in the conduct of the business of the Faculty Senate. (See Chapter 2, above.)
- (6) Faculty library privileges. (See Chapter 13, below.)
- (7) Eligibility for faculty and staff parking privileges. (See Chapter 14, below.)
- (8) Eligibility for membership in the Faculty Club. (See Chapter 13, below.)

*The following individuals are not eligible for tenure: (a) part-time faculty; (b) instructors who are also working toward advanced degrees at The University of Tennessee, Knoxville; (c) faculty who are appointed to positions funded from grants or contracts and who are notified in writing that such service is not applicable to consideration for tenure; (d) faculty holding limited-term appointments; (e) individuals who are appointed to the University in administrative positions with academic rank and who are notified in writing that such service is not applicable to consideration for tenure.

Certain other appointments in the University carry some of the above privileges. For example, some administrative officials within the University who do not hold academic rank in a department or other unit are eligible for some of the above prerogatives, specified at the time of appointment.

Several other categories of appointment, including lecturer and postdoctoral research fellow or associate, allow for faculty-equivalent status. These personnel, however, are not eligible for tenure, do not have a vote in the conduct of faculty business, and do not enjoy the full range of benefits available to the faculty in the ranks listed above.

Part-time Appointments. Faculty holding part-time appointments are subject to the following provisions concerning the privileges specified above:

- (1) They are not eligible for tenure.
- (2) "Regular part-time faculty" may be eligible for membership in the UT Joint Contributory Retirement System/TIAA-CREF. The definition of eligibility is currently under study.
- (3) Part-time faculty are eligible for insurance benefits if their appointments are for at least two consecutive quarters and for at least 75% of full-time effort.
- (4) They are covered under the Federal Old Age and Survivors Insurance Program (Social Security) provided that they are appointed for the entire three academic quarters of the school year and teach six credit hours each quarter and/or eighteen credit hours for the total school year.
- (5) They are not eligible for voting participation in the conduct of the business of the Faculty Senate.
- (6), (7), and (8) Part-time faculty are eligible for library and faculty parking privileges and for membership in the Faculty Club.

Limited-term Appointments. Faculty holding full-time limited-term appointments are subject to the following provisions concerning the privileges specified at the beginning of this chapter:

- (1) They are not eligible for tenure.

(2) They are eligible for membership in the UT JCRS retirement plan only if they have existing contracts with TIAA-CREF and retirement benefits are limited to the contributions to the contract.

(3) They are eligible for insurance benefits if their appointments are for at least two consecutive quarters.

(4) They are covered under the provisions of the Federal Old Age and Survivors Insurance Program (Social Security).

(5) They are not eligible for voting participation in the conduct of the business of the Faculty Senate.

(6), (7), and (8) Faculty with limited-term appointments are eligible for library and faculty parking privileges and for membership in the Faculty Club.

Graduate Student Appointments. None of the privileges listed above for the full-time faculty accrue to students employed by the University while seeking advanced degrees and holding one of the following titles:

(1) *Graduate Teaching Assistant.* Graduate teaching assistants may be appointed to carry part (usually one-fourth to one-half) of a normal teaching load. The annual stipend may be payable in either nine or twelve monthly installments, depending on the terms of employment. Payment of fees by the University is made for the period covered by the appointment only.

(2) *Graduate Assistant.* Graduate assistants may be appointed to perform various types of duties other than independent teaching. Under exceptional circumstances they may be used for teaching under careful supervision. The extent of duties assigned shall not prevent a graduate assistant from carrying a reasonable study load. The annual stipend may be payable in either nine or twelve monthly installments, depending on the terms of employment. Payment of fees by the University is made for the period covered by the appointment only.

(3) *Research Assistant.* Research assistants may be employed in a department to assist in research, generally financed from gift, grant, or contract funds. A person in such a position should enter into a work-study program which conforms to that expected of graduate assistants. Appointments for research assistants do not include waiver of fees.

Part-time Instructors. Part-time instructors may be employed on an *ad hoc* basis as conditions warrant. These individuals are not eligible for waiver of fees. A person pursuing graduate work at the University is not eligible for such a position, but should be appointed as a graduate teaching assistant.

Rank of Emeritus. It is the policy of The University of Tennessee, Knoxville, to award an emeritus rank to each member of the faculty who holds the rank of professor, or its equivalent, at the time of his retirement.

Privilege to Direct Theses and Dissertations and Teach Graduate Courses. There is no "graduate faculty" at The University of Tennessee, Knoxville, but the following regulations have been established by the Graduate Council governing the direction of Master's theses and doctoral dissertations and the teaching of graduate courses:

(1) Faculty members holding the rank of assistant professor or above may direct Master's theses, sit on thesis committees, and teach 5000-level courses.

(2) Faculty must be approved by the Vice Chancellor for Graduate Studies and Research to teach 6000-level courses. Nominations for this privilege are made by the department head and dean (or other appropriate administrative official).

(3) Faculty must be approved by the Graduate Council to direct doctoral dissertations. Nominations for this privilege are made by the department head and dean (or other appropriate administrative official).

Eligibility for Appointment. The policy of the University is to make all appointments in all ranks in keeping with the strict principle of equal opportunity. No person is denied employment, advancement, salary adjustment, or reasonable use of University facilities on grounds of race, color, creed, sex, or national origin.

As an Equal Opportunity Employer, University personnel policies permit the employment of persons related by blood or marriage. Preferably such persons should be employed under a different organizational line of authority which means that each has a different supervisor or department head. However, this is not to prohibit the employment of qualified members of the same family in the same department so long as one member is not in a position to determine the appointment, retention, salary, promotion, or unduly influence any decision made concerning another employee related to him or her. Should a situation so develop where one member of a family finds himself or herself in a position of responsibility affecting a relative, he/she should waive all decision-making authority, thereby passing such authority to the next higher administrative officer. In any event, decisions made concerning members of the same family should not be influenced by race, color, creed, sex, or national origin.

Criteria for Appointment. The following criteria, which are initial and subject to revision upon recommendations from the various faculties, should be considered as guides and assigned varying degrees of weight. Deficiencies in some criteria ought to be counterbalanced by superiority in others. In certain specialized fields of endeavor, some of these criteria should be replaced by other standards.

Professor:

- (1) The doctorate or equivalent training and experience,
- (2) Established reputation as a teacher,
- (3) Established record in research and scholarly or professional attainment,
- (4) Record of effective participation in professional activities other than teaching and research,
- (5) Demonstrated ability to relate effectively to students and professional colleagues.



Associate Professor:

- (1) The doctorate or equivalent training and experience,
- (2) Good reputation as a teacher,
- (3) Good record in research and scholarly or professional attainment,
- (4) Interest and participation in professional activities other than teaching and research,
- (5) Demonstrated ability to relate effectively to students and professional colleagues.

(1) Full-time teaching during one-half of the summer term: $\frac{1}{2}$ of annual salary;

(2) Full-time teaching during both halves of the summer term: $\frac{1}{4}$ of annual salary;

(3) Full-time teaching during twelve-week summer term: $\frac{1}{4}$ of annual salary.

Assistant Professor:

- (1) The doctorate or equivalent training and experience, (in certain fields the Master's degree may be sufficient),
- (2) Demonstrated ability as a teacher,
- (3) Definite evidence of research ability and scholarly or professional promise,
- (4) Demonstrated ability to relate effectively to students and professional colleagues.

Appropriate percentages of full-time effort and remuneration may be arranged by the department head, dean, and appropriate vice chancellor.

All regular appointees are legally (see U. Tenn *By-Laws*, Article I, Section 2[d]) on one-year appointments renewable each year, normally beginning September 1 and ending August 31. Renewals and appointments are made annually by the placement of personnel names in the budget approved by the Board of Trustees. Notification of such renewal is given by the department head or other responsible administrative officer, with the approval of the Vice Chancellor for Academic Affairs, or, where appropriate, the Vice Chancellor for Graduate Studies and Research, specifying the salary, rank, tenure status, and (in the case of non-tenured faculty) the number of probationary years remaining.

Instructor:

- (1) The Master's degree or equivalent training and experience,
- (2) Interest in teaching,
- (3) Interest in research,
- (4) Excellent scholastic record as a student,
- (5) Evidence of ability to relate effectively to students and professional colleagues.

Term of Appointment. Appointment of faculty members, with respect to term, is of three types: (1) nine months, (2) twelve months, and (3) temporary appointments of a specified period of time.

Persons on the regular academic faculty appointed to teach nine months are paid in twelve monthly installments. For salary calculations, each of the three regular quarters (fall, winter, and spring) is considered to be of equal length, although the schedule of payments does not provide for an equal number of payments each quarter. Extra compensation is paid faculty on nine-month appointments for teaching during the summer quarter. The following salary scales are in effect:

Procedure. The objective of all administrative officers concerned is to strive to observe equitable criteria in determining appointments to the different ranks throughout the University. Obviously, adherence to the criteria in their entirety cannot be observed by all divisions of the University at all times. The endeavor to adhere to them, however, should result in a continuous strengthening of the faculty. All appointees to a given rank may not rate equally high with respect to all criteria, but deficiencies in some ought to be counterbalanced by superiority in others. Appointments to the ranks of professor, associate professor, assistant professor, and instructor in the University are written in the office of the Vice Chancellor for Academic Affairs or the Vice Chancellor for Graduate Studies and Research on behalf of the Chancellor and upon recommendation of the department head and the dean or director. Department heads shall consult with departmental faculty of equal or superior rank to that of the prospective appointee before nominations are forwarded to the dean or director.

PROMOTIONS AND SALARY ADJUSTMENTS

4

Promotion in rank or increases in salary are in part a recognition of past achievement. They are also a recognition of promise and a sign of confidence that the individual is capable of greater accomplishments and of assuming greater responsibilities. The policy of the University is to make promotions and salary adjustments strictly on the basis of merit. Promotions and salary adjustments are made objectively, equitably, impartially, and as a recognition of merit in line with the following policies and procedures.

Criteria for Promotion in Rank. The following criteria are initial and subject to revision upon recommendation from the various faculties. In general, the criteria for promotion in rank are the same as those for appointments in the various ranks. These criteria should be considered as guides and are assigned varying degrees of weight. Deficiencies in some criteria ought to be counterbalanced adequately by superiority in others. In certain specialized fields of endeavor, some of these criteria may be replaced by other standards.

Professor:

- (1) The doctorate or equivalent training and experience,
- (2) Established reputation as a teacher,
- (3) Established record in research and scholarly or professional attainment,
- (4) Record of effective participation in professional activities other than teaching and research,
- (5) Normally, a minimum of five years in rank as an associate professor,
- (6) Demonstrated ability to relate effectively to students and professional colleagues.

Associate Professor:

- (1) The doctorate or equivalent training and experience,
- (2) Good reputation as a teacher,
- (3) Good record in research and scholarly or professional attainment,
- (4) Interest and participation in professional activities other than teaching and research,
- (5) Normally, a minimum of four years in rank as an assistant professor,
- (6) Demonstrated ability to relate effectively to students and professional colleagues.

Assistant Professor:

- (1) The doctorate or equivalent training and experience (in certain fields the Master's degree may be sufficient),
- (2) Demonstrated ability as a teacher,
- (3) Definite evidence of research ability and scholarly or professional promise,
- (4) Demonstrated ability to relate effectively to students and professional colleagues.

PROCEDURES FOR EFFECTING PROMOTIONS AND SALARY ADJUSTMENTS.

(1) Recommendations for promotion are submitted by the department head or other appropriate administrative officer, after consultation with the members of the department or administrative unit who are at the academic level to which the person is to be promoted, or above. As part of the continuing management-by-objective process, each faculty member is evaluated annually in relation to promotion, salary adjustments, and the granting of tenure. The faculty member will be advised in writing by the department head or other appropriate administrative official of the schedule for this evaluation, and he or she will be given the opportunity to submit evidence relevant to the review of his or her performance and future promise.

(2) Recommendations for salary adjustments are submitted by the department head or other appropriate administrative officer.

(3) Recommendations for promotion and salary adjustment are considered by the dean or comparable officer of the appropriate college or school. Recommendations concerning such administrative officers themselves are submitted by the next administrative officer.

(4) The dean or director makes his or her formal recommendations concerning promotions and salary adjustments to the Vice Chancellor for Academic Affairs or, for some units, the Vice Chancellor for Graduate Studies and Research.

(5) The Vice Chancellor reviews all such recommendations, registers his or her own judgment in each case, and makes his or her recommendations to the Chancellor.

(6) The Chancellor reviews the budget and proposed promotions and makes recommendations to the President.

(7) The President evaluates the recommendations submitted by the Chancellor, registers judgments, and seeks approval of the Board of Trustees to implement the proposed salary increases and promotions.

(8) The faculty member is entitled to an appeal to any of the parties mentioned in the above steps, following the order of the administrative officials listed above.



FREEDOM, RESPONSIBILITY, AND TENURE*

5

Freedom and Responsibility of the Faculty Member. The Board of Trustees of The University of Tennessee recognizes and supports the fundamental concept of academic freedom in the full context of professional responsibility. (See the statement, "Principles Governing Freedom, Responsibility, and Tenure," adopted by the Board on November 4, 1955 and endorsed as amended on June 17, 1971.)

All members of the faculty have as a primary responsibility an honest and persistent effort to seek and to say the truth that lies within their respective areas of inquiry and competence. This endeavor requires a high level of personal integrity and professional discipline, as demonstrated in teaching, research, and publication of findings. It is appropriate that all such activity be subject to the careful scrutiny of professional colleagues, and that such scrutiny serve as the primary basis for the evaluation of one's qualifications for continued membership in the University. It is therefore important that there be a clear understanding between the University and each member of the faculty as to the terms of membership, the extent of duties, and the principles for evaluation of service. Under no circumstances may such an agreement abrogate a faculty member's basic rights as a citizen and private person to pursue such chosen ends and interests as are consistent with the laws governing all members of society. At the same time it should be recognized that membership in the University inevitably provides an expansion and enhancement of the powers of a private person and that no member of the faculty is entitled to take advantage of such increased powers either for the promulgation of purely personal opinions or for the pursuit of aims not consistent with the mission of the University.

*The provisions of this chapter do not apply to the following individuals: (a) part-time faculty; (b) instructors who are also working towards advanced degrees at The University of Tennessee, Knoxville; (c) faculty who are appointed to positions funded from grants or contracts and who are notified in writing that such service is not applicable to consideration for tenure; (d) faculty holding limited-term appointments; (e) individuals who are appointed in the University in administrative positions with academic rank and who are notified in writing that such service is not applicable to consideration for tenure. Such personnel, however, do have access to the procedures described in the section entitled, "Review of Complaints Concerning Alleged Violations of Academic Freedom."

More specifically, every faculty member enjoys an unusual opportunity to know and to influence a large number of students, both within the classroom and within the wider context of University life. This is not an opportunity which is open to the average citizen. As a member of the University community, therefore, the faculty member is not simply a private person. Academic freedom must be exercised in such a way as to claim no more authority than one's professional competence and the nature of one's appointment render appropriate.

In all contexts outside the University the faculty member must distinguish between purely personal actions or opinions and activities undertaken on behalf of the University. The University assumes no responsibility for the extramural statements of the faculty, and every such member shall in appropriate cases make it clear that his statements are personal with him or her and are not sponsored or approved by the University. Only under such conditions can the faculty enjoy mutual confidence and loyalty within its own company or command the respect and support of the society to which the University is responsible.

Probationary Employment. All faculty members are entitled to fair and reasonable procedures in the determination of their employment—its nature, scope, and extent.

Except in the case of temporary (i.e., limited-term) appointments, the first several years of service constitute a probationary period during which faculty members are expected to demonstrate their fundamental competence as scholars and teachers as well as their promise of long-term usefulness to the mission and programs of the University.

Prior to the end of the probationary period (which may vary from one to seven years, depending upon rank and prior experience at the time of initial appointment, as well as upon quality of performance), a judgment is made concerning tenure. Time spent on leave from the University will not be considered as part of the probationary period. If tenure is granted, the University declares thereby that there is a reasonable presumption of the individual's professional excellence. Once tenure has been granted, the benefit of doubt concerning this excellence is shifted from the University to the individual. This presumption is rebuttable and must not be taken in any sense as a guarantee of lifetime employment. The burden of rebutting the presumption of professional fitness rests with the University. In no case may the individual be dismissed from the University without academic due process, outlined below.

Tenure is thus defined as follows: Within the limitations of The University of Tennessee *Charter and By-Laws*, academic tenure provides expectation of continuing employment that will not be terminated except for (a) demonstration of adequate cause after the opportunity for a hearing in accordance with the procedures for termination of tenured personnel; (b) *bona fide* financial exigencies affecting the University which require termination of one or more faculty members; and (c) retirement.

Tenure is not granted until after the individual has completed at least one academic teaching year at UT, Knoxville, regardless of prior service or academic rank.

Previous full-time service with faculty status at other colleges or universities may be considered part of the probationary period, although it may be agreed in writing that the new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years. The number of years accepted as a part of the probationary period will be acknowledged in the initial letter of appointment for each new faculty member, so that the number of probationary years allowed the faculty member at The University of Tennessee, Knoxville, is clearly understood by the individual and the institution.

By state law, tenure is not granted to persons who are not citizens of the United States.

The distinction between tenured and untenured faculty in no way entails a distinction between those with academic freedom and those without it; nor does it entail a distinction between persons entitled to due process in the determination of continued employment and persons not so entitled, although the procedures for terminating tenured and untenured faculty are not identical, as explained in subsequent sections of this chapter.

Procedures Governing the Probationary Period. The faculty member is advised at the time of initial appointment of the general nature of the duties expected of him or her. Specific responsibilities are assigned to faculty from term to term by the department head. General information concerning criteria for evaluation of performance and the procedures for this evaluation is made available in the *Faculty Handbook* and other sources. Special circumstances, standards, and details applicable in any individual case are explained in the department, school, or college.

As part of the continuing management-by-objective process, each faculty member is evaluated annually in relation to decisions concerning promotion, salary adjustments, and the granting of tenure. The faculty member will be advised, in writing, by the department head or other appropriate administrative official of the schedule for this evaluation; and he or she will be given the opportunity to submit evidence relevant to the review of his or her performance and future promise.

Retention evaluations of all probationary faculty are conducted by the following reviewing agencies:

(1) the department head or other responsible administrative official, after consultation with the tenured faculty of the department and, where appropriate, students, faculty outside the department, and professional colleagues;



(2) the dean or director of the college or administrative unit;

(3) the Vice Chancellor for Academic Affairs or, where appropriate, the Vice Chancellor for Graduate Studies and Research;

(4) the Chancellor;

(5) the President;

(6) the Board of Trustees.

The primary bases for a recommendation of retention are the academic and scholarly qualifications and achievements of the candidate, the promise of continued professional growth, the extent of potential contribution to the University, and the present or projected staffing needs of the University.

Unless the faculty member receives an affirmative recommendation for tenure before the beginning of his last probationary year, his or her appointment at the University will be terminated at the end of that year.

Not later than March 1 of the first academic year of service, the individual who will not be reappointed for a second year will be notified in writing by the Vice Chancellor for Academic Affairs, or, where appropriate, the Vice Chancellor for Graduate Studies and Research, upon recommendation of the department head and the dean. If an appointment of this kind terminates during the academic year, the individual must be so notified at least three months in advance. If an individual is in a second year of service, the notification will be not later than December 15 of that year (or, if the appointment terminates during an academic year, the notification will be at least six months in advance). If the individual has served two or more years at the University, such notice will be given twelve months before the expiration of the appointment.

The faculty member who has thus received notice of non-reappointment may request, either orally or in writing, an account of the reasons for the decision not to reappoint. Such a request must be sent to the appropriate vice chancellor within three weeks after receipt of the notice of non-reappointment. An account of these reasons will then be given, in writing if so requested, by the vice chancellor or his or her designate within three weeks after receipt of the request. The faculty member may request a reconsideration by the Vice Chancellor for Academic Affairs, or where appropriate, the Vice Chancellor for Graduate Studies and Research.

Review of Complaints Concerning Alleged Violations of Academic Freedom. If a faculty member feels that a non-reappointment constitutes a violation of academic freedom, he or she may ask for a review of the decision by the department head, the dean, and the appropriate vice chancellor. Beyond this, he or she may ask the appropriate vice chancellor for a conference with the Faculty Senate Tenure Advisory Committee, which committee shall be elected annually by the Faculty Senate and whose membership shall be composed of representatives from the faculty and the administration. A committee member will remove himself or herself from the consideration of any case if he or she deems himself or herself disqualified by reason of bias of interest. The faculty member's allegations shall be accompanied by a statement that he or she agrees to the presentation, for the consideration of the committee, of such reasons and evidence as the institution may allege in support of its decision. The committee will determine whether or not the notice of non-reappointment constitutes a violation of academic freedom. The Faculty Senate Tenure Advisory Committee will transmit its findings and recommendations to the Chancellor, who will either confirm the non-reappointment, ask for further review of the case at which proceedings the burden of proof would be upon the faculty member, or extend the appointment. The faculty member has the right of further appeal to the President and the Board of Trustees.

Tenure Appointments. The University of Tennessee Board of Trustees adopted the following statement on the granting of tenure at its June, 1971, meeting:

Tenure shall be granted only through positive action. No person shall attain or be granted tenure at the time of initial appointment or thereafter except upon the approval of the appropriate department head, dean, academic vice chancellor, chancellor, the President of the University, and the Board of Trustees. Tenure, after approval by the Board of Trustees, shall become effective when confirmed in writing by the appropriate chancellor.

Consequently, recommendations for the granting of tenure by the Board of Trustees are made by the following persons:

- (1) The department head, after consultation with tenured faculty of the department and, where appropriate, with students, faculty outside the department, and professional colleagues,
- (2) The dean or director of the college or administrative unit,
- (3) The Vice Chancellor for Academic Affairs or, where appropriate, the Vice Chancellor for Graduate Studies and Research,
- (4) The Chancellor,
- (5) The President.

Notice of granting of tenure by the Board of Trustees will be given by the Chancellor immediately following Board action.

Criteria for Tenure Decisions. The following criteria are relevant to decisions governing the awarding of tenure. The list is not necessarily comprehensive, nor should it be assumed that the items are of equal significance, that each is essential for every individual under consideration, or that they are arranged according to relative importance.

- (1) Teaching effectiveness,
- (2) Evidence of scholarship in written work and in teaching,
- (3) Service to the community and the state,
- (4) Staffing needs of the University,
- (5) Professional degrees, awards, and achievements,
- (6) Promise of professional growth,
- (7) Advisory service to students,
- (8) Direction of graduate student research,
- (9) Professional activities,
- (10) Membership and leadership in professional organizations,
- (11) Participation in University activities,
- (12) Service to the University,
- (13) Demonstrated ability to relate effectively to students and colleagues.

Tenure is granted only to full-time faculty in the following ranks: professor, associate professor, assistant professor, and, under special circumstances, instructor.

Procedures for Termination of Tenured Personnel. The services of tenured faculty members may be terminated for adequate cause, extraordinary circumstances because of financial exigencies, and retirement for age.

- (1) "Adequate cause" for dismissal is defined as incompetence (which shall include willful neglect of duty) or moral turpitude related to the fitness of a faculty member in his or her professional capacity as a teacher or researcher. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights as American citizens. Dismissal on the grounds of moral turpitude is based on that behavior which is utterly blameworthy with respect to the faculty member's fitness in his professional capacity. The standard is behavior that would evoke condemnation by the academic community generally.

(2) "Extraordinary circumstances" means financial exigencies affecting the University which require termination of service of one or more faculty members. It is understood that the University shall exert every effort to make suitable adjustments in assignments of personnel, with weight being given to seniority of service. The place of any faculty member so released shall not be filled by a replacement within a period of two years, unless the released faculty member has been offered in writing reappointment at the rank he or she held at the time of termination with comparable remuneration, and he or she has declined.

(3) The retirement age within the University is legally defined as 65 years, with the effective date for retirement being August 31 of the academic year in which the faculty member attains age 65. However, it is also provided that personnel who attain age 65 may be continued in full employment at the discretion of the University for one-year periods not to exceed age 70. There is an annual review of the status of each person who has attained age 65. This review is accomplished through the normal administrative channels which are followed in budget making, promotions, and similar matters.

The process for termination for adequate cause of a faculty member with tenure or with a special or probationary appointment before the end of a specified term is as follows:

Dismissal of a faculty member with tenure, or with a special or probationary appointment before the end of the specified term, will be preceded by:

(1) discussions between the faculty member and the Vice Chancellor for Academic Affairs or, where appropriate, the Vice Chancellor for Graduate Studies and Research, looking toward an amicable settlement;

(2) informal inquiry by the Faculty Senate Tenure Advisory Committee which may, failing to effect an adjustment, determine whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding upon the Chancellor;

(3) a statement of charges, framed with reasonable particularity by the Chancellor or his delegate.

A dismissal will be preceded by a statement of reasons, and the individual concerned will have the right to be heard by a special committee appointed by the faculty representatives on the Faculty Senate Executive Committee and consisting of members of the faculty and the administration. Members of the special committee will remove themselves from the case if they deem themselves disqualified for service by reason of bias or interest.

(1) Service of notice of hearing with specific charges in writing will be made at least 20 days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges against him or asserts that the charges do not support a finding of adequate cause, the hearing tribunal will evaluate all available evidence and rest its recommendation upon the evidence in the record.

(2) During the proceedings the faculty member will be permitted to have an academic advisor and counsel of his or her choice.

(3) A verbatim record of the hearings will be taken and a typewritten copy will be made available to the faculty member without cost to him or her upon request.

(4) The burden of proof that adequate cause exists rests with the University and shall be satisfied only by clear and convincing evidence in the record considered as a whole.

(5) The hearing tribunal will grant adjournments to enable either party to investigate evidence to which a valid claim of surprise is made.

(6) The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the University will, insofar as possible, secure the cooperation of such witnesses and make available necessary documents and other evidence within its control.

(7) The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the committee determines that the interests of justice require admission of his statement, the committee will identify the witness, disclose his or her statement, and if possible provide for interrogatories.

(8) In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.

(9) The hearing committee will not be bound by strict rules of legal evidence, and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.

(10) The findings of fact and the decision will be based solely on the hearing record.

(11) Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the Board of Trustees. The Chancellor and the faculty member will be notified of the decision in writing and will be given a copy of the record of the hearing.



(12) If the hearing committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the Chancellor. If the Chancellor rejects the report, he will state his reasons for doing so, in writing, to the hearing committee and to the faculty member, and provide an opportunity for response before transmitting the case to the President and the Board of Trustees. If the hearing committee concludes that adequate cause for dismissal has been established, but that an academic penalty less than dismissal would be more appropriate, it will so recommend, with supporting reasons.

If dismissal or other penalty is recommended, the Chancellor will transmit the record and his recommendations to the President and the Board of Trustees. Review by the Board of Trustees will be based on the record of the committee hearing, and it will provide opportunity for argument, oral or written or both, by the principals at the hearing or by their representatives.

Until the final decision upon termination of an appointment has been reached, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to himself or herself or others is threatened by his or her continuance. Before suspending a faculty member, pending an ultimate determination of his or her status through the institution's hearing machinery, the administration will consult with the Faculty Senate Tenure Advisory Committee. Suspension is appropriate only pending a hearing; a suspension which is intended to be final is a dismissal and will be dealt with as such.

In any case of suspension the accused faculty member should suffer no loss of salary unless his or her appointment is duly terminated, in which event the committee, subject to the approval of the Board, will determine the date of termination, and in determining that date may take into account the length and quality of service of the faculty member.

Tenure for Administrative Personnel. The tenure of a faculty member who holds an administrative position, such as that of dean or department head, extends only to the faculty position which he or she holds conjointly with such administrative position.

FACULTY TERMINATIONS

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Termination of Tenured and Untenured Personnel. Termination of all appointments, other than by retirement or resignation, or after a period of employment specified in the original letter of appointment, is conducted in the manner described in Chapter 5 of this manual.



Resignation. It is the clear obligation of faculty members who wish to resign to make their resignations effective at the end of the academic year, or under exceptional circumstances, at the end of an academic quarter. In all cases notification of resignation should be made early enough to obviate serious embarrassment or inconvenience to the University.

Pay Due on Resignation. Leave pay due on resignation will include a pro rata share of annual leave. Teaching faculty serving on nine month appointments and severing connection with the University before the end of the academic year are paid for the number of quarters of teaching on the basis of one-third of the annual salary per quarter. Example: At an annual salary of \$12,000, with resignation at the end of the winter quarter, the faculty member would be entitled to two-thirds of \$12,000 or \$8,000. The individual would have been paid through February one-half of his or her salary for the appointment year, which runs from September 1 through August 31. The faculty member would, therefore, receive \$2,000 (less normal deductions) for March to terminate his or her services.

Death. The University policy with reference to pay for services rendered by faculty in active service whose appointment year is terminated by death is as follows:

Personnel employed on a nine-month basis: The beneficiary of the deceased faculty member will receive the pro rata share of the annual salary earned but unpaid at the time of death plus one calendar month's pay.

Personnel employed on a twelve-month basis: The beneficiary of the deceased faculty member will receive his/her regular pay to the end of the month in which death occurred, plus accrued annual leave, plus one calendar month's pay.

LEAVES OF ABSENCE, VACATIONS, AND HOLIDAYS

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The University views favorably leaves of absence for professional growth and development. Leaves of absence may be granted upon written request of the faculty member and upon the recommendation of the department head, dean or director, the appropriate vice chancellor, and the Chancellor.

Leaves of absence are normally granted for not more than one year and normally without University compensation. Each individual case will be considered on its own merit.

Sick Leave. The policy of the University is to grant sick leave. The administration of this policy varies with the circumstances of the individual case. Factors considered in making the determination are: (a) length of service, (b) necessity for replacement, (c) quality of past service and potential future with the University.

Military Leaves for Short Tours of Active Duty. Tennessee law authorizes leaves of absence from their respective duties for members of the reserve components of the Armed Forces of the United States who are employees of the state, or any political subdivisions thereof. Any regular employee of the University, at any location, who is a member of a reserve component of the Armed Forces of the United States is entitled to a leave of absence without loss of time, pay, legal leave, vacation leave, impairment of efficiency rating, or any other rights or benefits to which he or she would otherwise be entitled for all periods of military service during which he or she is engaged in the performance of duty or training in the service of this state or of the United States. Such officer or employee, while on such military leave, is paid his or her salary or compensation for a period or periods not to exceed fifteen working days in any one calendar year. Academic faculty members are expected to perform their active duty military training in the summer and when they are not receiving extra pay for summer session.

Policy Relative to Extended Military Leave. Except under emergency conditions of total war, faculty and staff members should not seek active military duty at dates which would conflict with the normal conduct of University business appropriate to their employment. Since members of the reserve forces may be called involuntarily at dates not selected by the individual, the University will cooperate with such staff members and the Armed Forces in every manner possible. In general, the person called to active duty will be placed on military leave effective the date of his or her assumption of active military duty and will be returned to the employment of the University at the end of active duty. If such dates do not coincide with the beginning or ending dates of the academic year or of any school term, the computation of and payment for accrued leave, if any, as well as the specific dates for release from and resumption of University duties, will have to be determined by appropriate officials in each particular case. Persons returning from military leave will enjoy the same rights and privileges to which they were entitled before they began military duty.

It is the duty of the department to find replacements for persons so called, if necessary.

Fringe Benefits of University Employees on Leave, with Particular Reference to Military Leave. Although the University has no option in choosing the date at which the leave becomes effective, military leaves will be treated in the same manner as normal leave in respect to fringe benefits.

(1) *Social Security.* Social Security deductions and contributions by the employer will cease with the last pay check payable to the employee before the employee goes on leave and will be renewed with the first check from the University after return from leave.

(2) *TIAA-CREF.* Contributions on the part of the employer cease with the last pay check to the employee. The employee, however, may elect to continue contributions by depositing with the University Treasurer several months' payments in advance and having the remittance made through University channels.

(3) *Hospitalization-Life Insurance.* Hospitalization-life insurance coverage may be continued while the employee is on leave if he or she is willing to pay the entire premium applicable thereto. These premiums should be paid at least quarterly in advance to the Treasurer's Office.

Maternity Leave. The following applies to University personnel on twelve-month appointments:

An employee who is pregnant will be granted a maternity leave of absence on request. An employee will be granted leave without pay for maternity reasons after she has used any sick leave or vacation leave for which she is eligible. The use of sick leave for this purpose is limited to the period(s) during which the employee's doctor certifies that she is disabled for work.

If the employee indicates that she does not intend to return to work after childbirth, a letter of resignation should be obtained. Despite such a letter, the employee may be eligible for unemployment compensation under applicable state laws and regulations if she reapplies for work and is not reemployed.

The beginning date of maternity leave is normally at the end of the seventh month of pregnancy. However, the date may be earlier or later if the employee's obstetrician regards it to be in the best interest of the employee or of the University.

Normally, maternity leave will end within a three-month period following childbirth. Additional leave time may be allowed if the employee's physician states, in writing, that it is needed for medical reasons. Upon returning to work, the employee shall present a physician's statement indicating the employee's ability to resume work.

If within the three-month period following childbirth an employee has not returned to work or notified the department head in writing that she desires to return to work, she will be considered to have resigned her position and may be terminated.

An employee returning from maternity leave will be entitled to the same position or similar position at the same level and rate of pay from which she left.

Maternity leave for faculty on nine-month appointments is also granted.

Vacations and Holidays. The importance of rest and recreation is recognized, and faculty should avail themselves of the opportunity to take vacations. All personnel are expected to keep their administrative superiors informed of their whereabouts in periods of absence.

Annual Vacations for Personnel Employed on a Twelve-Month Basis. Faculty members regularly employed on a twelve-month basis are entitled to 24 working days annual vacation with pay. Faculty on twelve-month appointments may accumulate and carry forward from one calendar year to the next a maximum of the number of days vacation which they earned in that year. In the event an employee on twelve-month appointment has a greater accumulation than one year's entitlement at the end of any calendar year, the carry-forward amount will be reduced to the amount accrued during that calendar year. The faculty member will arrange the timing of vacations with his or her immediate superior.



Annual Vacations for Personnel Employed on a Nine-Month Basis. All faculty members regularly employed on a nine-month basis are considered to be on vacation after the spring quarter Commencement, and all reports have been made, to a reasonable period prior to the beginning of the fall quarter.

Designated Holidays. The following holidays are normally recognized by the University, and others may be declared from time to time by the administration.

New Year's Day	Thanksgiving Day
Independence Day	Christmas
Labor Day	

RETIREMENT PLANS FOR ACADEMIC AND ADMINISTRATIVE PERSONNEL

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Social Security. All full-time faculty members are automatically covered under the provisions of the Federal Old Age and Survivors Insurance Program (Social Security). Eligibility is prescribed by the terms of a private contract with the Social Security Administration since the University is not automatically covered by law. No enrollment forms or physical examinations are necessary. The University and the employee each contribute at the rate prescribed by the current Federal Social Security legislation.

Part-time faculty are covered under Social Security if they are appointed for the entire three quarters of the school year and teach six credit hours each quarter and/or eighteen credit hours for the total school year.

University of Tennessee Retirement Plans. Retirement benefits for faculty and staff of The University of Tennessee are provided through two separate retirement plans. Non-academic employees are covered in the Tennessee Consolidated Retirement System, the same plan which provides retirement allowances for state employees. Faculty and staff members are eligible for the Joint Contributory Retirement System (TIAA-CREF) if they are engaged in professional duties classified as teaching, library service, public service, research, administrative, or administrative-professional. Specifically excluded from membership are the following categories of employees:

1. *Bona fide* students (as defined by the University), including teaching assistants, graduate assistants, student laboratory assistants, and educational interns;
2. Visiting or temporary teaching staff of whatever rank, employed without a view to continuous duty, except in the case of individuals who have existing contracts with TIAA-CREF (see "Limited-term Appointments" in Chapter 3, above);
3. Employees eligible to be covered under a federal retirement act;
4. Part-time employees who, in the case of teaching faculty, are not considered "regular part-time." The definition of eligibility is currently under study.

Staff members classified as administrative or administrative-professional have the option of participation in the Tennessee Consolidated Retirement System or the Joint Contributory Retirement System.

Full details concerning eligibility for and benefits of these two retirement systems may be found in the handbook, *Benefits and Services Available to Faculty and Staff of The University of Tennessee*, distributed from the Office of the Chancellor.

The University provides the following insurance provisions for the faculty.

Health, Accident, and Hospitalization Group Insurance Plan. Faculty members may participate in a University-approved group insurance plan through the Provident Life and Accident Insurance Company of Chattanooga. A full-time faculty member may apply for insurance under several coverages: (1) the basic joint contributory hospitalization, life, and modified major medical insurance; (2) sickness and accident insurance; (3) extended major medical insurance; and (4) long-term disability insurance. If the faculty member desires coverage under one or more of these policies, he or she should complete the required application forms on each policy. Application forms should be forwarded with other appointment data.

Part-time faculty are eligible for insurance benefits if their appointments are for at least two consecutive quarters and for at least 75% of full-time effort.

A new faculty member is eligible for coverage after completion of one month of employment, provided applications are properly signed and processed. He or she will be insured on the first day of the calendar month coinciding with or following completion of one month's service. New or former employees who fail to complete their application forms within sixty days from date of employment may secure group insurance coverage by furnishing the insurance company with satisfactory evidence of insurability, submitted at the expense of the employee. New faculty members will normally be notified of these insurance policies by their deans, directors, or department chairmen. Any faculty member, however, should feel free to investigate these policies and obtain those which he or she desires to carry.

Those who carry this insurance may make a change of dependency coverage whenever warranted, cancel the insurance by giving written notification, or convert the basic hospitalization policy when they terminate active employment with the University. The University pays one-half of the total cost of the Basic Group Hospitalization Insurance Program (coverage 1 above).

Claim blanks are available in the Office of the Treasurer of the University where premiums are handled through payroll deductions. Complete details concerning insurance benefits obtainable through the University are found in the handbook, *Benefits and Services Available to Faculty and Staff of The University of Tennessee*, distributed from the Office of the Chancellor.

Comprehensive General Public Liability Insurance. The University carries this insurance in the event non-employees are injured due to negligence on the part of University employees or defectiveness of University buildings, campus, or equipment.

Workmen's Compensation Insurance. This insurance permits the University, although not waiving its immunity as an arm of the state, to accept the provisions of the Tennessee Workmen's Compensation Act and provides the benefits prescribed by the Act for its employees injured in line of duty. Additional benefits over and above those required by the Act are provided by the policy in that full medical expenses resulting from an accident are covered (the requirements of the Compensation Act limit the amount of medical expenses which may be required of an employer).

In order to take advantage of this insurance, employees must report accidents immediately. The accident report should be in writing and should cover all the basic details relating to the accident. Knoxville personnel should send reports direct to the following persons:

C. T. Nunley, Physical Plant Office

W. D. Bishop (for all accidents involving Agricultural Extension Service)

Liability Insurance Coverage. The following statements set forth the basic coverage in force in the various liability insurance areas. Additional information may be obtained from the Office of the Treasurer or Legal Counsel.

(1) *Automobile Liability Insurance.* The University carries blanket automobile liability insurance coverage on all University owned and leased motor vehicles which are licensed to operate on public roads. The limits of this coverage are \$100,000 per person/\$300,000 per accident for bodily injury and \$50,000 per accident for property damage. This liability protection against claims or awards for damages extends to University employees and other authorized personnel who may be driving such vehicles at the time of an accident.

The University's automobile liability policy does not provide any automatic medical benefits to the driver, to passengers, or other third parties who may be injured in an accident involving a University automobile. The protection afforded is only from judgments for damages which might be awarded against the University or the driver as the result of an accident. Bodily injury to fellow University employees occurring in the course of their employment is excluded from the coverage extended an employee. However, the benefits of Workmen's Compensation Insurance are available to University employees for such injuries.

Protection under the University's automobile liability policy does not extend to owners of personal vehicles who may be driving them on official University business. Staff members who use their personal cars on University business, and particularly those who may transport students on field trips and other outings, should maintain adequate personal automobile liability insurance coverage.

It is not the policy of the University to carry collision insurance on its vehicles since experience has indicated that it is more economical to self-insure this risk.

(2) *Public Liability Insurance.* There are many distinct and rather technical areas of liability insurance. Set forth below are the basic areas and scope of coverages afforded by the University's liability policy.

a. *Insurance company's general obligation.* The insurance carrier is obligated to pay on behalf of the insured all sums which the insured *shall become legally obligated to pay as damages* because of bodily injury, personal injury, or property damage to which this insurance applies, caused by an occurrence, and the company has the right and duty to defend any suit against the insured seeking damages on account of bodily injury, personal injury, or property damage.

b. *Parties covered as "named insureds."* Protection is afforded to The University of Tennessee and to any member of the teaching or administrative staff or other employee of the University as "named insureds" for occurrences within the scope of the policy coverages.

c. *Scope of policy coverages*

1. *Comprehensive General Liability Insurance.* This area of coverage pertains to suits or damages because of bodily injury or property damage resulting to *third parties*. Coverage is not afforded under this portion of the policy for bodily injury occurring in the course of employment or property damage incurred by or resulting to University employees.

2. *Personal Injury Liability Insurance.* This area of coverage pertains to the following group of offenses: (a) false arrest, detention or imprisonment, or malicious prosecution; (b) libel, slander, defamation, or violation of right of privacy; and (c) wrongful entry or eviction or other invasion of right of private occupancy.

3. *Contractual Liability Insurance.* This area of coverage pertains to damages or suits resulting from contractual liability assumed by the University under written contracts with third parties.

d. *Limits of coverage.* The policy limits for the above coverages are as follows:

Comprehensive General Liability—

Bodily injury \$100,000.00 each person; \$300,000.00 each occurrence

Property damage \$50,000.00 each occurrence; \$50,000.00 aggregate

Personal Injury Liability—

Each person aggregate \$100,000.00; general aggregate \$300,000.00

Contractual Liability Insurance—

Bodily injury \$100,000.00 each person; \$300,000.00 each occurrence

Property damage \$25,000.00 each occurrence; \$25,000.00 aggregate

Druggists' Liability Insurance—

Each claim \$100,000.00; aggregate \$300,000.00

(3) *Nuclear Energy Liability Insurance.* The University is confronted with a special exposure in the operation of the Nuclear Engineering Facility on the Knoxville campus and in the use of isotopes and other nuclear material in its research operations. In view of the relative newness and as yet unassessable nature and degree of risk for this exposure, standard liability policies exclude some areas of coverage. As protection from such hazard, the University carries a special policy with the Nuclear Energy Liability Insurance Association, which Association consists of a group of major insurance companies which have pooled their resources to underwrite specialized risks involving nuclear hazard.

(4) *Aircraft Liability Insurance.* The University maintains liability insurance coverage on its airplanes which insures against damages for personal injury or property damage that might result from an accident. The limits vary with the size of the plane. Such policies also provide medical care for injured parties and contain provision for admitted liability for amounts up to \$100,000.00 in the case of death to passengers and guests including crew members.

(5) *Umbrella Liability Coverage.* The University carries an "Umbrella Liability Policy" in the amount of \$1,000,000.00 which affords additional coverage to the University for damages or judgments which may be in excess of the basic underlying policy limits for the various liability coverages as outlined above. This policy also affords coverage (subject to a \$10,000,000 retained limit) for a particular happening which might not be covered by the basic policy protection.

RESEARCH POLICIES AND PROCEDURES

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Research leads to new knowledge and understanding that is vitally needed by teachers in the classrooms. A faculty member who is actively engaged in research is in the forefront of the development of new knowledge and, as a consequence, is in command of current subject matter for classroom discussion. Being active in research can aid a faculty member in maintaining a level of excellence and at the same time provide the University with prestige which aids in attracting outstanding faculty to the campus. It also provides an effective means for a faculty member to attract and develop well-informed students.

Research leads the way to progress and can provide a better understanding of the social, economic, and environmental problems of the world as well as those that may face an individual. It can contribute to the solving of specific problems facing the nation or the region which the University serves, as well as contribute to the total of man's knowledge. It also has a major role in the analysis of existing literature and the production of new ideas in the arts, the humanities, and the sciences.

Funding Sources. Faculty members are encouraged to participate in research to the extent controlled by limitations on available time and institutional resources.

There are several avenues that a faculty member may pursue for support of research, including:

- (1) Contracts, gifts, and grants from industry, government, and private foundations,
- (2) Institutional grants (federally funded),
- (3) Faculty Research Fund,
- (4) Support from departmental budget,
- (5) Self support, i.e., without financial aid.

The funding source depends on the nature of the work involved. It is most desirable to secure funds from external sources as University funds are limited in amount and purpose. Internal support should, whenever possible, be viewed as a method for initiating an effort that will lead to external assistance.

Faculty Research Fund. The Faculty Research Fund derives its moneys from indirect costs received from contracts and grants as well as educational allowances on graduate fellowships. It is used primarily to support research of younger faculty members in areas where outside support is difficult to obtain, and to provide seed money in other areas where a small local investment may result in support from non-University sources. Applications for support may be obtained from the Office of Graduate Studies and Research usually in late fall.

Faculty Time. A faculty member may arrange with his or her department head to be released from certain scheduled duties to provide the time for research activities. Released time may be for some fraction or all of the individual's work load, for any particular academic quarter. The amount of time an individual faculty member assigns to research varies widely from quarter to quarter and from department to department depending on the sponsoring source and level of funding. At the beginning of each academic year, the department head reviews the work load of the faculty to determine the commitments for teaching, active research, anticipated research, and the active and anticipated public service activities. During the year, a faculty member may acquire a research contract, and as a result, his or her teaching load may be reduced so that he or she may spend the required time on the contract. The department recovers into its budget the amount of funds paid for time spent by a faculty member on the research project. It is necessary that the faculty member work closely with the department head in arranging for such released time.

Student Support. The faculty are encouraged to involve students to the fullest extent possible in their research activities. The nature of student support will be governed by the guidelines of the agency supporting the research. In some instances employment may be on an hourly basis while in others the student may be employed as a research assistant with tuition and fees paid from the salary he receives.

Allowable Salary Costs on Federally-Sponsored Research. The allowable costs for research and educational services under grants and contracts supported by the federal government are identified in the OMB Circular A-21. This document describes those direct costs which are reimbursable to the University, including such items as travel, professional services, and faculty salaries. Further, it stipulates that faculty may not charge extra service (overtime) to a federally-supported contract or grant. Copies of the circular are available for review in the Office of Graduate Studies and Research.

Proposal Preparation. Although the individual faculty member initiates each proposal, he or she may receive assistance from the Office of Graduate Studies and Research regarding format, budget preparation, and funding sources. In instances where funding sources are not clearly identified, it is useful for the researcher to prepare a brief synopsis of the project so that it may be discussed with funding agencies which might support the project. This discussion paper could prevent loss of time and energy in the preparation of a formal proposal that might not be addressed to the interests of specific funding agencies. After an appropriate agency has been identified, certain other considerations must be taken into account in the preparation of the proposal. These are primarily concerned with budget matters and other constraints frequently imposed by a funding agency. They may include:

Human Subjects. Whenever human beings are involved in the research as "subjects," there are review procedures that a faculty member must follow prior to submission of the grant application. The degree of review is governed by the source of support. If the project is supported from internal funds, then approval of a departmental review committee is required. If the project is supported by external funds, it will have to be reviewed by the University's Committee on Research Participation.

Project Costs. Project budgets are to include all faculty and staff time to be assigned to the project, whether the costs will be recovered from the contract or supported from the departmental budget. Estimates should include time during the academic year as well as during the summer quarter. In fact, it is desirable to include all appropriate project costs, and there should be no unidentified contribution by the department in either personnel or facilities unless prior permission has been obtained. Full University indirect costs (overhead) are to be claimed unless there are specific instructions to do otherwise.

Indirect Costs (Overhead). The University experiences certain costs associated with conducting research. These costs, established by federal guidelines, are covered through indirect charges to the contracting agencies as based on an audit agreement with the U. S. Department of Health, Education and Welfare. Indirect charges are based on a percentage of total salaries and wages (exclusive of fringe benefits) that are expected to occur in conducting a research or training project. The research rate is different from the training rate; also in both instances off-campus and on-campus rates have been established. Information on current and applicable rates is available from the Office of Graduate Studies and Research.

Staff Benefits. In addition to indirect charges, staff benefits are recovered as a direct charge to research or training projects. These benefits include an allowance for social security, retirement, and insurance. They may be estimated as a percentage of the salary and wages for faculty.

Cost Sharing. Under certain circumstances, the University is required by federal statute to share in the total cost of conducting a research or training project or otherwise performing work under a contract or grant. The amount of cost sharing (usually a percentage of total costs) depends on the particular agency involved and the circumstances of the project. A relatively low degree of cost sharing may be appropriate if, in the view of the federal agency, an area of research requires special stimulus in the national interest. Cost sharing may be accomplished in several ways, but will involve a contribution to one or more of the cost elements contained in the project budget. In the absence of an institutional agreement on cost sharing, participation is normally at least one per cent of total project cost; often, less than five per cent of total cost is acceptable. Agency guidelines will most frequently specify the amount of cost sharing. In the absence of guidelines, cost sharing requirements with any agency may be discussed with the Office of Graduate Studies and Research at the time of the proposal preparation and project budget planning.

Proposal and Contract Processing. The submission of a proposal to the agency for funding considerations proceeds along well-established lines with minimum delay. It is first reviewed by the researcher's department head. That review consists of an appraisal of the relationship of the proposed research to the mission of the faculty and the department. The department head's approval of the proposal is evidence that he or she agrees to the allocation of the faculty member's time, cost sharing requirements, and the use of department facilities in support of the research. Following departmental review, the proposal is referred to the college dean. The dean reviews the proposal in light of the total mission of the college, expenditure of funds, allocation of space, etc. Throughout these two levels of review, the interests and desires of the faculty member proposing the research are given uppermost consideration.

After college review, the proposal is forwarded to the Office of Graduate Studies and Research, where it is reviewed for University commitments, policies, use of facilities, cost sharing, indirect costs, etc. Such details as correctness of the budget and appropriateness of format are also examined. On approval, it is signed by the Vice Chancellor for Graduate Studies and Research and forwarded to the designated granting agency.

The Office of the Vice Chancellor for Graduate Studies and Research also serves the researcher by maintaining information on the research interests and activities of state and federal agencies as well as private foundations and industries. Pertinent material is sent to the appropriate dean and department heads. On many occasions, the Office will arrange for research proposals to be discussed at an agency on behalf of a faculty member to determine mutuality of interest. After the initial contacts are made and the presumptive interests are confirmed or established, the faculty member may desire to communicate directly with the funding agency, although the final proposal must pass through the standard University channels before formal submission.

The final action taken by the Office of the Vice Chancellor for Graduate Studies and Research in connection with a contract or grant occurs when a proposal has been accepted and an agreement or contract is to be signed. When the contract (or agreement) document is received on the campus, it is sent to the researcher for review in relationship to the proposal. Approval of other appropriate academic offices may also be required, particularly if there are significant changes from the original proposal. The Office of the Vice Chancellor for Graduate Studies and Research reviews the document in light of the University commitments. If the document is in order, it is referred to the Director of Finance, Knoxville campus, to the Treasurer and General Counsel, and finally to a Vice President for signature on behalf of the University.

A *Sponsored Research Quarterly* that lists the contracts and grants obtained by University personnel is issued four times a year.

Patents. When the University agrees to conduct a project or render such other services as specified within a contract or grant, it is obligated to grant certain rights in connection with data developed, copyright, invention, etc., in the performance of the work. Consequently, the persons working on the contract or grant may be required to sign an agreement related to discoveries, inventions, and improvements. A copy of the agreement may be obtained from the Office of Graduate Studies and Research.

UT Research Corporation. The University of Tennessee in 1935 chartered the University of Tennessee Research Corporation as a non-profit organization to promote, encourage, and aid scientific, social and/or educational investigation and research in relation to activities of the faculty. The Corporation's principal mission is to assist



faculty and staff members in the development and management of patents. It is managed by a Board of Directors consisting of persons from the University administration as well as the public. The Board meets quarterly to review activities and discuss patent assistance required by faculty and staff members. The president of the organization is the Vice Chancellor for Graduate Studies and Research. Any person interested in receiving assistance from the Corporation should contact its president. The offices are housed in Room 203, Administration Building.

Conflict of Interest. In the conduct of sponsored research, conflict of interest may arise through the favoring of outside interests, through an improper distribution of work effort, or through the interaction of interests which are inadequately disclosed. The University generally endorses the joint statement of the Council of the American Association of University Professors and the American Council on Education on preventing conflicts of interest in government-sponsored research at universities. This statement is available in the Office of Graduate Studies and Research.

Use of Drugs in Research. In 1971 the Federal Controlled Substances Law came into being. This law is designed to improve the regulation of legal handling of narcotics and other dangerous drugs (now called "controlled substances") in an effort to reduce the illicit traffic in these drugs. All faculty using narcotics or other dangerous drugs in their research or teaching programs involving either human beings, lower animals, or plants must now register through campus channels with the state and ultimately obtain a registration number for each of their research projects. It is important, therefore, that a faculty member discuss his or her need for narcotics and/or dangerous drugs during the early planning stages for his or her research project or instructional program. Further information is available in the Office of Graduate Studies and Research.

FACULTY ATTENDANCE AT PROFESSIONAL MEETINGS: TRAVEL POLICIES AND REGULATIONS

11

NOTE: The regulations contained in this chapter are consistent with and subject to revisions of those published by the University in its Manual of Fiscal Policy and Procedures Statements (FPPS, No. 5).

In accordance with the University's general policy of promoting professional growth and development, faculty members are encouraged to attend and participate in professional society meetings.

The policy of the University in this connection is as follows: The travel must be necessary for the proper execution of official University business, or in justifiable pursuit of the University's educational and research objectives. Meetings and conferences to be attended must be of a professional nature that will increase the attending individual's usefulness to the University.

UNIVERSITY TRAVEL REGULATIONS AND PROCEDURES

(1) General Travel Policy:

a. The regulations in this section govern travel at University expense. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement claimed in accordance with regulations herein. Each department head must require that all individuals in his department who travel or are involved in processing expense accounts are thoroughly familiar with these regulations.

b. General University travel is on the basis of reimbursement for the actual and necessary expenses incurred, subject to the limitations set forth herein. Receipts must be submitted with the expense account for each expenditure of \$2 or more, except for meals, taxi fare, and bus fare under \$5. An accurate record must be kept of expenses incurred, since reimbursement will not be made on estimates. Allowances in lieu of expenses will not be approved except in the case of mileage for use of private automobiles.

c. Regulations relating to travel of University personnel whose expenses are to be paid from special grant or contract funds will be in accordance with provisions of the grant or contract where such instruments specify travel regulations.

d. Expense which is incurred at the official station of any officer or employee will not be allowed. The official station is office headquarters or the designated location of employees established in the field. Deviations for unusual or hardship cases must be justified and authorized in advance.

e. The limits on travel expenses set forth herein are not to be construed as an indication of amounts that should be spent. Instead, these are maximum amounts above which reimbursements cannot be made. University employees in traveling should be as conservative as good taste and circumstances permit.

(2) Authorization for Official Travel:

a. A properly executed Travel Authorization Form (No. T-18) must accompany each request for reimbursement of official travel (available from the Treasurer's Office). This authorization, when properly approved, is *prima facie* evidence of the official nature of the travel and serves as supporting documentation for workmen's compensation and related insurance claims in the event of accidental injury or death. For this reason, staff members must initiate travel authorization forms sufficiently in advance in order that they may be reviewed and approved by the appropriate authority and returned prior to the departure date. For intra-state travel, the dean or director will approve all travel of his college or division personnel. The appropriate vice chancellor will approve travel for the deans and directors. For inter-state travel, all trips must be recommended in advance by the dean or director, then approved by the appropriate vice chancellor.

b. Requests for authorization for travel must show the purpose of the trip, destinations, length of travel status, date and time of leaving and return, and mode of transportation.

c. The original of the approved Travel Authorization (Form T-18) must be attached to the expense account when submitted to the Treasurer for reimbursement.

d. Deans, directors, department heads, and others authorized to approve travel requests will be guided by the following considerations:

1. The travel must be necessary for the proper execution of official University business, or in justifiable pursuit of the University's educational and research objectives.

2. Meetings and conferences to be attended must be of a professional nature that will increase the attending individual's usefulness to the University.

3. Attendance of an individual at professional or scientific meetings should be limited to not more than one per fiscal year unless he is invited to deliver papers at more than one meeting or unless he is an association officer whose attendance is required at more than one meeting.

4. If more than one individual is attending the same meeting, the authorizing official will approve the use of a University car whenever available. If authorization is given for the use of a University car to attend a convention or meeting, no concurrent authorization for other modes of travel at University expense shall be granted unless there is an excess of four official representatives for each University car making the trip, or unless sufficient justification is made.

5. On minor travel items, authorization may be made by groups, and, if so, expense accounts for each group must be liquidated at the same time.

6. Established field travel may be covered by blanket travel authorization for definite periods of time.

7. Distribution of approved authorizations is as stated on Form T-18.

(3) *Transportation Expense:*

a. Transportation for persons traveling singly should be by common carrier (air, train, bus) wherever practical. Advantages must be taken of round-trip rates when available. Travel must be by the most direct route possible, and any individual traveling by an indirect route must bear the extra expense occasioned thereby.

b. *Air Travel.* The use of airplane travel is recommended when the cost of the employee's time is an important factor and when the trip is so long that other methods of travel would increase the subsistence expense. The traveler's copy of the airline ticket or an acceptable receipt must be submitted with the expense account. See paragraphs 7 and 8 for approved procedures for securing of and/or claiming reimbursement for commercial transportation.

The current University regulations require that accommodations for air travel be by tourist or economy class. In the event that more expensive accommodations are required, an explanatory notation must be made on the request for reimbursement.

All University employees must follow the above procedures on any expenses to be reimbursed in excess of stated University regulations. If requests for reimbursement are processed to the Treasurer's Office without proper documentation, it is necessary that appropriate adjustments be made or the request be returned for corrections.

c. *Train Travel.* A receipt for the transportation fare (the railroad's ticket envelope with the fare shown on the outside will suffice) must be submitted with the expense account. When Pullman accommodations are used, the Pullman ticket stub must also be submitted with the expense account.

d. *Bus Travel.* A receipt or ticket stub for bus travel must be submitted with the expense account, except in cases of short trips where the fare is less than \$5.

e. *Travel by Automobile.* Automobile transportation may be used to save time when common carrier transportation cannot be satisfactorily scheduled to cover a number of outlying places, or to reduce expenses when two or more University employees are making the trip. Authorization will not be given for the use of more than one automobile unless the number of University employees needing transportation to a common destination exceeds four persons.

1. *University Automobile.* If necessity or economy requires travel by automobile, use should be made of a University-owned automobile whenever one is available. Some branches of the University have automobiles permanently assigned to them, and departments at Knoxville have the facilities of the Motor Pool available. A courtesy card, supplied with Motor Pool automobiles, will be used by the traveler for purchase of gas, oil, and other auto service. Refer to Section IV, paragraph 8d, FPPS No. 5 for procedure for requisitioning a University automobile.

2. *Personally Owned Automobile.* When a University-owned automobile is not available, and necessity or economy requires travel by automobile, use of a personally owned automobile will be authorized. In the event a University employee desires to perform official travel in his personally owned automobile for his personal convenience, it may be authorized provided the University will incur no additional expense above that of other forms of transportation available. Reimbursement will be made as follows:

(a) For use of personal cars by employees in the field who are authorized and required to use personal cars in the daily performance of their duties, or in cases where



two or more University employees are transported, or for persons traveling singly when necessity and economy (as explained and justified on the expense account) require the use of a personal car, a rate of 10 cents per mile will be allowed to the owner.

(b) If, in the performance of official travel, a personally owned automobile, transporting only one University employee, is used for the convenience of the employee, a maximum rate of 8 cents per mile will be allowed.

(c) *The expense account must indicate the traveler's itinerary and must show the mileage by odometer reading.*

(d) If an indirect route is used, mileage as indicated in the Rand-McNally mileage table will be regarded as official.

f. *Limousine Service and Taxi Fares.* If travel is by a common carrier, limousine service or taxi fares necessary to transport the traveler to and from the airport or station, or between carriers, will be allowed. No receipt for this expense will be required, but each fare must be individually listed on the expense account. After arrival at destination, taxi fares for local transportation will not be allowed when regularly established streetcar, bus, or subway service is available unless the necessity of the use of taxis is explained on the expense account.

g. *Car Rentals at Destination.* In the event it is necessary to use a rental car service at the trip destination, or for a portion of the official travel, the procedures set forth in paragraph 7a, b, or c should be followed in securing the service and substantiating the cost thereof on the travel expense account (Form T-3).

h. *Checking-in Expense at Hotels or Motels.* Reimbursement of such expense up to \$1.00 is allowed at each such facility.

i. *Tolls, Ferry Fees, and Parking.* Tolls and ferry fees will be allowed. Necessary charges for hotel and airport parking will be allowed provided the airport parking fees do not exceed normal taxi fare to and from the airport. Receipts must be furnished on airport and hotel parking.

(4) *Subsistence Expense:*

a. *General.* No reimbursement will be made for the expense of meals or lodging incurred within the limits of the employee's official station or place of residence. Unnecessary meals and lodging expenses which are occasioned by the use of an automobile for reasons of the employee's personal convenience, or which are due to travel by an indirect route, will not be allowed. Conservatism is expected in the choice of hotel or motel accommodations. Field personnel located in one place for an extended period are required to negotiate and secure reduced rates.

The hour and date of departure and the hour and date of return must be shown on each expense account.

b. *Lodging.* Lodging expense applies to the date in which the night begins, and actual expenses will be allowed subject to the following limitations:

1. *In-State.* Lodging expenses incurred within the state while on official travel will be reimbursable to a maximum of \$12 per day. Lodging expenses incurred in the cities of Nashville, Memphis, Knoxville, Chattanooga, and the Tri-Cities area will be reimbursable to a maximum of \$14 per day.

2. *Out-of-State.* Lodging expenses incurred out of the state while on official travel will be reimbursable to a maximum of \$20.00 per day. Lodging expenses incurred in the cities of Baltimore, Chicago, Cleveland, Detroit, Houston, Los Angeles, New York, Philadelphia, San Francisco, Washington, D.C., Boston, Atlanta, St. Louis, Dallas-Fort Worth, New Orleans, Miami, or Minneapolis-St. Paul will be reimbursable to a maximum of \$26.00 per day.

3. University representatives to official meetings and conventions are authorized to stay at the officially designated headquarters hotel or motel of the convention or meeting; however, the more moderately priced accommodations must be requested whenever a choice is available.

To qualify for this exception a notation *must* be made on the expense account that the lodging was incurred at the convention or official meeting hotel or motel.

4. If hotel or motel accommodations within the above-stated limits are not available, the additional expense incurred may be reimbursed provided an explanation is placed on the expense account. To qualify for this exception the traveler *must* require the hotel or motel cashier to enter a notation on the lodging receipt that the accommodations used were the lowest priced available.

5. If a room is shared with other than a University employee on official business, three-fourths of the actual cost of the room will be allowed, subject to the maximum limitations set forth above. The receipt for the entire amount should be submitted with the expense account on which three-fourths of the cost is claimed. If the single rate for shared accommodations is in excess of the three-fourths cost, reimbursement may be claimed at the single rate provided documentation of the single rate is submitted with the expense voucher. Such reimbursement is also subject to maximum limits.

6. State sales taxes charged on lodging will be reimbursable to the extent that lodging expense is reimbursable.

c. *Meals.* Following are policies on meal expenses:

1. *In-State.* While on official travel within the state, actual expenses not to exceed \$7.50 per day will be allowed for meals. For fractional days in a travel status, the \$7.50 limit will be prorated as follows: \$1.50 for breakfast, \$2.00 for lunch, \$4.00 for dinner.

2. *Out-of-State.* While on official travel out of the state, actual expenses not to exceed \$10.50 per day will be allowed for meals. For fractional days the \$10.50 limit will be prorated as follows: \$2.00 for breakfast, \$3.00 for lunch, and \$5.50 for dinner.

3. When the daily limit for meals is exceeded because of the cost of an official banquet, the excess will be allowed provided a receipt or proper explanation for the banquet charge is submitted with the expense account.

4. The following time schedule for departure from and return to the official station shall determine eligibility for reimbursement for meals:

	<i>If departure before</i>	<i>If return after</i>
Breakfast	7:00 a.m.	8:00 a.m.
Lunch*	11:00 a.m.	12:00 Noon
Dinner	6:00 p.m.	6:00 p.m.

(5) *Miscellaneous Travel Expense:*

a. Tips and gratuities, laundry, valet service, entertainment, etc., are considered personal rather than official expense and will not be subject to reimbursement on expense accounts.

b. *Charges for long distance telephone calls made on official business will be allowed provided the expense ac-*

count reveals the name and location of the party called, the date of the call, and the nature of the business. Telegram expense will be allowed provided similar information is shown. Necessary local telephone calls made on official business will be allowed.

c. Necessary charges for the transfer and storage of baggage will be allowed provided the necessity is explained on the expense account.

d. Registration fees in the amount necessary to qualify individuals to attend conventions or meetings will be allowed. Any portion of registration fees which covers the cost of personal supplies, social activities, recreational outings, etc., will not be allowed.

e. If the occasion necessitates the paying of meal expenses of other persons properly considered as official guests, the expense should be separately itemized on the expense account, with the names of the guests and their official connection indicated.

(6) *Claims for Travel Expense:*

a. University Form No. T-3 will be used for all claims for travel expense. Form T-3 must be properly filled in, with the items arranged in the proper columns, with correct totals for each column, and with the total of the claim. Legible, properly serial numbered subvouchers must be attached. The expense account must show movement and detail of expenses day to day. The expense account must exhibit and prove the travel and its cost, must be susceptible to check, and must disclose all necessary information to prove the claim. (Refer to FPPS No. 5, Section VII.) Forms T-3 are available from the Treasurer's Office.

b. Expenses for supplies, postage, and other items that do not constitute actual traveling expenses should not be made a part of the T-3 travel expense voucher.

c. Expenses incurred in attending conventions and meetings of associations and organizations must be supported by a program or literature which sets forth the opening and closing dates of the convention.

(7) *Securing of Transportation at Employee's Expense:*

The normal procedure, under University and State of Tennessee travel regulations, for securing commercial transportation for official travel is for the employee to purchase the required authorized transportation at his own expense and to request reimbursement thereof on a travel expense voucher (University Form T-3). The following are approved methods of securing this transportation and substantiating claims for reimbursement thereof:

a. *Cash Purchase of Transportation by Employee.* When the traveling employee pays from his personal funds for necessary transportation required for official travel, acceptable receipt for submission with the travel expense account (Form T-3) is:

*Reimbursement for lunch meals will not be made when travel is completed the same day as begun unless departure is before 7:00 a.m. or return is after 6:00 p.m.

1. The traveler's copy of the transportation ticket which shows itinerary and cost, or

2. A receipt from the transportation company or travel agency indicating the information listed in (1) above, or

3. A ticket envelope of the transportation company indicating the information in (1) above.



b. *Purchase of Transportation by Use of Personal Credit Card.* Employees may use personal credit cards in securing transportation for official travel, and any of the documents listed in Paragraph 7a above which indicate purchase by means of the traveler's personal credit card will be satisfactory evidence of expense incurred for submission for reimbursement on the travel expense account (Form T-3).

c. *Purchase of Transportation Through Personal Charge Account with a Travel Agency or Transportation Company.* Employees may make arrangements with travel agencies or transportation companies for the furnishing of transportation for official travel and billing of the charges to the employee's personal account. In such cases, any of the documents listed in Paragraph 7a above, or the agency's invoice to the employee which identifies the transportation furnished will be satisfactory evidence of expense incurred for submission for reimbursement on the travel expense account (Form T-3).

Such charge accounts or credit arrangements are the personal responsibility of the employee, and invoices for transportation billed to the employee may not be approved for direct payment by the University to agency. The employee must claim reimbursement for such costs on his travel expense account (Form T-3).

(8) *Securing of Transportation at University Expense:*

In cases of long trips involving sizeable transportation costs, and in other cases where the securing of transportation at the employee's personal expense will result in considerable personal financial inconvenience, the employee may arrange through the Treasurer's Office for the securing of the necessary transportation at University expense. Should this accommodation be desired, the following procedures must be employed.

a. *Approved Travel Authorization Required.* When commercial transportation at University expense in advance of the official travel is desired, the employee must present his Approved Travel Authorization Form (Form T-18) to the Treasurer's Office (or appropriate Division Business Office) and request that arrangements be made for the securing of the transportation.

b. *Transportation Request Number.* Upon receipt of each such request, the Treasurer's Office will assign an official Transportation Request number. An approved travel agency or transportation company will be contacted by the Treasurer's Office (or appropriate Division Business Office) and authorized to furnish the transportation and bill the charges to the University. The original of the Travel Authorization Form (Form No. T-18) will be endorsed, "Transportation furnished under Transportation Request No. _____, Date _____."

The traveler will be notified concerning which agency or company is authorized to furnish the transportation, and he will then make his own arrangements regarding schedules, itinerary, delivery of tickets, etc.

c. *Billing and Payment.* Billing for transportation under authorized Transportation Requests will be submitted by the travel agencies or companies directly to the Treasurer's Office (or appropriate Division Business Office), which will check the invoices for compliance with the Transportation Requests and then forward the invoices to the department which is to be charged for departmental approval and recording.

d. *Tickets Nonrefundable.* Agencies and companies issuing transportation on the University's account under such Transportation Requests will stamp such tickets as "nonrefundable." If for any reason tickets secured through this procedure are not used, the tickets must be promptly returned to the Treasurer's Office in order that they may be returned to the agency or company for credit to the University's account.

COMPENSATED OUTSIDE SERVICES*

12

Consulting Work Outside the University. The University of Tennessee recognizes that opportunities exist for faculty members to render worthwhile outside services for which they must be remunerated. Such outside services strengthen the professional competence of the faculty member as a teacher and scholar, enhance the public service role of the University, and frequently open to students valuable opportunities for experience and employment outside the University.

Accordingly, outside engagements of a professional nature are permitted for members of the faculty, under the following provisions:

(1) Prior permission of the department head and dean must be obtained if the work is done during the periods of regular employment.

(2) Such work must not interfere with the faculty member's normal University duties, including those non-classroom responsibilities expected of all faculty members.

(3) The consulting work must be related to the faculty member's normal University duties and must contribute to the effectiveness of his or her regular academic work.

(4) The total amount of time expended by the faculty member on outside activities for pay must not exceed an aggregate of one day per week.

(5) An appropriate payment must be made to the University for the use of any University equipment, supplies, material, or services in the performance of outside consulting work for pay. Agreement on payment to the University must be made prior to usage through consultation with the department head and/or other appropriate administrative official. At no time may University equipment, supplies, material, or services be utilized in outside consulting work when such use would conflict or interfere with University functions.



(6) Consulting work for pay may be undertaken only with the understanding that it is subject to termination at any time the University considers such action to be advisable.

(7) If, in the opinion of the dean and the Vice Chancellor for Academic Affairs, or, where appropriate, the Vice Chancellor for Graduate Studies and Research, the outside consulting work interferes with the regular University duties of the faculty member, the appointment of the faculty member in the University may be changed to a part-time basis.

*The provisions of this chapter do not apply to faculty in the College of Agriculture. These faculty members should consult with the Dean's office concerning policies applicable within the College.

STUDENT RELATIONS AND INSTRUCTION

13

Four sections are quoted from the student handbook, *Hill Topics*, which students receive at the beginning of fall quarter. These sections cover general University expectations of students, student-faculty relations, and five standards of student conduct closely related to instruction. Also included is a statement pertaining to the procedure to be followed in reporting variations from standards of conduct.

University Expectations of Students. The University of Tennessee shares with other academic institutions the responsibility for the transmission of knowledge, the pursuit of truth, the development of students, and the general well-being of society. The programs of study and activities from which the student may choose are designed to develop individuals who are accurately informed, disciplined in thought, and literate in expression. Through his or her University experiences, the student is provided an opportunity to establish a basis for mature private life, intelligent participation in society, and a successful career. In establishing these objectives, the University recognizes its commitment to the education of the complete individual, who is not only intellectually and professionally competent, but also physically able, morally fortified, and spiritually mature. To maintain and advance these goals, the University needs the understanding support and thoughtful assistance of each student.

Free inquiry and free expression are indispensable to the attainment of these goals. The freedom to learn, in particular, is in a large measure dependent upon appropriate opportunities and conditions in the classroom, on the campus, and in the larger community.

Recognizing that responsibility to secure and to respect general conditions conducive to the freedom to learn is shared by all members of the academic community, students should exercise their freedom with responsibility. By registering in the University, the student neither loses the rights nor escapes the duties of a citizen. Enjoying greater opportunities than the average citizen, the University student has greater responsibilities. Each student should conduct his or her personal life in a context of a mutual regard for the rights and privileges of others. It is further expected that students will demonstrate respect for the law and for the necessity of orderly conduct in the affairs of the community.

Students are responsible for being fully acquainted with the University catalog, handbook, and other regulations relating to students and for complying with them in the interest of an orderly and productive community.

Conduct and actions will be measured on an adult standard, and students should understand that they assume full responsibility for the consequences of their actions and behavior. Since the academic community will be judged in large measure by the actions of its members, students should include the implications for their community in their criteria for determining appropriate behavior.

Failure or refusal to comply with the rules and policies established by the University may subject the offender to disciplinary action up to and including suspension from the University.

Access to the University. Within the limits of its facilities and resources, The University of Tennessee, Knoxville, is open to all students who are qualified by its admission standards. The facilities and services of the University are open to all of its full-time students.

Student-Faculty Relationships in the Classroom. Free and pertinent discussion is welcome at the University. Students are free to take reasoned exception to the data or views offered in any course of study and to reserve judgment about matters of opinion. They are responsible, however, for learning the content of any course of study for which they are enrolled.

Students may expect their performance to be evaluated solely on an academic basis. A student alleging unfair evaluation should appeal first to the teacher and if necessary to his or her adviser, to the department head, or the college dean. Alternatively the problem should be reported to the Dean of Student Conduct and Orientation. Teachers are expected to make honest professional judgments on the academic performance of students and to make clear to them the bases for academic evaluation used in their classes.

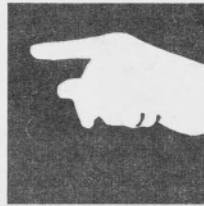
Standards of Conduct Closely Related to Instruction. Misconduct related to instruction for which students are subject to discipline generally results from violation of one or more of the following standards of conduct:

- (1) Plagiarism, cheating, or knowingly furnishing false information to the University or other similar forms of dishonesty in University-related affairs.
- (2) Forgery, alteration, destruction, or misuse of University documents, records, or identification.
- (3) Obstruction or disruption of teaching, research, administration, disciplinary procedures, or other University activities, including its public service functions, or of other authorized activities on University premises.
- (4) Theft, misappropriation, or sale of or damage to property of the University or of an organization affiliated with the University or of a member of the University community or of a campus visitor.
- (5) Unauthorized use of or entry to University facilities and/or unauthorized possession of keys to University facilities.

Procedure to be Followed in Reporting Variations from Standards of Conduct. Students guilty of misconduct in class, cheating, or plagiarism are immediately responsible to the instructor.

When misconduct occurs in classes or classwork, instructors may refer the case to the Dean of Student Conduct and Orientation and then to an appeals board. The instructor has full authority to place a student on class probation, to assign an F in an exercise or examination, or to assign an F in the course. The instructor should notify the Dean of Student Conduct and Orientation of action affecting a student's grades or class attendance.

A student against whom a penalty has been assessed by an instructor has the right to appeal that decision to the office of the Dean of Student Conduct and Orientation and thence to an appeals board.



COURSEWORK AND DEGREES TAKEN BY FACULTY AND STAFF

14

Payment of Fees. The following provisions apply to payment of fees for attending courses within the University.

Fellowships. Some fellowships provide for the payment of fees and others do not. Therefore, the terms of each appointment must be examined to determine if the individual pays maintenance fees and tuition to the University. Regardless of whether or not the individual is responsible for such charges, he or she normally pays the University Programs and Services Fee.

Graduate Assistantships and Teaching Assistantships. Graduate and graduate teaching assistantships requiring at least one-fourth time assigned to such duties automatically include payment of fees by the University during the fall, winter, and spring quarters. Payment of fees during the summer quarter depends upon the work-study agreement between the individual and the department. If the person concerned still holds an appointment during the summer quarter, he or she is entitled to payment of fees by the University. All graduate and graduate teaching assistants are themselves responsible for the University Programs and Services Fee.

Research Assistants. A position financed from gift, grant, or contract funds, although held by a person who is pursuing graduate work and who is essentially at the level of a graduate or teaching assistant, *does not include* payment of fees as part of the stipend. In order to assure that a person in such a position receives the same amount of "take-home-pay" as a regular graduate or teaching assistant similarly situated, the stipend for the position payable from outside funds should be set at a figure which will permit the assistant to pay his or her own fees and still receive as "net" the desired amount.

Part-time Instructors. Individuals holding such appointments must pay their own fees.

Instructors. Persons in positions of full-time instructor or its equivalent are permitted to pursue graduate work not to exceed six quarter hours credit during each of the fall, winter, and spring terms. No fees will be charged for these hours. Full-time instructors desiring to take graduate work during the summer quarter but not performing instruction or other service to the University at that time are not required to pay fees for up to 15 quarter hours during the summer provided the instructor is employed by the University for the following school year (September-June).

Payment of fees by the University in the case of assistants or instructors is granted to encourage graduate study. Therefore, there is no provision to pay fees on undergraduate courses except: (1) when the undergraduate course is taken for graduate credit; (2) when the undergraduate course is a prerequisite for a graduate course or for a graduate degree.

Professional Ranks and Other Full-time Employees. Assistant professors and above, or those in equivalent administrative ranks, may attend courses with the approval of the course instructor. It is not necessary to register formally for such courses.

All full-time employees of the University who are eligible for advanced work are permitted to take six quarter hours of graduate courses during any quarter (including the summer quarter) when they are employed. No fees will be charged for these hours. There is no provision to provide fees on undergraduate courses except: (1) when the undergraduate course is taken for graduate credit; (2) when the undergraduate course is a prerequisite for a graduate course or for a graduate degree.

In the case of classes offered by the Evening School, the payment of fees by the University is available only: (1) when the enrollment of fee-paying students in any class is sufficient to justify offering the class; (2) when sufficient vacancies exist to enroll the additional student, in the opinion of Evening School officials.

Earning of Doctoral Degrees by Staff Members. The Graduate Council has adopted the following regulations governing the obtaining of doctoral degrees by staff members at The University of Tennessee, Knoxville:

The following persons may not receive doctoral degrees from The University of Tennessee, Knoxville:

(1) Any member of the instructional, research, library, or administrative staff holding the rank of assistant professor and above or equivalent status at The University of Tennessee, Knoxville.

(2) Staff in the Institute of Agriculture holding the rank of associate professor and above or equivalent status and occupying full-time research and extension positions.

(3) Any member of The University of Tennessee system administration holding the rank of assistant professor and above or equivalent status except in the case of Institute of Agriculture personnel as specified in (2) above.

Any exceptions to this policy will be made by petition to the Graduate Council of The University of Tennessee, Knoxville. Evasion of these restrictions through temporary resignation, acceptance of a lower rank, or leave of absence is not allowable.



RELATED ORGANIZATIONS AND SERVICES

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The University offers a great variety of adjunct services and programs for the faculty member. These include academic services designed to complement the teaching and research of the faculty as well as more personal services designed to enhance the experience of the University as a community of scholars, with relationships of differing intensity and purpose between persons across departmental and college lines.

Computer Center—Data Processing. Services, subroutines, and prepackaged programs of The University of Tennessee Computing Center (UTCC) are detailed in "Users Guide" available at the University Book and Supply Store, University Center. In order to use the UTCC facilities, a faculty member must complete a "Request for Service Form," obtainable from the administrative office of UTCC. Charges for computer and programmer time will be made for funded projects; for approved academic work, computer time and programmer consulting services may be provided at nominal costs (or, in some instances, at no cost) to the departments.

UTCC offers various short, non-credit courses for familiarizing faculty and students with the capabilities of computers and their utilization; a schedule may be obtained from the UTCC administrative office.

Course and Instructor Evaluation. Course and/or instructor evaluation by students is not required by the University; however, any teacher desiring to have students make such evaluations for his or her own edification can obtain a set of sample evaluation forms ("Student Reaction to Instruction, Forms 1/2/3/4") from the Learning Research Center, choose one, and request copies for distribution.

Institutional Research (OIR). This office serves primarily as a research arm of the University, providing the administration, faculty, and students with information regarding policies, procedures, attitudes, predictions, etc., at both University system (statewide) and UT, Knoxville, levels. In addition to conducting research, the staff of OIR consults with faculty and students concerning data sources, research design, and past research for a wide variety of subject matter. Copies of current studies as well as statistical data on students, faculty, etc., are available.

International Students and Cultural Affairs (OISCA). This office handles matters pertaining to the enrollment of non-immigrant alien students. It maintains complete files on these students and represents the University in dealings with the U.S. Immigration and Naturalization Service. Staff members act as *ex officio* advisors on personal and academic problems to foreign students.

Of special interest to faculty teaching foreign students are two booklets available in this office: *The Foreign Student in Your Classroom: A Critical Opportunity* and *The Objective-Type Test: A Brief Manual of Instruction and Practical Suggestions for the Foreign Student*.

In addition, this office has information and materials of interest to domestic students who want to go overseas to work, study, or travel.

Learning Research Center (LRC). The primary purpose of the LRC is that of assisting the faculty in continuing to improve teaching-learning arrangements. This purpose is pursued in a variety of ways: a quarterly publication, *TEACHING-LEARNING ISSUES* (each one dealing with a broad topic in higher education), distributed to all faculty; assistance in design of research projects; small sums of money for experimentation in teaching-learning, etc. The Center also maintains a small library of current books and other materials concerning problems in higher education.

Libraries. The University of Tennessee, Knoxville, Library seeks to be the premier research library in the State of Tennessee to support and stimulate undergraduate instruction, graduate instruction and research, and faculty research on the Knoxville campus and to respond to the needs of scholars throughout the state.

Library holdings in Knoxville, over 1,100,000 volumes, are housed in the James D. Hoskins (Main) Library, the John C. Hodges Undergraduate Library, and six branch libraries. The *Main Library* contains the principal, comprehensive collection of books and periodicals for all colleges, schools, and departments not served by branch libraries. The *Undergraduate Library* contains a collection of 150,000-175,000 volumes selected to meet the needs of the undergraduate student in colleges, schools, and departments not served by branch libraries. The *branch libraries*, Agriculture, Biology, Engineering, Law, Music, and Science, contain the scientific, technical, research, and professional materials relating to the activities in the departments which they serve.



Book Selection: The librarians of branch libraries or faculty members within departments serve as library representatives and as liaison between the faculty and the library. All faculty members, representing their particular specialties and being aware of library holdings and the publications in their field, are encouraged to notify their representatives of needed items.

Loan Period: Books charged to the faculty are due on the last day of the quarter in which they are charged. During the last four weeks of the quarter the due date is set for the end of the following quarter. Faculty loans are subject to recall after two weeks. Books may be renewed as many as three times by mail or telephone but must be brought to the desk from which they were borrowed for the fourth renewal. Some frequently used periodicals are for use in the library only, but most can be borrowed for three days. The collection in the Undergraduate Library is tailored to the specific needs of the undergraduate student. A two-week loan period to all borrowers is observed.

Reserve Books: Library materials for 1000-3000 level courses may be placed on reserve in the Undergraduate Library, and those for 5000-6000 level courses may be placed on Graduate Reserve at the Main Library. Location for 4000-level reserves is determined by course enrollment make-up. Books for courses in which a majority of students are undergraduates will be placed at Undergraduate, while those for courses in which a majority are graduate will be placed at the Main Library. Reserve lists will not be split between locations or duplicated. Each branch library provides reserve book service.

Proxy Borrowing: Members of the faculty who require secretaries, research assistants, or others to borrow books for them should formalize the arrangement by signing the proxy authorization form at any of the campus libraries. A card will be issued to authorized proxy borrowers. Faculty families are included in the proxy plan, and faculty spouses have the same borrowing privilege as the faculty. The loan period for faculty children is two weeks.

Faculty Studies: Any member of the faculty with the rank of instructor or above, actively engaged in a research project requiring ready access to library resources or facilities for uninterrupted writing or study, is eligible for a faculty study assignment. Studies are assigned by the Associate Director for Public Services with the advice of the Senate Library Committee. Applications should be made in writing to the Associate Director of Libraries on forms available in that office. Studies are assigned for specific periods not to exceed one year, after which time study holders may apply for renewal but will have no priority over other applicants. Studies are for research and scholarship only and are not to be used as offices or conference rooms. Because of the limited number of studies, it is usually necessary to assign more than one person per study.

More complete details about library service may be found in the *Faculty Library Handbook*, copies of which are available at all units of the library system.

Photographic Department. Photographic services, including the production of photos, slides, and 16 mm movies, are provided.

Publications Service Bureau (PSB). The Bureau assists faculty in preparation of a wide variety of materials for publication, offering design and artwork help, editing, and assistance in preparing specifications for on- or off-campus printing. Copies of many official University publications are available on request.

Graphic Arts Service (GAS). Graphic Arts Service provides a complete printing service (Room 260, Communications and Extension Building) for the University. Folders, brochures, booklets, and a variety of other formats can be professionally produced by the offset printing process for any need, especially where artwork, photographs, and the use of color are desired. Duplication facilities (Room 100, Student Services Building) are also available for reports, examinations, theses, and other materials where fast, economical service is a paramount consideration.

Teaching Materials Center (Films). The Teaching Materials Center (TMC) houses a substantial library of instructional 16 mm films which are available for loan to University faculty. These films are listed in a catalog entitled *Educational Films* which may be obtained from the Center. In addition, most types of audio-visual equipment, including film and slide projectors, tape recorders, etc., are available for instructional use. The equipment and films will be delivered to and picked up at any University department on request. The Center also prepares slides for instructional use.

Television Center. Information and guidance on procurement and use of video tape equipment may be obtained, and a maintenance service arrangement may be made with the Center. In addition, under special circumstances, portable video-tape equipment is available for use on a minimum cost basis.

Transportation Services. Sedans and station wagons are available either for travel to meetings or for instructional activities such as field trips. Buses may be chartered. In every instance, authorization by the department head must be obtained.

University of Tennessee Press. The Press is an accredited member of the Association of American University Presses and is the scholarly publishing arm of the University. It maintains a varied active backlist and solicits superior book-length manuscripts for consideration. All its publications are available to faculty at a 20 per cent discount.

University of Tennessee Book and Supply Store. Located in the University Center, the store is owned and operated by the University with all its assets, obligations, and policies under University control. Earnings are used to help support the University Center. Faculty members receive a discount on most purchases.

Vocational-Technical Education and Research. The Tennessee Research Coordinating Unit (TRCU) is an agency for the collection and dissemination of information about vocational-technical education and research on teaching, and it conducts research in this area. The unit maintains an indexed set of Educational Resources Information Center (ERIC) documents on microfiche. Copies may be obtained via the reader/printer for a small fee, and microfiche readers are available.

Carolyn P. Brown Memorial University Center. Known more familiarly as the Student Center, this facility provides the University community a meeting place for its social, recreational, cultural, and educational pursuits. Located here are the Arts and Crafts Center (equipment and instruction are available), the Book and Supply Store, a Central Ticket Office, and the Post Office.

Carousel and Clarence Brown Theatres. Season tickets may be purchased for the series of performances offered throughout the year. There is also a summer program.

Athletic Tickets. Full-time faculty members may purchase season athletic tickets for themselves and one dependent at a reduced rate. Deadlines for such purchases are announced annually. New faculty members, however, may apply and will be supplied tickets if available.

Credit Union. The UT Federal Credit Union was established for the benefit of all regular employees. Members may save regularly through use of payroll deductions or may borrow for any worthwhile purpose. Savings are insured up to \$20,000 by a federal agency. Also, credit life insurance is provided on all loans. The Credit Union office provides further information.



Faculty Club. All members of the faculty (instructors or above) are eligible to join the Faculty Club. The club charges nominal membership dues. Members and their families enjoy the benefits of club rooms, eating facilities, the swimming pool, tennis courts, and a social program.

Faculty Women's Club. The object of this club is to serve as a medium through which University women (both staff members and faculty wives) may become better acquainted. It serves to promote fellowship within the University community.

Newcomers Club. This club introduces new faculty women to the University community. After two years' membership in this organization, faculty women normally enter the Faculty Women's Club.

Dining Club. With a charge card, the faculty/staff member (a second card may be issued to the member's spouse) may charge meals in any of the six University-operated food facilities. There are no extra charges or interest rates.

Personal Athletics. Handball courts, gymnasiums, and other facilities of the Health and Physical Education Building may be used by faculty personnel or their families at designated times. A Faculty Tennis Club is also available. Individual and family memberships are available for use of the Aquatic Center facilities.

Solicitation. Any solicitation of funds on the campus of the University must be approved in advance by the Campus Chest Committee and the administration of the University.

Faculty and Staff Parking. The University attempts to provide parking facilities for the faculty; however, a service charge is made for each car parked in designated faculty areas. Faculty and staff who bring their vehicles on campus are required to obtain staff vehicle registration tickets from the Security Office upon payment of the appropriate fee. Fees are payable annually in advance or by monthly payroll deductions for regular continuing employees. There are two faculty and staff Appeals Boards appointed by the University's Transportation and Parking Authority for the purpose of appealing violation citations.

Complete parking information may be obtained from the Safety and Security Section, Department of Physical Plant.

Tutoring. No one on the payroll of the University will be permitted to tutor any student in the University for compensation except with the permission of the head of the department in which the student is being tutored and only in those cases where the tutor has no direct connection with the course in which the student is being tutored.

Office Hours. Faculty are expected to maintain office hours so that they may be available to students and other members of the University community at stated places and times. Posting of office hours is helpful.

Use of University Buildings and Keys. Keys for the outside and inner doors will be issued to authorized persons by the Physical Plant Office upon the completion of necessary forms and the approval of the appropriate department chairman and the dean or director. Keys shall be returned to the Safety and Security Section of the Physical Plant Department when an employee leaves the active service of the University or will be absent from the campus for an extended length of time (for example, a year's leave of absence).

When receiving keys a faculty member signs a statement agreeing to abide by the following regulations:

- (1) To take precautions that no duplicate keys are made from those issued to him or her,
- (2) To be responsible, on entering or leaving a locked building or area, to see that any doors unlocked are properly secured,
- (3) To assume responsibility for the conduct of any and all persons whom he or she may admit to a building.

Fund-Raising Activities. The primary responsibility for the supervision and coordination of all private fund-raising activities is vested with the Director of Development for the Knoxville campus. A high degree of coordination is necessary so that prospective donors do not receive multiple solicitations unless it is deemed appropriate to do so. In addition, careful coordination and planning are necessary so that prospective donors are solicited for the projects in which they are likely to be interested.

The Campus Development Office should receive all gifts, as well as correspondence, memoranda, and related materials concerning private gifts and other fund-raising activities pertaining to the Knoxville campus. It is the responsibility of the Development Office to see that all gifts are properly processed, acknowledged, and recorded.

To assure that maximum efforts can be brought to bear on priority fund-raising projects, procedures have been established within each college and school to insure that all proposed projects are thoroughly discussed and approved before submission to the Campus Development Office. It is necessary, therefore, that all requests for fund-raising assistance be discussed and approved by the appropriate department head, dean, and appropriate vice chancellor prior to submission to the Campus Development Office. The Development staff will then bring these items before the Chancellor and his staff for review and approval.

One of the major responsibilities of the Development staff is to provide assistance, consultation, and advice on new or proposed fund-raising projects. Questions relative to fund-raising methodology, practices, and procedures should be directed to the Development staff with the understanding that implementation of fund-raising projects can come only after appropriate approvals by department heads, deans, the appropriate vice chancellor, and the Chancellor.

