

2014

The University of Tennessee, Knoxville
Compliance Certification for the Southern Association of
Colleges and Schools,
Commission on Colleges



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2.1 Degree-granting Authority

The institution has degree-granting authority from the appropriate government agency or agencies.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the flagship campus of the University of Tennessee System (UT System) with a Board of Trustees providing oversight to all campuses and institutes within the UT System. The UT System is led by a President, to whom the Chancellor for the University of Tennessee, Knoxville answers (see Comprehensive Standard [3.13.4.b](#) for more information about the organization of the UT System).

Appropriate Government Agency

The Tennessee State Legislature has given degree-granting authority to UT through the Board of Trustees. This authority is described in the Tennessee Code Annotated, Title 49, Education, Chapter 9, [Section 49-9-290](#), Powers of the Trustees.

(f) The president and professors of the university, with the advice and consent of a majority of the board, shall have full power and authority, at any stated session of the board, to confer on any student in the university, or any other person they may think proper, the degrees of Bachelor of Arts, Master of Arts or any other degree known and used in any college or university in any of the United States.

The Board of Trustees has delegated that authority to the President of the University and professors, as described in the Board of Trustees Charter, Article V, Section 8 (page [2](#)):

The University, by and through its President and professors, with the advice and consent of a majority of the Trustees, shall have full power and authority, at any session of the Board of Trustees, to confer on any student in the University, or any other person deemed proper, any degree known and used in colleges or universities in any of the United States.

Awarding Degrees

This authority is granted on an annual basis by the Board of Trustees at their June meeting, as evidenced by the agenda of the Committee on Academic Affairs and Student Success, Consent Agenda Action Item, Authorization to Confer Degrees Motion (page [1](#)):

That the President, the Chancellors, or another University official designated by the President be authorized to confer degrees at commencement ceremonies held during the time intervening between this meeting and the next annual meeting to be held in June 2014.

Conclusion

The University of Tennessee, Knoxville, has the authority to grant degrees and is in compliance with this standard.

2.2 Governing Board

The institution has a governing board of at least five members that is the legal body with specific authority over the institution. The board is an active policy-making body for the institution and is ultimately responsible for ensuring that the financial resources of the institution are adequate to provide a sound educational program. The board is not controlled by a minority of board members or by organizations or interests separate from it. Both the presiding officer of the board and a majority of other voting members of the board are free of any contractual, employment, or personal or familial financial interest in the institution.

A military institution authorized and operated by the federal government to award degrees has a public board on which both the presiding officer and a majority of the other members are neither civilian employees of the military nor active/retired military. The board has broad and significant influence upon the institution's programs and operations, plays an active role in policy-making, and ensures that the financial resources of the institution are used to provide a sound educational program. The board is not controlled by a minority of board members or by organizations or interests separate from the board except as specified by the authorizing legislation. Both the presiding officer of the board and a majority of other voting board members are free of any contractual, employment, or personal or familial financial interest in the institution.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is part of the University of Tennessee System, which is governed by a Board of Trustees. The Chancellor for the Knoxville campus reports to the President of the System and to the Board of Trustees (see Comprehensive Standard [3.13.4.b](#) for more information about the organization of the UT System). Therefore, the University of Tennessee, Knoxville is compliant having a Board with legal authority over the institution, that ensures financial resources are adequate, and demonstrates freedom from conflicts of interest with the university.

Authority of the Board

The University of Tennessee, Knoxville (UT) has an active, policy-making governing board with specific authority over the institution. As part of the University of Tennessee System (UT System), UT is governed by the University of Tennessee System Board of Trustees, the legal body that has been granted authority over the UT System (see [UT System organizational chart](#)) and as stipulated in Tennessee Code Annotated (TCA [49-9-209\(e\)\(1\)](#)).

The trustees at their stated sessions shall also have full power and authority to make bylaws, rules and regulations for the government of the university and the promotion of education in the university that in their opinion may be expedient or necessary

Active Policy-Making

Although the Board of Trustees Charter ([Article VI, Section 10](#)) requires only one annual meeting and called meetings as necessary; whereas, [Article II, Section 1](#) of the Bylaws stipulates three meetings annually; these are typically held in October, February, and June. Committees meet throughout the year. The schedule is available to the public on the Board of Trustees webpage (Figure [2.2-1](#)). In 2013, the Board of Trustees met on March 1, June

20 and October 18 ([action item](#) indicated October 25; this was revised to October 18). Committees meet between the full Board meetings. This level of activity ensures the Board is able to control the regular developments and changes that are a normal part of University operations.

The Board of Trustees Charter, [Article V](#), and the Board of Trustees Bylaws, [Article I, Section 2](#) provide the Board of Trustees with authority and responsibility to form policies that govern the university, such as admission policies, residency status, degree offerings, and all policies, rules and regulations pertaining to the operation of the university.

Examples of such policy-making can be seen in the agendas from the various Board meetings (minutes from the full session of the Board are published in the agenda of the next meeting of the Board):

- June 23, 2011 - adoption of the University of Tennessee, Knoxville strategic plan ([pages 424-429](#) extracted from full document)
- November 9, 2012 - first update report on the strategic plan ([pages 21-45](#) extracted from full document).
- June 21, 2012 - adoption of new tuition plan for UT ([pages 137-154](#) extracted from full document).
- March 1, 2013 - revisions to the UT Faculty Handbook concerning the rating scale for annual performance reviews ([pages 227-229](#) extracted from full document), honorary doctor of law degree ([pages 237-250](#) extracted from full document), and honorary doctor of humane and musical letters degree ([pages 251-257](#) extracted from full document)
- June 20, 2013 - minutes recorded Trustee Murphy's abstention from voting to "avoid any appearance of a conflict of interest because the honorary degree being awarded under Item F is his uncle, John Seigenthaler" ([pages 205-206](#) extracted from full document), and revisions to the UT Faculty Handbook adding non-tenure-track faculty of practice positions ([pages 308-310](#) extracted from the full document).

Financial Responsibility

[Article I, Section 1](#) of the UT Board of Trustees Bylaws clearly states the *The Board of Trustees, which is the governing body of The University of Tennessee, shall have full and complete control over its organization and administration, also over its constituent parts and its financial affairs.*

The Finance and Administration Committee, a standing committee of the Board of Trustees (Bylaws, Article III, [Section 1\(a\)](#) and [Section 6](#)), formulates and recommends to the Board of Trustees fiscal policies, operating budget for the campuses, capital outlay proposals, tuition and fees, facilities master plans, acquisition of real property, building construction, and other matters. In this way, the Board guarantees that the institution's finances are adequate to provide a constant standard of excellence in education.

Membership and Minority Control

The Board of Trustees consists of five ex officio members and twenty-one appointed members, including representatives from all congressional districts, six counties, and one from a seven county area, as well as two faculty and two students ([Charter, Article VI](#) and [TCA 49-9-202](#), Composition - Appointive Members - Expenses). Each member of the Board of Trustees has an equal vote in consideration of action items brought before the Board ([Bylaws Article I, Section 1](#)). This wide dispersal of equal votes guarantees the Board cannot be controlled by a minority interest within the Board. Additionally, all Board of Trustees

meetings are attended by members of the media and are recorded as live webcasts made available across the UT system and to the general public (TCA 49-9-205 (d) Meetings). There have been no allegations regarding minority control or block voting, something which certainly would have been noted by those in attendance or viewing the webcast.

The Board also cannot be controlled by any organization or interest separate from the Board. The UT Board of Trustees Charter includes a section (Charter, [Article VI, Section 8](#)) on conflict of interest and nepotism that states,

No Trustee shall be financially interested in any contract or transaction affecting the interest of the University, nor procure or be a party in any way to procuring the appointment of any relative to any position of trust or profit connected with the University. Violation of this provision shall subject the Trustee so offending to removal by the Governor or by the Board.

In addition, the Board has adopted a [Conflict of Interest Policy](#) and a [Code of Ethics](#) for appointed trustees. These policies reiterate Tennessee law (TCA 49-9-207 Conflicts of Interest) that states,

It is unlawful for any member of the board of trustees to be financially interested in any contract or transaction affecting the interest of the university, or to procure, or be a party in any way to procuring, the appointment of any relative to any position of trust or profit connected with the university. A violation of this section subjects the member so offending to removal by the governor or board of trustees.

Table 2.2-1 provides a list of the Board members as published on the Board website, all Board members are free of any entanglements that would conflict with this policy. In particular, the presiding members of the board are free of any contractual, employment, or personal or familial financial interest in the institution.

Conclusion

The University of Tennessee, Knoxville, is governed by a board and demonstrates compliance with Core Requirement 2.2.

2.3 Chief Executive Officer

The institution has a chief executive officer whose primary responsibility is to the institution and who is not the presiding officer of the board. (See Commission policy "Core Requirement 2.3: Documenting an Alternate Approach.") (Note: If an institution is part of a system and its chief executive officer is also the chief executive officer of the system, the institution must provide information requested in Commission policy "Core Requirement 2.3: Documenting an Alternate Approach." This information should be submitted as part of the Compliance Certification.)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) has as its Chief Executive Officer Chancellor Jimmy G. Cheek, who has been granted full authority to govern all aspects of the Knoxville campus by the President of the University of Tennessee System (System) and the Board of Trustees per the [organizational chart](#). He is a direct-line report to the System President and is responsible to both the System President and the Board of Trustees. Within the System, Chancellors are *elected by the Board upon the recommendation of the President (Bylaws, Article IV, Section 2(b))*. See Comprehensive Standard [3.13.4.b](#) for more information about the organization of the UT System.

The Chancellor has no other employment or responsibilities. His primary responsibility is to the institution. As stated in the University of Tennessee Board of Trustees [Bylaws, Article IV, Section 3 \(c\)](#), the Chancellor is *fully responsible for administration and management of the [campus], subject to the general supervision of the President*. In accordance with applicable University policies and procedures, the System President delegates to Chancellor Cheek *powers and duties to supervise and administer academic and budgetary units reporting to them, under the general direction and control of the President*. ([Bylaws, Article IV, Section 3 \(a\)\(4\)](#))

The Chancellor is not a member of the Board of Trustees as discussed in the Board of Trustees Charter ([Article VI, Section 1](#)) nor is he involved with the selection and appointment of Board of Trustees members. The Board of Trustees Bylaws ([Article I, Section 4](#)) states that the Chair of the Board of Trustees shall be a member of the Board and shall be the presiding officer. Since the Chancellor is not a member of the Board of Trustees, the Chancellor cannot be the presiding officer.

Conclusion

The University of Tennessee, Knoxville, has a chief executive officer whose primary responsibility is to the institution and is not the presiding officer of the Board, hence, demonstrating compliance with Core Requirement 2.3

2.4 Institutional Mission

The institution has a clearly defined, comprehensive, and published mission statement that is specific to the institution and appropriate for higher education. The mission addresses teaching and learning and, where applicable, research and public service.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) mission statement reflects UT's status as the state's flagship, comprehensive land-grant research institution:

... to move forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world. As the preeminent research-based, land-grant University in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions.

The mission statement is published on the University's web site in two locations: About the University (Figure 2.4-1) and Vol Vision: Pursuit of the Top 25 Strategic Plan (Figure 2.4-2).

Because we are a comprehensive, land-grant research institution, academic degrees offered at the bachelor, master and doctoral levels are organized among 11 colleges: Agricultural Sciences and Natural Resources; Architecture and Design; Arts and Sciences; Business Administration; Communication and Information; Education, Health, and Human Sciences; Engineering; Law; Nursing; Social Work; and Veterinary Medicine. These colleges include the diversity of programs expected at a premier research institution with the exception of most medical degree programs, which are housed at the University of Tennessee Health Science Center in Memphis.

As the University of Tennessee Volunteers, our three-part vision statement - VOL - distinguishes UT from other units within the UT System and addresses specifically our vision for outreach (*Value creation*), research (*Original ideas*), and education (*Leadership*):

- **Value creation** through economic, social, and environmental development targeted to an increasingly global and multicultural world.

We lead an increasing number of academic and public service activities that involve and benefit the local community, the state of Tennessee, the United States, and ultimately the world. This continuing commitment to the public good through a variety of outreach activities is grounded in our tradition as a land-grant institution.

- **Original ideas** that advance society through discovery, inquiry, innovation, research, scholarship, and creative activities.

Our ability to create value is dependent on discovering new knowledge and generating new ideas and expressions. The complex concerns of the twenty-first century cannot be addressed with existing knowledge and systems. Our aim is a dramatic increase in these activities, requiring the interaction between committed, diverse faculty, staff, and students.

- **Leadership** through the preparation of capable and ethical leaders.

UT's diverse graduates have unique and enriched learning opportunities accruing from the university's comprehensive mission. We expect a large portion of graduates will take their places as leaders in the state of Tennessee and beyond.

UT is part of the University of Tennessee System whose mission statement (Figure 2.4-3) is:

The University of Tennessee System, through its multiple campuses and institutes, serves the people of Tennessee and beyond through the discovery, communication and application of knowledge. The System is committed to providing undergraduate, graduate and professional education programs in a diverse learning environment that prepares students to be leaders in a global society. The UT System's delivery of education, discovery, outreach and public service contributes to the economic, social and environmental well-being of all Tennesseans.

The UT System is composed of the University of Tennessee, Knoxville (which includes the UT Space Institute); the University of Tennessee at Chattanooga; the University of Tennessee at Martin; the University of Tennessee Health Science Center; the UT Institute for Public Service; and the UT Institute of Agriculture (see Comprehensive Standard 3.13.4.b for more information about the organization of the UT System). The Board of Trustees of the University of Tennessee System has the responsibility to review and approve each entity's mission statements. The Academic Affairs and Student Success Committee of the Board is charged with this responsibility (Bylaws Article III, Section 7(1)).

Conclusion

The University of Tennessee, Knoxville clearly publishes its mission statement that reflects the teaching, research and outreach programs of the university.

2.5 Institutional Effectiveness

The institution engages in ongoing, integrated, and institution-wide research-based planning and evaluation processes that (1) incorporate a systematic review of institutional mission, goals, and outcomes; (2) result in continuing improvement in institutional quality; and (3) demonstrate the institution is effectively accomplishing its mission.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the flagship campus for the University of Tennessee System (UT System, see Comprehensive Standard [3.13.4.b](#) for a description of the UT System). UT began the process of developing a new strategic plan during the 2009-2010 academic year. This process involved faculty leaders who conducted listening sessions with the faculty in each of the colleges and open forums for others. The result was the development of the Vol Vision report.

In March 2010, the Tennessee Governor challenged the University to become a Top 25 Publicly-Funded Research Institution. Chancellor Jimmy G. Cheek and the Vice Chancellors took up the challenge and embarked upon process to identify the Top 25 publicly-funded, research institutions, identify benchmark metrics, and complete the analysis. This initial Chancellor's Task Force was chaired by a dean and had faculty, staff and student representation. The resulting swat analysis was presented to the University of Tennessee System Board of Trustees in June 2010. The two processes came together during the 2010-2011 academic year when the Journey to the Top 25 was merged with the Vol Vision plan to create what is now called Vol Vision - The Journey to the Top 25. During the 2010-2011 academic year, five task forces were formed for each of the five priority areas; each was chaired by a vice provost or vice chancellor; again, with broad faculty and staff representation. The resultant plan became the basis for decision making and future directions.

The five strategic priorities are:

1. Recruit, develop, and graduate a diverse body of undergraduate students who, through engagement in academic, social, and cultural experiences, embrace the Volunteer Spirit as life-long learners committed to the principles of ethical and professional leadership.
2. Educate and graduate increasing numbers of diverse graduate and professional students who are equipped to address the pressing concerns of their fields, to extend the frontiers of knowledge, and to contribute to the public good through service to the academy or their professions.
3. Strengthen our capacity and productivity in research, scholarship, and creative activity to better educate our students; enhance economic, social, and environmental development; support outreach to our various constituencies; and extend the reputation and recognition of our campus.
4. Attract and retain stellar, diverse faculty and staff who will proudly represent our campus, execute our mission, embrace our vision, exemplify our values, and collaborate to realize our strategic priorities.

5. Continually improve the resource base to achieve campus priorities by carefully balancing state revenues, tuition, and private funding, and by embracing stewardship of our campus infrastructure and a culture that values sustainability.

The Journey to the Top 25 Implementation Plan provides 64 action plans assigned to the above five strategic priorities and twelve institutional metrics for measuring progress towards the Top 25. The Chancellor reports on progress towards achieving institutional goals at one of the meetings of the UT System Board of Trustees. The first three years (2010, 2011, and 2012) reports were made at the June meeting. In 2013 the reporting was shifted to the fall meeting. Progress towards reaching the aspiration peers is presented along with specific actions taken to contribute to improving the metrics. Also, the Top 25 initiative is the focus of the Chancellor's annual report.

One key action from four of the strategic areas (Undergraduate, Graduate, Faculty, and Research) addressed the need to have reliable and consistent institutional data. Over the past four years, the institution has worked on

- reviewing, improving, and adopting data definitions that conform to best practices in higher education (task force led by the Director of Academic Resources for the Office of the Provost);
- creating reliable academic unit statistics relating to student success (degrees awarded), research volume, and other metrics related to university goals (collaboration between the Director of Academic Resources and Assistant Provost and Director of Institutional Research and Assessment);
- adopting a faculty activity reporting system that captures data such as teaching activities, outreach and engagement, research publication and other scholarly work, service to the institution and discipline, national awards and recognitions, and graduate student productivity (led by the Vice Provost for Faculty Affairs)

For colleges and administrative units with Academic Affairs, the Provost has established annual planning meetings where the Provost and Vice Provosts meet with the college deans and their staff to discuss each college's strategic plan/goals, how it contributes to the institutional strategic plan, progress made toward their goals, and items that need central support.

FY2015 Annual Planning Meeting Documents

College of [Agricultural Sciences and Natural Resources](#)
 College of [Arts and Sciences](#)
 College of [Business Administration](#)
 College of [Communication and Information](#)
 College of [Education, Health and Human Sciences](#)
 College of [Engineering](#)
 College of [Law](#)
 College of [Nursing](#)
 College of [Social Work](#)

Strategic Plans for Units within Academic Affairs

College of [Agricultural Sciences and Natural Resources](#)
 College of [Arts and Sciences](#)
 College of [Business Administration](#)
 College of [Communication and Information](#)
 College of [Education, Health and Human Sciences](#)
 College of [Engineering](#)
 College of [Law](#)
 College of [Nursing](#)
 College of [Social Work](#)

FY2015 Annual Planning Meeting Documents

[Center for International Education](#)

[Enrollment Services](#)

[Graduate School](#)

[Office of Institutional Research and Assessment](#)

[Student Success Administration](#)

[Tenn. Teaching and Learning Center](#)

[Thornton Center](#)

[University Libraries](#)

[UT Conferences and Non-Credit Programs](#)

Strategic Plans for Units within Academic Affairs

[College of Veterinary Medicine](#)

[Honors and Scholars Programs](#)

[Office of Service Learning](#)

[University Libraries](#)

The College of Architecture and Design just recently initiated the strategic planning process since it has in place three new directors and associate dean. To date they have held a planning session where they established a singular focus that could differentiate them nationally and internationally. That focus was Urban Design; endorsed by the College's Board of Advisors. With their new chair of Graduate Landscape Architecture and School Director of Architecture in place, they are working towards having their strategic plan solidified.

Strategic Plans for Other Administrative Unit Plans

- Development and Alumni Affairs - [Plan](#), [Update](#)
- Human Resources - [Plan](#), [Update](#) (NOTE: combined UT System with UT Knoxville HR Strategic Plan; the Vice Chancellor for HR on the campus and the Vice President for HR for the UT System is a shared position since the campus is the largest unit within the System. See Comprehensive Standard [3.13.4.b](#) for an explanation of the UT System and Comprehensive Standard [3.2.7](#) Organizational structure for the campus)
- Office of Research and Engagement - [Plan](#)
- Division of Student Life - [Plan](#), [Update](#)

Strategic Plan Oversight

The Vice Provost for Academic Affairs, Vice Provost for Faculty Affairs, the Vice Provost and Dean of the Graduate School, Vice Chancellor for Research and Engagement, and Vice Chancellor for Finance and Administration provide leadership for the implementation of the five strategic priorities. The Vice Provost for Academic Affairs works closely with the Division of Student Life on implementing the Undergraduate Action Plans.

The Campus Master Plan and Landscape Master Plan support the strategic plan, as well, and are managed by the Vice Chancellor for Finance and Administration who has oversight for facilities, security, safety, and finances.

Monitoring Progress towards Top 25 Goals

The Office of Institutional Research and Assessment works with the Office of Research and Engagement, the Graduate School, Office of Development and Alumni Affairs, and Enrollment Services to refresh the Top 25 metrics each year. Data is presented to the UT

System Board of Trustees and at other venues, and distributed in the Chancellor's Annual Reports:

UT System Board Presentations: [2010](#), [2011](#), [2012](#)

Academic Leadership Retreat: [2013](#)

Annual Reports: [2012](#), [2013](#)

Spring Chancellor Newsletter: [2014](#)

Improvement in Evaluation and Assessment of Progress

Great strides have been made over the past four years; however, as an institution, we recognize there is room to improve. We have taken the preparation of the Compliance Report as a check on our processes to assess our effectiveness. While we are making strides in improving the way we operate and assess the quality of that operation, we have room to improve consistency in reporting across the divisions. We will take the 2014-2015 academic year to revise reporting processes to better capture annual activity and assess processes to improve our efficiencies and effectiveness.

Conclusion

The University of Tennessee, Knoxville, has a strategic plan, reviews progress towards the strategic plan, and makes decisions based on evidence of achievement.

2.6 Continuous Operation

The institution is in operation and has students enrolled in degree programs.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) was founded in 1794 as Blount College. Since 1897, it has been continuously accredited by SACSCOC either as the University of Tennessee, Knoxville or as part of the institution named University of Tennessee (since 2000; see Comprehensive Standard 3.13.5.b for more information about the reorganization leading to the separation of the University of Tennessee, Knoxville from the University of Tennessee Health Science Center headquartered in Memphis, which is currently an applicant institution). UT is also considered the flagship campus of the University of Tennessee System (see Comprehensive Standard 3.13.4.b for more information about the organization of the University of Tennessee System).

Information on degree programs is found in the [undergraduate](#) and [graduate](#) catalogs (both are available solely as online documents; no hard copies are printed). As of fall 2013, the University has 27,171 students enrolled in degree programs offered by eleven academic colleges. The Tennessee Higher Education Commission (THEC) has approved all programs in operation. Their status is listed on the [Academic Program Inventory](#).

Information on degrees awarded and on enrollments is also reflected in the [2013-2014 Fact Book](#) maintained by the Office of Institutional Research and Assessment. These same data are reported to the Integrated Postsecondary Educational Data System (IPEDS).

The following table summarizes both enrollments and graduates by college for the most recent reporting year.

	Fall 2013 enrollment		AY 2012-2013 Degrees awarded		
	Under-graduate	Graduate / Professional	Bachelor's	Master's	Doctoral
Agricultural Sciences & Natural Resources	1,286	262	255	59	15
Architecture & Design	325	63	72	25	-
Arts & Sciences	7,165	1,357	1,963	201	128
Business Administration	3,810	586	875	349	16
Communication & Information	1,190	296	370	96	9
Education, Health & Human Sciences	2,333	965	472	452	55
Engineering	2,571	917	448	193	72
Intercollegiate	-	84	-	1	9
Law	-	437	-	-	167
Nursing	500	160	127	44	11
Social Work	175	519	39	187	4
Veterinary Medicine	-	352	-	0	79
(Undeclared / Transient)	1,678	140	-	-	-
TOTAL	21,033	6,138	4,621	1,607	565

Conclusion

While the University of Tennessee, Knoxville dates its origin to 1794, it has been in continuous operation and has had continuous enrollment since the Civil War, thus demonstrating compliance with this standard.

2.7.1 Program Length

The institution offers one or more degree programs based on at least 60 semester credit hours or the equivalent at the associate level; at least 120 semester credit hours or the equivalent at the baccalaureate level; or at least 30 semester credit hours or the equivalent at the post-baccalaureate, graduate, or professional level. If an institution uses a unit other than semester credit hours, it provides an explanation for the equivalency. The institution also provides a justification for all degrees that include fewer than the required number of semester credit hours or its equivalent unit.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution. The university offers bachelor, master, and doctoral level programs as well as graduate certificates; UT does not offer associate degrees. The undergraduate programs have a minimum of 120 semester credit hours as clearly demonstrated in the undergraduate catalog descriptions for each program. Graduate programs are more highly variable in semester credit hours, however, they meet the minimum 30 semester credit hours as demonstrated in the graduate catalog descriptions for each program.

Undergraduate Programs

All four-year bachelor's degrees require a minimum of 120 semester credit hours. The engineering programs range from 126 to 129 semester credit hours and 168 semester credit hours are required for the Bachelor of Architecture, a five-year baccalaureate program (see Appendix 2.7.1-A, 2013-2014 UT Knoxville Academic Program Inventory for a list of all degree programs). Requirements for the degrees are published in the *2013-14 Undergraduate Catalog*, (see document titled [General Requirements for Bachelor](#); each program has a separate entry throughout the catalog). The *2014-2015 Undergraduate Catalog* clearly states the 120 semester credit hour minimum for undergraduate degrees (see Figure 2.7.1-1) The [Undergraduate Council](#) adheres to this policy in the approval of new or revised programs (see Figure 2.7.1-2, Undergraduate Curricular Change Process Flowchart). UT has only one online baccalaureate program (the RN to BSN) which requires 123 credit hours.

For example, all of the undergraduate majors in the Modern Foreign Languages and Literatures department and three concentrations in the Interdisciplinary Programs unit were recently consolidated into one Modern Foreign Languages and Literatures major with concentrations in each of the languages. The changes were reviewed and approved by the Undergraduate Council as documented in the [October 30, 2012 Undergraduate Council minutes](#). Proposals are submitted to the Undergraduate Curriculum Committee and the Undergraduate Council in a standardized format which is outlined in a manual (see Appendix 2.7.1-B, 2013-14 Curricular Submission Guidelines for the Undergraduate Council).

Graduate Programs

At the graduate level, individual programs vary considerably in the number of required semester credit hours. However, the minimum requirement is explicitly stated in the *2013-14 Graduate Catalog* as 30 or more graduate hours for [master's degrees](#), 60 hours beyond the bachelor's degree for the [specialist in education degree](#), and 24 or more graduate hours beyond the master's or 48 graduate hours beyond the bachelor's for [doctoral degrees](#). The

Graduate Council has responsibility for assessing "*curricular revisions and new proposals for graduate programs*" as stated in their mission statement (Graduate Council Bylaws, [Article I](#)). We have 25 graduate online programs which all were required to go through the regular curricular review process and each conforms to the minimum requirements.

For example, the new Creative Writing major leading to a Master of Fine Arts degree was reviewed and approved by the Graduate Council as documented in the January 31, 2013 minutes ([summary](#) and [details](#)). As a new academic major, the proposal required approval by the University of Tennessee System Board of Trustees (June 20, 2013) and the Tennessee Higher Education Commission (per THEC New Academic Programs Policies [A1.0](#) and [A1.1](#)). THEC granted approval at the [July 25, 2013](#) meeting and notified the university. Proposals are submitted to the Graduate Curriculum Committee and the Graduate Council in a standardized format which is outlined in a manual (See Appendix [2.7.1-C](#), 2013-14 Curricular Submission Guidelines for the Graduate Council).

Conclusion

The University of Tennessee, Knoxville requires a minimum of 120 hours for undergraduate degree programs and a minimum of 30 semester credit hours for all post-baccalaureate, graduate and professional degree programs.

2.7.2 Program Content

The institution offers degree programs that embody a coherent course of study that is compatible with its stated mission and is based upon fields of study appropriate to higher education.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution of the University of Tennessee System. It was founded in 1794 as Blount College, a nonsectarian college, with studies primarily in the sciences, mathematics, and languages. Under the 1862 Morrill Act, the State of Tennessee designated the university as the state's federal land-grant institution in 1869 and the curriculum expanded to include agriculture and the mechanical arts. Today, UT continues its legacy of strength in the natural sciences and engineering in its partnership with Oak Ridge National Labs; and, has strengths in the arts and humanities, business, and other disciplines common to today's research-intensive university.

The university offers bachelor, master, and doctoral level programs as well as graduate certificates; UT does not offer associate degrees. The UT mission is

to move forward the frontiers of human knowledge and enrich and elevate the citizens of the state of Tennessee, the nation, and the world. As the preeminent research-based, land-grant university in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions.

Coherent Courses of Study

Academic programs are organized into 11 colleges: Agricultural Sciences and Natural Resources; Architecture and Design; Arts and Sciences; Business Administration; Communication and Information; Education, Health and Human Sciences; Engineering (with programs at the UT Space Institute in Tullahoma); Law; Nursing; Social Work (with graduate programs in Nashville); and Veterinary Medicine. Assurance of the appropriateness of the course of study is managed internally through curricula review processes of the [Undergraduate](#) and [Graduate](#) Councils and externally through review by the Tennessee Higher Education Commission (THEC), program reviews and program accreditation (for a discussion relating to program accreditation at UT, see Comprehensive Standard [3.13.1](#)).

The Undergraduate Council and Graduate Council, whose membership comprises representatives from each college, are delegated a role in the approval procedure for curriculum, both traditional on-campus offerings and online programs. The Councils publish guidelines for submission of curricular material and a calendar for curricular proposals. No curricular changes can be made to the undergraduate or graduate catalogs without having been reviewed at the department, college and institutional levels. The Councils are subcommittees of the Faculty Senate, which review and vote on all actions of the Councils. Regardless of the mode of delivery or location, all curriculum proposals must follow the same approval procedures.

Each course offered by the university is identified by the name of the academic discipline and a three-digit course number. These numbers indicate course level. All academic policies, program requirements, including semester by semester showcases for undergraduate majors, and all course descriptions (those based in Knoxville, available at the UTSI, the online programs with the College of Social Work-Nashville) are published in the [Undergraduate](#) and [Graduate](#) Catalogs made available online as e-catalogs (URL for all electronic catalogs is <http://catalog.utk.edu/>; navigation to the appropriate year is through the [selection box](#) on the right-hand side of the page). UT no longer publishes a paper-version of the catalogs.

Course Numbers	Level
000-099	Noncredit; preparatory.
100-299	Lower division; primarily for freshmen and sophomores.
300-499	Upper division; primarily for juniors and seniors; when a 400-level course is taken for graduate credit, the letter G will precede the course credit hours on the grade report.
500-599	Graduate; sometimes available for undergraduate credit; when taken for undergraduate credit, the letter U will precede the course credit hours on the grade report.
600-699	Advanced graduate; open to graduate students; available for undergraduate credit (with approval of instructor) for students holding a degree who are taking additional work as undergraduate non-degree students; when taken for undergraduate credit, the letter U will precede the course credit hours on the grade report.
800-899	Veterinary Medicine; Law.
900-999	Law.

New Degree Approval

The University of Tennessee System Vice President for Academic Affairs and Student Success oversees the policy for the addition of new academic programs and ensures that the processes of the campuses within the UT System adhere to THEC policy and procedures. Proposals for new academic programs begin with the faculty in a department or across colleges and departments for intercollegiate or interdepartmental programs. The proposal follows normal approvals by departments, colleges, and campus before the final proposal is forwarded to the Vice President for Academic Affairs and Student Success in the UT System Office. The Vice President will transmit the proposal to the University of Tennessee Board of Trustees. Upon their approval, the proposal will be transmitted to THEC. Once THEC approves the addition of the program to the institution's inventory, students may be admitted to the program. The program may appear in the university catalog (undergraduate or graduate) with the statement Pending THEC approval. If, for whatever reason, THEC does not approve the program, it will be removed from the catalog. Policies and guidelines are:

- Letter of intent for proposed new academic programs ([THEC document](#))
- New program financial estimate form ([THEC document](#))
- Steps in the preparation and approval of the Letter of Intent to THEC ([UT System document](#))
- Next steps in the preparation and submission of a full proposal to the UT Board of Trustees and THEC ([UT System document](#))

Program Compatibility with the University's State Mission

The [Letter of Intent for Proposed](#) New Academic Programs specifies that the institution addresses the following items with regards to the mission of the university and the state's educational needs

- How will the program further the mission of the institution?
- How will the program meet the priorities of the State Master Plan for Higher Education and follow the directives of the Complete College Tennessee Act of 2010 relative to increased degree production?
- How will the program meet the goals of the system and institutional strategic plans?

The UT mission states the university moves "forward the frontiers of human knowledge and enrich and elevate the citizens of the state of Tennessee, the nation, and the world". Therefore, the faculty need to demonstrate that current and any proposed programs will address this mission. UT currently offers a diverse and comprehensive listing of programs that is compatible with this mission and represent the breadth of studies expected at an institution of higher education.

Conclusion

The University of Tennessee, Knoxville, offers degree programs that embody a coherent course of study. Programs relate to the mission as a comprehensive, land-grant, research-intensive university. Processes are in place to ensure that the faculty have say in the development of new programs that meet the mission of the institution and meet the needs of the State of Tennessee upon review by the Tennessee Higher Education Commission. UT demonstrates compliance with Core Requirement 2.7.2.

2.7.3 General Education

In each undergraduate program, the institution requires in each undergraduate degree program the successful completion of a general education component at the collegiate level that (1) a substantial component of each undergraduate degree, (2) ensures breadth of knowledge, and (3) is based on a coherent rationale. For degree completion in associate programs, the component constitutes a minimum of 15 semester hours or the equivalent; for baccalaureate programs, a minimum of 30 semester hours or the equivalent. These credit hours are to be drawn from and include at least one course from each of the following areas: humanities/fine arts, social/behavioral sciences, and natural science/mathematics. The courses do not narrowly focus on those skills, techniques, and procedures specific to a particular occupation or profession. If an institution uses a unit other than semester credit hours, it provides an explanation for the equivalency. The institution also provides a justification if it allows for fewer than the required number of semester credit hours or its equivalent unit of general education courses.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the flagship campus of the University of Tennessee System (UT System) with a Board of Trustees providing oversight to all campuses and institutes within the UT System. UT offers bachelor, master, and doctoral level programs as well as graduate certificates; UT does not offer associate degrees.

All four-year bachelor's degrees require a minimum of 120 semester credit hours of which general education is a minimum of 40 to a maximum of 48 semester credit hours, depending upon course selection. The general education program is divided into Building Basic Skills and Developing Broadened Perspectives and is presented in the General Education section of the 2013-2014 Undergraduate Catalog ([8-page pdf](#) file of pages 38 through 46 of the full catalog).

Statement of Purpose. General education provides the foundation for successful academic study, for lifelong learning, and for carrying out the duties of local, national, and global citizenship. By building basic skills in communication, analysis, and computation as well as by broadening students' historical and cultural perspectives, the general education curriculum helps students acquire an understanding of both self and society, and thus contributes to their personal enrichment while enrolled and after graduation.

The rationale for the division of general education into the two areas, as presented in the catalog, is:

Building Basic Skills. Because the hallmark of the educated person is the ability to think independently, students must be trained to acquire, evaluate, and use information.

- Students must be able to acquire information by conducting independent research, both in a conventional library setting and through the use of the rapidly developing electronic technologies, including databases and internet resources.
- Students must then learn to evaluate the reliability, accuracy, and logical soundness of that information. The students will be taught to apply evaluative techniques to

statistical and rhetorical presentations in arts, humanities, natural sciences, and social sciences.

- Students must be trained to use the information that they have acquired. They must write clearly, speak convincingly, and solve problems using creative approaches.

Developing Broadened Perspectives. General education should help students develop habits of self-examination in the context of the individual's relationship to family, community, society, and world. To this end, general education should also help foster a commitment to respecting the diversity of personal and cultural values.

- Students should be able to explain their own values and beliefs, as well as to understand the histories and cultures behind those values. Students should also develop a commitment to lifelong learning so that they may continue to examine the relationships between their personal perspectives and the perspectives that arise from other cultures.
- Students should strengthen their sensitivity to cultural diversity by studying the histories and traditions of other cultures, both within and outside the United States; and by understanding the dynamic nature of a multicultural world through interdisciplinary perspectives or by learning other languages.

The structure of the general education program is:

Building Basic Skills is composed of

- I. [Communicating through Writing](#) (3 courses including English 101 and 102 or equivalent plus an approved writing-intensive course which may be an upper division course in the major; 9 semester hours)
- II. [Communicating Orally](#) (1 course; 1 to 3 semester hours)
- III. [Quantitative Reasoning](#) (2 courses; 6 to 8 semester hours)

Developing Broadened Perspectives is composed of

- I. [Natural Sciences](#) (2 courses including one laboratory science course; 6 to 8 semester hours)
- II. [Arts and Humanities](#) (2 courses; 6 semester hours)
- III. [Social Sciences](#) (2 courses; 6 to 7 semester hours)
- IV. [Cultures and Civilizations](#) (2 courses; 6 semester hours)

Informing and Advising Students about General Education

Catalog

Course lists for each distribution area are provided in the on-line catalog. Additionally, course descriptions in the online catalog include a statement if a course satisfies general education and a two-letter designations identifying the requirement: WC = Communicating through Writing, OC = Communicating Orally, QR = Quantitative Reasoning, NS = Natural Sciences, AH = Arts and Humanities, SS = Social Sciences, and CC = Cultures and Civilizations. [Examples](#) of course descriptions that show general education designation are provided.

The requirements are displayed in the catalog showcases for the academic majors. General education distribution areas (if listed generally, e.g., Cultures and Civilizations) and specific courses that satisfy general education are displayed in the showcases by marking with an asterisk. Sample showcases:

- [Advertising](#) Major, BS in Communication
- [Anthropology](#) Major, BA
- [Chemical Engineering](#) Major, BS in Chemical Engineering - Biomolecular Engineering Concentration
- [Economics](#) Major, BS in Business Administration
- [English](#) Major, BA - Rhetoric and Writing Concentration
- [Finance](#) Major, BS in Business Administration
- [Hotel, Restaurant, and Tourism](#) Major, BS in Retail, Hospitality, and Tourism Management
- [Interior Design](#) Major, BS in Interior Design
- [Mathematics](#) Major, BS
- [Music](#) Major, BA
- [Nuclear Engineering](#) Major, BS in Nuclear Engineering
- [Nursing](#) Major, BS in Nursing
- [Physics](#) Major, BS, - Applied Concentration
- [Plant Sciences](#) Major, BS in Plant Sciences - Biotechnology Concentration
- [Political Science](#) Major, BA
- [Recreation and Sport Management](#) Major, BS in Education - Sport Management Concentration
- [Social Work](#) Major, BS in Social Work
- [Special Education](#) Major, BS in Education - Communication Disorders Concentration

Orientation

Incoming first-year students complete an online, pre-orientation [exercise](#) that includes overview of general education. The goal is to prepare students for their advising session during orientation.

Advising

Students and advisors have access to the Degree Audit Reporting System (DARS). Each academic major and concentration is programmed to display general education requirements and to apply courses taken to the approved distribution requirement. General Education requirements are clearly marked on the [report](#) generated by the online system. When a student runs a DARS report and views it online, s/he has the ability to click on each course in the "Select from" lists to access the course description, general education designation, and pre-/co-requisite information from Banner (the student records system). The Office of the Registrar, which manages Banner and DARS, has received positive feedback from students and the advising community about this feature since implementation of the Interactive DARS Audit early in the 2013-2014 academic year. Advisors guide students with selection of specific courses that help them meet their educational goals.

Transfer Students

The Tennessee Higher Education Commission (THEC) has responsibility for developing "a *university tract* [sic] *program within the University of Tennessee and the Tennessee board of regents systems consisting of sixty (60) hours of instruction that can be transferred and applied toward the requirements of a bachelor's degree at the public universities. The tract* [sic] *shall consist of forty-one (41) hours of general education courses instruction ...*" ([TCA-49-7-202](#) as amended by the Complete College Tennessee Act of 2010). UT includes information for students in the online catalog, and on the transfer student [admissions webpage](#) with a link to the Office of the Registrar [webpage](#) and the Tennessee Pathways [webpage](#); both provide more detailed information. The Office of the Registrar also has a dedicated [webpage](#) for general education.

There are now [40 pathways](#) constructed for the most common majors students transfer from community colleges in the state of Tennessee to the four-year institutions (sample pathway, [Business Major](#)). If a student follows a pathway and completes an associate of arts or associate of sciences degree, the student will be admitted having completed general education requirements.

If a student transfers prior to earning the associate's degree, they may seek certification for completing portions of or all general education requirements. A student that is certified for completion of a subsection of general education will not be required to take additional courses in that subsection to satisfy general education requirements at the baccalaureate institution. Students must request certification at the time of admission; certification is not awarded retroactively.

For students transferring to UT from outside the state of Tennessee, transcripts are review by transcript evaluators in the Office of the Register, courses are entered to the student record. If courses are not transferred as equivalents to UT courses, students meet with their academic advisor and complete the [petition](#) process to apply transfer course work to general education requirements (a course syllabus is required for consideration). Petitions are reviewed by the appropriate subcommittee of the University General Education Committee. If petitions are approved, the course is applied to the requirement. If it not, the student is expected to enroll and complete a designated course to meet the general education requirement.

General Education Oversight

Existing courses may be proposed for consideration by the University General Education Committee (UGEC), a subcommittee of the University's Undergraduate Council. The UGEC is composed of elected faculty members of the Undergraduate Council, *ex officio* members of the Undergraduate Council (typically associate/ assistant deans or directors of undergraduate education from each college), the seven distribution area subcommittee chairs, and appointed members representing the Office of the University Registrar, Office of Institutional Research and Assessment, Advising Committee Chair, and University Libraries. The committee members and the bylaws are posted to the Undergraduate Council website. Faculty can access resources for developing their proposals and the course proposal form from the General Education Requirements and Resources webpage.

Proposals are submitted to the General Education Committee for action. The subcommittees review proposals to ensure they meet the outcomes for each distribution area as defined in the Undergraduate Catalog. The General Education Committee also reviews proposals for revision and dropping the general education designation previously awarded a course. Once action is taken by the UGEC, proposals are forwarded to the University Undergraduate Council for consideration. If approved by the Council, proposals are then forwarded to the Faculty Senate for final approval prior to being added to the appropriate distribution list in the undergraduate catalog.

If the course being considered is a new course, the faculty member must submit a proposal for review (includes course syllabus) and approval through the institution's approval process. Once a proposal is approved by a department, it moves forward to the college for review and action. If approved at the college-level, the proposal is simultaneously submitted to the General Education Committee and the University's Undergraduate Council. If a course is not approved at the Undergraduate Council, it is withdrawn for consideration by the General Education Committee, and vice versa.

Proposals for new or existing courses include the general education course proposal form for the specific requirement ([WC](#), [OC](#), [QR](#) or [Broadened Perspectives](#)) and a copy of the course syllabus. Subcommittee chairs serve as consultants to the faculty on the process.

Conclusion

The University of Tennessee, Knoxville, had a general education program that is substantial component of each undergraduate program as listed in the Undergraduate Catalog that ensures breadth of knowledge and is based on a coherent rationale. It draws on at least one course in each of the following areas arts and humanities, social sciences, mathematics, and natural sciences. Therefore, demonstrates compliance with this standard.

2.7.4 Coursework for Degrees

The institution provides instruction for all course work required for at least one degree program at each level at which it awards degrees. If the institution does not provide instruction for all such course work and (1) makes arrangements for some instruction to be provided by other accredited institutions or entities through contracts or consortia or (2) uses some other alternative approach to meeting this requirement, the alternative approach must be approved by the Commission on Colleges. In both cases, the institution demonstrates that it controls all aspects of its educational program. (See *Commission policy “Core Requirement 2.7.4: Documenting an Alternative Approach.”*) (**Note:** *If an institution does not offer all course work for at least one degree at each degree level, it must request approval and provide documentation for an alternative approach that may include arrangements with other institutions. In such cases, the institution must submit information requested in Commission policy, “Core Requirement 2.7.4: Documenting an Alternative Approach.” This information should be submitted as part of the Compliance Certification*).

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT), is the state’s flagship, comprehensive land-grant research institution with degree programs at the bachelors, masters, professional and doctoral levels. The university provides instruction for all course work at all levels for which a degree may be earned. The university does not contract its coursework and instruction to other entities.

Course descriptions for all courses available in each degree program as well as degree requirements for every degree offered may be found in the [Undergraduate](#) and [Graduate](#) Catalogs (available online through the Office of the University Registrar website), websites for the colleges, and websites for the professional programs in College of Law (Law) and the College of Veterinary Medicine (CVM).

Table 2.7.4-1: The University of Tennessee, Knoxville, course work required for at least one degree program at each level

Degree Level	Sample Major
Bachelor of Arts	English
Bachelor of Science	Finance
Master of Architecture	Architecture
Master of Art	History
Master of Fine Arts	Art
Master of Science	Civil Engineering
Education Specialist	Teacher Education
Doctor of Philosophy	Natural Resources (courses in Forestry; Forestry, Wildlife and Fisheries; Wildlife and Fisheries Science)

Degree Level	Sample Major
Doctor of Jurisprudence	Law
Doctor of Veterinary Medicine	Veterinary Medicine

Conclusion

The University of Tennessee, Knoxville (UT) provides instruction for at least one degree offered at each level (baccalaureate, master's, research doctorate, and professional practice doctorate) and, as evidence above, demonstrates compliance with Core Requirement 2.7.4.

2.8 Faculty

The number of full-time faculty members is adequate to support the mission of the institution and to ensure the quality and integrity of each of its academic programs.

Upon application for candidacy, an applicant institution demonstrates that it meets the comprehensive standard for faculty qualifications

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) employs an adequate number of full-time faculty to support its primary mission to move forward the frontiers of human knowledge and enrich and elevate the citizens of the state of Tennessee, the nation, and the world. 94% of full-time tenured/tenure-track faculty perform a combination of instructional, research and public service duties, while 89% of all faculty (tenure, tenure-track and non-tenure-track; full-time and part-time) do so. Full-time instructional faculty teach 77% of the student credit hours, and 97% of all credit hours are taught on the Knoxville campus. 81% of undergraduate major upper-level credit hours are taught by faculty holding the appropriate terminal degree. Our student-faculty ratio of 17:1 is equal to or better than most of our target/current peers and several of our aspirational peers.

Mission

The University of Tennessee, Knoxville's (UT) primary mission is to move forward the frontiers of human knowledge and enrich and elevate the citizens of the state of Tennessee, the nation, and the world. As the preeminent research-based, land-grant university in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions. The *Vol Vision 2015: Pursuit of the Top 25* strategic plan provides the guiding framework for the university to achieve its potential among the nation's preeminent research universities. The focus of our journey is on [five priority areas](#): undergraduate education; graduate education; faculty; research and engagement; and infrastructure and resources.

Every tenure-line faculty member must engage in research, scholarship, or creative activity. Even in disciplines where funding for scholarly or creative projects is scarce, tenure-line faculty members are expected to allocate part of their annual effort to extending the frontiers of knowledge or other appropriate creative activity.

The Office of Research and Engagement administers funded research activities for the campus. The UT-Oak Ridge National Laboratory partnership generates more than \$17 million annually in sponsored research. AgResearch, the research unit in the University of Tennessee Institute of Agriculture, is an integral partner to the teaching programs within the College of Agricultural Sciences and Natural Resources, whose dean has a reporting line to the Provost (see Comprehensive Standard [3.13.4.b](#) for a detailed discussion about the relationship between UT and UTIA).

Public Service is embodied in many programs. The university's Academic Outreach and Engagement Council promotes our land-grant mission by encouraging excellence in outreach scholarship through teaching, research, and service to our constituents; by

encouraging excellence in engagement that is transformative for the academic and public communities; and by advocating policies that reward and recognize faculty engaged in academic outreach and engagement.. Individual units within the university offer focused programs. For example, the College of Social Work's Office of Research and Public Service works directly with state agencies and regional policy makers, linking them to academic and professional resources. The Department of Psychology offers counseling services to the public at its downtown Knoxville clinic, with fees based on client's ability to pay.

Policies and procedures for ensuring faculty adequacy are detailed below and in Comprehensive Standards [3.5.4](#) and [3.7.1](#). The numbers of faculty discussed below include those at the Knoxville campus (including the UT Institute of Agriculture), the Space Institute (off-campus site in Tullahoma, Tenn.), and the College of Social Work-Nashville.

Definitions and Profile of Faculty

Tenured and tenure-track faculty hold the titles of professor, associate professor, or assistant professor. Appointments can be for nine or twelve-month periods. Some of the tenure-line faculty hold special titles, which can be honorific or which make available to them additional resources. Such titles include, but are not limited to, Governor's Chairs, Distinguished Scientists, Chancellor's Professors, and University Professors. In addition to these titles, which are bestowed by the university, many of our eleven academic colleges also provide outstanding faculty the opportunity for special appointments (professorships and endowed chairs). Non-Tenure-Track faculty can hold the titles of instructor, lecturer, adjunct, visiting, clinical, research, or faculty of practice. Faculty are not separately credentialed to teach online courses, and faculty not resident at the Knoxville campus locations are credentialed the same as other faculty within their college or department. Graduate Teaching Associates, who are listed as Instructors of Record for a particular course, are required to have completed eighteen hours of graduate course work before being named Teaching Associate. Refer to Comprehensive Standard [3.7.1](#) for additional credentialing details.

The UT 2013-2014 Fact Book categorizes full-time instructional faculty according to tenure status and tenure home or primary instructional funding unit (for non-tenure line faculty). Faculty at the Institute of Agriculture, the Space Institute, and the College of Social Work-Nashville are included within their respective colleges.

- UT employed 1,502 full-time instructional faculty in Fall 2013. 75% are tenured or tenure-seeking. 80% are in the ranks of professor, associate professor, or assistant professor. Among the non-professional colleges, the Arts & Sciences Humanities disciplines have the lowest percentages in each of these two categories ([Table 2.8-1](#)).
- 32% of Fall 2013 full-time instructional faculty have been at UTK for 15 or more years.
- UT's student-to-faculty ratio as published in the Fall 2013 Common Data Set is 17:1. We are well-positioned amongst our peers, with a rate equal to or better than most of our target and current peers and several of our aspirational peers ([Table 2.8-2](#)).

The federal government collects information about fall staff through IPEDS (Integrated Postsecondary Education Data System). Data is submitted by function, such as administrative, professional, technical, instructional, research, or public service. For purposes of direct comparison, UT's data for this discussion has been recalculated to exclude employees at the UT Health Sciences Center, which is an applicant institution and

whose data are included with the UT IPEDS report (see Comprehensive Standard [3.13.5.b](#) for a discussion of the separate accreditation for the UTHSC).

UT reports most of our faculty in the IPEDS category of Instruction Combined with Research and/or Public Service, defined as *Persons for whom it is not possible to differentiate between instruction or teaching, research, and public service because each of these functions is an integral component of his/her regular assignment. Regardless of title, academic rank, or tenure status, these employees formally spend the majority of their time providing instruction, research, and/or public service.*

In Fall 2013, UT employed 1,502 full-time faculty. 94% of full-time tenured/tenure-track faculty perform a combination of instructional, research and public service duties, while 89% of all faculty (tenure, tenure-track, and non-tenure-track; full-time and part-time) do so.

Faculty reported in the Research category are primarily employed in our various research centers, are grant writers, or work in UT Extension or the eleven AgResearch Research and Education Centers.

Public Service faculty include many UT Extension or AgResearch employees, some faculty within the College of Business Administration who teach executive development of non-students, and faculty involved in the VolsTeach program (teacher preparation field experiences).

IPEDS HR Survey, Fall2013, UT-revised

	Full-Time Tenured/Tenure- Track	Full-Time Non-Tenure Track	Part- time	Graduate Assistants
Instruction / Research / Public Service	1,120	382	231	2,604
Research	33	79	31	n/a
Public Service	39	15	12	n/a
TOTAL	1,192	476	274	2,604

While institutions interpret the definitions and place their faculty within the three categories differently, among our eight target and fourteen other southern research universities who reported faculty in all three categories, only five had higher percentages of instructional faculty than did UT ([Table 2.8-3](#)).

Student Credit Hours by Location and Program

[Table 2.8-4](#) presents student credit hours (SCH) for all locations and programs, by faculty instruction category, for the Fall 2013 and Spring 2014 terms combined. Full-Time Instruction means faculty who are reported in the faculty federal EEO categories and are employed full-time. All other faculty or instructors except graduate assistants are in the part-time category.

Of the University's total student credit hour production for Fall 2013 and Spring 2014 (694,491 SCH), the vast majority (97%) are taught on the Knoxville campus. 77.3% of the total SCH were taught by full-time faculty. At Knoxville the percentage of total SCH taught by full-time faculty is 77.3, while it is 88.3% at the College of Social Work-Nashville (for the Master's program in Social Work), 79.2% at the Space Institute (for graduate engineering,

mathematics, and physics/astronomy programs), and 76.8% for online/distance education programs (all but one are at the graduate level).

A few programs show lower percentages of credit hours being taught by full-time faculty.

- Graduate Assistants teach many lower-level courses in Arts and Sciences, Kinesiology/Recreation/Sport Studies, and Educational Psychology and Counseling.
- All part-time instructors for Information Sciences courses have terminal doctorate or master's degrees, and all graduate assistants are pursuing doctorates.
- EDUC courses in the College of Education, Health, and Human Sciences are 148 total student credit hours, 140 of which are EDUC 100 (one credit hour introductory special topics course with a service learning component) taught by an administrator within the college who holds an appropriate terminal degree.
- Air Force and Military Science courses are taught by part-time current or former military personnel or instructors with appropriate masters degrees.
- Baker Center and Chancellor's Honors courses are undergraduate honors courses taught by appropriately credentialed faculty or one-on-one research/thesis/service learning/internship courses coordinated by administrative personnel.
- First-Year Studies 101 courses are taught by full-time faculty members or by full-time staff members who teach part-time.
- Two of the Mathematics courses (54 SCH) at the UT Space Institute are taught by a part-time instructor with a Masters in Math and long-time teaching experience at another Tennessee institution.
- The one online Anthropology course (ANTH 130, 78 SCH) is taught by a graduate assistant pursuing a doctorate.

Ensuring faculty adequacy

Faculty adequacy—having a sufficient number of faculty to carry out UT's mission—is ensured through a variety of processes. Primary responsibility for ensuring that UT has adequate faculty to carry out its threefold mission lies with the Office of the Provost. Whereas scrutiny of appointments is the responsibility of the Vice Provost for Faculty Affairs, ensuring that UT has an adequate number of instructional faculty is the responsibility of the Vice Provost for Academic Affairs.

The Office of the Provost oversees the following annual activities and processes, which are intended to insure that the number of faculty are adequate for our instructional mission.

- **Campus Planning Meetings:** Each spring semester, the Provost requires the eleven colleges and the Libraries to present their plans for the next two academic years. At these meetings, the deans request resources in order to build programs or to meet demand in growing programs. Annual planning meetings provide an opportunity to explore instructional and other mission-related needs.
- **Continual oversight of enrollment by the Office of the Provost:** The Vice Provost for Academic Affairs (VPAA) monitors highly subscribed courses in order to eliminate bottlenecks and facilitate timely graduation. Such monitoring allows the VPAA to provide the resources necessary for departments to open additional sections of the over-subscribed courses. For the purpose of meeting enrollment needs, the VPAA administers a Supplemental Instruction Fund (SIF). The SIF provides colleges with additional funds in the event of shifting, unusual, or increasing enrollment patterns.

- **Vice Provost for Academic Affairs** holds monthly meetings with associate deans in charge of their college's undergraduate education. These meetings give the associate deans a formal way of bringing instructional needs to the attention of the Provost.
- **Annual Request for Proposals for new tenure-line faculty:** Each September, the Provost issues a request for proposals from the colleges for adding new tenure line faculty. Each college is required to provide justifications for the addition of the new tenure-line faculty. Although instructional need is one justification for such an addition, building upon already existing scholarly strengths, creating interdisciplinary clusters / programs, and fulfilling our land-grant mission through community engagement are also presented as rationales for additions to the tenure-line faculty. In the past two years, the Provost has awarded approximately ten new lines in this manner.
- **Academic Program Reviews:** Academic programs undergo a comprehensive review every ten years. Five years after the full review, the departments undergo a less comprehensive review aimed at following up on the recommendations from the decennial review. The comprehensive nature of the review ensures that every aspect of the department's role in carrying out the university's mission is examined. The question of adequacy of resources is always addressed, and the review committee submits a report to the Provost. The department is required to respond to the report and to explain how it intends to respond to any issues that the committee has identified as needing to be addressed.
- **Programmatic Accreditations:** Over 25 academic programs hold programmatic accreditation. During the re-accreditation review, adequacy of instructional personnel is discussed.

Conclusion

The University of Tennessee, Knoxville, regularly reviews course demand, research productivity, and outreach to identify areas where faculty resources are needed. The processes described allow the institution to monitor the support of the mission and there are adequate faculty to meet the needs of the different academic programs.

2.9 Learning Resources and Services

The institution, through ownership or formal arrangements or agreements, provides and supports student and faculty access and user privileges to adequate library collections and services and to other learning/information resources consistent with the degrees offered. Collections, resources, and services are sufficient to support all its educational, research, and public service programs.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT), provides and supports student, staff, and faculty access and user privileges to an extensive library collection, numerous library services, and other learning and information resources that are adequate for and consistent with the degrees offered by the University and sufficient to support all of its various educational, research, and public service programs.

The University of Tennessee Libraries includes four facilities on the Knoxville campus: the John C. Hodges (Main) Library, the George F. Devine Music Library, the Webster C. Pendergrass Agriculture and Veterinary Medicine Library, and the James D. Hoskins Library; and the Social Work Library in Nashville. Administered independently are the Joel A. Katz Law Library in Knoxville and the Helen and Arthur Mason Library at the UT Space Institute in Tullahoma.

Support for Student and Faculty Access and Use

According to the most recently published data (2011/2012, [page 13](#)) from the Association of Research Libraries (ARL), the UT Libraries owns approximately 3,363,874 volumes, including 424,939 e-books. As reported in the UT Fact Book, the Libraries also include more than 4 million microforms and access to over 58,000 electronic and print serials in its collections. These collections are indexed through an online catalog that contains records with links to the digital copy for electronic journals and books. For a description of the educational, research, and public service programs of the University of Tennessee that are supported by the Libraries, see Comprehensive Standards [3.3.1.3](#), [3.3.1.4](#), and [3.3.1.5](#).

Five primary locations house most of the materials and staff of the UTK Libraries: John C. Hodges Library, DeVine Music Library, Webster C. Pendergrass Agriculture and Veterinary Medicine Library, Hoskins Library, all in Knoxville, and the Social Work Library in Nashville. Hodges Library is the central library facility for the Knoxville campus. The seven-story, 350,000-square-foot building houses collections in all subject areas. Hodges is also home to Map Services, Special Collections, The Commons (a partnership between the Office of Information Technology and the University Libraries to connect students and faculty with the tools and information they need to be successful learners and teachers in the 21st century), and The Studio (a media production lab that provides computers, software and staff to assist users in the creation of media-enhanced educational projects).

The DeVine Music Library is the primary source for music and music literature in the UT Libraries. The Webster C. Pendergrass Agriculture and Veterinary Medicine Library holds the majority of UT Libraries' collections for agriculture, natural and environmental sciences, food sciences, and veterinary medicine. Hoskins Library houses the Storage Reading Room and the Libraries' extensive storage collections. The Social Work Library in Nashville is a

comprehensive collection of resources to support the College of Social Work's field program in Nashville.

Administered separately from the UT Libraries, the Joel A. Katz Library provides resources and services to support the instructional mission of the College of Law and the scholarly research of law faculty.

Also administered separately, the University of Tennessee Space Institute (UTSI) Helen and Arthur Mason Library provides support for UTSI's instructional mission, supporting graduate study and research in engineering, physics, mathematics, and aviation systems.

Collections and Resources

The UT Libraries collections support the mission, vision, and goals of UT. Collections include all information that the Libraries makes available to its users in a variety of formats. Information resources are acquired by purchases or gifts of physical objects retained in the local collection, digital content obtained from vendors, publishers, and the university community; locally digitized materials, resources borrowed from other libraries, and open access sources available via the internet.

The UT Libraries is a member of the exclusive Association of Research Libraries. According to the most recent data available in their annual publication, *ARL Statistics 2011-2012*, UT Libraries holds approximately 3,363,874 volumes in its collections ([page 12](#)). The Libraries' had \$12,876,113 in total expenditures for library materials ([page 24](#) and [page 53](#)), ranking 20th out of 69 ARL U.S. Public Universities and had \$11,059,805 in expenditures for ongoing resource purchases (e.g. subscriptions, annual license fees, etc., [page 12](#)), ranking ninth out of ARL U.S. Public Universities and 22nd overall (out of 113).

Subject areas emphasized in the Libraries' collection are those which support the University's curriculum and research. Academic colleges and schools, centers and institutes, and university programs represent areas of special research interest. Collections, physical and virtual, include materials that support undergraduate and graduate level study and research offered in the colleges, schools and programs. Of particular strength are the collections in Appalachian studies, Tennessee history, local history and literature, chemistry, business, and engineering. Government publications are collected at federal and state levels through partnerships in the Federal Depository Library Program (1907) and the Tennessee Depository Program (1917). Beginning in 2006, government publications are selected in digital format. Digital Library Initiatives (DLI) began in 2001 to foster the creation and use of digitized collections and provide open access to materials of interest to the academic community. Newfound Press, a library digital imprint, was launched in 2005 as a demonstration of new forms of scholarship. The central physical collection is housed in the present John C. Hodges Library, expanded in 1987, a seven-story, 350,000-square-foot central library named for a past head of the English Department.

Map Services provides reference services for map and geography related questions and houses a collection of atlases, books (cartographic and geospatial related) and over 300,000 sheet maps. In 2008 the Map Library moved to the ground floor of Hodges Library to increase access to services and collections. The collections are strong in the Earth Sciences and include GIS, GPS, and other electronic and digital tools and data. Services include reference, interlibrary loan, reserve, and access to databases and cartobibliographies from around the world. The Map collection holds the largest collection of maps in the state of Tennessee and serves as the state depository for pre-1989 federal agency maps and an Earth Science Information Center (ESIC) affiliate.

The James D. Hoskins Library houses manuscript and archives collections and the library's storage and preservation collections. The storage collection is a closed stack area in Hoskins Library that contains low-use materials. Access to this collection is available through delivery via Library Express and through a Storage Reading Room where materials may be used onsite. The preservation collection is a closed stack area in Hoskins Library that contains brittle and fragile books, periodicals that are at risk and for which other formats either do not exist or are unacceptable, and volumes that are not rare but require more secure storage to ensure their preservation. Access to this collection is available through paging to the Storage Reading Room or through the use of a stack permit, which may be issued by the Special Collections Librarian.

Special Collections is the repository for rare books, manuscripts, and other unusual items, including rare maps, prints, and historical ephemera, and includes approximately 60,000 rare books, 6,000 linear feet of manuscript collections, 4,000 linear feet of Modern Political Archives collections, 3,000 linear feet of University Archives collections and 3,200 University Archives volumes. The majority of the rare books date from the 19th century but include titles from as early as the 15th century. Manuscript collections include private papers, literary manuscripts, business records, political files, broadsides, photographs, film, sound recordings, digital files, maps, prints and ephemera primarily relating to Tennessee and the Southeast. High security areas protect the special nature of non-circulating materials in the rare book collections. Modern Political Archives contains archival material representing the careers and legacies of select Tennessean members of the U.S. Congress, the federal judiciary, and presidential cabinets. The University Archives maintains the institutional legacy of the University and serves as the official repository for UT, with materials deposited on a voluntary basis.

The George F. DeVine Music Library, located in the Music Building, provides library resources and services to support the University's programs in music and music education as well as serving the music reference and research needs of the entire University and local community. DeVine houses a comprehensive music collection of approximately 94,000 volumes, encompassing all formats of materials (books, scores, audio and visual recordings, periodicals, microforms) that support the instructional, research, and informational needs of scholars in the field of music. All curricular offerings and degree programs are considered in the Music Library Collection Policy. Curriculum support material, such as school music texts and recordings, are collected. As new programs or courses have developed, emphasis has been directed to building the collection to support these areas.

The Webster C. Pendergrass Library of Agriculture and Veterinary Medicine, located in the Veterinary Hospital, is the principal library resource for teaching, research and extension programs in the College of Agricultural Sciences and Natural Resources and the College of Veterinary Medicine. The Pendergrass collections include more than 160,000 books, journals, CD/DVDs, microforms, and data sets designed to support the needs of the UT Institute of Agriculture. Pendergrass Library is the state depository for agriculture publications through 1989 and has followed Government Printing Office guidelines to keep publications of historical significance that were published prior to this date. The library emphasizes government documents collections relating to the U.S. Department of Agriculture and state Extension publications. Pendergrass has an extensive collection of soil surveys.

The College of Social Work Library in Nashville holds a collection of roughly 20,000 books, more than 150 DVDs and videotapes, a reserve collection and a reference collection. Additionally, the Social Work Library is increasing its e-book holdings. The collection emphasis is on social work, psychology and management. Nashville Social Work faculty and

students also have access to the electronic journals, databases and other information resources of the UT Libraries in Knoxville.

The UT Space Institute (UTSI) Mason Library collections include approximately 25,000 bound volumes, and 50,000 government and industry hard copy reports (with an additional 214,000 in microform). UTSI's faculty and students also have access to the electronic journals, databases and other resources of the UT Libraries, along with support from the Learning, Research, and Collections librarian for engineering, who acts as their subject liaison librarian and facilitates access to information resources.

The Joel A. Katz Law Library's highest priority is to deliver outstanding innovative collections and services relevant to the law school curriculum and to the scholarship and service of the law faculty and law students. As a publicly supported institution, the law library strives, to the extent that resources permit, to meet the legal information needs of the university, the bench and bar, and the public (mission statement 2010). The Law Library is a selective Government Depository. The collection is approximately 598,984 volumes including microform equivalents. According to statistics reported to the ABA for fiscal year 2013, the law library spent \$431,816 on print serials, \$41,533 on print monographs, and \$406,240 on electronic databases. The Law Library's Collection Development Policy defines the areas and formats that are collected. Electronic databases, when possible, are made available campus-wide. The Law Library and University Libraries have jointly purchased several databases to better serve our user bases.

The [collection development policy](#) for the Libraries of the University of Tennessee, Knoxville defines the scope of existing collections, serves as a planning tool for future collection development, and provides a benchmark for measuring progress in the collection development and management program. The policy provides information about the library's collection building plan to the University's community, and to other users and institutions.

Collaborations

The Libraries also provides access to many collections for the university's scholars through an active interlibrary loan (ILL) program. UT Libraries is one of the top fifty net lenders in the country. The Association of Southeastern Research Libraries (ASERL), established in June 1956, is comprised of 31 institutions which have successfully sponsored collaborative efforts to provide and maintain quality resources and services for the students, faculty, and citizens of their respective communities. ASERL's shared catalog, KUDZU, supports express delivery service.

The Information Alliance among the University of Tennessee, the University of Kentucky and Vanderbilt University has sponsored several collection-related projects. The University Libraries is also a member of the statewide resource-sharing network, Tenn-Share (Tennessee Information Resource Sharing Consortium) and a member of LYRASIS, a non-profit membership organization that increases resources and buying power among members.

Membership in the Center for Research Libraries enables UT researchers to borrow highly specialized resources for an extended time. The OCLC Reciprocal Borrowing program enables scholars to visit participating research libraries and borrow materials via interlibrary loan in person. Memberships in consortia such as Association of Southeastern Research Libraries (ASERL) and of Tenn-Share, the state's resource-sharing network, provide eligibility for group discounts on purchases and participation in developmental projects.

Services

UT Libraries offers support to students, staff, and faculty in the educational, research, and public service programs of the University in many ways. Librarians provide assistance and instruction in the use of library and other information and technology resources. Instruction is provided via *AskUsNow*: in-person consultation, classroom instruction, phone, email, chat, online consultation, and texting services. The [chat service](#) is accessible from all Library web pages as well as on [database pages](#) from major vendors. Frequently asked questions (FAQ) pages, tailored to user groups, are available from the UT Libraries website to answer common questions. Online guides and tutorials on the use of library materials, resources, and spaces are available via the Libraries' website, iTunesU, the Libraries' youtube channel, and research guides. Online research guides, created by subject librarians, contain links to essential research databases and information sources along with instructions for making the best use of those resources. These guides contain discipline-specific instruction as well as course-specific content. Tutorials and guides may be accessed from desktop computers as well as mobile devices from our mobile site.

The UT Libraries offers formal instruction, at all user levels, to support teaching, research, and learning at the University of Tennessee and to expand the classroom experience. Subject liaisons provide expert consultation for students and researchers by walk-up and appointment. Classroom sessions ranging from basic information literacy for first year students to training in the tools of research for faculty are available by request through an instruction form, direct contact with a subject librarian, and through [open workshops](#). Orientations and tours are available by request as well as by campus-scheduled venues.

Online instruction at the UT Libraries supports blended courses, distance education, point-of-need instruction, and continuing education. Tutorials on how to use the Libraries' catalog and databases are available alongside the resources themselves using a platform called "guide on the side." A wide range of library tutorials on topics ranging from citing sources to conducting research in the health sciences are available via the Libraries' website, iTunesU, the Libraries' youtube channel, and research guides. Online consultation and instruction is offered for distance students, particularly in professional programs.

The UT Libraries provides UT students, staff, and faculty with spaces and services designed to facilitate teaching, learning, and research. There are group and individual study spaces including floors designated as quiet and group areas. The Libraries support academic instructors teaching their students to use library resources by offering six viewing classrooms that provide space for instructors utilizing media or other library resources as part of their class sessions.

The Commons, a partnership between the UT Libraries and the Office of Information Technology (OIT), provides informal learning spaces on a twenty-four hour basis and is well used by students and instructors alike. In collaboration with the OIT, the Libraries provide around 200 desktop computers in addition to 75 laptops and other devices available for checkout. Students and researchers have access to a wide range of print and online materials. A wide range of scanning and printing options are also available including large format and 3D scanning as well as color, black and white, and wireless printing. A ubiquitous campus-wide wireless system provides access throughout all libraries for UT affiliates and visitors.

The Studio, located in Hodges Library, is a media production lab. Open to UT students, staff, and faculty, the Studio provides computers, software and staff to assist users in the creation of media-enhanced educational projects.

UT Libraries employs a robust and well-supported interlibrary services operation to provide access to materials not readily available in our libraries' collections. UT uses the state of the art in interlibrary loan (ILL) networks and technologies to manage the service. Our students and researchers benefit from the less than 1-day turn-around time they receive from our Rapid ILL lending partners. UT Libraries also partners with library groups and research centers to provide ready ILL access to primary and published research materials. For example, UT Libraries is a member of the Association of Southeastern Research Libraries, Center for Research Libraries, OCLC SHARES, and the Global Interlibrary Loan Framework (North American and Japan), providing access to research collections at little or no additional cost. When we seek services beyond our regular partners, the Libraries uses OCLC IFM, invoicing, and procurement cards to purchase document delivery services from all over globe. UT Libraries purchases services from national libraries, foreign universities, and international publishers. Interlibrary services also include a 'purchase on demand' service, enabling the Libraries to buy print and electronic books instead of borrowing. These materials are then added to the permanent collection. All these services are provided at no charge to all faculty, students, and staff regardless of their physical location.

The UT College of Social Work Library is located at the graduate school of the same name in Nashville. It serves roughly 200 students who come to the campus, and a growing number of distance education students in a 2,800 sq. ft. facility. The students have access to 6 computers, a printer and a scanner. In addition to 3 large tables (4 chairs to each table), the library has 18 carrels, as well as a lounging section for casual browsing. There is also a microfiche reader. We have added 2 virtual services in the past 2 to 3 years: writing assistance (via email) and a scan-on-demand service.

Hours and Access

Access hours for UT Libraries are extensive. During fall and spring semesters, Hodges Library is open 24 hours continuously from 12:00 pm on Sunday through 12:00 am on Friday and from 10:00 am to 12:00 am on Saturday. The DeVine Library is open Monday through Thursday 8:00 am to 10:00 pm; Friday 7:30 am to 6:00 pm; Sunday 2:00 pm to 10:00 pm. The Pendergrass Library is open Monday through Thursday 7:30 am to 12:00 am; Friday 7:30 am to 6:00 pm; Saturday 10:00 am to 6:00 pm; Sunday 1:00 pm to 12:00 am. The Social Work Library is open Monday through Friday 8:00 am to 4:30 pm. The Law Library is open Monday through Thursday 7:30 am to 11:00 pm; Friday 7:30 am to 8:00 pm; Saturday 10:00 am to 6:00 pm; Sunday 10:00 am to 11:00 pm. The UTSI Library is open Monday through Friday 8:00 am to 5:00 pm, but the Library doors remain open 24 hours a day for the convenience of Library users.

Borrowing privileges are extended to students, faculty, and staff within the University of Tennessee System (UT System Administration, UT Chattanooga, UT Martin, UT Health Science Center (Memphis), UT Institute of Public Service, UT Institute of Agriculture, and UT Space Institute), who may check out books, periodicals, and media using their valid university IDs. Courtesy cards are available to anyone sponsored by a UT Department, UT Library Administration, or a college/university with which we have a reciprocal agreement. Anyone who attends a Tennessee Board of Regents College or University may obtain a TBR Card. Non-affiliates of the University may purchase donor cards in order to check out books from Hodges, DeVine, Map Services, and Pendergrass Libraries for \$100 per year.

The Hodges Main library uses StackMap software, a service available to mobile devices and personal computers to help find collection items in the stacks. The program displays a map along with book information and location when someone searches for a book in the library's catalog. The map pinpoints not only the floor, but also the specific shelf range where a book is located.

The UT Libraries is committed to providing access to library services and resources to all users. For those with disabilities the UT Libraries offers accommodations such as building accessibility, staff assistance in the library, telephone and electronic technology assistance, and adaptive equipment.

The UT Libraries is also committed to providing access to online and physical materials as well as instructional services to distance students and researchers. We provide document delivery services to remote UT students, faculty and staff as well as UT agricultural extension agents and agricultural researchers located at remote locations across the state in the UT Institute of Agriculture. Librarians provide academic support for faculty, students, and staff by finding information and recommending strategies for using the libraries' resources. Assistance is provided via phone, e-mail, and online chat. Individual and group consultation sessions are available online for distance library users in all disciplines. There are multiple mechanisms for requesting assistance in locating and using materials as well as feedback mechanisms for communicating questions and concerns.

The UT Libraries supports the educational, research, and public service needs of the UT community by obtaining materials not available at UT Libraries through the Interlibrary Loan system. Eligible users fill out an online form for materials they wish to request. This service provided 16,539 items to users in FY 2012. The Libraries provide the Library Express service that allows on campus users to request that items, either owned by the Libraries or requested through Interlibrary Loan, to be delivered to their offices, physically or virtually. Library Express delivered 35,780 items in FY 2012. There is no charge for this service.

The Libraries also participates in consortial agreements and memberships to take advantage of reduced subscription and human resource costs and augment the resources available to users. Current consortial partners and memberships include the Association of Southeastern Research Libraries (ASERL), the largest regional research library consortium in the United States, which has successfully sponsored collaborative efforts to provide and maintain quality resources and services for the students, faculty, and citizens of their respective communities. The Libraries is also a member of Tenn-Share, the state's resource-sharing network, the Center for Research Libraries, and the OCLC Reciprocal Borrowing program, which enables scholars to visit participating research libraries and borrow materials via interlibrary loan in person. These resources are available via the Libraries' website.

Assessment

Assessment of libraries services, spaces, and collections is key to the libraries strategic planning and goal of continuous improvement, using a variety of methods. Since 2002, the UT Libraries has utilized the standardized library evaluation survey instrument LibQUAL+, developed by the Association of Research Libraries. The survey was most recently administered in 2009 and again in 2013. The LibQUAL+ survey measures three core areas of user satisfaction: affect of service, information control, and library as place. In the 2013 survey, overall satisfaction with the UT Libraries was positive.

On a rotational basis the UT Libraries conducts library [user surveys](#), [observational studies](#), and [usability testing](#) as additional means of evaluation. Formal faculty and student advisory groups (Deans Student Advisory group, Faculty Senate IT and Library Committee, Library Faculty reps group) are organized each year to provide feedback to the library administration. Spontaneous [informal meetings](#) over lunch are conducted with students and faculty to discuss ideas for library improvements. Suggestion boxes both physical and virtual collect user comments, questions, and suggestions. The UT Libraries is also a partner

on the Institute of Museum and Library Sciences (IMLS) grant sponsored study LibValue: Value, Outcomes, and Return on Investment of Academic Libraries, in conjunction with the Center for Information and Communication Studies. Valuable information regarding the relationship of the learning commons and instruction to [student success](#) has been documented through this project.

Instructional and engagement activities are evaluated using a variety of formal, informal, and statistical methods. All first year students taking the Citing Sources tutorial through First Year Studies 100: The Volunteer Connection must complete a test on the tutorial, integrated into Blackboard, to receive credit. In support of the University's mission and strategic plan, Library instruction for General Education courses is evaluated using mixed methods to gain statistical data, instructor feedback, polls and quizzes to provide immediate feedback to students, as well as [assessment](#) of student learning outcomes.

Specialized, upper division instruction is evaluated by a combination of student and instructor feedback and vetting the sessions and assignments between department instructors and librarian due to the tailoring of the material to the needs of the individual research projects.

Among the improvements that have resulted from assessment activities include additional wireless printing stations, increased number of collaborative spaces for group work, quick print stations, quiet zones, additional laptops for check out, increased publicity on services, more food and drink options, more informal learning spaces, and specific resource acquisition, including digital and unique special collections. Survey data has been key in obtaining central funding for the learning Commons, facility improvements, and information resources. See also Comprehensive Standard 3.3.1.3.

The Law Library has utilized various tools for assessment and planning. The library faculty are currently revising the library's strategic plan that was last updated in 2010. Major policy changes and new initiatives are brought to the Law School's Library Advisory Committee for their input and guidance. Second- and third-level students participated in an online survey in 2011 regarding their use of the Law Library and other information sources, their legal research skills, and legal research education. In 2010, a Task Force, chaired by the Head of Public Services and composed of law students and staff, investigated the pros and cons of 24-hour access in the library. Based on their recommendation, a successful trial period was held in the spring of 2011 and the library went to 24-hour access for law students in November 2011. In 2012, the entering law school students were surveyed about the specific devices they bring to law school and their use of technology in academic settings. This survey will assist the staff in supporting, as well as planning for the support of, the technological needs of the students over the next three years.

The UT Libraries also maintains membership in several national organizations, such as the Association of Research Libraries, the Association of College and Research Libraries, the American Library Association, and the Association of Southeastern Research Libraries, ensuring that the Libraries is aware of and participates in current developments and library trends.

For more information about UTK Libraries facilities and learning resources, library instruction, and qualifications of library staff, see Comprehensive Standards [3.8.1](#), [3.8.2](#), and [3.8.3](#).

Conclusion

The University Libraries of the University of Tennessee, Knoxville supports students in Knoxville, Tullahoma (UT Space Institute), Nashville (College of Social Work), and students at a distance through collaboration with the Office of Information Technology, electronic resources, library consortia and interlibrary loan program. The library staff supports faculty research and outreach activities. University of Tennessee, Knoxville clearly demonstrates a high level of support for students, faculty and staff through adequate library collections and services and through learning/information resources consistent with the degrees offered.

2.10 Student Support Services

The institution provides student support programs, services, and activities consistent with its mission that are intended to promote student learning and enhance the development of its students.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the flagship campus of the University of Tennessee System (UT System). As a land-grant institution, our [mission](#) is *to move forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world*. According to the 2013-2014 UT Factbook (produced by the Office of Institutional Research and Assessment, OIRA), there were 21,033 undergraduate students and 6,138 graduate and professional students ([Enrollment Headcount](#)). State of Tennessee residents are 88.8% of the undergraduate population and 61.3% of graduate/professional student population ([Enrollment by Location](#)). UT undergraduate demographics are 49% female, 16.8% racial/ethnic minorities, and 2.5% did not report; graduate and professional student demographics are 52% female, 20.2% racial/ethnic minorities, and 20.2% did not report. Of the 9,263 employees, 1,993 are faculty (all ranks and tenure, tenure-track, and non-tenure track) ([Employees by EEO](#)). The vast majority of faculty, staff and students are located in Knoxville, with 142 graduate engineering and physics students and 37 faculty at the UT Space Institute (Tullahoma, Tenn.) and 133 graduate social work students and 15 faculty in Nashville. To serve the student population, we provide a wide range of support programs, services, and activities consistent with our mission that are intended to promote student learning in and outside the classroom and enhance their development with the hope that they will become contributing members of the community in which they will reside.

Support services are provided to a wide variety of students, including online students, graduate students, off-site students (Tullahoma and Nashville), and undergraduate students. Faculty serve as the primary providers of academic support for online courses via blended learning, office hours, online access, and/or referral to other campus wide academic support units such as supplemental instruction videos through the Student Success Center. Resources are also shared through various websites such as VolResources and on the UT Current Students website, and through the Director of Online Programs. Graduate students receive support primarily through faculty as well as through the Office of Graduate Training and Research, Graduate Teaching Workshops provided by the Tennessee Teaching and Learning Center, through their respective colleges and departments, and through organizations such as the Graduate Student Senate. Undergraduate and on-campus students are served through a variety of support units to assist with both academic and non-academic student development.

Many different types of student support services are decentralized across the University among departments primarily in the Division of Student Life and under the Office of the Provost, and to a lesser extent found in the Office of Diversity and the Office of Research and Engagement.

Student Support Services Provided by the Division of Student Life

The **mission** of the Division of Student Life is *to foster the intellectual, cultural, social and emotional development of students by providing a climate conducive to learning and personal growth, enabling them to become fully productive members of a global community.* The **vision** for the Division of Student Life is *to promote an engaged community of learners and scholars, create a sense of belonging and community, and empower all students to find and make their unique contributions both within and outside the University of Tennessee, Knoxville.* Student services are provided by various offices:

Career Services is open to all university students and alumni, and promotes the development and implementation of academic and career goals through access to self-assessment, education and career information, experiential learning opportunities, graduate school planning and employment services.

The **Office of Dean of Students (DOS)** serves all students at the university. DOS functions as an intake, referral and response point in regard to student concerns. The DOS also supports the campus community through advisement of the student government association and management of registered student organizations, student athletic ticketing, behavioral/community safety concerns and student event approvals.

The **Center for Leadership and Service** facilitates meaningful experiences that expose students to leadership development and social change through campus and community involvement in a broad array of activities that extend learning, foster leadership skills, and promote civic responsibility.

The **Office of Disability Services** partners with the campus community to create equitable access for eligible students while promoting disability-inclusive diversity.

The mission of the **Rec Sports** department is to provide and promote opportunities for wellness and healthy lifestyles through education and service to the UT community. This is achieved through cooperative and competitive activities and recreational activities that promote health and wellness, social and cultural interaction, professionalism, leadership and technological development.

The **Office of Sorority and Fraternity Life** provides advising and support to 43 chapters in four student-led councils: Interfraternity Council, Multicultural Greek Council, Panhellenic Council, and National Pan-Hellenic Council.

The **Office of Student Activities** is recognized by students, staff and faculty as a significant contributor to the co-curricular education of the Tennessee Volunteer student body. The Central Program Council (CPC), under the auspices of the Office of Student Activities, helps facilitate positive experiences designed and implemented by students for students, which provides a diverse array of cultural, social, and educational programs through the efforts of eight committees - All Campus Events, Campus Entertainment Board, Cultural Attractions, Film, Issues, Visual Arts, and the Women's Coordinating Council, and Volapalooza Event Planners.

The **Office of Student Conduct and Community Standards** administers the student judicial process at the University.

The **Department of Student Media** coordinates and supports publishing operations for the University's editorially independent student publications: The Daily Beacon, Phoenix Literary Art Magazine and the Volunteer Yearbook.

The mission of the **Office of New Student and Family Programs** (NSFP) is to connect new students to the university community, inform students and parents of university resources, and create a system of support for families in order to positively impact student success from orientation through graduation.

The **Center for Health Education and Wellness** is designed to create connections which draw from across the Division of Student Life, the University, and the greater Knoxville community to facilitate support, mobilize access and create opportunities for distressed students, sexual assault, personal safety, health education and our Veteran student population. The Center also serves as the clearing-house for prevention, a center for intervention coordination and a resource hub for students. The Center manages 974-HELP, the Distressed Student Protocol, Case Management, Threat Assessment Task Force, and the Task Force in Support of Student Veterans.

The **Student Counseling Center** is the University's primary facility for personal counseling, psychotherapy, and psychological outreach and consultation services.

The **Student Health Center** is an outpatient health clinic providing primary care, mental health, sports medicine, women's health, gynecology, physical therapy, pharmacy, and surgical consultation. Comprehensive laboratory and x-ray diagnostic services, wellness promotion, travel consultation, nutritional counseling and allergy/immunization clinics are also provided.

The **University Center** (UC), in addition to supporting student organizations holding meetings or events in the UC, supports all university departments, contributing to their ability to enhance the student experience.

University Housing offers residence halls accommodating nearly 7,300 students. The department is a self-supporting auxiliary operation within the Division of Student Life. In addition to managing on-campus housing, the department operates a small rental property and the university guesthouse, Hopecote. The department collaborates with numerous Student Life and/or Academic departments to offer thirteen Living and Learning Communities (LLC). These experiences provide first-year students with a unique opportunity to merge academics and co-curricular involvement with their residence hall community.

The Division of Student Life also supports over **450 different student organizations** from subject-matter/ special interest groups, fraternities and sororities, student organizations of different racial and ethnic groups, student chapters of professional organizations, student political organizations, and various faith-based student organizations.

Student Support Services Provided by Other Units

The mission of the **Center for International Education** (CIE) is to lead, coordinate, and support the University's strategies for global education, research, and engagement. The CIE is organized into 6 units: English Language Institute (ELI); International House (I-House; serves as an international student center); Office of International Students and Scholar Services (assists international undergraduate, graduate and professional students, faculty and staff with visa assistance); Programs Abroad Office; Confucius Institute; and Office of the Peace Corps. The CIE conducts new student orientation for international students to help them acclimate to the UT, Knoxville, Tennessee, and the US. I-House sponsors World Showcase, International Festival, the Friendship Program, International Photo Exhibit, Global Issues discussion groups, International Cooking Series, International

Dance Competition, and Global Hour to help engage domestic students with international students.

The **Chemistry Academic Support and Tutoring Center** provides support services for students in general chemistry (required courses for students in the Colleges of Agricultural Sciences and Natural Resources, Arts and Sciences, Education, Health and Human Services, Engineering, and Nursing) and organic chemistry (required course for chemistry, biological science, chemical engineering, and nutrition majors, and for students in pre-professional programs).

The **Educational Advancement Program** is a U.S. Department of Education funded TRiO program that provides support services to 250 first generation and low-income students, and students with disabilities, that enhance their good academic standing, promote their persistence in college, and assist in their graduation from college.

The **Office of Financial Aid & Scholarships** provides the financial resources and counseling to help students achieve their goals of obtaining a college degree by providing funding in the form of scholarships, grants, employment, and student loans.

The **Math Tutorial Center** provides tutoring for students in various introduction level math classes to assist in improving student grades. Walk in hours are available at various times every day of the week, excluding Saturday.

The **Office of Multicultural Student Life** (MSL), housed in the Black Cultural Center (BCC), promotes the academic success, equality, and leadership development of all students of colors through programs and services that holistically address cultural, educational, and civic growth.

The **Music Learning Center** (MLC) supports students taking music theory, ear training, and musicology courses by offering tutoring for these courses.

The **Office of National Scholarships and Fellowships** (ONSF) provides information about nationally competitive funding opportunities and associated application processes through online and printed resources, information sessions, workshops, presentations and individual, targeted advising.

The **Office for Online Programs** provides leadership, coordination and expertise in development, deployment, and support of technology-enhanced courses and programs that build capacity, enhance flexibility, and improve learning of students. The Director coordinates and enhances support for online programs, courses, and students, and works collaboratively with other on-campus offices that support teaching to ensure best practices in technology-enhanced learning and supporting innovation in online-instruction, including services such as online tutoring, advising, and services provided by One Stop Express Student Services, described below.

One-Stop Express Student Services Center integrates the most common enrollment, registration, financial aid, and payment services at one location to help students take care of business when it's most convenient. The Center has a physical location in John C. Hodges (Main) Library with trained counselors on hand to assist students as well as an information-rich website.

OUTreach Center serves the LGBT community. It is open to all students, faculty and staff as a safe space on campus. They provide campus-wide programming to educate the entire

university community on issues relating to LGBT persons; provides resources to services on campus and in the Knoxville community, courses that cover LGBT issues, campus policies relating to inclusion, and information for specific audiences such as resident assistants, faculty, staff, administrators, families, and allies.

The **Office of the University Registrar** provides the following support to student success: universal tracking (uTrack), registration, graduation, the catalog and curricula, the degree audit reporting system, transcript evaluations, transfer students, NCAA academic compliance, residency appeals, and veterans' affairs.

The **Student Success Center** (SSC) helps students take charge of their success at UT and promotes persistence to graduation through a comprehensive array of academic support services such as academic coaching, academic success workshops, supplemental instruction, tutoring, transition support for transfer students, and referral to the university's other support resources.

The **Thornton Athletics Student Life Center** focuses on the complete development of the student-athlete through academic counseling, mentoring, tutoring, freshmen transition, high-achievers program, career development programming and life skills that create an environment for success at UT and beyond.

The **Office of Undergraduate Research** (in the Office of Research and Engagement) coordinates opportunities for students to have access to cutting-edge technologies, well-funded laboratories, and outreach opportunities.

The Writing **Center**, a unit within the Department of English, offers free and individualized help through utilization of trained tutors (graduate students and lectures) who read and discuss undergraduate and graduate student writing in one-to-one conversations and offer constructive feedback. The goal is to teach students how to think about their written work from the brainstorming state to final revisions.

The Division of Student Life regularly evaluates its services; a thorough discussion is provided in Comprehensive Standard [3.3.1.3](#), which provides assessment information. A deeper discussion of various academic support services is provided in Comprehensive Standard [3.4.9](#), which provides information on academic support. Services for graduate students located on the main campus in Knoxville as well as those few that are located at the UT Space Institute (Tullahoma, Tenn.) and the College of Social Work Nashville facility, are provided through the Graduate School professional staff and faculty are discussed in Comprehensive Standard [3.4.9](#), and in the standards relating to Library (Comprehensive Standard [3.8.1](#)) and Technology (Comprehensive Standard [3.4.12](#)) support services since these two units help deliver support to our off-campus students.

Conclusion

The University of Tennessee, Knoxville has a diverse student population, and provides a broad array of student support services designed to meet the needs of the students. Students are informed of these services through orientation of both graduate and undergraduate students, through faculty and professional advisors, and through residence hall staff. Based on the evidence, the university is compliant with this standard.

2.11.1 Financial Resources

The institution has a sound financial base and demonstrated financial stability to support the mission of the institution and the scope of its programs and services.

The member institution provides the following financial statements: (1) an institutional audit (or *Standard Review Report* issued in accordance with *Statements on Standards for Accounting and Review Services* issued by the AICPA for those institutions audited as part of a system-wide or state-wide audit) and written institutional management letter for the most recent fiscal year prepared by an independent certified public accountant and/or an appropriate governmental auditing agency employing the appropriate audit (or *Standard Review Report*) guide; (2) a statement of financial position of unrestricted net assets, exclusive of plant assets and plant-related debt, which represents the change in unrestricted net assets attributable to operations for the most recent year; and (3) an annual budget that is preceded by sound planning, is subject to sound fiscal procedures, and is approved by the governing board.

Audit requirements for applicant institutions may be found in the Commission policy entitled "Accreditation Procedures for Applicant Institutions."

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) includes the University of Tennessee Space Institute (UTSI) and the College of Veterinary Medicine (CVM) but are separate budget entities or divisions of the University of Tennessee System (UT System), the legal entity with fiduciary responsibility. Refer to [CS 3.13.4b](#) for an organizational chart and explanation of the relationship between the campuses and the System. UT provides the following primary evidence:

- Financial and compliance audits of the System with management letters prepared by the Division of State Audit for [FY 2010-2011](#), [FY2011-2012](#) and [FY2012-2013](#)
- Statements of Net Position for the University of Tennessee prepared by the System Controller's Office for [FY 2010-2011](#), [FY2011-2012](#) and [FY2012-2013](#)
- Statements of Revenues, Expenses, and Changes in Net Position for the University of Tennessee prepared by the System Controller's Office for [FY 2010-2011](#), [FY2011-2012](#) and [FY2012-2013](#)
- Proposed and Revised Budget Schedules prepared by the Office of Budget and Finance for [FY 2011-2014](#) (note that the [UT Knoxville](#), [UTSI](#), and [CVM](#) budgets are presented separately and rolled into the UT System budget for presentation to the Office of Budget and Finance).

Annual External Audit

The audit reports are issued by the State of Tennessee, Comptroller of the Treasury, Department of Audit, Division of State Audit for [FY 2010-2011](#), [FY2011-2012](#) and [FY2012-2013](#) report unqualified opinions on the fairness of the presentation of the financial statements.

Management Letter

The audit reports mentioned above also contain a management letter from the Division of State Audit. Consideration of internal controls disclosed immaterial instances of noncompliance for each of the years. The findings, recommendations, and the university's administration responses are included in each audit report.

Self-Assessment Activities

Each year, the Budget and Finance Division under the Vice Chancellor's Office of Finance and Administration performs a [risk assessment](#) of significant business processes and internal controls to comply with the Tennessee Financial Integrity Act of 1983. This assessment is submitted to the UT System of Audit and Consulting Services. The assessment identifies relevant risks associated with financial reporting objectives, which enables management to formulate a method for determining how the risks should be managed.

Statement of Net Position

The UT System implemented GASB Statement 63, *Financial Reporting of Deferred Outflows of Resources, Deferred Inflows of Resources, and Net Position*, during the year ended June 30, 2013. The effect on UT was the renaming of the residual of all other elements in the statement of financial position as net position, rather than net assets.

Since our financial statements are consolidated, the UT System Controller's Office has prepared a Statement of Net Position for [FY 2010-2011](#), [FY2011-2012](#) and [FY2012-2013](#). The statements present a consolidated total which includes the UT, UTSI, and CVM.

Each Statement of Net Position presents unrestricted net position (assets) exclusive of plant and plant-related debt as one line item. The balance has decreased slightly (9.2%) since FY 2011. However, this anomaly is primarily due to an influx of \$28M of stimulus funds in FY 2011 that were specifically allocated to renewal and replacement projects. As these projects have been completed the unrestricted net position balance has decreased. Total Net Position has increased by \$306.6M or 23.3% from FYE 6/30/2010 to FYE 6/30/2013, and UT's primary reserve ratio was 0.49 for FY 2013 and FY 2012. For additional financial information, see Comprehensive Standard 3.10.1 (Financial stability).

Table 2.11.1-1 Change in Balances of Unrestricted Net Position

Fiscal Year Ending	6/30/2013	6/30/2012	6/30/2011
Unrestricted Net Position Balance	\$231.8M	\$251.9M	\$255.3M

Statement of Revenues, Expenses, and Changes in Net Position

The UT System Controller's Office has also prepared a Statement of Revenues, Expenses, and Changes in Net Position for [FY 2010-2011](#), [FY2011-2012](#) and [FY2012-2013](#). The statements present a consolidated total which includes the UT, UTSI, and CVM.

Although UT is dependent upon state appropriations and gifts to fund educational and general operations, under GASB standards these funding sources are reported as nonoperating revenues, as is investment income. As a result, UT has historically reported an excess of operating expenses over operating revenues, resulting in an operating loss.

Therefore, the “increase in net position” is more indicative of overall financial results for the year.

In FY 2013 UT reported total operating and non-operating revenues (excluding expenses) of \$932.5M. The institution’s total operating and non-operating expenses totaled \$895.4M. Taking into account \$57.8M in other sources of revenue including capital appropriations, capital grants and gifts, and additions to endowments, the increase in net position in FY 2013 was \$95M. The total net position balance was \$1.62 billion as of June 30, 2013.

UT’s financial stability is also strengthened by the diversity of its sources of revenue. For FY 2013, no single source comprised more than 27% of operating and non-operating revenues. As demonstrated in Table 2, grants and contracts have consistently been the largest source of revenue followed by either tuition and fees or state and local appropriations. The percentage of these two has fluctuated since FY 2011. Appropriations provided a higher percentage in FY 2011 due to \$53.9M in stimulus related funds. Tuition and fees have risen as a percentage of total revenue since FY 2011 due to maintenance fee and tuition increases and to the implementation of differential tuition for three colleges with high instructional costs.

Table 2.11.1-2 Distribution of Operating and Non-operating Revenue by Source

Source of Revenue	FYE 6/30/2013	FYE 6/30/2012	FYE 6/30/2011
Tuition and fees	24%	26%	20%
Federal appropriations	0%	0%	0%
State and local appropriations	21%	22%	24%
Grants and contracts	27%	30%	27%
Sales and Services	2%	2%	2%
Auxiliary enterprises	18%	20%	17%
Non-capital gifts	1%	1%	0%
Investment income	5%	-3%	8%
Other Sources	1%	1%	1%
	100%	100%	100%

For additional financial information, see [Comprehensive Standard 3.10.1](#) (Financial stability).

Budget Planning and Approval Process

UT’s planning and approval process combines a sound budget planning and development process which uses fiscal procedures, takes a comprehensive approach, includes a broad spectrum of University participation, and considers viable projections and potential impacts. These include but are not limited to:

- Changes in state appropriation allocations
- Proposed changes to tuition and fees
- Enrollment projections
- Estimated nondiscretionary institutional costs or fixed costs such as changes in fringe benefits, utilities, and other physical plant related expenditures
- Scholarship and fee reduction initiatives

- Additional appropriations for specific initiatives such as the Bredeesen Center for Interdisciplinary Research and Graduate Education, a partnership between UT and Oak Ridge National Lab focused on energy-related research and graduate education.

The Office of the Vice Chancellor for Finance and Administration (VCFA) is responsible for UT's annual budget process and distributes [budget instructions](#) to the campus fiscal officers within each vice chancellor division. To maximize the effectiveness of UT's [strategic plan](#) and its [Top 25 initiative](#), resource allocation decisions are closely aligned to University's strategic planning efforts. This alignment provides a basis for investing resources in a specific unit that, based on the strategic plan, should become a unit of greater focus, should become one of the institution's greatest strengths, or can provide the university with a strong base for becoming one of the Top 25 public research institutions in the nation. Conversely, this same alignment with the strategic plan provides the basis for decisions to reduce resources in areas that are not as high in strategic importance as other programs or initiatives. Therefore, the budget development and planning instructions which are distributed to the campus emphasize the need for unit-based budget requests to be closely aligned to the University's Top 25 plan.

After evaluation of these unit-based requests, consideration is given of preliminary estimates of revenues from state appropriations, tuition, and fees, as well as estimated fixed institutional costs and enrollment projections. Based on all these factors, the chancellor develops a preliminary funding plan early in the spring semester. Allocations are finalized upon the Board of Trustees approval of the UT's budget in June of each year.

Proposed Changes to Tuition and Fees

Additional consideration into the budget process is the evaluation of new fees or fee increases. UT follows requirements of the UT System for assessing the need for increases in student fees and tuition. This process begins in the fall of each year, which includes a number of steps and multiple campus entities.

Increases in mandatory student fees are proposed by the various academic and auxiliary units, which are then presented to the Chancellor. Many of the mandatory fees have governing boards, which have student representatives who are involved in the fee proposals and communicate these proposals to the Student Government Association for input. With each proposal the submitting party must present the total annual increase, the additional revenue and the intended use of the increase. The increases are presented to the VCFA who after review presents them in totality to the Chancellor. Once approved by the Chancellor, the fees are submitted to the University of Tennessee System President in accordance to the [student fee policy](#). Once approved by the President the appropriate fees are submitted to the UT System Board of Trustees.

Changes in State Appropriations Allocations

Once the State of Tennessee has determined the level of state appropriated support to be allocated to UT, the Chancellor finalizes the amount of general funds to be allocated to each vice chancellor area. Following these final allocation decisions, UT's Budget Office distributes allocations and [instructions](#) for developing individual unit budgets. The budget office compiles the individual unit budgets into UT's proposed budget.

Enrollment Projections

Enrollment projections are vitally important to UT's revenue model. Planning begins through the [Enrollment Management Committee](#) (EMC) once fall enrollment is stable. The EMC

reviews initiatives to provide incentives and increase enrollment in strategic areas such as new freshmen, transfers and/or international students. They review various reports and determine ways to attract new students, aligning strategies with [UT's retention and graduation](#) plans. Enrollment projections are provided to the Director of Budgets for insertion into the financial planning model. The model projects anticipated revenue changes, which are incorporated into the budget process.

Estimated non-discretionary institutional costs or fixed costs

Costs which are fixed or contractual are also a part of the budget process. Fixed costs include such items as elevator maintenance, utilities, career ladder adjustments, or faculty rank increases. Committed costs are obligations such as scholarships that are committed to cover total cost of a student's tuition and fees for a period of time, such as the [Tennessee Pledge Scholarship and the Tennessee Promise Scholarship](#). As fees increase these scholarship dollars must also increase. Through time these items will change, however there are always committed items UT must estimate and strategically plan and project for with any additional dollars or reductions to UT's budget process.

After these areas are reviewed and mapped to UT's strategic goals and plan, the process is finalized and submitted to the UT System. The proposed budget is submitted for approval to the Board of Trustees in accordance with Board guidelines.

Board of Trustees Approval

The Board of Trustees approved the fiscal year 2014 operating budget for the UT System (including [UT Knoxville](#), [UTSI](#), and [CVM](#)) at the June 19-20, 2013 meeting (presented as [Tab 3.1](#)) These budget development processes and schedules are followed each year.

Summary documents of the UT's [Proposed and Revised](#) budgets for fiscal years 2011 through 2014 (totals and separate schedules for Knoxville, UTSI, and CVM) are also provided for comparison in the supporting documentation. This summary also contains individual schedules for The University of Tennessee, Knoxville ([UT](#)), the University of Tennessee Space Institute ([UTSI](#)) and the College of Veterinary Medicine ([CVM](#)). UT and UTSI follow a balanced budget process for unrestricted current funds. The university's unrestricted educational and general budget for revenues, which is used for operating, has increased by 7% from \$555.5M in FY 2011 to \$594.2M in FY 2014. Tuition and fees comprise the largest item of change increasing by 30% from \$263.9M to \$343.3M during the same time frame.

The annual budget planning and approval process combined with UT's strong budget and expenditure control mechanisms work together to ensure that spending remains within the budget scope.

Conclusion

The University of Tennessee, Knoxville has a sound financial base and demonstrated financial stability to support the teaching, research, creative activity, and outreach missions of the university and the scope of its programs and services. The State of Tennessee, Comptroller of the Treasury, Department of Audit, Division of State Audit findings consistently document the university's financial stability. Based on this evidence, the university meets Core Requirement 2.11.1.

2.11.2 Physical Resources

The institution has adequate physical resources to support the mission of the institution and the scope of its programs and services.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville, occupies buildings with over fifteen million square feet of space. The main campus, located in Knoxville, Tennessee includes 260 buildings spread across 780 acres. There are two off-campus sites, the University of Tennessee Space Institute (Tullahoma, Tennessee), and the College of Social Work-Nashville. The facilities provide for the productivity, efficiency, safety, and education of the university community. These facilities allow the mission statement to be carried out successfully.

Master Plan

See [Master Plan Map](#) for the most recent edition.

In December 2009, Chancellor Jimmy G. Cheek established the nineteen-member [Master Plan Advisory Committee](#) to lead the [process](#) of updating the campus plan. The committee worked closely with Bullock Smith & Partners, a Knoxville firm, which developed the original plan in 1994 and guided the 2001 updates. In addition to the Advisory Committee, seven subcommittees worked on specific elements of the plan. They were chaired by Advisory Committee members who are faculty or administrators with expertise in the areas of academics, research, facilities, design and historic preservation, energy and environment, student housing and engagement, and parking and transit services. After numerous meetings held to obtain feedback from faculty, staff, and students in open forums, a final draft was [submitted](#) to the UT Board of Trustees, who approved it in June 2011. The Tennessee State Building Commission approved and adopted it in September 2011.

The [Master Plan](#) provides a long-range vision for the campuses of the University of Tennessee, Knoxville and the Institute of Agriculture. A key element of the Vol Vision Top 25 Strategic Plan is to move UT from a Top 50 public research university to the ranks of the Top 25 involves having the resources to improve and supplement the campus facilities to support first-rate academic and research programs, along with student housing and services.

UT Vol Vision

The UT's [mission](#) is *to move forward the frontiers of human knowledge and enrich and elevate the citizens of the state, the nation, and the world. As the preeminent research-based land-grant university in the state of Tennessee, UTK embodies the spirit of excellence in research, teaching, and engagement attained by the nation's finest public research institutions.* Vol Vision is a three-point vision for the future of the university:

- **Value creation** through economic, social, and environmental development.
- **Original ideas** through discovery, inquiry, innovation, research, and other creative activities.
- **Leadership** through the preparation of capable and ethical leaders for the future.

UT launched a planning process in February 2010 in response to the challenge made by the state that UT become a Top 25 public research university. Improvements made are intended to:

- Increase the quality and value of education
- Further develop our strengths in research
- Expand our contribution to economic growth and development
- Strengthen the university

The Top 25 Task Force identified a [list of benchmark universities](#) using data from U.S. News and World Report, the Center for Measuring University Performance, the Association of American Universities membership, and various other data sources. This process identified the 27 public research universities ranked above the university that were classified as aspiration (16 universities), target (eight), and current (three) peer groups. As a result of the SWOT analysis associated with the strategic planning process, several infrastructures and facilities that have been improved or completed for the purpose of achieving the goals of Vol Vision, including:

- The New Student Union
- John D. Tickle Engineering Building
- RecSports Fields
- Natalie L. Haslam Music Center
- Joint Institute for Advanced Materials
- The Library Common Areas
- Student Health Building
- Fred D. Brown Residence Hall
- Humanities and Social Sciences Building
- Brehm Animal Science and Food Science Building
- Bredesen Center
- Humanities Center
- Expanded Oak Ridge National Laboratory (ORNL) partnership
- Leveraged Y-12 partnership

Long-term opportunities within the Vol Vision-Top 25 [Action Plan](#) include:

- Creating centralized research labs
- Increasing the quality and amount of research space

[Progress reports](#) are presented to the UT System Board of Trustees on a regular basis.

Student Housing

UT is a residential campus accommodating nearly 7,500 students who live on campus. The Department of University Housing requires all freshmen to live on campus. There are a total of 12 residence halls totaling 3,629 rooms with 7,534 beds. The total occupancy of these rooms was 96% for the 2013-2014 academic year. For additional information about First-Time Freshmen Enrollment, see the [2013-2014 Fact Book](#). Housing data is also included in the [Fact Book](#).

To accommodate the growth of campus and needs of today's students, the university has taken on an aggressive building plan to build six new residence halls and a dining facility by the year 2019. The residence halls will be located in Presidential Court and are estimated to cost \$234 million. Each residence hall will have additional gathering and study spaces, with

laundry facilities on each floor. The new dining facility will optimize a “fresh food” concept. The goals of the new additions are to make UT more competitive for recruiting new students and to better accommodate students’ needs and preferences through design plans that works with 24/7 student development.

Renovating the Apartment Residence Hall will cost \$54 million/\$70,000 per bed. The finished design will maintain the non-residential exterior look and it will keep a basic floor plan.

All projects are meant to:

- Move UT toward the goal of becoming a Top 25 research institution.
- Increase the retention of students within campus housing through improved facilities.
- Develop more sustainable buildings
- Facilitate and increase collaborative living/learning.
- Replace built in furniture with movable, flexible furniture.

Once all building projects are completed, total campus housing inventory is expected to increase from 7,312 to 7,677.

Construction: Completed Projects

The **Min H. Kao Electrical Engineering and Computer Science Building**, a \$37.5 million structure, was constructed in 2011. The 150,000 square foot building includes offices, classrooms, laboratories, conference rooms, a 147-seat auditorium and a sixth-floor terrace.

Completed in 2013, the 5-story **John D. Tickle Engineering Building** houses the Department of Civil and Environmental Engineering and the Department of Industrial and Systems Engineering. The building contains 24 laboratories, three conventional classrooms, one lecture hall, three student work spaces, and 63 faculty and graduate student offices. The laboratories include a high-bay area for both structural testing and asphalt road surface testing. There is also a geotechnical laboratory. The three classrooms promote collaborative learning through the use of movable chairs and Smart Boards.

The **Natalie L. Haslam Music Center** became occupied in July, 2013. The new Music Center’s state-of-the-art facility includes the 400-seat Sandra Powell Recital Hall, music library, band room and office suite, orchestra and choral rehearsal rooms, 45 practice rooms, eight technology-enhanced academic classrooms, three computer labs, 40 performance studios/office, and academic and administrative faculty offices.

UT is opening the **Fred D. Brown Jr. Residence Hall** in fall 2014. This hall is the first new residence hall in nearly 40 years. The new residence hall will complement the existing UT campus and also integrate state-of-the-art technology, sustainability, and an environmentally-conscious living. The building is designed for 700 students and contains 250,000 square feet of space on 7 floors. In addition to the student living units, there are public and support spaces serving the entire Residence Hall including recreational facilities, meeting spaces, laundry and resource rooms. The main lobby floor of the residence hall contains a post office and administrative offices supporting the hall directors and their staff. Hall directors are housed on this floor with individual apartment style living units.

The **Joint Institute for Advanced Materials'** new building (a partnership between the UT System, UT, and ORNL) is currently under construction. The new facility is allotted a budget of an estimated \$43 million and will serve as a cornerstone for interdisciplinary research and education. The 142,634 square foot shared building will be located on Cherokee Farms research campus located on the south-side of Fort Loudon Lake across from the UT campus. Once developed, the Cherokee Farm's 200 acres will create a world-class science and technology research campus and a dynamic new asset for the city of Knoxville.<

JIAM is closely aligned with the UT-ORNL Joint Institute for Neutron Sciences (JINS). Combined, JIAM and JINS create one of the world's leading centers devoted to materials research. Many of these research facilities at UT and ORNL are available for use by outside scientists, corporations, and public and private research organizations.

Sorority Village, a project costing an estimated \$45 million, began construction in 2011. This includes 13 sorority houses estimated to cost between \$3 million and \$5 million each. The university funded administration offices, common use space, and security including cameras, guards, key card access, and blue emergency phones. Sororities with houses/exclusive spaces include:

- Zeta Tau Alpha
- Alpha Chi Omega
- Chi Omega
- Alpha Omicron Pi
- Alpha Kappa Alpha
- Alpha Delta Pi
- Sigma Kappa
- Phi Mu
- Kappa Kappa Gamma
- Kappa Delta
- Delta Zeta
- Delta Delta Delta
- Pi Beta Phi

The new **Student Union** project is currently underway and will cost \$167 million. This includes the new Student Union, improvements to the Staff 9 parking lot, and the expansion of the Pedestrian Mall and Phillip Fulmer Way. The project will be completed in two phases. The first phase of the project involves the building of the six-story structure with five occupied levels. The 142,000-square-foot structure will house the VolShop and VolTech stores (university bookstore and technology store), Career Services, and expanded Dining Service areas that will allow for additional food vendors. Once the first portion of the new building opens, the existing University Center will be demolished to make room for the second phase of work, which involves adding 248,000 square feet to house the new auditorium, ballroom, dining, meeting, and recreation spaces. The second phase will be completed in 2017.

The **Science Laboratory Facility** (Strong Hall Site) will be an 8-level (+ Mechanical Penthouse), 274,800 GSF (approx.) building located on the site currently occupied by the existing Strong Hall dormitory and Cowan Cottage. The east wing of the existing Strong Hall (an old dormitory) will be preserved and incorporated into the design of the new building. Based on a very sophisticated program supportive of synergistic education and research pedagogies within the new Science Laboratory Facility, the adjacencies and vertical arrangement of the varying program areas within the 8-story building required detailed planning and ongoing coordination with representatives from the University of Tennessee.

The New Science Laboratory Facility will include faculty offices, departmental offices, researcher spaces, graduate student spaces, seminar rooms, lecture halls, and commons area.

Capital Projects

There are currently over \$1 billion of approved construction projects at various stages. For a full list of projects see the [UT Capital Projects List](#). The UT System [quarterly contract report](#) as of January 1, 2014, with UT projects highlighted, is provided.

Campus Renovations and Improvements

Building and rooms data must be properly maintained and managed so that accurate data can be provided to the University Administration, the State of Tennessee, and various Federal Agencies in support of funding requests. The goal is to maximize the integrity of the information regarding space in campus buildings. The State and the Federal Government continue to use building, room, equipment, and maintenance and operations data to calculate facilities and administrative costs.

The near-term priorities are centered on addressing critical academic needs. The first project aimed at addressing academic space is the renovation and expansion of Strong Hall, a former residence hall. This building will be converted to much-needed classroom and class laboratory space. A new academic building will also replace Melrose Hall, along Andy Holt Avenue. The plan also calls for the addition of three classroom/laboratory buildings, with the first new building to be built along Cumberland Avenue and Thirteenth Street. This would begin the development of a science quad complex along White Avenue, bringing more core university functions to the north side of the institutional zone. The renovations and additions to Walters Life Sciences and Jessie Harris Building are also planned for the near term, along with a restoration of Hoskins Library. The New Engineering Building will be conveniently located next to John D. Tickle Engineering Building. It will take the place of the existing Pasqua Nuclear Engineering Building. The New Engineering Building will be a 10 story 227,000 gross square feet facility and will house Nuclear Engineering, Academic Affairs, Senior Design Space, Flexible Research Labs and Offices. Please see [Master Plan Recommendations](#) for a full list of suggested improvements, along with the [Near Term Projects](#) list.

Multiple buildings across the university's campus have been renovated to provide improved functionality and safety. These projects include the Brehm Animal Sciences and McLeod Building (Food Science), which underwent a \$26 million renovation in 2012 to bring the facilities up to contemporary standards for animal and food research.

All students on the Knoxville campus pay a facilities fee and a technology fee. The Classroom Upgrades Committee was formed in fall semester 2000 after the adoption of the facilities and technology fees. The original committee was formed to create and implement a plan for classroom renovation given the opportunity proved by this annual revenue source to improve instructional conditions on the UTK campus. Over the first 10 years of the program, \$15.67 million has been allocated to classroom renovations with \$14.17 million in student fees and \$1.5 million in Federal Stimulus Funds in Fiscal Year 2010.

Off-Campus Sites

The UT **College of Social Work** has a unit located at the Polk Center (rented space managed by the UT System) in Nashville, TN. The Polk Center houses facilities of the College of Social Work, University Libraries, the University of Tennessee Institute for Public Service (an arm in the UT System), Social Work Office of Research and Public Service (a

unit in the College of Social Work), and the College of Pharmacy (a college in the University of Tennessee Health Science Center, an accreditation committee was authorized at the June 19, 2014 meeting of the SACS COC Board of Trustees). In addition to its full-time faculty members, the Nashville campus draws upon the research and teaching resources of 16 universities and colleges within the Nashville-Davidson County area.

The College of Social Work in Nashville houses 15 faculty members and four staff, provides face-to-face instruction to 133 MSSW students, and is home to the online MSSW program which serves 173 students. The library has a full-time librarian, holdings of over 20,000 books and six computers. The computer lab, which is available to students 8:00 am until 10:00 pm, contains 22 computers with Microsoft Office and SPSS. The facility contains one interactive video-conference classroom that connects with UT facilities and two additional technology-enhanced classrooms. SWORPS also has four offices which support six staff members, three meeting rooms, and three larger training rooms, as well as eight small Department of Human Services situation training rooms for reliability.

The goal of the Social Work Office of Research and Public Service (SWORPS) is to improve the quality of human services practice in Tennessee, the Southeast, and the nation for the benefit of human services workers, their agencies, and their clients. SWORPS is composed of units that work in the areas of research, publications, staff development, professional continuing education, and e-learning. The staff of 200 is made up of social workers, trainers, researchers, statisticians, editors, and other professional and support personnel. The office is headquartered in Knoxville, Tennessee, on the main campus of the University of Tennessee with other offices in Nashville, Chattanooga, Memphis, and Columbia.

The **UT Space Institute** (UTSI) is a graduate education and research institution located in Tullahoma, Tennessee (south-central Tennessee not far off Interstate 24). The Space Institute has become an internationally recognized institution for graduate study and research in engineering, physics, mathematics, and aviation systems and has made remarkable contributions at the local, state, national, and global levels. There are 112 full-time graduate students located at UTSI and an additional 30 students who split their time between UTSI and UT. There are 21 full-time faculty fully funded by UTSI and an additional 15 with split appointments between the UTSI and UT campuses (joint funding of salaries).

UTSI supports the Air Force Arnold Engineering Development Center (AEDC) in maintaining state-of-the-art expertise in both technical and managerial ranks. About 500 AEDC employees have earned graduate degrees at the institute, including 40 doctorates. In addition, thousands have participated in the continuing education programs offered by UTSI. The faculty and students have worked on a variety of research and technology development projects with AEDC personnel. It has been acknowledged often by the leadership at AEDC that the educational support of UTSI is critical to AEDC in fulfilling its national mission for the Department of Defense, NASA, and the aerospace industry.

The UTSI **campus** has a main academic building, several research laboratory buildings, a student center with dormitory facility, and a physical facilities building. The Facilities Director manages operations, maintenance, shipping and receiving, mail service, office supplies, telephone system, physical security, keys, and the waste water plant.

Conclusion

The University of Tennessee, Knoxville, has adequate facilities at the main campus and in the two off-campus sites to meet its mission. The University has an approved master plan for facilities that received input from faculty, staff and students, and is actively working towards implementing the master plan through the active renovation of existing facilities or

construction of new state-of-the-art facilities. UT demonstrates compliance with this standard.

2.12 Quality Enhancement Plan

The institution has developed an acceptable Quality Enhancement Plan (QEP) that includes an institutional process for identifying key issues emerging from institutional assessment and focuses on learning outcomes and/or the environment supporting student learning and accomplishing the mission. (**Note:** *This requirement is not addressed by the institution in its Compliance Certification.*)

Judgment

☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

3.1.1 Mission

The mission statement is current and comprehensive, accurately guides the institution's operations, is periodically reviewed and updated, is approved by the governing board, and is communicated to the institution's constituencies.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) has a mission statement that communicates our unique status in Tennessee as the state's public flagship, comprehensive land-grant research institution. UT is the only public institution in Tennessee that carries the Carnegie designation, research university, very high research activity. Because of this unique denomination, the mission statement rightly emphasizes the way in which research provides the foundation for excellence in every aspect of the university's [mission](#), including and especially, instruction and engagement:

The primary mission of UT is to move forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world. As the preeminent research-based, land-grant University in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions.

Our mission statement focuses on creating new knowledge; of advancing excellence through the creation and dissemination of new knowledge, both inside the classroom and out; and it returns to the keystone of our institutional identity by aligning UT with the nation's finest public research universities.

Our three-part vision statement, published with the mission statement on the University's web site in two locations 1) About the University (<http://www.utk.edu/aboutut/vision/>) and 2) Vol Vision: Pursuit of the Top 25 Strategic Plan (<http://top25.utk.edu/mission-vision/>), develops our unique role in the state, broadens our focus to include a global society, and proclaims our commitment to preparing the next generations' leaders to meet the challenges of the decades ahead. Each part of the vision statement distinguishes UT from other public universities in Tennessee, both within the UT System and elsewhere, and each addresses specifically our vision for engagement (Value creation), research (Original ideas), and education (Leadership). Our [vision statement](#)—further uniquely identifiable by its acronym, VOL—is hereunder inserted in full:

Value creation through economic, social, and environmental development targeted to an increasingly global and multicultural world.

We lead an increasing number of academic and public service activities that involve and benefit the local community, the state of Tennessee, the United States, and ultimately the world. This continuing commitment to the public good through a variety of outreach activities is grounded in our tradition as a land-grant institution.

Original ideas that advance society through discovery, inquiry, innovation, research, scholarship, and creative activities.

Our ability to create value is dependent on discovering new knowledge and generating new ideas and expressions. The complex concerns of the twenty-first century cannot be addressed with existing knowledge and systems. Our aim is a dramatic increase in these activities, requiring the interaction between committed, diverse faculty, staff, and students.

Leadership through the preparation of capable and ethical leaders.

UT's diverse graduates have unique and enriched learning opportunities accruing from the university's comprehensive mission. We expect a large portion of graduates will take their places as leaders in the state of Tennessee and beyond.

Our mission and vision statements introduce our strategic plan document, [Vol Vision: The Pursuit of Top 25](#), which

provides the guiding framework for The University of Tennessee, Knoxville (UT) to achieve its potential as the leading public institution of higher learning in the State of Tennessee. The mission, vision, values, and strategic priorities set forth below are a uniting set of principles and goals that allow all students, faculty, staff, and administrators to align their efforts and activities around a common vision. VOL Vision, which moves us toward the goal of becoming a member of the nation's 'Top 25' public research universities, is being realized through companion plans for action and accountability that address implementation, resource allocation, outcome metrics, and program assessment.

During the 2009-2010 academic year, Dr. Sarah Gardial, then Vice Provost for Faculty Affairs (now at the University of Iowa), Office of the Provost led a planning process that resulted in the adoption of final mission and vision statements. The planning process, with the support of faculty and administration, played out over several months and consisted of multiple opportunities for comment and contributions from campus faculty, staff and students prior to the adoption of the statements. In the course of that process, the campus also developed a formal set of values, which defined the [Volunteer Spirit](#) and provided further elaboration of mission and vision. At UT we value:

- broad diversity, including people of all races, creeds, ethnicities, genders, sexual orientations, gender identities, physical abilities, and socioeconomic groups;
- a culture that appreciates and respects faculty, staff, and students, and that acknowledges their interdependence and the vital role of every member of the Volunteer family;
- engagement with our local and extended communities, embracing intercultural and global perspectives;
- high standards of ethical and professional behavior;
- intellectual curiosity, pursuit of knowledge, free exchange of ideas, and academic freedom and integrity;
- transparent and data-informed decision making;
- wise management of resources and infrastructure; and
- our campus, our people, and our work.

With the mission vision, and value statements serving as guides, the campus turned in 2010-2011, to formulating a strategic plan, using a process similar to that which gave rise to the statements themselves. The heart of the strategic plan is found in five priorities, all of which are directly tied to the unique mission of UT. Those priorities are as follows:

- Recruit, develop, and graduate a diverse body of undergraduate students who, through engagement in academic, social, and cultural experiences, embrace the Volunteer Spirit as life-long learners committed to the principles of ethical and professional leadership. (Linkage to mission statement: *enrich and elevate the citizens of the State of Tennessee, the nation, and the world*)
- Educate and graduate increasing numbers of diverse graduate and professional students who are equipped to address the pressing concerns of their fields, to extend the frontiers of knowledge, and to contribute to the public good through service to the academy or their professions. (Linkage to mission statement: *move forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world.*)
- Strengthen our capacity and productivity in research, scholarship, and creative activity to better educate our students; enhance economic, social, and environmental development; support outreach to our various constituencies; and extend the reputation and recognition of our campus. (Linkage to mission statement: *as the preeminent research-based, land-grant University in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement.*)
- Attract and retain stellar, diverse faculty and staff who will proudly represent our campus, execute our mission, embrace our vision, exemplify our values, and collaborate to realize our strategic priorities. (Linkage to mission statement: *move the forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world.*)
- Continually improve the resource base to achieve campus priorities by carefully balancing state revenues, tuition, and private funding, and by embracing stewardship of our campus infrastructure and a culture that values sustainability. (Linkage to mission statement: *allows us to carry out the mission of serving undergraduate and graduate students with the best faculty, staff and facilities and to move the forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world.*)

The strategic plan operationalizes the mission statement and serves as the guiding document for all academic decisions on campus, including allocation of new funds, reallocation of existing funds, capital investments, program (academic and student support) investment, and allocation and reallocation of faculty lines. In annual budget planning meetings, the Office of the Provost requires each of the campus's eleven colleges to frame their budget requests align their strategic plans with the University's and are grounded in the strategic plan.

Regular updates on progress toward meeting plan goals are presented to the academic leadership, Faculty Senate, and Board of Trustees. Presentations made by the Chancellor are posted to the [Vol Vision - Journey to the Top 25 webpage](#) under [Updates](#). At least once each year, the Chancellor provides a progress report on the strategic plan to the UT System Board of Trustees. Updates are provided to the academic leadership during their annual retreat and released to the public on the Vol Vision - Journey to the Top 25 webpage under Updates. Information is also shared with the university community, alumni, decision-makers and others through the Chancellor's newsletter and annual report. These updates demonstrate how the strategic plan is used to guide decision-making and resource allocation at the institution as evidenced by recent investments in 1) facilities (two new engineering buildings, a new residence hall, major building renovations with classrooms adapted to contemporary teaching methods), 2) retention and graduation initiatives (establish a strategic instructional fund to relieve *bottleneck* courses, revised tuition model - change the minimum at which full fees are charged, hiring additional professional academic

advisors and director of advising for the one college without a dedicated director), 3) faculty and staff positions (additional positions in areas of high undergraduate and/or graduate student demand, strategic hires in areas to support collaboration with Oak Ridge National Labs), 4) support of graduate stipends and other forms of support (travel funds, health insurance), and 5) initiated a mini-campaign to support faculty professorships and endowed chairs, and graduate student fellowship.

Approval of the Mission Statement

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution is a member of the University of Tennessee System (UT System). The Board of Trustees, with oversight for the UT System, has legal authority, as set forth in the Tennessee Code Annotated ([49-9-209\(3\)\(1\)](#)), over the entities that compose the UT System. They operate under a charter, bylaws, and the statutes of the Tennessee Code Annotated.

Per the Board of Trustees Charter ([Article IV](#)),

The object of the University shall be to engage in the governmental function of affording an education primarily to the youth and citizens of the State of Tennessee and to instruct and train them in those subjects leading to the degrees of bachelor of arts, master of arts, medical degrees or any other degrees known and used in any college or university in any of the United States; also to be a leading research institution devoted to research and instruction in agriculture, the arts and sciences, law, medicine, business, education, architecture, and the other disciplines.

Each entity of the UT System is required to have a distinct mission statement and that it be approved by the UT System Board of Trustees.

The most recent revision of the mission statement and strategic plan was approved on the campus and then submitted to the Academic Affairs and Student Success Committee of the UT System Board of Trustees as part of their [June 23, 2011](#) agenda. It was approved by the committee on June 23, 2011, and by the entire Board as part of the Consent Agenda on June 23 2011 [[Item J](#) of the consent agenda (page 17 of the pdf file) as listed in the Minutes of the Board of Trustees minutes as presented for approval at the October 10, 2011 meeting].

Conclusion

The University of Tennessee, Knoxville, has a clear mission statement that 1) is current, comprehensive, accurately guides the institution's operations, 2) was recently reviewed, updated, and approved by the University of Tennessee System Board of Trustees and 3) is communicated to the constituencies through the institutional websites.

3.2.1 Governance and Administration: CEO evaluation/selection

The governing board of the institution is responsible for the selection and the periodic evaluation of the chief executive officer.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville, (UT) is the flag-ship campus of the University of Tennessee System (UT System). The UT System is led by the President. Each campus is governed by a Chancellor, appointed by the University of Tennessee System Board of Trustees (UT System Board) upon recommendation of the President. The President conducts an annual review and a comprehensive review once every four years per UT System Board policy.

Selection of the Chancellor

The University of Tennessee, Knoxville (UT), as a member of the UT System, the process of selecting the Chancellor is governed by the UT System Board Bylaws which outlines the election process ([Art. IV, Sec. 2\(b\)](#)) and the duties ([Art. IV, Sec 3\(c\)](#)) of the Chancellor. The UT System President grants the Chancellor of UT full authority to govern all aspects of the Knoxville campus and manages all operations therein.

The most recent search for a Chancellor occurred in 2008. The UT System President John Petersen (2004-2009) formed a search committee composed of faculty, staff, students, trustees, alumni and community representatives (see press releases of [January 22, 2008](#) and [January 24, 2008](#)). The committee was chaired by a Distinguished Professor. A search firm was contracted to assist the committee in identifying candidates, screening materials, and supporting the screening process (see press release of [March 4, 2008](#)). A recommendation was presented to the UT System President by the search committee, and the President made his recommendation to the UT System Board. The full Board approved the selection at their meeting of October 24, 2008 (see [minutes](#) and [press release](#)).

Evaluation of the Chancellor

As stated in the UT System Board Bylaws ([Article IV, Section 3 \(c\)](#)), the Chancellor is the chief operating officer for UT and is *fully responsible for administration and management of the unit, subject to the general supervision of the President*. Hence, the UT System Board delegates responsibility for the annual evaluation of the campus Chancellor to the UT System President. According to the [job description](#), the Chancellor responsibilities are:

to promote academic excellence and to provide leadership and administration of the Knoxville campus. The Chancellor is expected to provide visionary leadership in strategic initiatives to enhance the standing of the University, budget planning and accountability, shared governance, enhancement of diversity and interculturalism, resource enhancement, engagement of the University with the wider community, and other elements of administrative policy. The Chancellor plays a key role in the University's co-management with Battelle of nearby Oak Ridge National Laboratory. The Chancellor's staff includes the Provost and Vice Chancellor for Academic Affairs and the Vice Chancellors for Research and Engagement, Student Affairs, Finance and Administration, Development and Alumni Affairs, and Communications.

The annual evaluation is completed as outlined in the UT System Human Resources Policy [0129](#) (with further detail for the Knoxville campus given in a [supplement](#) to System policy HRP0129) and is shared with the UT System Board during the Executive and Compensation Committee. Final action is taken by the full UT System Board at their June meeting.

The most recent evaluation was a cumulative 4-year comprehensive evaluation and was completed on June 21, 2013. The evaluation documentation provided by campus Chancellor Jimmy G. Cheek to UT System President Joseph A. DiPietro, and President DiPietro's evaluation of Chancellor Cheek are included in the [agenda](#) of the Executive and Compensation Committee of the Board of Trustees and in the [agenda](#) for the Board of Trustees meeting along with the [Guidelines](#) for the 4-Year Comprehensive Evaluation Process used by the UT System President.

Conclusion

The University of Tennessee, Knoxville, has a Chancellor which was selected via a national search that included participation of the faculty, staff and students of the University community. The Chancellor undergoes regular review by the UT System President and the UT System Board of Trustees demonstrating compliance with this standard.

3.2.2.1 Governance and Administration: Governing Board Control: Mission

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

3.2.2.1 institution's mission.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT), as the flag-ship campus of the University of Tennessee System, is governed by the University of Tennessee System Board of Trustees (UT System Board). The UT System Board has both the legal authority and the operating control to approve mission statements for any member of the University of Tennessee System (System). The UT System Board Bylaws state: *The Academic Affairs and Student Success Committee shall approve and recommend to the Board the ... mission statements for The University of Tennessee System for each campus and institute of the University.* (Bylaws, [Art. III, Sec. 7\(1\)](#)) And, in Bylaws, [Art. III, Sec. 7\(2\)](#), the Academic Affairs and Student Success Committee of the UT System Board shall also approve and recommend strategic and long-range academic plans.

The current UT mission statement was revised through a process that engaged the university community. It was approved on the campus and as part of the [Vol Vision 2015 - Journey to the Top 25](#) strategic plan, was submitted to the Academic Affairs and Student Success Committee of the UT System Board as part of their [June 23, 2011](#) agenda. It was approved by the committee on June 23, 2011, and by the entire Board on June 23, 2011 as part of their consensus agenda ([Item J](#)).

Conclusion

The University of Tennessee, Knoxville, demonstrates compliance per the University of Tennessee System Board of Trustees bylaws and as evidenced by the action taken by the Board on June 23, 2011.

3.2.2.2 Governance and Administration: Governing Board Control: Fiscal Stability

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

3.2.2.2 fiscal stability of the institution.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is governed by the University of Tennessee System Board of Trustees (UT System Board). The UT System Board controls all financial affairs for the UT System. The University of Tennessee Bylaws (Bylaws) provides the official guidance and governance for the UT System Board; they state ([Art. I, Sec. 1](#)):

The Board of Trustees, which is the governing body of The University of Tennessee, shall have full and complete control over its organization and administration, also over its constituent parts and its financial affairs.

Furthermore, the Bylaws ([Art. I, Sec. 2 \(e\)\(1\) - \(e\)\(3\)](#)) stipulate that the UT System Board shall:

(e)(1) Approve guidelines governing the administration's submission of a proposed annual operating budget and appropriations request to state agencies and officials.

(e)(2) Approve the University's proposed capital outlay budgets and requests for capital outlay appropriations prior to their submission to other state agencies and officials;

(e)(3) Approve the final operating and capital outlay budgets for the next fiscal year after the General Assembly has enacted annual appropriations for the University.

The UT System Board is responsible for fiscally sound operating and capital outlay budgets that ensure adequate support for a sound education. The UT System Board generally meets three times a year. The annual meeting in June includes reports by the UT System President, UT System Treasurer and standing committees of the Board, including the Finance and Administration Committee and Audit Committee. At its June meeting, the UT System Board approves the annual operating budget, approval of major capital projects, and student fees and tuition for the new academic year.

From the UT System Board of Trustees Agenda of the June 18, 2014 meeting:

[Resolution for Adoption of the Budget](#)
[Proposed Knoxville Budget Summary](#)
[Proposed Space Institute Budget Summary](#)
[Proposed College of Veterinary Medicine Budget Summary](#)
[Changes in Maintenance Fees and Tuition](#)
[Knoxville Fees and Tuition](#) (including College of Law, third page)
[Space Institute Fees and Tuition](#)
[Veterinary Medicine Fees and Tuition](#)
[Other Fees](#) (including Distance Education Fee)

Student Programs and Services Fee

The capital outlay and maintenance projects budget and institutionally funded projects are generally approved at the fall meeting; from the UT System Board meeting of October 17, 2013:

Capital Outlay and Maintenance Institutionally Funded Projects

UT System Board Bylaws ([Art. III, Sec. 6 \(a\)](#)) clarifies further:

The Finance and Administration Committee shall formulate policies and recommend their adoption by the Board of Trustees in all matters relating to finance, business, and administration, including the investment of University funds.

[Art. III, Sec. 6 \(b\)](#), addresses the Finance and Administration Committee's role in approval and recommendation to the full UT System Board guidelines governing the submission of the University's administration submission of a proposed annual operating budget and appropriation requests, capital outlay budgets and appropriation requests, and the approval with recommendation to the full UT System Board of the final operating and capital outlay budgets for the next fiscal year. [Art. III, Sec. 6 \(c\)](#) addresses the Finance and Administration Committee's responsibility in approving and recommending tuition and fee rates for adoption by the UT System Board.

At the [June 23, 2011](#) meeting of the UT System Board, the UT long-range master plan was presented for UT System Board consideration and adopted. At the [June 21, 2012](#) meeting of the Finance and Administration Committee, the schedule of quasi-endowments established between July 2011 to June 2012 for the UT and sister campuses was ratified.

The Bylaws also establish the Audit Committee ([Art. III, Sec. 8](#)), whose purpose is to "assist the Board of Trustees in fulfilling its oversight responsibilities" for a number of activities including integrity of financial reporting, systems of internal controls, legal compliance, and review of external audit by the Division of State Audit for the State of Tennessee, and oversight and direction of internal auditing function.

Conclusion

The University of Tennessee System Board of Trustees has legal authority, operating control, and oversight for the fiscal stability of the University of Tennessee, Knoxville and demonstrates compliance with this standard.

3.2.2.3 Governance and Administration: Governing Board Control: Institutional Policy

The legal authority and operating control of the institution are clearly defined for the following areas within the institution's governance structure:

3.2.2.3 institutional policy

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is governed by the University of Tennessee System (UT System) Board of Trustees, and the responsibilities are defined in their bylaws ([Art. I, Sec. 2 \(a\)-\(g\)](#)) as:

The Board shall:

- (a) 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 shall be the function of the faculties;*
- (b) Have full authority to determine and to control the activities and policies of all organizations and activities that bear, or that may be carried under, the name of the University;*
- (c) Not undertake to direct matters of administration or of executive action except through the President.*
- (d) Control the election and removal of the University Officers named in Article IV, Section 1, of these Bylaws and the fixing of their compensation. The Board shall elect and fix the compensation of the President and the other University Officers at the annual meeting except when a vacancy occurs at another time. At the annual meeting the Board shall also approve the compensation of the faculty and of all other employees the Board may deem necessary for the proper operation and management of the University.*
- (e)(1) Approve guidelines governing the administration's submission of a proposed annual operating budget and appropriations request to state agencies and officials.*
- (e)(2) Approve the University's proposed capital outlay budgets and requests for capital outlay appropriations prior to their submission to other state agencies and officials;*
- (e)(3) Approve the final operating and capital outlay budgets for the next fiscal year after the General Assembly has enacted annual appropriations for the University.*
- (f) Grant tenure to eligible members of the faculty upon the positive recommendation of the President; and*
- (g) Prescribe admission, progression, and retention requirements for the University and particular programs of instruction.*

The Board executes its control through the various standing committees of the UT System Board as described in the Bylaws ([Art. III, Sec. 1a](#) and detailed in Sec. 4 through 11): Executive and Compensation ([Sec. 4](#)); Trusteeship ([Sec. 5](#)); Finance and Administration ([Sec. 6](#)); Academic Affairs and Student Success ([Sec. 7](#)); Audit ([Sec. 8](#)); Advancement and Public Affairs ([Sec. 9](#)); Research, Outreach and Economic Development ([Sec. 10](#)); and Health Affairs ([Sec. 11](#)).

In addition, Tennessee Code Annotated (TCA) [49-9-209 \(e\)\(1\)](#) describes the powers of the trustees of the University of Tennessee, stating, "*The trustees at their stated sessions shall also have full power and authority to make bylaws, rules and regulations for the government of the university and the promotion of education in the university that in their opinion may be expedient or necessary.*"

For example, at its [June 20, 2012](#) meeting, the Finance and Administration Committee approved and forwarded to the full UT System Board a proposal to revise the tuition model for the University of Tennessee, Knoxville. The plan changed the maximum number of credit hours charged from 12 to 15 hours, with the charge for a full 15 credit hours taking effect when a student enrolls in 12 credit hours to encourage enrollment to complete degrees in four years. The full UT System Board approved the proposal during their meeting on [June 21, 2012](#) (the minutes of the June 20-21, 2012 Board meeting were approved at the [November 9, 2012](#) meeting of the UT System Board).

At the [June 23, 2011](#) meeting of the Academic Affairs and Student Success Committee, a proposal to revise the section of the UT Faculty Handbook regarding non-tenure track faculty appointments to expand the options available for appointment and professional development of non-tenure-track faculty members was approved and forwarded to the full UT System Board. The UT System Board approved it at their meeting on the same day (see Item M of the Consent Agenda in the approved minutes as included in the [October 2011](#) UT System Board agenda).

Conclusion

The University of Tennessee, Knoxville, as part of the University of Tennessee System, has a Board of Trustees that has policies and procedures in place that ensures review of actions taken by UT.

3.2.3 Governance and Administration: Board conflict of interest

The governing board has a policy addressing conflict of interest for its members.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is a member of the University of Tennessee System, which is governed by the Board of Trustees (Board). The Board Charter includes a section on conflict of interest and nepotism ([Art. VI, Sec. 8](#)). The Tennessee Code Annotated (TCA) [49-9-207](#) includes a section on Conflict of Interests that states,

It is unlawful for any member of the board of trustees to be financially interested in any contract or transaction affecting the interest of the university, or to procure or be a party in any way to procuring, the appointment of any relative to any position of trust or profit connected with the university. A violation of this section subjects the member so offending to removal by the governor or board of trustees.

In addition to the TCA, the Board has adopted a separate [Conflict of Interest Policy](#) (February 5, 1992) and a [Code of Ethics](#) (amended October 9, 2009) for appointed trustees. In the Conflict of Interest Policy, [Section C 1](#) general policy statement stipulates:

In addition to the specific circumstances prohibited by state law, the Board considers that a conflict of interest exists in the following situations: (1) when a trustee or immediate family member has a direct or indirect financial interest in a transaction involving the University; (2) when the actions of a trustee involve the obtaining of personal gain or advantage; (3) when an adverse effect or impact on the University's interest occurs for the personal gain of a trustee or immediate family member; and (4) when a trustee obtains or assists in obtaining for a third party improper gain from, or unfair advantage, of the University. The term "immediate family" means parent, spouse, sibling or child. Disclosure of any situation in doubt should be made in order to protect the trustee and the University.

The [Art. III, Sec. 1-4](#) of the Code of Ethics outlines the process by which a Trustee may be removed from the Board due to violation of the Code of Ethics.

The Secretary of the Board (General Counsel for the University of Tennessee System) conducts orientation training for new Trustees prior to any UT System Board meeting when new Trustees are seated. During this orientation, Trustees receive training regarding 1) prohibition of certain types of [political activity](#), 2) the [Code of Ethics](#), 3) [Conflict of Interest Policy](#), 4) concepts of [public records](#) and 5) concepts of [open meetings](#).

Since previous reaffirmation in 2005, there has not been a case of a Trustee being removed due to violation of the Code of Ethics, Conflict of Interest Policy or TCA. The UT Systems Board of Trustees members take their duties seriously. During minutes of the [March 31, 2013](#) meeting demonstrate a Trustee recuse himself from the vote of the Consent Agenda due to an item in which the conferring of an honorary degree to his uncle was considered.

Conclusion

The University of Tennessee System Board of Trustees demonstrates compliance through the Board's Code of Ethics and the Conflict of Interest Policy, and through the New Trustee

Orientation process. Additionally, the Tennessee Code Annotated stipulates there be no conflict of interest.

3.2.4 Governance and Administration: External influence

The governing board is free from undue influence from political, religious, or other external bodies, and protects the institution from such influence.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is a member of the University of Tennessee System (UT System), which is governed by the Board of Trustees (UT System Board). The UT System Board has published policies to ensure the Board and the University are free from undue influence from any external bodies. The UT System Board Code of Ethics ([Art. I, Sec. 2](#)) states,

Trustees bring diverse backgrounds and expertise valuable to the governance of a comprehensive, statewide university system. In carrying out their duties, however, Trustees must keep the welfare of the entire University paramount over any parochial interest.

The same Code of Ethics has a separate section on "Gifts, Favors, and Gratuities" ([Art. II, Sec. 4\(1\) and \(2\)](#)) which states,

(1) Trustees shall not knowingly accept any gift, favor, or gratuity from any person or entity under contract with the University or seeking a contract with the University.

(2) Trustees shall not knowingly accept any gift, favor, or gratuity from any person or entity, including another Trustee, that might affect or have the appearance of affecting a Trustee's judgment in the impartial performance of the duties of the office. However, this subsection shall not be construed to apply to a Trustee's incidental benefit from another Trustee's gift of money, property, or services to the University or to any benefit commonly available to Trustees by virtue of the office. Nor shall this subsection be construed to prohibit acceptance of benefits from the University in connection with donations to the University.

Additionally, the UT System Board Charter ([Art. VI, Sec. 6](#)) requires an oath of office before a Trustee can serve the University:

Each Trustee, before acting in the appointment, shall take before some judge or justice of the peace an oath faithfully, honestly, and impartially to discharge the duties of the appointment, and that in all votes as a Trustee, the Trustee will vote as in his or her judgment will best promote the interest of the University and education therein.

The method of selection (UT System Board Charter, [Art. VI, Sec. 1 \(c\)\(1\)-\(7\)](#)) ensures that broad geographic areas of the State of Tennessee have representation on the UT System Board, with members coming from each congressional district. At least one-third of the appointed members shall be members of the principle minority political party in the state to ensure freedom from political influence. And, at least one-third of the appointed members will be alumni of the institution with loyalty to the interests of the institution. Appointments are made by the Governor of the State of Tennessee subject to confirmation by the Senate, but appointments shall be effective until adversely acted upon by the Senate (UT System Board Charter, [Art. VI, Sec. 2](#)). The term of office of each appointed member (except faculty and student members who hold one year terms beginning on July 1 of the year of appointment) is six years beginning June 1 of the year of the appointment.

To maintain transparency and "*to prevent any potential conflict of interest between trustee responsibilities and outside activities from arising*", the UT System Board's Conflict of Interest Policy requires full disclosure of any situation in doubt *to provide for an impartial and objective determination* ([Sec. A. Preamble](#)). The Conflict of Interest Policy outlines the content of the disclosure statement ([Sec. D. Disclosure Statement](#)) and directions on filing such statement with the Secretary of the Board annually by January 15 ([Sec. E. Filing Statement](#)).

The Secretary of the Board (General Counsel for the University of Tennessee System) conducts orientation training for new Trustees prior to any Board meeting when new Trustees are seated. During this orientation, Trustees are cautioned that certain [political activity](#) is prohibited:

- Unlawful to use official position, authority or influence to 1) interfere with an election or nomination for office or 2) directly or indirectly attempt to intimidate, coerce or command any public officer or employee to vote for or against any measure, party, or person
- Unlawful knowingly to solicit, directly or indirectly, any contribution of money, thing of value, facilities or services for political purposes or campaign expenses from any person who has received contracts, compensation, employment, loans, grants or benefits financed by public funds (state, federal or local)

Also during the orientation training, the [Code of Ethics](#), [Conflict of Interest Policy](#), and concepts of [public records](#) and [open meetings](#) are covered.

The last article of the Code of Ethics ([Art. III, Sec. 3 and 4](#)) describes the process by which a Trustee may be removed from the UT System Board due to violation of the Code of Ethics.

Finally, since the previous reaffirmation in 2005, it is notable that there is nothing in the minutes or actions of the UT System Board to indicate any undue influence from any external bodies.

Conclusion

The University of Tennessee System Board of Trustees operates freely from undue influence from political, religious, or other external bodies, and protects the institution from such influence. This is demonstrated through the training the new Trustees receive and is ensured through adherence to the policy of the UT System Board and through monitoring by the General Counsel who serves as Secretary to the Board.

3.2.5 Governance and Administration: Board dismissal

The governing board has a policy whereby members can be dismissed only for appropriate reasons and by a fair process.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville is the flag-ship campus for the University of Tennessee System and is governed by a Board of Trustees. University of Tennessee System Board of Trustee (UT System Board) Charter and Code of Ethics, and the Tennessee Code Annotated (TCA) support compliance. The UT System Board's Charter [[Art. VI, Sec. 4](#), which draws upon TCA ([49-9-204](#))] addresses vacation of office and cause for removal:

The removal of any trustee from the county or congressional district which he or she represents, ipso facto, shall vacate the position. The failure of a trustee to attend three regular meetings of the board in succession shall be cause for removal and shall authorize the board to call on the governor to appoint a successor.

The UT System Board's Code of Ethics also addresses as cause failure to attend meetings ([Art. 1, Sec. 4](#)) and also failure to comply with the UT System Board's Code of Ethics ([Art. III, Sec. 1, 2, and 4](#)) as grounds for dismissal. It provides for trustees who have violated the code to be removed after compliance with due process requirements ([Art. III, Sec. 3](#)). The UT System Board's Code of Ethics states the Trustee *shall be afforded a due process contested case hearing in accordance with the Tennessee Uniform Administrative Procedures Act, Tennessee Code Annotated, 4-5-301 through 319 and 323, Contested Cases*. TCA 4-5-301 through 319 and 323 provide the detail for the conduct of a Contested Case such as the participants (administrative judge, hearing officer, other participants from the agency, prosecutor, advocate, investigator); ability to disqualify the judge or hearing officer; separation of hearing participant functions; *ex parte* communications, representation of the parties; pre-hearing conferences to hear motions, defining reasonable notice of hearing to all parties; distribution of filed pleadings, briefs, motions, etc.; matters of default; matters of discovery, subpoenas, and protective orders; procedures at hearing; matters of rules of evidence, affidavits, and official notice; review of the initial and final order and matters relating to stay and appeal of orders; and responsibility of the agency with regards to the maintenance of the records of the proceedings.

The UT System Board's Code of Ethics ([Art. 1, Sec. 3](#)) specifies:

Trustees must discharge their duties, including duties as a member of a committee, in good faith, with the care an ordinarily prudent person in a like position would exercise under similar circumstances, and in a manner the Trustee reasonably believes to be in the best interest of the University.

Since the previous reaffirmation in 2005, there has not been a case of a Trustee being removed due to violation of the Charter, Bylaws, Code of Ethics, Conflict of Interest Policy or TCA.

Conclusion

The University of Tennessee System Board of Trustees has a policy whereby members can be dismissed only for appropriate reasons and by a fair process and demonstrates compliance with this standard.

3.2.6 Governance and Administration: Board/administration distinction

There is a clear and appropriate distinction, in writing and practice, between the policy-making functions of the governing board and the responsibility of the administration and faculty to administer and implement policy.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) maintains a clear and appropriate distinction between the policy-making functions of the University of Tennessee System (UT System) Board of Trustees (Board) and the responsibility of the administration and faculty to administer and implement policy.

The UT System Board's Bylaws ([Art. I, Sec. 2 \(a\) - \(c\)](#)) makes the distinction between policy-making and administration. It is the Board's responsibility to

- (a) 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 shall be the function of the faculties*
- (b) Have full authority to determine and to control the activities and policies of all organizations and activities that bear, or that may be carried under, the name of the University*
- (c) Not undertake to direct matters of administration or of executive action except through the President*

The duties of the System President versus the UT Chancellor are further delineated in the Board Bylaws. The President's authority is broadly defined as having ultimate responsibility for leading the University academically, administratively, and financially ([Art IV, Sec. 3 \(a\)\(1\)](#)). [Art. IV, Sec. 3 \(a\)\(2\)](#) specifies the System President has responsibility for

- identifying and recommending to the UT System Board individuals for election as Chancellors (see Comprehensive Standard [3.2.1](#) for a discussion of the most recent search for the UT Chancellor),
- promoting the general welfare and development of the University in its several parts and as a whole (the UT System recently underwent strategic planning to further delineate the role of the System Office and personnel and how it interacts with the campuses and institutes. The UT System Board adopted the revised mission statement and strategic plan at the [June 21, 2012](#) meeting),
- promptly and effectively executing all laws relating to the University and of all resolutions, policies, rules, and regulations adopted by the Board of Trustees (in academic year 2013-2014, the Tennessee legislature passed a resolution requesting the UT System Board of Trustees to review and revise the Student Programs and Services Fee and report back to the legislature. UT Knoxville Faculty Senate leadership was included in the committee that reviewed and revised the policy for Student Programs and Service Fees. Attached is the [revised policy](#) and [proposal](#) presented to the UT System Board at the June 28, 2014 meeting (note: minutes of the June 2014 Board of Trustees meeting are not yet available.)

- preparing the University budget and its presentation to the Tennessee Higher Education Commission (THEC), the Governor, the Department of Finance and Administration, the General Assembly, and the UT System Board of Trustees; and exercising ultimate control over the budgets (information about budget approval, capital outlays and capital maintenance presented to the Board of Trustees is discussed in detail in Comprehensive Standard 3.2.2.2)
- developing and executing fundraising (the campus Chancellor's role in fundraising activities is discussed in Comprehensive Standard 3.2.12; the relationship between the UT Foundation and the UT Research Foundation and the UT System and UT campus is discussed in Comprehensive Standard 3.2.13) and alumni programs for the University.

The duties of the Chancellor are defined in [Art. IV, Sec. 3\(c\)](#) as:

These officers shall be the chief operating officers of their respective units and shall be fully responsible for administration and management of the unit, subject to the general supervision of the President. These officers shall be directly responsible to the President and shall perform such specific duties as from time to time may be prescribed or assigned by the President, the Board, or by any standing or special committee of the Board.

The UT Faculty Handbook ([Sec. 1.2](#)) also makes the distinction among policy-making, administration and the role of faculty:

The board has delegated to UT Faculty Senates the authority, subject to the approval of the chancellor(s), the president, and the board itself, to determine general educational objectives and policies at UT and regulations related to those objectives, such as requirements for admission, retention, readmission, graduation, and honors for all degree and certificate programs.

Furthermore, it clearly states: *All administrators are expected to act on principles of shared governance and hence seek the advice and recommendations of faculty* ([Sec. 1.4](#)). There is also the expectation that faculty will be engaged in the governance of the university ([Sec. 1.5](#)); that the work is important and will be varied:

(1) through the work of the Faculty Senate (regarding the general policies of the campus as a whole), and (2) through the work of faculty and faculty committees within departments, colleges, and the university as a whole. Faculty members should be active participants in deliberations and decisions on all policy and procedure committees. At the same time, the perspectives of administrators, students, and professional and support staff are essential to shared governance. It is the responsibility of the faculty to work collaboratively with these and other university constituencies.

Faculty review recommended policy revisions or additions that come from the administration, faculty, or departments through the Undergraduate and Graduate Councils' Academic Policy Committees. The Councils are subcommittees of the Faculty Senate. Additionally, each Council also has Curriculum Committees that review curriculum policy, procedures, and proposed changes to programs (courses and the curricula) (this process is discussed in detail in Comprehensive Standard 3.4.11 Responsibility for curriculum). The Credentials Committee of the Graduate Council review departmental and/or college nominations of faculty to direct doctoral dissertations.

Conclusion

The University of Tennessee System and University of Tennessee, Knoxville, through the UT System Board's Bylaws and the campus's Faculty Handbook, clearly delineate the roles of

the System President, campus Chancellor and the faculty in shared governance and in administration and implementation of policy. Therefore, the University of Tennessee, Knoxville is demonstrates compliance with this standard.

3.2.7 Governance and Administration: Organizational structure

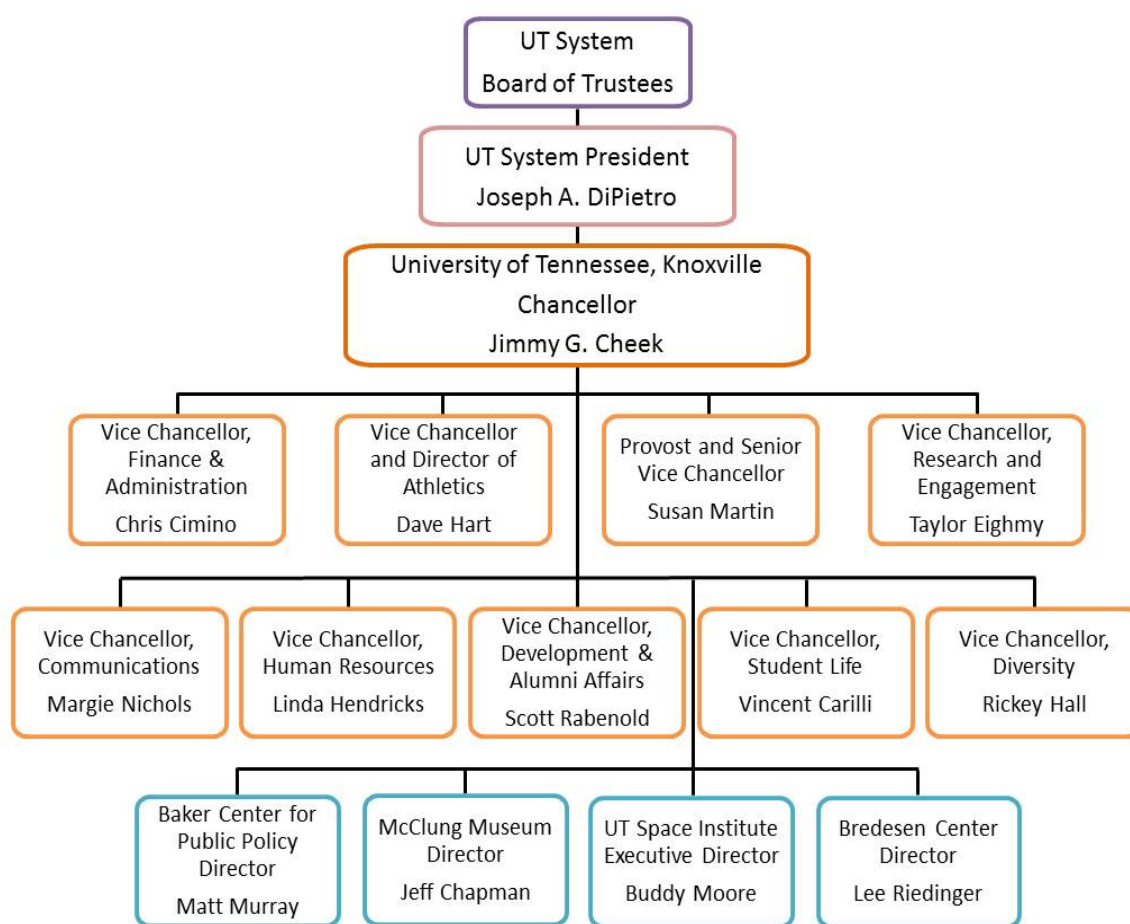
The institution has a clearly defined and published organizational structure that delineates responsibility for the administration of policies.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT), the flag-ship campus of the University of Tennessee System, has an organizational structure which is clearly defined, graphically presented, and annually published on the Chancellor's website (Figure 3.2.7-1). The chart is updated as necessary with staff turnover. Organizational charts and staff listings for the various cabinet offices are posted to the various webpages and are available as pdf files for download (see listing below).



August 11, 2014

Figure 3.2.7-1. Organizational chart for the Office of the Chancellor, University of Tennessee, Knoxville; also available at Chancellor's webpage.

The Chancellor for the University of Tennessee, Knoxville campus is responsible to the UT System President, as are the chancellors for the other UT campuses. The UT System Board of Trustees (see [UT System Organizational Chart](#)) has oversight for the President, the various campuses and institutes in the System.

Chancellor's Cabinet

Chancellor([org. chart](#))

The Chancellor exercises primary authority in control and allocation of all fiscal resources; establishment of the administrative organization; approval of personnel appointments; administration of academic programs and policies; administration of student affairs and services; and administration of all campus plan and facilities.

Provost and Senior Vice Chancellor for Academic Affairs ([org. chart](#))

The Office of the Provost is organized to provide effective oversight for academic programs, faculty support, student academic achievement, admission of undergraduate and graduate students, and maintenance of academic records. There are three Vice Provosts with oversight for Academic Affairs, Faculty Affairs, and the Graduate School. Various other administrators provide oversight for various functions including accreditation, institutional research and assessment, enrollment management, Thornton Athletics Student Life Center, international education, honors programs, student success, non-credit education.

Vice Chancellor and Director of Athletics ([org. chart](#))

The Vice Chancellor and Director of Athletics oversees the intercollegiate athletics programs and sports teams. UT is a member of the Southeastern Conference (SEC) and the National Collegiate Athletics Association (NCAA). As a member of the Chancellor's Cabinet, the Vice Chancellor provides leadership and management for the programs affecting the approximate 500 student athletes, including maintaining relationships with the NCAA and adhering to compliance rules, oversight for intercollegiate facilities, providing fiscal leadership, and overseeing fundraising and booster activities associated with athletics.

Vice Chancellor for Finance and Administration ([org. chart](#))

The Vice Chancellor for Finance and Administration provides oversight and leadership for the management of the campus budget and financial activities. This includes 1) working with the Chancellor in preparation of the annual budget, capital outlay, and capital maintenance requests funneled to the State of Tennessee through the UT System President, UT System Board, and the Tennessee Higher Education Commission; 2) overseeing adherence to UT System policy through development and implementation of campus procedures; 3) processing non-research contracts; 4) financial oversight of human resources transactions; 5) oversight of effort certification policy compliance; and 6) manages the campus master plan, capital construction, maintenance, and beautification projects. The VCFA directs campus operations and services including environmental health and safety, facilities services, information technology, police, parking and transit, motor pool, warehousing, bookstore, printing and mailing, records management, ID cards, dining, and vending.

Vice Chancellor for Communications ([org. chart](#))

The Vice Chancellor for Communications provides leadership for the management of the University of Tennessee, Knoxville brand through effective and professional communications and marketing. Functions are distributed across a number of different offices answering to the Vice Chancellor which include:

- Marketing and Public Relations
- Internal Communications
- Media Relations
- Brand and Identity Standards
- Web Communications
- Creative Services
- WUOT (UT's National Public Radio station)
- Video and Photography

Vice Chancellor for Development and Alumni Affairs ([org. chart](#))

The Vice Chancellor for Development and Alumni Affairs (VCDAA) leads the team responsible for all campus fundraising and alumni programs. This is accomplished through oversight of development fundraising strategy, goal setting, priorities, policies and procedures for private giving and donor recognition. The VCDAA coordinates the fundraising efforts in each college in conjunction with the deans, and leads additional fundraising teams working with the areas of regional assignments, corporate, and foundations. The VCDAA also oversees the strategy development and implementation of all alumni engagement efforts, annual giving, donor relations, and stewardship initiatives which includes managing relationships with key volunteer groups, including the UT Knoxville Alumni Board of Directors, Chancellor's Associates, Black Alumni Council, and Young Alumni Council. The VCDAA serves as the primary liaison with the UT Foundation, organized at the UT System level in support of all system campuses and institutes.

Vice Chancellor for Diversity ([org. chart](#))

The Vice Chancellor for Diversity (VCD) promotes a campus environment that appreciates individual difference, values equal opportunity for all, and serves to eliminate barriers based on factors such as race, color, national origin, religion, sex, pregnancy, marital status, sexual orientation, gender identity, age, physical or mental disability, or covered veteran status. The VCD establishes systems of accountability for diversity objectives, works to creating an environment where diverse faculty and staff are recruited to and retained by UT. The VCD also works collaboratively with the appropriate offices to implement plans to increase enrollment and retention of diverse undergraduate, graduate, and professional students.

Vice Chancellor for Human Resources ([org. chart](#))

The Vice Chancellor for Human Resources has a dual title of Vice President for Human Resources (VPHR) for the University of Tennessee System. At the System level, the VPHR has responsibilities for human resources and equity and diversity. On the University of Tennessee, Knoxville, campus the VCHR has responsibility for leading development of human resources policy and guidelines to ensure consistent implementation and application. This is accomplished by 1) leading the development of employee acquisition, retention, promotion, and succession planning; 2) managing the analysis and implementing workforce strategic plan, including workforce diversity; 3) implementing performance management programs; 4) overseeing organizational development, training and professional development; 5) administering employee compensation and classification policies and programs; 6) directing employee relations, benefits, records management, and the Human Resources Call Center; and 7) managing human resources systems, metrics reporting, and trend monitoring.

Vice Chancellor for Research and Engagement ([org. chart](#))

The Vice Chancellor for Research and Engagement (VCRE) implements the university's national research agenda. This is accomplished through the work of the Office of Research and Engagement personnel and programs that 1) assist faculty with preparation,

submission, and management of research proposals and contracts, 2) tracks research funding and activity, 3) oversees research compliance, and 4) provide funding for seed projects, travel, graduate student support, proposal matching, and new faculty start-ups. The VCRE plays an active role in encouraging new collaborations and partnerships, and has a significant role in fostering and supporting joint initiatives with Oak Ridge National Laboratory (Oak Ridge, Tennessee) and other key partners.

Vice Chancellor for Student Life ([org. chart](#))

The Vice Chancellor for Student Life (VCSL) provides the vision and leadership for the out-of-classroom student experience through the management of student support services and resources including career services, student engagement and recreation, student health, counseling and wellness, disability services, and student conduct. The VCSL directs the efforts of the Office of the Dean of Students, University Center, Center for Leadership and Service, and New Student and Family Programs, among other departments.

Academic Deans ([list](#))

Each college is administered by a dean, who is the chief officer responsible for the success of its programs. According to the Faculty Handbook ([Sec. 1.4.1](#)), deans have these administrative concerns:

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

Furthermore, the Faculty Handbook ([Sec. 1.4.1](#)) stipulates that

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

Academic Department Heads or School Directors ([list](#))

Per the Faculty Handbook ([Sec. 1.4.2](#)), the department head/ school director responsibilities include

1. providing leadership for the departmental academic program in relation to the comprehensive academic program of the university
 - o recruiting faculty and staff
 - o working with faculty to plan, execute, and review curriculum
 - o encouraging and supporting faculty teaching, research and creative activity, and public service
 - o counseling and advising students majoring in the discipline

- o representing the department to the public, the other faculty and administration, colleagues at other universities and institutions, and the constituency supporting the university
- 2. providing leadership for the infrastructure necessary for support of the academic programs through
 - o employment and supervision of clerical and supporting personnel
 - o management of departmental physical facilities and planning for space and equipment needs
 - o resource enhancement
 - o preparation, presentation, and management of the departmental budget
 - o authorization of all expenditures from the department budget
- 3. planning annual performance and review faculty and staff

Conclusion

The University of Tennessee, Knoxville, has a clearly defined and published organizational structure that delineates responsibility for the administration of policies and procedures and is in compliance with this standard.

3.2.8 Governance and Administration: Qualified administrative/ academic officers

The institution has qualified administrative and academic officers with the experience and competence to lead the institution.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) selects academic and nonacademic officers carefully and most typically through open national search processes. All are qualified for their respective responsibilities. Credentials for chancellor, vice chancellors, deans, (assistant/associate deans, department heads, school directors are included with Comprehensive Standard 3.4.11 Academic Program Coordination) are provided with this report. Credentials for the academic and nonacademic officers of other key programs verify qualifications that these key administrators bring to their leadership positions.

All searches for upper-level academic and nonacademic officers must follow Guidelines for Conducting Academic and Staff-Exempt Searches (page 16) provided by the Office of Equity and Diversity (OED), which defines upper-level officers as department head and directors or higher-level. The Faculty Handbook (Sec. 1.4.1) provides additional guidance for Academic Deans searches:

Deans are appointed after an internal or external search conducted according to guidelines published by the Office of Equity and Diversity (OED). The chief academic officer selects the chair of the search committee from outside the college and appoints members of the committee from persons nominated by tenured and tenure-track faculty members of the college. A majority of the search committee is composed of tenured and tenure-track faculty members of the college, chosen to represent a balance among the academic areas of the college. The committee may include representation from non-tenure-track faculty members, departmental staff members, students, and where appropriate faculty members from outside of the college, as covered by collegiate bylaws. According to university requirements for upper-level searches (department head and above), membership of the search committee must be diverse, particularly in terms of gender and race.

Department head searches are discussed in the Faculty Handbook (Sec. 1.4.4). Heads serve for a five-year, renewable term. Searches require the faculty, students, and where appropriate, faculty from outside the department, as covered by departmental bylaws. While input from all departmental constituents is important, only the tenure-track and tenured faculty conduct an anonymous vote in department head selections. The vote guides the decision of the search committee, and the search committee recommendation guides the decision of the dean.

For upper-level academic and nonacademic officer positions, typically deans and higher, a search firm may be contracted to assist with national searches. Search firms are not typically used for internal searches.

All officers' credentials are verified by Human Resources (HR) through the National Student Clearinghouse (www.studentclearinghouse.org). If a candidate's degree is earned at a

university which is not part of the clearinghouse, HR will contact the institution to verify earned degree(s). If the candidate's degree is from a foreign university, HR requests the candidate send an official transcript or appropriate documentation in order to verify the degree. Additionally, effective January 1, 2011, criminal background checks are conducted for any person being hired into a permanent position (graduate, undergraduate, and professional student employees do not undergo a background check).

Credentials (personal information redacted) included are for the officers of the university, including: Chancellor, Chancellor's Cabinet, Provost's Cabinet (academic affairs administrators) and academic deans. Department heads and school directors vita (personal information redacted) are included with [Comprehensive Standard 3.4.11](#) Academic program coordination.

Table 3.2.8-1 Members of the Chancellor's Cabinet ([org. chart](#)) with summary information of their credentials (Names are linked to vita; titles link to position descriptions).

Name and title	Highest degree, academic discipline and institution	Start year in current position	Prior position
Dr. Jimmy G. Cheek, Chancellor	PhD, Interdisciplinary Education, Texas A&M University	2009	Senior Vice President, Institute of Food & Agricultural Sciences, University of Florida
Dr. Susan D. Martin, Provost and Senior Vice Chancellor for Academic Affairs	PhD, Classical Philology, The University of Michigan	2009	Associate Vice Chancellor for Academic Affairs/Senior Vice Provost, University of Tennessee, Knoxville
Mr. Chris Cimino, Vice Chancellor for Finance & Administration	MBA, University of Tennessee at Chattanooga	2009	Assistant Vice President, Budgeting, University of Tennessee System
Dr. Taylor Eighmy, Vice Chancellor for Research & Engagement	PhD, Civil Engineering, University of New Hampshire	2012	Senior Vice President for Research, Texas Tech University
Mr. Rickey Hall, Vice Chancellor for Diversity	MA, Higher Education, University of Iowa	2013	Assistant Vice President for Equity and Diversity, University of Minnesota, Minneapolis-St. Paul
Mr. Dave Hart, Vice Chancellor and Director of Athletics	BS, English, minor in Speech; MA, Speech, University of Alabama	2012	Executive Director of Athletics, University of Alabama
Ms. Linda Hendricks, Vice Chancellor for Human Resources	BS, Adult Education, University of Tennessee, Knoxville	2010	Vice President and Chief HR Officer, University of Tennessee System (joint appointment)
Ms. Margie Nichols, Vice Chancellor for Communications	BA, English, University of Tennessee at Martin	2008	Chief of Staff to the President, University of Tennessee System
Mr. Scott Rabenold, Vice Chancellor for	MBA, Drake University	2011	Interim Vice President for Development and

Name and title	Highest degree, academic discipline and institution	Start year in current position	Prior position
Development and Alumni Affairs			Alumni Affairs, University of Tennessee System
Dr. Vincent Carilli, Vice Chancellor for Student Life	PhD, Educational Administration / Higher Education, Southern Illinois University	2014	Vice President for Student Affairs, The University of Scranton, Pennsylvania

Table 3.2.8-2 Personnel within the Office of the Provost ([org. chart](#)) with summary information of their credentials.

Name and title	Highest degree and institution	Start year in current position	Prior position
Dr. Carolyn Hodges, Vice Provost and Dean of the Graduate School	PhD, Germanic Languages and Literature, University of Chicago	2007	Associate Dean for Academic Personnel, College of Arts and Sciences, University of Tennessee, Knoxville
Dr. Sally McMillan, Vice Provost for Academic Affairs	PhD, Communication and Society, University of Oregon	2010	Associate Dean for Academic Programs, College of Communication and Information, University of Tennessee, Knoxville
Dr. John Zomchick, Vice Provost for Faculty Affairs	PhD, English Literature, Columbia University, New York	2012	Associate Dean for Academic Personnel, College of Arts and Sciences, University of Tennessee, Knoxville
Ms. Betsy Adams, Director of Academic Resources	MBA, University of Tennessee, Knoxville	2007	Director of Human Resources, Budget and Financial Systems, St. Clair County Community College, Port Huron, Michigan
Dr. Mary L. Albrecht, Associate Vice Provost Accreditation and SACSCOC Liaison	PhD, Horticulture, The Ohio State University	2013	Associate Vice Chancellor for Top 25, University of Tennessee, Knoxville; Associate Dean for Academic Programs, College of Agricultural Sciences and Natural Resources, University of Tennessee, Knoxville
Dr. Pia Wood, Associate Provost and Director, Center for International Education	PhD, Political Science, University of Geneva, Switzerland	2007	Director, Center for International Studies, Wake Forest University

Name and title	Highest degree and institution	Start year in current position	Prior position
Mr. Richard Bayer , Assistant Provost and Director, Enrollment Services	MA, History, Niagara University, Niagara, NY	2008	Dean of Enrollment Services, University of Tennessee, Knoxville; University Registrar, University of South Carolina, Columbia
Dr. Denise Gardner , Assistant Provost and Director, Office of Institutional Research and Assessment	PhD, Educational Research and Policy Analysis, North Carolina State University	2012	Director, Office of Institutional Research, University of Georgia, Athens
Dr. Ruth Darling , Assistant Provost, Student Success	EdD, Leadership Studies in Higher Education, University of Tennessee	2009	Associate Vice Provost and Director of the Student Success Center, University of Tennessee, Knoxville
Dr. Taimi Olsen , Director, Tennessee Teaching and Learning Center	PhD, English, University of North Carolina at Chapel Hill	2014	Associate Director, Tennessee Teaching and Learning Center, University of Tennessee, Knoxville Head, Department of English, Tusculum College, Tennessee
Mr. Robert Gibbs , Executive Director, UT Conferences and Non-Credit Programs	BS, Tourism, Food and Lodging Administration, University of Tennessee, Knoxville	2010	Director, UT Conferences, University of Tennessee, Knoxville
Dr. Timothy L. Hulse , Associate Provost, Director of the Chancellor's Honors and Haslam Scholars Programs	PhD, Clinical Psychology, University of Tennessee, Knoxville	2013	Founding Dean, The Honors College, Virginia Commonwealth University
Dr. Joe Scogin , Assistant Provost and Senior Associate Athletic Director, Director of the Thornton Athletics Student Life Center	PhD, School and Counseling Psychology, University of Missouri	2013	Associate Athletic Director for Academic Services, University of Missouri
Dr. Jennifer Gramling , Director of Online Programs	PhD, Education, Instructional Technology, Curriculum and Evaluation, University of Tennessee, Knoxville	2013	Associate Director of Instructional Technology and Distance Learning, South College, Knoxville, Tennessee; Project Manager, Office of Distance Learning, Florida State University

Table 3.2.8-3 List of the 11 college deans and dean of libraries, with summary information of their credentials.

Name and title	Highest degree and Institution	Start year in current position	Prior position
Dr. Caula Beyl , Dean, College of Agricultural Sciences and Natural Resources	PhD, Plant Stress Physiology, Purdue University	2007	Interim Dean, Graduate Studies, Alabama A&M
Mr. Scott Poole , Dean, College of Architecture and Design	M Architecture, University of Texas	2011	Director, School of Architecture and Design, Virginia Tech University
Dr. Theresa M. Lee , Dean, College of Arts and Sciences	PhD, Biopsychology, University of Chicago	2012	Chair, Department of Psychology, University of Michigan
Dr. Stephen Mangum , Dean, College of Business Administration	PhD, Economics, George Washington University	2013	Senior Associate Dean, Max H. Fisher College of Business, The Ohio State University
Dr. Michael Wirth , Dean, College of Communication and Information	PhD, Mass Media, Michigan State University	2006	Director, School of Communication, University of Denver
Dr. Robert Rider , Dean, College of Education, Health and Human Science	PhD, Education, University of North Carolina at Chapel Hill	2004	Dean, College of Education, Butler University
Dr. Wayne T. Davis , Dean, College of Engineering	PhD, Civil Engineering, University of Tennessee, Knoxville	2009	Interim Dean, College of Engineering, University of Tennessee, Knoxville; and Associate Dean for Research and Technology, College of Engineering, University of Tennessee, Knoxville
Dr. Carolyn R. Hodges , Vice Provost and Dean, Graduate School	PhD, Germanic Languages and Literature, University of Chicago	2007	Associate Dean for Academic Personnel, College of Arts and Sciences, University of Tennessee, Knoxville
Mr. Douglas A. Blaze , Dean, College of Law	JD, Georgetown University	2008	Interim Associate Dean for Academic Affairs, College of Law, University of Tennessee
Dr. Steven Smith , Dean, University Libraries	PhD, English, Texas A&M University Master of Librarianship (ML), University of South Carolina	2011	Interim Executive Associate Dean, Texas A&M Libraries, Texas A&M University

Name and title	Highest degree and Institution	Start year in current position	Prior position
Dr. Victoria Niederhauser, Dean, College of Nursing	Doctor of Public Health (DrPH), University of Hawaii, Honolulu	2011	Associate Dean for Academic Affairs, School of Nursing and Dental Hygiene, University of Hawaii, Honolulu
Dr. Karen Sowers, Dean, College of Social Work	PhD, Social Work, Florida State University	1997	Director, School of Social Work, Florida International University, North Miami
Dr. James Thompson, Dean, College of Veterinary Medicine	DVM; PhD, Immunology and Medical Microbiology, University of Florida	2008	Executive Associate Dean, College of Veterinary Medicine, University of Florida

Conclusion

The University of Tennessee, Knoxville, has processes in place to ensure open searches with faculty input that require review of applicant credentials. Review of the credentials show that the administrative and academic officers have the experience and competence to lead the institution.

3.2.9 Governance and Administration: Personnel Appointment

The institution publishes policies regarding appointment, employment, and evaluation of all personnel.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT), adheres to the University of Tennessee System (UT System) policies for the recruitment, appointment, employment and evaluation of personnel. The UT System is headquartered on the UT Knoxville campus. UT Knoxville is the largest employer within the UT System. Due to the proximity and the needs of both the campus and the UT System, the Vice Chancellor for Human Resources (VCHR) for UT has a joint appointment as Vice President for Human Resources for the UT System and provides leadership for the entire System with regards to the coordination of effort and oversight for policy development, implementation and review (see attached organizational charts for the [UT campus](#) and for the [UT System](#)).

The University of Tennessee Institute of Agriculture (UTIA) has a Chancellor that is not the same person as the UT Knoxville Chancellor. The UTIA Chancellor is equal to the UT Knoxville Chancellor and answers directly to the UT System President; however, the faculty of the UTIA fall under the Knoxville Faculty Handbook, as do the faculty of the University of Tennessee Space Institute (UTSI). The UTSI is administratively under the UT Knoxville campus Chancellor. Therefore, all provisions of the Faculty Handbook apply to the faculty in UT, UTSI, and UTIA. The UTIA also has a Chief Human Resources Officer that handles state-wide responsibility for faculty and staff located at the research and education centers operated by AgResearch and UT Extension, 4-H camps and county Extension personnel of UT Extension.

On the University of Tennessee, Knoxville, campus the VCHR has responsibility for leading development of human resources policy and guidelines to ensure consistent implementation and application. This is accomplished by 1) leading the development of employee acquisition, retention, promotion, and succession planning; 2) managing the analysis and implementing workforce strategic plan, including workforce diversity; 3) implementing performance management programs; 4) overseeing organizational development, training and professional development; 5) administering employee compensation and classification policies and programs; 6) directing employee relations, benefits, records management, and the Human Resources Call Center; and 7) managing human resources systems, metrics reporting, and trend monitoring.

Recruitment, Employment and Appointment of Exempt and Non-Exempt Staff

The UT System Human Resources website provides information on recruitment of staff, as well as faculty positions. Vacant positions are posted on the campus recruitment website: [Employee Recruitment](#) and [Staff Jobs at UT](#) (both pdf files of webpages). The UT System deployed on-line applicant tracking enterprise-system for staff (exempt and non-exempt), Taleo (provided by Oracle), which assists with recruitment. Major features of this program include:

- a positive experience for the applicant by having easy search features, ability to attach a resume/vita, ability to choose to be notified of vacancies, ability to refer a friend and the ability to check application status
- tracking functionality for departments including time to fill a position, how applicants learned of job openings and why applicants declined job offers

The campuses and institutes chief academic officers, which includes UT, are currently reviewing the possibility of utilizing Taleo for faculty recruitment.

Prior to non-exempt and exempt staff positions posting to the Taleo on-line applicant tracking enterprise system, each unit initiating a search prepares a Position Description Questionnaire (PDQ) that provides information relating to responsibilities, duties, supervisory role, minimum qualifications, and any additional information that helps describe the position. Annual evaluations need to relate to the position description used when advertising the position. PDQs can be reviewed and updated on an as needed basis. PDQs are also used when examining whether or not positions need to be reclassified.

Appointment and employment policies for all staff can be found on the human resources policy site. Specifically, policy [HR0220](#) defines the university's policy on equal employment opportunity, affirmative action and diversity. UT's Office of Equity and Diversity assists with and provides training and direction on all searches for faculty and staff exempt positions in the Knoxville area. Other policies relating to employment at UT are:

[HR0105](#) Employment Status, defines employee groups, subgroups, employment percentage, employment status, and other employment issues, which specify employment conditions and applicability of human resources policies

[HR0120](#) Employment of University and State of Tennessee Retired Employees, states the conditions under which employees retired from service with the University of Tennessee System, the Tennessee Board of Regents institutions (ed. note: these are the other state-funded universities, community colleges, and technical centers), or the state of Tennessee (including all Tennessee Consolidated Retirement System participating employees) may be further employed by the University of Tennessee.

[HR0126](#) Flex-Year Positions, provides staff with flexible work schedule which are adapted to the cyclical workload of the academic needs and schedule of the university

[HR0135](#) Probationary Period, establishes a period of time during which a newly hired regular staff (non-faculty) employee's work performance can be evaluated by the supervisor.

[HR0143](#) Recruiting, provides systematic and equitable recruiting procedures to fill position vacancies.

[HR0445](#) Overtime Compensation, guidelines for compensation of staff and student employees in on-exempt wage and hour categories who work in excess of 40 hours per week.

[HR0455](#) Pay Rates, recruiting and retaining qualified staff within existing policies and resources of the institution while providing salaries that balance equity and competitiveness.

[HR0472](#) Supplemental Pay Practices, establishes parameters for compensating employees in specific, defined working situations where supplemental compensation is appropriate, such a shift differentials, emergency call back, extra services pay, and temporary assignments.

[HR0480](#) Work Schedules, establishes standards for work schedules which accommodate both the business needs of the university and, as feasible, employee requests.

Evaluation of Exempt and Non-Exempt Staff

Every staff (exempt and non-exempt) employee receives a performance review annually. If an employee does not receive a review, the reason is documented with Human Resources. To improve the process, new forms were developed and supervisory training was implemented. Training options include face-to-face and more than twenty on-line courses related to coaching, dealing with poor performers, an effective performance review, setting goals, etc. Additionally, HR has an online training module available to every supervisor as a refresher for UT's performance review process, tools and support. Employee performance review completion has increased dramatically since 2008. System HR Policy [HR0129](#), Performance Review, provides guidelines and additional information on the performance review process. This is supplemented by the UT HR Policy [HRP0129](#) for the Knoxville campus.

Various forms are used and are available on the System Human Resources [Performance Review webpage](#) and the Knoxville [Performance Evaluation webpage](#). They include:

1. [FAQs 2013 Performance Review](#)
2. Optional forms:
 - o [Administrator Supervisor Peer Review Form](#)
 - o [Supervisor Form](#)
 - o [Performance Improvement Plan Form](#) (used for those whose performance is less than satisfactory)
3. Performance Review Documents
 - o [Performance Review Summary with Goals](#)
 - o [Performance Review Instructions](#)

Post-Doctorate Associates

Individual investigators hire post-doctoral associates by opening a position on a restricted account, listing that position with the Office of Human Resources, and following HR's protocol for hiring exempt staff. The principal investigator is responsible for annual performance evaluation of the post-doctoral associate working on her or his grant. The PI is required to use the [performance review summary](#) form that is required for all staff employees at the university.

Faculty Recruitment, Appointment and Evaluation

Departments conduct the searches for all faculty positions (full-time, part-time, tenured, tenure-track, and non-tenure-track) adhering to guidelines set forth in the Faculty Handbook and by the Office of Equity and Diversity (see [UT Search Procedures, Academic and Staff-Exempt Positions](#)). Faculty positions are posted to the [UT HR webpage](#) (pdf of the webpage) and are searchable. All faculty (full-time, part-time, tenured, tenure-track, non-tenure-track) are also required to undergo annual evaluation per HR0129. Policies regarding the appointment and evaluation of **tenure-track and tenured faculty** (full-time and part-time) are articulated in Chapter Three of the UT Faculty Handbook.

- [Sec. 3.1](#) describes the process for appointment of new faculty to tenure-track positions.
- [Sec. 3.2](#) provides the criteria for appointment of faculty to rank.
- Various aspects of faculty appointments are discussed in separate sections: classifications of appointment ([Sec. 3.3](#)), special faculty titles ([Sec. 3.4](#)), joint and intercampus appointments ([Sec. 3.5](#)), summer semester appointments ([Sec. 3.6](#)), and faculty duties and workload ([Sec. 3.7](#)).
- [Sec. 3.9](#) through [3.11](#) address [salary](#), [promotion](#), and [tenure](#).
- The policies and procedures for terminating tenured faculty are specified in [Sec. 3.12](#) of the Handbook. [Part V](#) of the Manual for Faculty Evaluation further specifies the procedures for cumulative performance review of tenured faculty.
- Policies for the review and evaluation of faculty are articulated in [Sec. 3.8](#) of the UT Faculty Handbook.

[Sec. 3.8](#) covers Faculty Review and Evaluation and is supported by the Manual for Faculty Evaluation that details the procedures for annual retention review of tenure-track faculty ([Part I](#)) and the annual performance review of tenured and tenure-track faculty ([Part II](#)). [Part III](#) of the Manual for Faculty Evaluation describes the process of review for tenure and/or promotion; [Part IV](#) of the Manual for Faculty Evaluation describes in detail the preparation of the tenure and/or promotion dossier. [Sec. 3.8.1](#) stipulates that *every tenure-track and tenured faculty member at the University of Tennessee who is not on leave is reviewed annually*. [Sec. 3.11.3.4](#) describes the annual retention review for tenure-track faculty and clarifies that for tenure-track faculty, the annual performance and planning review process ([Sec. 3.8.1](#) annual review) and the annual retention review are coincident. Annual performance and planning review examines a limited time-frame, whereas, the annual retention review looks at a cumulative time-frame leading up to the tenure and promotion review.

Chapter Four of the UT Faculty Handbook articulates policies for non-tenure-track faculty (includes all levels of lecturers, research professors, clinical professors, professors of practice, adjunct, and visiting faculty, whether full-time or part-time appointment).

- [Sec. 4.1](#) specifies policy for the appointment and renewal of faculty to non-tenure-track positions.
- [Sec. 4.2](#) provides criteria for appointment to faculty rank.
- [Sec. 4.3](#) provides policy for evaluation of non-tenure-track faculty and cites the Manual for Faculty Evaluation as the source for best-practice guidelines for evaluating instruction.

All non-tenure-track faculty, which includes research and clinical faculty, *are subject to annual performance reviews appropriate to the positions and as outlined in departmental and college bylaws* ([Sec. 4.3](#)). Faculty evaluation is also fully discussed in [Comprehensive Standard 3.7.2](#).

Department Heads and Deans Selection, Appointment and Evaluation

Department heads/ school directors and deans evaluations are covered in the Faculty Handbook. Each is expected to undergo an annual evaluation and then a five-year comprehensive review to determine reappointment.

Deans ([Sec. 1.4.1](#)) are appointed after an internal or external search conducted according to guidelines published by the Office of Equity and Diversity. The majority of the search committee is composed of tenured and tenure-track faculty members of the college, chosen

to represent a balance among the academic areas of the college. The work of the search committee is advisory to the Provost and Chancellor.

Deans also undergo annual and five-year cumulative reviews ([Sec. 1.4.1](#)). The provost asks OIRA to send out performance surveys to the faculty in their colleges. The surveys are collected and collated by OIRA and sent to the provost, who uses the feedback in her annual evaluation meeting. The provost writes the evaluation and sends it to Human Resources, where it is included in the dean's personnel file. Copies of the evaluation are made available on request. The Faculty Handbook currently states the review is conducted by the Chancellor. In reality, it is the Provost and we are in the process of correcting that to read *chief academic officer* as opposed to Chancellor, since the Faculty Handbook is applicable to the UT (including the UTSI) and UTIA

Department heads/ school directors ([Sec. 1.4.4](#)) are considered members of the faculty. The head is appointed to a five-year term, serving at the will of the dean, and can be reappointed by the college dean. Search committees are composed in a similar manner to deans and is detailed in [Sec. 1.4.4](#) of the 2013 Faculty Handbook.

Department heads undergo an annual evaluation as provided in [Sec. 1.4.5](#) of the 2013 Faculty Handbook; *Departmental faculty members provide annual objective and systematic evaluation of the head to the dean of the college, following procedures stated in departmental bylaws that are consistent with university policy.* Heads also undergo a five year reappointment review that is discussed in [Sec. 1.4.6](#) of the 2013 Faculty Handbook.

Other Upper-Level Administrative Officer

Office of Equity and Diversity takes the lead in training search committees on equitable searches for tenure-track faculty, upper-level administrative positions , and staff exempt positions as described in [UT Search Procedures, Academic and Staff-Exempt Searches](#). Upper-level administrative positions are considered to be: 1) Chancellor, 2) Vice Chancellor, 3) Provost, 4) Vice Provost, 5) Associate and Assistant Vice Provost, 6) Dean, 7) Associate and Assistant Dean, 8) Department Head and/or Director (when Director is equivalent to Department Head of an academic unit). Search committees are charged with identifying the needed qualifications of any given position. It is not uncommon for external search firms to be engaged in the process of searching and pre-screening applicants.

As discussed above, all employees including upper-level administrative officers, whether academic student life, finance, development, or other division of the institution, regardless of employment classification and time-status, undergo an annual performance review with their supervisor. This evaluation of administrative staff is discussed fully in Comprehensive Standard [3.2.10](#).

Employee Orientation / On-Boarding, and Continued Development

All employees (exempt and non-exempt staff wherever they are located on campus, all faculty regardless of employment status, department heads, deans and other administrators) undergo an on-boarding process, which includes an orientation, conducted by Human Resources professionals.

New faculty (all classifications) are offered a multi-session orientation to the university that includes policies and procedures that impact their employment. This orientation is conducted by the UT campus Vice Provost for Faculty Affairs (VPFA). The VPFA also conducts new department head training sessions that cover budgets, the UT financial

system, HR system, policies and procedures relating to tenure, promotion, and annual evaluation of faculty and staff.

The UT System Human Resources Office also provides on-line and in-person professional development workshops that address the recruitment of staff, the hiring process, and performance review. Opportunities for training is disseminated through email, electronic newsletter and printed materials to all university employees. To encourage employee participation in various training opportunities, [HR0128](#) provides that all employees be encouraged to engage in professional development to help them meet individual and departmental goals; policy allows for a *minimum of 32 hours of training and development activities per year*. Policy does not distinguish between full- and part-time employees.

The VPFA also conducts new dean and department head orientation which covers budgets, and policies related human resources, academic programs, information technology, research, and outreach.

Personnel files are electronic and stored in the SAP R/3 business enterprise software (locally named IRIS - Integrated R/3 Information System). Samples of annual performance reviews included are:

- Assistant Vice Chancellor
- Dean
- Director
- Exempt Staff
- Non-Academic Director
- Non-Exempt Staff
- Post-Doctoral Associate
- Vice Chancellor

Sample faculty evaluations are provided in Comprehensive Standard [3.7.2](#) and the Chancellor evaluation is provided in Comprehensive Standard [3.2.1](#).

Conclusion

The University of Tennessee, Knoxville has published policies regarding appointment, employment, and evaluation of all personnel. Policies are issued by the System Human Resources Office and UT puts into place processes and training to support the appointment, employment and evaluation of its employees. Therefore, the University of Tennessee, Knoxville demonstrates compliance with this standard.

3.2.10 Governance and Administration: Administrative staff evaluations

The institution periodically evaluates the effectiveness of its administrators.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville, (UT) is part of the University of Tennessee System, whose Board of Trustees sets policy for the evaluation of all employees within the UT System. [Art. I, Sec. 2 \(d\)](#) of the Board of Trustees bylaws affirms that the UT System Board controls the election and removal of senior university officers (UT System President, UT System Vice Presidents, and campus Chancellors) named in [Art. IV, Sec. 1](#) of the bylaws. The Chancellor for the University of Tennessee, Knoxville (UT) is an officer of the University of Tennessee System and the selection and evaluation process is discussed in [Comprehensive Standard 3.2.1](#).

As discussed in Comprehensive Standard [3.2.9](#), UT adheres to the various human resources policies regarding annual performance review for all university employees, regardless of job classification and employment status (full-time v. part-time).

The UT Faculty Senate, whose members come from the University of Tennessee Institute of Agriculture (UTIA, headquartered in Knoxville with a statewide mission in AgResearch and UT Extension, whose faculty are engaged in the academic programs of the College of Veterinary Medicine and College of Agricultural Sciences and Natural Resources), University of Tennessee Space Institute (UTSI, an arm of UT) and every college/division of UT, discusses administrator evaluation in Chapter 1 the Faculty Handbook (2013). [Sec. 1.7](#) on Faculty Role in Selection and Evaluation of University Administrators says,

All administrators at the department head level or higher who have responsibilities touching or affecting the academic programs of the University must understand and respect the values of the academic profession and its ethos of commitment to freedom in open and objective inquiry. That is why the University seeks always to ensure appropriate faculty participation in the appointment of its administrators. ... The faculty will be involved in the annual evaluation of department heads, deans and chief academic officers and their staffs through a process approved by the Faculty Senate. A more extensive evaluation, including a survey, is conducted during the fifth year of the five-year appointment. Input is sought from all faculty across the University, or within the college or department, as appropriate.

UT System HR identifies the other vice chancellors, vice provosts, assistant/associate vice chancellors (including assistant/associate athletics directors) and directors as the non-academic equivalent to the provost, vice provosts (and subordinates), deans, and department heads. UT has nine Vice Chancellors (including Provost), 30 vice provosts and assistant/associate vice chancellors/provosts, and 83 directors (including the Director of Online Education). Organizational charts for the different divisions at UT are included in [Comprehensive Standard 3.2.7](#).

There are 11 college deans, 24 assistant/associate deans, and 65 department heads. College of Nursing and College of Social Work do not have departments. University Libraries has a dean with three associate deans.

[Sec. 1.4.1](#) of the Faculty Handbook addresses the evaluation process for deans (including the Dean of Libraries because the University Libraries has faculty appointments, see Comprehensive Standard [3.8.3](#) and department heads indicating that the initial appointment of each is for a five-year renewable term. In the case of a dean,

The Dean serves at the will of the chancellor, normally for a five-year term that may be renewed. The chancellor shall conduct annual reviews of the Dean, including surveys of tenured, tenure-track, and non-tenure-track faculty as well as staff. Written feedback from annual reviews shall be provided to the Dean and to members of the college participating in the surveys. The decision to reappoint a dean to a new term shall be made after a reappointment review, based on annual reviews and written evaluations by the chancellor. In no case should a judgment on retention or non-retention be made without consultation with the faculty, who are involved to a degree at least co-extensive with their role in the selection process.

According to [Sec. 1.4.4](#) of the handbook, department heads are appointed to a five-year term and can be reappointed by the college dean. Departmental faculty members provide annual objective and systematic evaluation of the head to the dean of the college, following procedures stated in departmental bylaws that are consistent with University policy. The dean meets with the head annually to discuss job performance. This discussion is based on the review of the departmental faculty and the evaluation of the dean. The dean provides a summary assessment, including goals established for the coming year, available for inspection by departmental faculty.

Reappointment decisions involve a five-year review based on annual reviews by the departmental faculty and written annual evaluations by the dean ([Sec. 1.4.6](#)). The dean writes the reappointment review, which includes a recommendation for or against reappointment. Departmental personnel meet to discuss reappointment of the head, and are given the dean's review to consider. While all departmental groups, including faculty, staff and students, have a voice in the discussion, only the tenure-track and tenured faculty members conduct a confidential vote about reappointment. This vote guides the reappointment decision of the dean.

If the dean's decision is the opposite of the departmental faculty's, he or she provides written reasons and offers the tenure-track and tenured faculty members the opportunity to discuss the decision. Faculty members have a right to request a meeting with the chief academic officer should they continue to disagree with the dean. Once the decision is made, the dean either reappoints the head or begins the process of selecting a new head when reappointment does not occur.

Vice Chancellors, their reports, and unit heads of non-academic units are covered by Human Resources Policy which require annual performance reviews of all employees as discussed in Comprehensive Standard [3.2.9](#). Annual performance reviews are conducted on a calendar year basis. Performance reviews for the previous year occur between January and March and must be completed and submitted to Human Resources no later than March 31 ([HR0129, Sec. 4](#)) .

Attached are sample evaluations for a [Dean](#), an [Assistant Vice Chancellor](#), and a [Vice Chancellor](#).

Conclusion

The University of Tennessee, Knoxville, has policies and procedures in place to ensure that all personnel including academic and non-academic administrators are evaluated, demonstrating compliance with this standard.

3.2.11 Governance and Administration: Control of intercollegiate athletics

The institution's chief executive officer has ultimate responsibility for, and exercises appropriate administrative and fiscal control over, the institution's intercollegiate athletics program.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) Intercollegiate Athletics is managed by the Vice Chancellor and Director of Athletics. The Vice Chancellor and Director of Athletics is a member of the Chancellor's Cabinet and senior leadership team and is a direct report to the Chancellor. The [position description](#) for the campus Chancellor and the [position announcement](#) used during the recent search for a new Vice Chancellor and Director of Athletics clearly state that the person will report to the Chancellor. This evidence demonstrates that intercollegiate athletics reports to the Chancellor and he has administrative and fiscal control over the institution's intercollegiate athletics program.

Reorganization of the Department of Athletics and Change in Reporting Line

During the tenure of the University of Tennessee System President Jan Simek, a review of UT Intercollegiate Athletics (at the time separate Women's and Men's Athletics Departments with separate Athletics Directors) was conducted. At the time, UT Men's and Women's Athletics Programs reported directly to the UT System President, not the University of Tennessee, Knoxville campus Chancellor. The student athletes are UT students and athletic facilities are located on the UT Knoxville campus and maintained by UT; however, at the time, the Athletics Directors did not report directly to the Chancellor of the Knoxville campus. In a substantive change letter to SACSCOC dated [May 6, 2011](#), the University of Tennessee System reported a shift in reporting of Men's and Women's Athletics Programs:

In 2010, Interim President of the University of Tennessee System Dr. Jan Simek charged a [task force](#) to review the administrative structure to determine the best and most logical alignment between the Men's and Women's Athletic programs at The University of Tennessee. At that time, the two athletic directors reported directly to the President of the UT System, not the Chancellor of the University of Tennessee, Knoxville campus. The task force, composed of both athletic directors, trustees, students, faculty and staff, ultimately recommended UT Athletics should report to the Chancellor of UT Knoxville.

Several factors considered in making this recommendation are outlined in the substantive change letter. The task force report stressed that transfer of the reporting line should not alter the fact that the UT System President is ultimately in charge of all the campuses, their officers, and through the campus chancellors, the intercollegiate athletics programs. President Simek accepted the task force recommendation and proposed it to the UT Board of Trustees, who approved the reporting change in [June 2010](#). The change in [reporting line](#) was made effective July 1, 2010.

Subsequent to the above change, the Chancellor of the University of Tennessee, Knoxville assumed ultimate responsibility for the intercollegiate athletics program (see [organizational chart](#)). He exercises administrative control of intercollegiate athletics and the Vice Chancellor and Director of Athletics reports directly to the Chancellor. The Chancellor is

involved in all major personnel and financial decisions in athletics. This is operationalized by regular meetings between the Chancellor and Vice Chancellor and Director of Athletics. The Chancellor exercises appropriate fiscal control over the Department of Intercollegiate Athletics by conducting regular financial discussions with the Vice Chancellor and Director of Athletics. The Chancellor is informed of significant and material financial transactions prior to their execution. Furthermore, the Chancellor, through delegation to the Vice Chancellor for Business and Finance/CFO, monitors the financial position and performance of the Department of Intercollegiate Athletics by periodically reviewing financial matters (e.g. budget proposals, budget variances, financial forecasting, capital projects, contract negotiations, etc.) with the Senior Associate Athletics Director for Business Operations/CFO.

Consolidation of Two Separate Athletics Departments

The University of Tennessee, Knoxville, was one of few institutions with separate athletics departments for men's and women's intercollegiate sports. The consolidation of the two [previous](#) athletics departments has resulted in a [single organizational structure](#) with a streamlined approach of operation and eliminated redundant functions. The executive and senior staffs within athletics provide the day-to-day management of the organization with the executive staff serving in both the policy and decision making roles. The Executive Staff is comprised of the Vice Chancellor and Director of Athletics, the Executive Senior Associate Athletics Director, the Senior Associate Athletics Director for Business Operations/CFO, the Senior Associate Athletics Director and Senior Women's Administrator, the Senior Associate Athletics Director for Administration and Sport Programs, the Senior Associate Athletics Director for Football Administration, the Senior Associate Athletics Director for Communications, the Senior Associate Athletics Director for Development and External Relations and the Assistant Provost and Senior Associate Athletics Director for Academic Services. The structure of the athletics department was discussed with and approved by the Chancellor.

Academic Standards and Progress of Student Athletes

Prospective student-athletes are reviewed by the Athletics Compliance office to ensure compliance with the National Collegiate Athletic Association policies related to eligibility. Additionally, prospective student-athletes are reviewed in the same holistic review process as all prospective students. This review process is conducted by the Office of Undergraduate Admissions. Any applicant denied admission based on the holistic review may have their application reviewed by the [Special Considerations Admissions Committee](#) chaired by the Provost with the Director of Undergraduate Admissions, the University Registrar, Assistant Provost for Enrollment Services, SEC and NCAA Faculty Athletics Representative, the Associate Provost for Student Success, Associate Athletic Director for Athletics Compliance, Chair of the Faculty Senate Athletics Committee, Assistant Provost and Director of the Thornton Athletics Student Life Center and a faculty representative from the School of Music. This committee reviews appeals of various students in a variety of programs, not just student-athletes.

The Athletics Department has invested significant resources in the Thornton Athletics Student Life Center. Its [mission](#) is

to provide academic, career, and life skills programming and the learning environment in which all student-athletes have the opportunity to achieve their academic and personal goals

The Thornton Center is responsible for providing oversight to all aspects of the student-athlete's academic experience. This includes constant tracking and monitoring of student-athlete academic progress. To ensure adequate progress and the fulfillment of academic

standards, a structured program is in place. All incoming student-athletes are required to participate in a transition program called 'eVOLVe'. In addition to transitional programming that prepares incoming students for the rigors of life as a student-athlete, students are assigned an academic mentor. Academic mentors assist the full-time academic counselors track and monitor weekly academic progress for all students. In addition to academic mentors, students are assigned subject tutors that provide subject specific supplemental support. The full-time academic counselors consistently act as the liaison between the coaching staff and the academic community. Ongoing communication between the academic counselors and faculty/staff allows for great attention to detail and a structured, hands-on approach to academic support. The director of the Thornton Athletics Student Life Center has a split reporting line to both the Vice Chancellor and Director of Athletics and the Provost and Senior Vice Chancellor, and carries the title of Assistant Provost.

Compliance with National Collegiate Athletic Association and Southeastern Conference

The University is an active member of the National Collegiate Athletic Association (NCAA) and Southeastern Conference (SEC), both of which play a role in the monitoring appropriate institutional control. The Chancellor is an active leader in the institution's compliance activities as well as conference and national legislative processes.

The associate athletic director for compliance has a reporting line to the Chancellor. The reporting line and the opportunity to communicate issues directly to the Chancellor is reinforced in nearly every interaction. The associate athletic director for compliance and the Chancellor meet to discuss NCAA/SEC legislative issues, initial eligibility for student-athletes with selected academic triggers (SEC Validation of Academic Credentials Legislation) and the expectations for compliance with the University of Tennessee, Knoxville. Further the Associate athletic director for compliance and the Chancellor have conversations on an as needed basis.

The Provost and the associate athletic director communicate and meet on an as needed basis. Within the past two years, the Provost and the associate athletic director worked together to install a new chief certifying office for athletics in the Registrar's Office. This personnel change significantly diminished the associate athletic director's perceived risk of incorrectly certifying student-athletes for practice, financial aid and competition. Additionally, the Provost and the compliance office meet regularly during Special Considerations Admissions Committee meetings.

Tennessee Athletics Compliance maintains a [website](#) that provides information to student-athletes, agents, recruits, coaches and staff, university faculty and staff, and boosters, alumni and fans. Within each section of the website, individuals may submit information anonymously to compliance staff or contact them through the website. Additionally, they maintain a [log of reported NCAA violations](#) and makes reports to the SEC Commissioner Mike Slive as required by policy; for example see

[Report of a Level IV Violation, 2014-01-09](#)
[Report of a Level III Violation, 2014-02-19](#)
[Report of a Level IV Violation, 2014-03-19](#)
[Report of a Level III Violation, 2014-04-21](#)

The [Intercollegiate Athletics Board](#) for the University was established to advise the Chancellor and Vice Chancellor and Director of Athletics on the direction, management, and supervision of athletics as confirmed by the University's Board of Trustees. The [Board](#) is chaired by the Faculty Athletics Representative with membership including the Senior

Associate Athletics Director and Senior Woman Administrator (Vice Chair), Director of Undergraduate Admissions, Student Government Association President, Associate Athletics Director for Compliance, representative from the Alumni Board of Directors; Vice Chancellor and Director of Athletics, Chair of the Faculty Senate Athletics Committee; Non-Alumni Representative, two representatives from the Board of Trustees, Senior Associate Athletics Director for Business Operations, Vice Chancellor for Communications, Student-Athlete Advisory Committee President, Assistant Provost and Director of the Thornton Athletics Student Life Center, an at-large Faculty Member and a Student Life representative. This group meets twice a semester and is appointed by the Chancellor.

Conclusion

The University of Tennessee, Knoxville has demonstrated that the Chancellor has ultimate responsibility for and exercises appropriate administrative and fiscal control over the institution's intercollegiate athletics program and is in compliance with this standard.

3.2.12 Governance and Administration: Fund-raising activities

The institution demonstrates that its chief executive officer controls the institution's fund-raising activities.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Chancellor serves as the Chief Executive Officer for the University of Tennessee, Knoxville (UT) and is responsible for the leadership of the university in strategic planning and implementation of all programs. The University of Tennessee System (UT System) President grants the Chancellor of UT full authority to govern all aspects of the Knoxville campus. The Chancellor has ultimate control of all fund-raising activities (as described in the [position announcement](#) and in the current [position description](#)) and delegates the coordination of these activities to the Vice Chancellor for Development and Alumni Affairs (Vice Chancellor). The Vice Chancellor reports directly to the Chancellor (see [organizational chart](#)) and indirectly to the System Vice President for Development and Alumni Affairs. The Vice Chancellor has an obligation to lead fund-raising activities under the direction of the Chancellor.

The University of Tennessee Alumni Association (UTAA), organized at the UT System-level with oversight for all campuses within the UT System, sponsors programs that are designed to engage alumni from all campuses of the UT System. Programs such as alumni chapters, legislative advocacy, Women's Council, annual giving and the sponsorship and marketing programs are under the direction of the UT System office. The UTAA and campus office coordinate planning. The UT campus Associate Vice Chancellor for Alumni Affairs, who reports directly to the UT campus Vice Chancellor for Development and Alumni Affairs, coordinates with the UT System office regularly and meets monthly to review programs and discuss issues that need to be addressed (see [organizational chart](#)). The campus alumni and development offices work closely with the UT System alumni office frequently, focused on the scope of annual giving (primarily yearly, reoccurring giving). The UT System Development Office provides central functions for development operations on all campuses, primarily in the area of planned giving (wills, bequests, trusts, etc.), policy and procedures (the UT Foundation is a separate 501(c)(3) and is discussed in Comprehensive Standard [3.2.13](#) whose [mission statement](#) clearly states that the *foundation works closely with the University of Tennessee [System] President and the Chancellor for each campus to identify strategic private support priorities, create fundraising strategies and tactics, and implement development programs.*).

The UT campus Office of Development and Alumni Affairs, led by the UT campus Vice Chancellor, reports directly to the UT campus Chancellor, and is responsible for the coordination of all fund-raising activities on the UT campus. This oversight provides consistency in following established procedures and appropriate documentation to promote optimal fund-raising results consistent with the UT mission. UT alumni and development officers adhere to the UT Foundation policies relating accessing, securing, and maintaining confidentiality of the ANDI Alumni and Donor records.

Fund-raising priorities set by the College Deans based on the University's strategic plan and are approved by the Vice Chancellor. Most of the fund-raising staff are embedded in the colleges and other non-collegiate units and set goals and objectives based on the unit

priorities. Front-line fundraisers report to mid-level management centrally and within units and to the Vice Chancellor. All fund-raising outcomes are reported monthly to advancement staff and administration and quarterly reports are made to the university community as a whole. See the following documents, distributed to the deans, directors and department heads via email, as examples of fundraising relative to institutional priorities: Quarterly Fundraising Update ([email](#)), Fiscal Year to Date Comparison ([email attachment](#)), Journey to Top 25 Priority Areas ([email attachment](#)). Also attached is the most recent campaign brochure describing the [Journey to the Top 25 campaign](#) which includes priorities as set by the UT campus Chancellor.

The UT campus Chancellor participates frequently in [alumni and development activities](#) throughout the year. Annual activities such as Homecoming and Reunion events involve the UT campus Chancellor. Fund-raising events such as receptions, dinners and other special events are held in Knoxville and throughout the country. They are frequently attended by the UT campus Chancellor to share the university's vision and direction with alumni and donors. As part of the four-year cumulative review conducted by the UT System President and shared with the UT System Board of Trustees, the Chancellor [documented](#) his activities related to alumni and development.

Conclusion

The Chancellor of the University of Tennessee, Knoxville provides direct control for the fund-raising activities conducted for the campus. The day-to-day operations are led by the campus Vice Chancellor for Development and Alumni Affairs, who is a direct report to the Chancellor.

3.2.13 Governance and Administration: Institution-related entities

For any entity organized separately from the institution and formed primarily for the purpose of supporting the institution or its programs: (1) the legal authority and operating control of the institution is clearly defined with respect to that entity; (2) the relationship of that entity to the institution and the extent of any liability arising out of that relationship is clearly described in a formal, written manner; and (3) the institution demonstrates that (a) the chief executive officer controls any fund-raising activities of that entity or (b) the fund-raising activities of that entity are defined in a formal, written manner which assures that those activities further the mission of the institution.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the flagship campus of the University of Tennessee System (UT System). The UT System is composed of UT, University of Tennessee at Chattanooga (UTC), the University of Tennessee at Martin (UTM), the Institutes of Agriculture (UTIA) and Public Service (IPS), and the University of Tennessee Health Science Center in Memphis. The University of Tennessee Foundation, the University of Tennessee Research Foundation, and the University of Tennessee Alumni Association are organized at the UT System level and serve all of the aforementioned units of the UT System.

The UT Foundation

The University of Tennessee Foundation (UTF) is organized at the University of Tennessee System level and supports the fundraising activities of the various UT System units, including the University of Tennessee, Knoxville. The Chancellor and the Vice Chancellor for Development and Alumni for UT set the fundraising agenda and goals. The UTF supports the campus and manages the portfolio.

The University of Tennessee System [Affiliation and Services Agreement](#) with the UT Foundation (UTF) outlines the roles and responsibilities of the foundation and of the institution and the separate campuses and institutes, providing a formal written document that highlights the processes that assure that the activities further the mission of the institution (NOTE: In the Affiliation and Services Agreement, reference to "The University" is the University of Tennessee meaning the UT System, and not specifically the University of Tennessee, Knoxville campus.). The UT development office is the fundraising arm of the Knoxville Campus and is part of the UT Foundation. The UT System has designated the UT Foundation as the preferred channel for all private contributions that benefit the university's students and faculty. Foundation staff members work with alumni and other prospective donors to secure funds for scholarships, professorships, research, outreach programs, and other campus initiatives.

According to the Affiliation and Services Agreement, which was signed and established on July 1, 2011, *the Foundation was organized and incorporated in the state of Tennessee in 2000 as a nonprofit public benefit corporation formed exclusively for charitable, scientific, literary, and educational purposes within the meaning of section 501(c)(3) of the Internal*

Revenue Code of 1986, as amended, and specifically for the exclusive purpose of benefiting the educational, research and public service missions of the university.

The Gift Management Policy (Section 6.3) of the Foundation Policies and Procedures, has been put in place to maximize the value and impact of every gift to the Foundation for the benefit of UT by ensuring each gift complies with donor intent, applicable laws, regulations and standards of gift acceptance, management, and stewardship.

Prior to the year 2000 fundraising activities were administered by each campus based on priorities set by the campus Chancellors and coordinated with the Vice President of The University of Tennessee System. All agreements with donors prior to being in the Foundation environment are honored through the Foundation on behalf of the campus. There is strong coordination between the Foundation and the UT System Treasurer. All funds whether in a university or a foundation account, are stewarded in the same manner by the development function in the Foundation. Except when circumstances require or warrant separate investment, University endowment funds and Foundation endowment funds are co-mingled and invested in the Consolidated Investment Pool. Endowments created prior to 2000 follow this same policy. Funds are transferred and spent in a seamless manner.

University beneficiaries (colleges/units/departments) may spend current gift funds through a UT account set up to parallel the Foundation account where the funds are actually deposited. Pursuant to Article II, Section 2(c) of the Affiliation and Services Agreement between UT and the Foundation, the Foundation will review expenditures from the UT parallel account for compliance with the gift agreement or other restrictions on use of the funds and, on June 30 of each year, transfer funds from the Foundation to the university to cover complying expenditures from the University parallel account.

Liability Associated with the Relationship between the UTF and the UT System

In the Affiliation and Services Agreement between the UT Foundation and The University of Tennessee (UT System), Article 1, Sections 7-11 addresses the policy governing any liability between the two entities.

7. The Foundation and the University [of Tennessee System] acknowledge that each is an independent entity and agree that neither will be liable, nor held out by the other as liable, for any of the other's contracts, torts, or other acts or omissions, or those of the other's trustees, directors, officers, members, staff or activity participants.

8. The parties are independent contractors. Nothing in this Agreement is intended, or shall be construed, to create any association, joint venture, agency relationship or partnership between the parties or to impose any such obligation or liability upon either party. Nothing in this Agreement shall be construed to give either party any right, power or authority to enter into any agreement, or act as an agent or representative of, or otherwise bind, the other party.

9. Debts, liabilities, and other obligations of the Foundation shall not constitute debts, liabilities or obligations of the State of Tennessee or the University [of Tennessee System] and shall be payable only from unrestricted assets of the Foundation. Neither the University nor the State shall have any legal or other obligation to finance the deficits of the Foundation. Effective on

the date of this Agreement, neither the State nor the University shall have any legal, financial or other responsibility or liability for the operation of the Foundation except as expressly agreed to by the University [of Tennessee System] in this Agreement or in other written agreements between the respective parties.

10. Debts, liabilities, and other obligations of the University [of Tennessee System] shall not constitute debts, liabilities or obligations of the Foundation and shall be payable only from assets of the University [of Tennessee System]. The Foundation shall have no legal or other obligation to finance the deficits of the University [of Tennessee System].

11. The Foundation shall indemnify, hold harmless, and, at the University [of Tennessee System]’s request, defend the University [of Tennessee System], the State of Tennessee, and their agents, trustees, officers, employees, and successors against any claims, damages, losses, or costs to third parties in any way arising out of, attributable to, or in connection with any act or omission of the Foundation and its agents, directors, officers, employees, leased University employees, and successors. The Foundation shall maintain the insurance coverage specified in Appendix D at all times, and the University [of Tennessee System] shall be named as an additional insured. In addition, the Foundation shall maintain worker’s compensation insurance coverage as required by the Employee Services Agreement. The Foundation shall provide the University [of Tennessee System]’s Chief Financial Officer with a Certificate of Insurance evidencing compliance with the insurance requirements.

The UTF works closely with the University of Tennessee System President, University of Tennessee System Vice President for Development and the Chancellors of each campus to identify strategic private support priorities, create fundraising strategies and tactics, and implement development programs. Each campus Chancellor, including the Chancellor for the University of Tennessee, Knoxville, directs their specific fundraising efforts based on the needs of that campus. The Chancellor, along with the Vice Chancellor for Development and Alumni Affairs, develops UT’s fundraising priorities based on coordination and interaction with the various colleges and units on campus. The current priorities for the campus target the [Journey to the Top 25](#) initiative and align with the priorities for of the [strategic plan](#). These priorities are shared with the University of Tennessee System Vice President for Development. University of Tennessee, Knoxville drives the planning and execution of campaigns and other fundraising initiatives with coordination from the UT System Vice President. The Chancellor, with input from UT Knoxville leadership determines the proper direction for UT’s fundraising efforts and participates in numerous events as [documented](#) in the four-year comprehensive review report submitted to the UT System President.

Athletics

There is not a separate foundation responsible for athletic fundraising. That function is part of the Athletics Department development officers who work with the Knoxville campus Vice Chancellor for Development and Alumni Affairs in a manner similar to all other campus development activities.

UT Alumni Association (UTAA)

The UT Alumni Association is organized at the UT System level and is a part of the UTF. According to the UTAA By-Laws, the association exists to *engage alumni from all University of Tennessee [System] campuses in lifelong relationships with their University and with*

each other, to provide valuable programming and services, and to support the University's core missions of teaching, research, and public service.

Staff members from the UTAA work closely with alumni and annual giving staff of all campuses of The University of Tennessee System and coordinate activities for alumni engagement and annual giving. Functions such as the telefund and direct mail solicitation are administered by the UTAA on behalf of and with close coordination from the campuses, specifically the Knoxville Campus (UT). Alumni programs with the UTAA are also coordinated with all the campuses via the appropriate staff members.

UT Research Foundation (UTRF)

The [University of Tennessee Research Foundation](#) is a non-profit 501(c)(3) organization that promotes the commercialization of intellectual property, encourages an entrepreneurial culture, contributes to state and regional economic development, and promotes research and education; it too is organized at the UT System level and supports each of the campuses and institutes. The UTRF serves as a bridge between researchers and industry, entrepreneurs and investors; and facilitates the transfer of inventions to the private sector, providing public benefit of new products, which are the result of academic-research funding.

The mission of UTRF is to encourage innovation, enhance research, and facilitate economic development by commercializing intellectual property created from within the University of Tennessee System. While the UT Research Foundation is a separate entity from UT System, it provides assistance and resources to the research activities of faculty, staff and students of the UT System on each of the campuses and institutes. Select UT inventions and products are aided in the progression from the laboratory to the public. Proceeds from licensing such discoveries are used to enhance additional research at UT.

Income from licensing UTRF inventions is distributed to the following groups according to the University of Tennessee policy:

- First \$5,000 of gross income is paid to the inventors
- First net \$1-million: 40% of net income paid to the inventors, 30% to UTRF, 15% to inventor's department and 15% to inventor's campus
- Net Greater than \$1-million: 35% paid to inventors, 25% to UTRF, 20% to inventors department and 20% to inventor's campus

There are no other entities organized separately from the institution and formed primarily for the purpose of supporting the institution or its programs.

Conclusion

The University of Tennessee, Knoxville, as part of the University of Tennessee System, has an affiliation and services agreement with the UT Foundation and the UT Research Foundations, two separate and distinct entities from the Knoxville campus. The UT Alumni Association is organized at the UT System level and serves the needs of the Knoxville campus. The Chancellor for the Knoxville campus provide the leadership, vision and sets the agenda for development activities and alumni affairs. Therefore, UT is compliant with this standard.

3.2.14 Governance and Administration: Intellectual property rights

The institution's policies are clear concerning ownership of materials, compensation, copyright issues, and the use of revenue derived from the creation and production of all intellectual property. These policies apply to students, faculty, and staff.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution and part of the University of Tennessee System (UT System). Policies relating to ownership of materials, compensation, copyright issues, and the use of revenue derived from the creation and production of all intellectual property are UT System policies. The UT System's policy on patents, copyrights, and other intellectual property, and the University Libraries, Office of the General Counsel, and University of Tennessee Research Foundation's (UTRF) websites provide evidence of compliance, as detailed below.

The UT System Board policy on patents, copyrights, and other intellectual property (Statement of Policy on Patents, Copyrights, and Other Intellectual Property, herein referred to as PCIP ([UT System Statement of Policy on PCIP](#))) identifies rights of the University, faculty, staff, students, and external research sponsors.

- [Sec. II.A](#) notes that the University has domestic and foreign rights to certain inventions developed by personnel in performing duties of their employment, pursuant to a revenue-sharing plan.
- [Sec. II.E.2](#) (top of page) covers the rights to textbooks and monographs; other teaching materials; scholarly and literary publications; and arts and crafts remain with the creator unless such works have been commissioned by the University or have been developed under a sponsored agreement.
- [Sec. II.E.4](#) covers student's rights with regards to copyright of theses and dissertations
- [Sec. II.F](#) describes under which conditions the University assigns rights to its faculty and staff to ownership and disposition of mediated course materials regardless of the venue in which the mediated course materials are used (traditional, on-campus courses or online programs)

Furthermore, [Sec. I.B.4](#) defines mediated course materials as *Technology-based academic materials developed for live or delayed communication via video, audio, CD-ROM, computer, Internet, or other electronic means now known or hereafter developed, including the software developed to support electronic instructional content for both credit and non-credit courses*. This definition was added to the UT System Statement on PCIP Policy at the time the federal statute called Technology, Education and Copyright Harmonization Act of 2002 was enacted. The category of *Mediated Creations* covers online and distance education per communication with the University of Tennessee Office of the General Counsel ([email](#)).

The UT Research Foundation (UTRF), as discussed under Comprehensive Standard [3.2.13](#), is a System-level non-profit 501(c)(3) organization that promotes the commercialization of intellectual property, encourages an entrepreneurial culture, contributes to state and

regional economic development, promotes research and education to benefit the people of Tennessee and beyond, and helps bring university research and intellectual property into the commercial arena. The UTRF board, officers, and staff adhere to the University of Tennessee System conflict of interest policy ([FI-0125](#)). To allow for objective decisions about projects, the policy requires full disclosure of matters concerning potential conflicts. The UTRF Policy 2008-1, Revenue Sharing, explains the distribution of revenue from a current disclosure ([Section 2.1](#), after July 1, 2008 when the policy was last revised) and former disclosures ([Section 2.2](#), those prior to revision date), and also reports [distribution of royalties](#) in their annual report. Policy 2008-1 is also referenced in the [Inventor Handbook, 2013 edition](#). Up to fifty percent of license-derived revenues goes to UT inventors based on options selected by the inventor.

The UTRF Inventor Handbook puts policy into practice. The Handbook applies to all faculty, staff and student employees (undergraduate, graduate, and professional students in hourly or stipend based positions). The Handbook is specific in stating that the [two exceptions](#) to Intellectual Property Policy are 1) faculty and students that author traditional academic works, and 2) student inventions that arise from classroom activities. It also points out that intellectual property ownership and copyright ownership differ.

The Office of the General Counsel's [copyright information page](#) assists the university community in understanding this complex area of law. Among the UT policies the General Counsel addresses are:

- [Statement of Policy on Patents, Copyrights, and Other Intellectual Property](#), provides for faculty and staff ownership of some copyrighted work by UT employees. Other work is owned by the university. Sponsored research may alter the provisions of the policy.
- [FI0805 Information Technology Resources](#), provides a statement on software copyright compliance and license agreements.
- [FI0155 Duplication and Distribution of Instructional Materials Prepared by Faculty](#), discusses the duplication and distribution of printed instructional materials prepared by faculty for use in classes.
- Guide to the Preparation of Theses and Dissertations provides information on using copyrighted materials in preparing theses and dissertations ([page 11](#) of the pdf file) and includes instructions for copyrighting the final work ([page 15](#) of the pdf file).

Another source of copyright information is University Libraries website contains broad range of copyright and ownership information (all pdf files of web pages):

- [course materials](#)
- [fair use](#)
- [copyright law](#)
- [multimedia](#)
- [copyright permissions](#)
- [public domain](#)
- [tools and links to other resources](#)
- [registering copyright](#)

The library also suggests electronic resources such as Columbia University Copyright Advisory Office, University of Minnesota *Thinking through Fair Use*, NC State University's *TEACH Act Toolkit*, and U.S. Copyright Office for registering a work for copyright as well as

general information on copyright — what it is, who can claim protection, what is not protected, and how to comply with various formalities of registering copyrighted materials.

Conclusion

The University of Tennessee, Knoxville, as part of the University of Tennessee System, has policies that clearly delineate ownership of materials, compensation, copyright issues, and the use of revenue derived from the creation and production of all intellectual property. These policies clearly relate to faculty, staff and students. Therefore, the University of Tennessee, Knoxville, is compliant with this standard.

3.3.1 Institutional Effectiveness

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.1 educational programs, to include student learning outcomes

3.3.1.2 administrative support services

3.3.1.3 academic and student support services

3.3.1.4 research within its mission, if appropriate

3.3.1.5 community/public service within its mission, if appropriate

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) recognizes that institutional effectiveness is key to meeting its mission

to move forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world. As the preeminent research-based, land-grant University in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions.

As described in Core Requirement 2.5, institutional effectiveness grows out of attending to the strategic plan and also recognizes the differences among the grand divisions within the university: Academic Affairs, Student Life, Finance and Administration, Research and Engagement, Development and Alumni Affairs, Human Resources, Athletics, Diversity, and Communications. Therefore, the processes the different divisions engage in to fulfill the mission differ with the size, scope, autonomy, and entrepreneurial nature of the units. The following narratives for Comprehensive Standard 3.3.1.1 Educational Programs, 3.3.1.2 Administrative Support Services, 3.3.1.3 Academic and Student Support Services, 3.3.1.4 Research, and 3.3.1.5 Community and Public Service, describe and document the processes as it is operationalized within the units across the university allowing units to identify their outcomes, assess the extent to which they achieve these outcomes, and provides evidence of improvement based on analysis of the results within the units.

UT views this SACSCOC reaffirmation review as an opportunity to improve its use of assessment for achieving its strategic goal of the *Journey to the Top 25*.

3.3.1.1 Institutional Effectiveness: Educational Programs

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.1 educational programs, to include student learning outcomes.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Overview

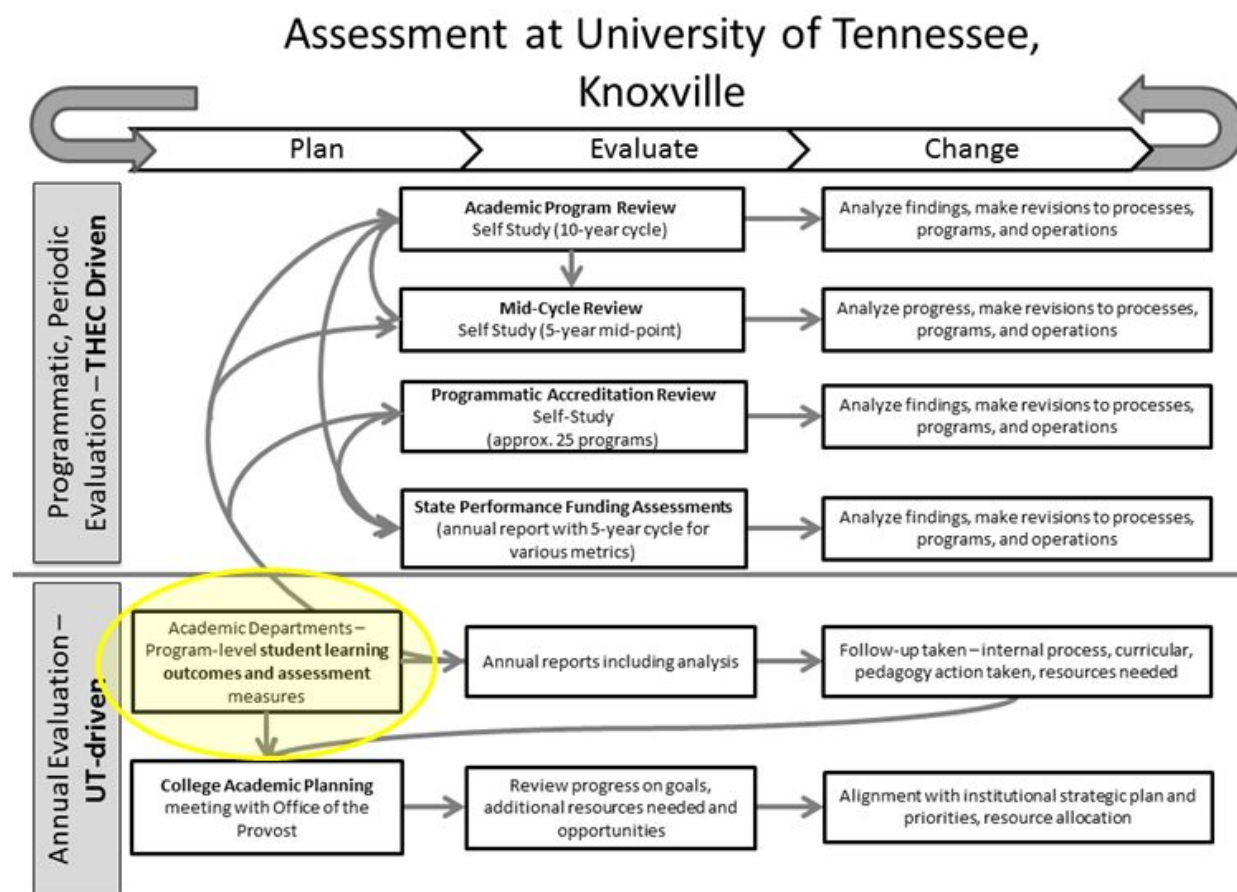
Student education is the core mission of the University of Tennessee. As the preeminent research-based, land-grant University in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions. The ultimate goal is to build the citizen of tomorrow capable of providing the leadership to move our state and nation forward. The educational culture is grounded in the values we cherish as representative of the Volunteer Spirit, including intellectual curiosity, academic freedom and integrity, diversity, community engagement, ethical and professional behavior, transparent and data-informed decision making, and wise management of resources and infrastructure.

Within that culture, the educational programs have historically been reviewed in several ways. In accord with the Tennessee Higher Education Commission (THEC), academic program reviews occur at five year intervals, with every other review considered a mid-term review for a 10-year cycle. Academic program reviews collect information from students, staff, and faculty and are assessed by both internal and external reviewers from other colleges and/or institutions. Annual senior exit surveys provide additional qualitative assessment, as do student evaluation of instruction and individual courses at the end of each semester. The quality of faculty instruction is evaluated and used during annual faculty reviews according to procedures outlined in the *Faculty Handbook* ([Sec. 2.2](#)) and departmental and/or college bylaws. Faculty may be directed towards improving their instructional quality as needed.

The university requires every program to identify and use student learning outcomes (SLOs) for both traditional and electronic education regardless of physical location. Annual reporting of the entire assessment cycle is now required, partially as a result of findings from our mid-cycle review which noted several areas of concern in terms of assessing student learning outcomes on an annual basis in addition to periodic reviews. Faculty members identify the SLOs for their program(s) and use regular assessments of the SLOs to inform curricular changes. Faculty may revise the SLOs as appropriate to ensure that goals and assessment data are meaningful. Both the individual colleges (e.g., associate deans) and the university (through an assessment committee) review the SLOs and assessments and provide feedback to the academic programs to ensure meaningful goals/objectives and data are being properly used. Such assessments are increasingly being used to inform curricular changes, which start at the department level, then proceed to the college and finally university levels.

Our Culture of Assessment

Assessment of student learning at UTK assumes three forms: 1. Tennessee Higher Education Commission (THEC) assessment (which impacts performance funding received by the university); 2. Professional program accreditations; and 3. Programmatic student learning outcome assessment. The diagram below illustrates how these three assessment mechanisms shape UTK's culture of assessment.



THEC and programmatic accreditation-driven assessment link student learning with performance funding. The upper half of the diagram shows this link. UTK's learning outcome assessment process, driven by academic programs, aims at ensuring all programs engage in student learning outcome assessment and use results from these assessments to improve learning, as shown in the lower half of the diagram. This institution-wide assessment process aligns with strategic planning, strategic goals, and resource allocations and fits together with THEC processes.

Traditionally anchored in the THEC (Tennessee Higher Education Commission) program assessment process, UTK's culture of assessment has evolved in the past four years to strengthen its emphasis on program improvement of student learning. Annual assessment originates in programmatic collaboration among faculty, who meet annually to review student learning outcomes and set goals and take actions for coming years. This annual process is sustained by four key features:

1. An oversight structure that is made up of an Assessment Steering Committee and an Advisory Council of faculty (described below) supports continuous improvement of learning and provides a communication mechanism for all stakeholders.
2. A collaborative and communicative process that involves faculty, administration, students, and staff—particularly with collaboration between UTK’s 11 colleges and three main offices: The Office of Institutional Research and Assessment; the Tennessee Teaching and Learning Center; and the Office of the Provost.
3. Assessment resources and development opportunities with regular assessment training for faculty and faculty leaders that are offered regularly.
4. An electronic assessment management system that allows for effective collection of reports and review of reports by academic program chairs, associate deans, and others.

Academic Assessment Council and Assessment Steering Committee

The Assessment Steering Committee (ASC) started as a task force in 2011, in response to findings from the monitoring report, and was charged with examining assessment practices at the university. It was established as a committee in fall 2012; it originally identified, designed, and delivered the processes and training needed to move the institution forward with organized and more rigorous assessment of student learning outcomes. The steering committee is composed of heads and staff of the Office of Accreditation in the Office of the Provost; the Tennessee Teaching and Learning Center; and the Office of Institutional Research and Assessment. This committee provides interoffice collaboration, institutional review for effective processes, and resources for faculty and administration. It identifies and shares trends in assessment at the university, creates annual training opportunities for faculty, and consults with faculty and faculty administrators on all stages of the assessment process.

The [Academic Assessment Council](#) (established in the spring of 2014) provides oversight for the student learning outcome assessment process; it was charged by the Provost with providing faculty with leadership and oversight of assessment of student learning and promoting a culture of assessment on campus. The Council provides feedback on how assessment is working in the departments and general education program, helps identify faculty development needs, provides direction in advancing the assessment culture, and ensures campus-wide communication relating to academic assessment. The Council has broad representation from across all colleges and includes student members.

Continuous Assessment of Student Learning Outcomes

Process of annual assessment reporting

Faculty members in each program work together to examine student learning on an annual basis. All departments submit their assessment report for institutional review each academic year. Reports follow a template whereby programs must identify assessment methods, results, and use of results for each of their student learning outcomes. (See the [Field Explanation](#) document, distributed to faculty and administration).

Following submission, reports go through a two-stage review. The college-level review is designed to ensure that units are using direct measures, making sound analyses of the data, taking appropriate actions to enhance student learning, and following up on recommendations from the previous year’s findings. The institutional review is intended to ensure that the reports meet accepted assessment practices, to provide feedback for improvement, and to conduct a longitudinal analysis of trends across the institution that can inform assessment.

Outcomes, Methods and Continuous Improvement

Programs are required to use at least one direct method to assess each of their learning outcomes. For instance, the direct methods most frequently used during the 2013-14 assessment cycles included rubric-based evaluations of embedded coursework, dissertations and theses defense, graduate comprehensive exams, oral presentations, and Major Field tests. Over forty percent of the programs reported using both direct and indirect methods (see the "Examples" section in this report below). The actions that programs reported taking in response to their 2013-14 assessment results, while diverse, were focused on curricular intervention. For instance, these actions included revising sequencing in the curriculum, adding new courses, revising courses, adding instructional strategies or content to courses, and enhancing academic mentoring and support of students.

Below are examples drawn primarily from the 2013-2014 annual assessment reports. There are 256 academic majors at UT: 76 at the Bachelor's level, 137 at the Master's and doctoral levels. The remaining 43 are Graduate Certificates. For 2013-2014, 11 programs that did not submit reports are either closed, under review or new. Of the remaining 245, all but one of these academic programs submitted an annual assessment report. The sampling below shows successful measurement and analysis of data and use of results. The sampling also includes examples of reports from 2012-2013 and data from 2010 to 2012 to show multiple years of reporting, with evidence of improvements to student learning.

The examples below should be examined in light of remarkable progress on campus in shifting from a culture of assessment focused mostly on mandatory THEC processes (as outlined above) and requirements from professional accreditors. The Fifth-Year Interim Report and the First Monitoring Report of 2011 highlighted weaknesses in UTK's system of assessing student learner outcomes. These problems have been addressed, as shown by the acceptance of UTK's second monitoring report. In 2011, analysis revealed the need for assessment to shift more from the departmental to the institutional level in order to unify processes; to add faculty development to increase understanding of direct and indirect measures of assessment and use of results; and to help the campus expand its understanding that assessment is a tool for enhancing learning.

The changes at this institution since 2011, such as establishment of the steering committee, the creation of an Academic Assessment Council, the hiring of an assessment specialist and an assessment analyst, adoption of a central software tracking solution, and implementation of training, [resources](#), consultations, and standardized processes, was in answer to the needs pointed out in the first monitoring report. As a result, while variation in the quality of the reports still exists, faculty are more engaged and have gained a deeper understanding of using direct measure of student learning outcomes to make improvements in the curriculum.

Significant change at UTK is evidenced in the wholesale, successful completion of annual assessment reports, with most using direct measures of assessment and over 40% using a combination of direct and indirect measures. The program examples below are linked to the 2013-2014 assessment reports. In some examples, the narrative also has links to 2012-2013 assessment reports to show continuity in the use of results and assessment of the changes. This sampling of programmatic reports, below, is designed to show:

1. examples from the eleven colleges and the levels of study (undergraduate, graduate, and certificate) within the colleges

2. examples of online programs (these exist at the graduate level) and programs that include online or blended courses (such as the bachelors in Mathematics and in Nutrition)
3. that there is some remaining variance in results and in use of results
4. that programmatic annual assessments illustrate diversity of outcomes and methods (these reports are marked with an asterisk*)
5. that there are diverse approaches in the faculty's use of results (marked with a double asterisk**)
6. and that programs are bridging between the traditional use of assessment to make change through the academic program review to the effective use of the annual assessment process, as shown with additional sampling from 2012-2013 and 2011-2012.

Examples of Annual Assessments

*Examples of outcomes and methods

**Examples of use of results

College of Agricultural Sciences and Natural Resources

Undergraduate programs

Animal Science, BS*

Seniors are expected to (1) demonstrate proper use of terminology and processes relevant to Animal Science, (2) apply information and skills in problem-solving and professional situations, and (3) incorporate cultural/international/regional differences in their vocation. Both direct and indirect methods were used to assess student performance: a major field exam and senior exit surveys. Assessment results for the first outcome showed a decrease on students' scores compared with the scores in previous years. This decrease may in part be due to the fact that the test was a new test. Nevertheless, the faculty discussed these results at its 2014 summer Teaching Summit and identified curriculum content gaps with a goal of changing courses or course content to improve scores.

For the remaining outcomes, seniors indicated 41% completed an internship, 38% an undergraduate research experience, and 26% an international experience. Seniors indicated with a 3.2 out of 4 score with confidence that they'd attained the goal of being able to apply skills and knowledge in real-life problem-solving situations. Students scored their international experience a 9.2 out of 10 on preparing them for understanding and using cultural/international/regional differences in their post-graduate life. Faculty agreed to develop additional questions for students and employers for better assessment.

Agricultural Leadership, Education & Communications, BS **

Upper level BS students, primarily seniors, are expected to show proficiency in teaching strategies, oral and written communications, and demonstrate meaningful leadership skills. Rubrics are used to assess all three areas. Students scored 96.2 out of 100 points, "above average", on teaching strategies which was a 3.7% increase over the previous year. Faculty will provide additional focus on evaluative feedback. Students scored 14.6 out of 16 points for oral communication and 95.4 out of 100 points for written, similar to the previous year. Students exceeded expectations so no additional action is planned. Students scored 2.5 out of 3 points for leadership, "above average". Faculty will implement tiered assessments in the coming academic year.

Food & Agricultural Business, BS

Four major learning outcomes are assessed in this program, using both direct and indirect methods (Major field test, CCTST, student surveys). The student survey, which was implemented in 2012-2013 (spring), asked students to assess their degree of attainment of each major learning outcomes. Its results, which contradicted results from the major field test on most outcomes, led the faculty to investigate further why students were not attaining the program's goals, and to take three general actions: an in-depth analysis of the test for its relevancy to the outcomes; a review of how each outcome was developed in the curriculum; and an overall review of the curriculum. The faculty also took these outcome-specific actions: revision of test questions for congruency with the outcomes and the addition of a writing assignment. These actions led to improvements in the results for three out of four outcomes in this 2013-2014 report. In 2014-15, the faculty will continue to work on further improving student learning through a focus on language consistency and clarity in test questions and in content coverage across courses.

Graduate programs

Natural Resources, PhD *

Students are expected to conceptualize research problems, apply appropriate methods and procedures to achieve research objectives, speak competently to professional audiences, and show mastery of information relevant to their field of study. Rubrics are used for all four assessments. Students averaged exemplary scores on their ability to conceptualize research (8.4 out of 10), application of methods & procedures (8.25), and all aspects of oral communication (> 8.0). For these, no further action is planned and monitoring will continue. Students scored an average of 7.25 on mastery of subject areas. Faculty will identify methods to improve student performance, such as better mentoring and requiring a more rigorous literature review and proposal defense.

Agricultural & Resource Economics, MS **

Students in this program are expected to 1) utilize economic theory to conceptualize research problems, 2) use appropriate methods and procedures for research, and 3) speak professionally to audiences. Direct assessments using rubrics are conducted based on the theses and defense presentations. Students scored 6.9 out of 10 on use of economic theory, 1.1 below exemplary (8.0). Research method and procedure scores improved this year to 7.4. Oral presentation scores ranged from 7.0 to 7.9 for various aspects of presentation. Actions include reminding faculty each semester of expectations, informing students of the rubrics to be used, and requiring discussion and plans for each learning outcome objective at a research proposal committee meeting early in the students' programs.

College of Architecture and Design

Architecture, BArch **

Graduates of the Bachelor of Architecture (B.Arch) program will be able to demonstrate that they have the basic knowledge, skills, and abilities necessary to enter the profession and to become licensed architects. This outcome was assessed through a licensure exam (ARE: Architectural Registration Exam) with the expectation that students would have a pass rate at or above the national average. Students had a higher pass rate overall (77.9% versus 68.4%) and on each subset on the exam than the national average. Other outcomes are assessed using the ARE, student focus groups and exit surveys, and faculty review of student work on "design day." Since 2009, the program has made changes to address content and structure to the curriculum based on the results of the licensure exam. For example, Diploma Studio (ARCH490) was developed and added to the curriculum. The college finished a professional re-accreditation in 2014.

Architecture, MArch

Graduates of the Masters of Architecture program will be able to demonstrate that they have the basic knowledge, skills and abilities necessary to enter the profession as licensed architects. Both the BA and MA degrees are professional degrees that must provide students in both degree programs with a consistent and thorough pre-professional education. As with the BA students, Masters students take the ARE: Architectural Registration Exam and their scores were compiled in the 77.9% pass rate. Masters students also need to demonstrate the ability to build abstract relationships and understand the impact of architectural design based on research and analysis of multiple theoretical, social, political, economic, cultural and environmental contexts.

College of Arts and Sciences

Undergraduates

Chemistry, BS **

BS graduates in chemistry are expected to demonstrate a broad knowledge of chemistry, including basic chemistry concepts, general chemical principles, and important factual information in chemistry, among other outcomes. To assess students' performance in meeting this learning outcome, the department administers diagnostic examinations at the beginning of key 200-level majors' courses; the examinations measure students' mastery of basic chemistry concepts presented in 100-level introductory courses. Students were found to lack essential skills for balancing chemical reactions, and redox reactions in particular. To improve student performance in this area, Faculty in Chem 120 and 130 agreed to add additional in-class practice and out-of-class homework assignments focusing on balancing reactions.

Geography, BA*

One of the outcomes graduates are expected to demonstrate is ability to design and illustrate spatial data through maps that can be understood by a general audience. In its 2012-13 report, the faculty noted that while the benchmark had been met for this outcome, it would work to increase the range of lower scores. They elected to do so by sharing the outcome's assessment rubric with its GEO 310 instructors as a way to bring their attention to specific dimensions of this outcome. This action led to a small increase in students' scores during the 2013-14 assessment.

History, BA **

One learning outcome that BA graduates in history are expected to demonstrate is the ability to analyze and interpret relevant primary and secondary sources. To assess students' performance in this area, History faculty collected a sample of final papers from the required capstone course History 499 and evaluated them using a 5-point rubric. Results from the assessment suggested that students were often unaware of how to engage sources critically. To improve student performance in this area, the faculty decided to revise the curriculum and to offer faculty development. A new, required 200-level course was designed to provide students with opportunities early in their college careers to develop skills related to critical thinking, active reading, and engagement with primary and secondary source material. Additionally, beginning in the Summer 2015, faculty development will be offered to faculty teaching this new course. Finally, a research component will be added to all 400-level courses to increase students' opportunity to develop their research skills.

Mathematics, BS **

BS graduates in Mathematics are expected (1) to demonstrate knowledge and skill in calculus and differential equations; (2) to be able to apply mathematics to solve real world problems; (3) to demonstrate skill at solving relatively complex problems requiring several steps of reasoning; (4) to demonstrate problem solving skills across a spectrum of subfields in mathematics; and (5) to demonstrate mastery of basic logic and proof skills. To assess performance in the first four of these objectives, students in selected senior level courses and graduating math majors are asked to take the ETS major area field test in mathematics. The test was given to a subset of students in 2012-13 and faculty reported that students met the benchmark. However, the faculty reported that they would offer the test to a larger subset in 2013-14, in order to check the reliability of the scores. In 2013-14, the benchmarks were not met in several of these areas, and the faculty decided to add or revise courses for specific areas, e.g. adding an honors version of differential equations. In addition, a faculty coordinator was added for Calculus I to ensure that all sections meet the basic goals for the course. The faculty also voted to make taking the ETS a requirement for graduation.

Psychology, BA **

BA graduates in Psychology are expected to be able to describe key concepts, principles, and overarching themes in Psychology. To assess students' performance in meeting this learning objective, the Psychology faculty administered a multiple choice instrument that measures students' mastery of core Psychology concepts to roughly 300 upperclass (junior and senior) Psychology majors at the end of the Fall 2013 semester. The department's benchmark is for 80% of all upperclass Psychology majors to answer 70% or more of the questions correctly. Of the students tested, only 41% reached this level of performance. To provide all Psychology majors with a uniform and broad overview of the discipline's key concepts and principles, the Psychology faculty have redesigned the major. All students pursuing a BA in Psychology will now be required to take one course in each of seven distinct content areas; an upper-division (300- or 400-level) course must be selected in at least five of these seven areas. The new curriculum goes into effect in Fall 2014, and this learning objective will be reassessed in Fall 2015.

Studio Art, BFA *

BFA graduates in Studio Art are expected (1) to create a body of artwork for public exhibition; (2) to use a critical language for the visual arts; (3) to be able to express artistic ideas in visual, verbal, and written form; and (4) to present themselves professionally through assemblage of artist portfolios, statements, and resumes. The faculty use multiple methods for assessing these outcomes, including a rubric-based evaluation of a capstone exhibition and outcome-specific portfolio reviews. The capstone assignment (an exhibit) was added in 2010 as a requirement for graduation, in order to improve student outcomes. This change was tracked each year, but, as reported in 2012-13, there was not full data on this change because graduating students were not under the new requirement until 2014. During the 2013-14 assessment cycle, the program focused its attention on this first outcome with full data available and reviewed students' photographic records of their exhibitions. 75% of the photographic records met professional standards in the field. To improve student performance in this area, the faculty decided to add a series of workshops on photographic documentation of exhibitions to a capstone course required of all majors, and to designate a faculty coordinator for the capstone course to provide more effective support for students as they prepare their exhibits.

Graduate Programs

English, PhD **

PhD graduates in English are expected 1) to illustrate the history of texts, 2) to write publishable arguments, and 3) to demonstrate the ability to apply research skills specific to the field of English studies. , and they are also asked 4) to construct and effectively teach first year composition courses. Multiple methods are used to assess these outcomes, such as analysis of comprehensive tests, analysis of researched essay for outcomes 2 and 3--all using specific rubrics. The number of publications is also tracked. Outcome 4 is assessed through analysis of syllabi and assignments as well as tracking of undergraduate students' entries in SAIS, a "course satisfaction survey." Results were reported for each criteria for rubrics in outcomes 2-4, and actions taken were varied in response. For example, for outcome 2, English department faculty, with the Graduate School, are offering additional workshops on successful publication of research papers. For outcome 3, the English faculty decided to devote use focused time in graduate courses on citation techniques and to provide students with additional written feedback on the appropriate use of citations in their papers. Faculty agreed to spend more course time on analysis of texts used in research.

Geology, PhD **

PhD graduates in Geology are expected to demonstrate the ability to present and defend scientific research in an oral and visual format in a manner that effectively communicates research findings to an audience of student and faculty geologists. To assess students' performance in meeting this learning outcome, the faculty in Earth and Planetary Sciences evaluate student presentations to department audiences using a 5-point rubric (with 1 being "exceeds expectations".) Both PhD dissertation defenses and presentations made in GEOG 596 are assessed. Faculty evaluations of students' GEOG 596 presentations averaged 1.89 (with 1 as excellent and 5 as poor). When a similar assessment was conducted in academic year 2012-13, evaluations of student presentations averaged 2.05 (with 1 as excellent and 5 as poor). Between 2012-13 and 2013-14, GEOG 596 was retooled to provide students with additional opportunities to practice their presentations and receive constructive criticism from the audience; this curricular change may account for the improvement in student performance between 2012-13 and 2013-14. For additional outcomes--construction of a scientific proposal and writing of a scientific dissertation--students met expectations. However, with only five students, faculty want data from one more year. For one other outcome--students demonstrate knowledge of Earth's planetary systems--students generally met expectations.

Geography, PhD *

PhD graduates in Geography are expected to demonstrate in-depth knowledge of two specialty areas in Geography and to demonstrate critical thinking and communication skills. To assess students' performance in meeting these learning objectives, the faculty in Geography carry out a rubric-based evaluation of the PhD special field examinations that PhD candidates take in their 4th or 5th semester in the program. The rubric is designed to allow faculty to rate special field examinations in four categories that cover both students' understanding of geographic concepts and students' ability to construct and defend arguments supported by geographic data. The department's benchmark is for 65% of all exam papers to be rated moderately proficient or higher. In academic year 2013-14, 10 ratings by individual faculty members were made of 5 students' exam papers. All 10 ratings were at the level of moderately proficient or higher. No curricular changes were deemed necessary at this time, but the department will continue to assess this learning objective on an annual basis.

Mathematics, PhD **

PhD graduates in Mathematics are expected to demonstrate the ability to communicate mathematics through written and oral presentations, as well as produce original ideas and demonstrate knowledge in a specialized area. To assess students' performance in meeting the second and last learning objectives, the Mathematics faculty developed a 5-point rubric for evaluating PhD students' oral dissertation defenses and one for evaluating dissertations and the defense. The mean rating for student performance, averaged over four distinct rating criteria, was 4.1 for the oral presentation outcome and 3.84 for the special knowledge outcome; the department's benchmark is for the mean rating to be 4.4 or higher for the first and 4.2 or higher for the latter. To help improve student performance, the Mathematics faculty have changed the degree requirements for PhD candidates; degree candidates will now be required to attend the department's seminar course in their research subfield continuously once they have passed the PhD preliminary examination. This will give students more opportunities to attend student-delivered presentations, and more opportunities to deliver presentations of their own, in advance of their PhD dissertation defense. Students are also required to attend summer exam preparation seminars, which faculty extended from six to twenty hours.

Philosophy, PhD *

PhD graduates are expected to demonstrate professional skills, teaching skills, critical and analytical skills, and a domain of knowledge in their field. For latter two, faculty assessed student portfolios on a 1-10 scale. Dissertations were also assessed. For critical thinking and analysis, dissertations were assessed on four dimensions: rigor, comprehension, creativity, and feel for philosophical importance. While overall students' performance met the departmental benchmark, the assessment showed that students' performance could be strengthened in the latter two areas. To improve student performance in this area, the faculty decided that during portfolio advising, more attention would be given to the early stages of paper development, when students are settling on an idea that aims to be creative and of philosophical importance.

College of Business Administration

Undergraduate programs

Finance, BS **

The Finance bachelor's students are asked to demonstrate mastery of various principles of finance and choosing and performing various types of risk calculations. These outcomes are assessed by using sets of questions on the Finance Major Fields test. Seniors in FIN455 took this test each of the past two spring terms, as the departmental faculty agreed to use this test for annual assessment. Results improved from 2012-13 to 2013-14. However, on outcome one, students scored 10% below the benchmark. On outcome two, students scored 17% above the benchmark. Faculty agreed that students needed to continue to make overall improvements and initiated several curricular changes: 1. develop a common body of knowledge for all finance courses 2. hold a regular departmental meeting to create familiarity with this core 3. discussion at departmental meeting regarding preparation of students on the core.

Marketing, BS **

Undergraduate students in Marketing are asked to demonstrate knowledge of key concepts and to apply various marketing principles. They are assessed using targeted exam questions in the capstone course MKT460. Students have slightly improved over two years in the mean scores for each outcome, with the average being slightly over the baseline as set, but investigation of the subscores led faculty to revise the curriculum to more thoroughly focus on several areas (for instance, product life cycle topics are to be reinforced in the

curriculum). The next class of seniors will take the same assessment, with the expectation of improvement in targeted areas.

Graduate Programs

Accounting, MAcc **

Accounting Master's students are assessed on five learning outcomes centered on the application of technical accounting skills 1) on contemporary issues, 2) on tax provisions, 3) on private versus not-for-profits, as well as on 4) student oral communication skills and 5) use of appropriate technology to solve problems. These outcomes were assessed using embedded coursework in several different courses, a scoring rubric with benchmarked standards, or a standard tool to evaluate technology knowledge. Students exceeded expectations in four outcomes. Therefore, faculty revised some benchmarks from 70% to 75% for success. For outcome 3, students are not performing as well as expected on identifying differences in accounting and reporting for private vs. governmental not-for-profit organizations. Faculty reviewed their curriculum and are making changes to better address these topics by revising lectures and class materials. While students scored just near the high benchmark in outcome 5, faculty decided to adjust the course curriculum to add time demonstrating to students and having students practice software technology.

Business Administration, MBA **

In this full-time MBA program, faculty identified learning outcomes for its graduates in four areas: application of business knowledge and skills, ethical decision-making in a global context, presentation skills, and collaboration. Both direct methods (i.e. rubric-based observations by client partners and executive briefings) and indirect methods (student survey) were used. Assessment for the first outcome revealed that students' performance could be enhanced in eight out of 12 categories, with written communication needing the most improvement. In response to these findings, the faculty decided to revise its first-year, business development courses to place greater emphasis on written communications. It also determined that the metrics used by external evaluators (client partners) should be reviewed and clarified. Results for the other three outcomes were satisfactory.

College of Communication and Information

Communication Studies, BA**

Upon completing a BA in Communication Studies, students will be able to utilize the argumentation process including the reception, analysis, construction, and response to messages. This outcome was assessed through informative speeches given in CMST 210/240 and through a poster presentation in CMST 499. Both were evaluated by rubrics. In general, students met requirements for the speech, but faculty noted that group presentations required some additional instruction and that some more work needed to be done to fully capture the student outcome. For the poster presentation, students scored an overall 2.48 out of 5. In response to these results, faculty developed a new rubric for the speeches and developed new course content to address how to prepare and coordinate group presentations. Additionally, a poster presentation was made a requirement for the research methods class preceding CMST 499.

Information Sciences, MS*

Graduates of the online Information Sciences MS program are expected to be able to analyze and apply information policies and information-related laws that influence the delivery of information resources throughout society. This outcome is typically assessed in three different ways: a section of the comprehensive exam (faculty assigns a pass or fail), ePortfolio (via rubric), and practicum evaluations (via an online form completed by

practicum supervisors). For the 2013-2014 year, the first two methods were utilized. For the section of the comprehensive exam that addressed this outcome, 41 students passed and 7 failed. For the ePortfolio, 15 passed and none failed. In response to these results, methodology for both methods was revised, particularly by creating new rubrics for both.

College of Education, Health and Human Sciences

Undergraduate programs

Art Education, BA/BFA **

Graduates of the Art Education BA/BFA program will demonstrate the understanding of the central concepts, tools of inquiry, and structures of the discipline(s) he/she teaches and can create learning experiences that make these aspects of subject matter meaningful for students. This outcome was assessed by a rubric that was used to examine 3 different unit plans developed in ARED 400. The rubric contained two criteria and students could be assigned a score of 1 for "Does Not Meet Expectations", a 2 for "Partially Meets Expectations", or a 3 for "Meets or Exceeds Expectations" for each. The expected result was that students would receive an average of 2.5 for each criterion. The average score for each criterion was 3 for all unit plans, meaning all students met or exceeded expectations. Results were shared with faculty and faculty agreed to further strengthen the unit plans.

Nutrition, BS *

Upon completing a BS in Nutrition, students are expected to demonstrate the ability to understand, interpret, and apply the science of nutrition in individual, clinical and community settings. This outcome was assessed in three ways: through a Nutrition subscale on the National RD exam, through a case study project during NUTR 416, and through a service learning project in NUTR 412. The case study and service learning project were scored against a rubric. Performance on the National RD exam fell below the national norm while benchmarks for the case study and service learning project were met. In its 2013-14 report, the faculty noted that the class of 2014 was the first one to graduate under the program's revised standards in 2010, and that a lag is to be expected in RD exam results used to assess program outcomes. Several curricular and course changes were implemented to address the RD exam performance, including two new courses, student mentoring, and the addition of progression standards to better monitor student progress.

Graduate programs

Kinesiology, MS **

Graduates with an MS in Kinesiology will be able to demonstrate an understanding of key disciplinary knowledge, as well as communicate their knowledge effectively. Using a rubric, the first outcome was assessed through a graduate comprehensive exam. Out of a possible 10 points on the rubric, a score of 6 was considered competent. The average score for 2013-2014 was 7.17 with 94 out of 113 students meeting or exceeding competency. The second outcome was also assessed using the comprehensive exam, with 88% of students demonstrating competency according to the faculty-generated rubric. In order to maintain this level of performance, the department implemented several strategies. First, faculty implemented mechanisms for sharing the assessment instrument and rubric with students; faculty also scheduled discussion sessions with students regarding the rubric categories and program expectations. Additionally, course assignments were added or revised to reflect these categories and expectations.

Public Health, MPH *

One outcome expected of MPH graduates is that they demonstrate readiness for professional practice in health-related settings. This outcome had been measured through an internship evaluation. In 2012-13, the faculty decided to revise this method to require that preceptors conduct an evaluation midway through the field placement so that students develop realistic insights on their work. In its 2013-14 report, the faculty reported an improvement in the results, which they linked, in part, to this new practice.

Qualitative Research Methods in Education, Graduate Certificate **

Upon completing the Qualitative Research Methods in Education Certificate, students are expected to be able to apply basic qualitative research communication skills through fieldwork experiences that engage them in data collection and analysis. Students will also demonstrate documentation skills and communication skills through qualitative research. The first outcome was assessed through a final research report that in EDPY 559-Introduction to Qualitative Research in Education that instructed students to synthesize all of their fieldwork and analysis and was evaluated by a rubric. Overall, 10 students exceeded criteria and 1 student met them. The documentation skills outcome was also assessed with a three point rubric and all 11 students exceeded criteria. Faculty will continue to monitor results.

College of Engineering

Undergraduate programs

Electrical Engineering, BS *

Upon completing a BS in Electrical Engineering, students are expected to be able to identify, formulate and solve electrical engineering problems. This outcome was assessed through a capstone project in ECE 402 (added the previous year, as noted in the 2012-2013 report), with a benchmark of 75% of students scoring at least 2 (Meets Expectations) on a programmatic rubric. 100% met or exceeded this goal. Students also demonstrate applied knowledge in math, science, and electrical engineering, conduct electrical engineering experiments and analyze data, and design systems and components within realistic constraints. To assess these outcomes, faculty evaluate student capstone projects and student laboratory designs, from senior-level courses, using rubrics (scaled from "below expectations" to "exceeds expectations"). For the laboratory outcome, Laboratory design products are collected from ECE 342, with 77% of 30 students meeting expectations and 17% exceeding expectations; the faculty Undergraduate Committee decided that minor course revisions would be considered in a full faculty meeting in 2014. Because this was the first year that the capstone sequence was taught and the project was collected, results were reviewed over the summer by the Assessment and Senior Design Committees. The committees will present possible revisions at the first departmental faculty meeting in the Fall of 2014.

Industrial Engineering, BS **

Industrial engineering graduates are expected to be able to (1) formulate problems and design solutions, (2) design and conduct experiments, (3) function and communicate effectively as teams and (4) practice engineering in a global economy. These outcomes are assessed using both direct and indirect methods: course-embedded work and a senior exit survey. In 2012-2013, lab components and instruction on technique were added and student learning improved somewhat in this year's assessment. While the course – embedded assessment yielded satisfactory results, the survey reveals some potential areas for enhancement for outcomes 2, 3, and 4. The faculty elected to enhance its curriculum by reformatting a course so that it better integrate course content and the use of specialized

software (outcome 2); considering adding a new course (outcome 3); and adding emphasis on selected content in a third course (outcome 4).

Material Science and Engineering, BS *

Students in the Bachelor's program are assessed on 1) application of knowledge in mathematics, science, and engineering; 2) designing and conducting experiments and analyze data; 3) ability to function on interdisciplinary teams; 4) solving engineering problems using effective techniques; and 5) communicating effectively in writing and orally. These outcomes are assessed both directly and indirectly through specific assignments from multiple courses, use of rubrics (with a scale of 1-5), through senior exit interviews, and through observational faculty assessments. While some of the six outcomes are on extended cycles of review, in 2013-14, those that were assessed yielded a variety of results. The outcome on students conducting experiments had an average score of 4.0 over nine performance indicators. The faculty assessment was 3.5. Student interviews indicated a desire for more hands-on experience. After faculty review, the program decided to hire a new instructor of undergraduate labs who is charged with ensuring that students are more engaged in lab activities.

Graduate programs

Computer Science, PhD *

Ph.D. graduates are evaluated on five learning outcomes specific to doctoral skills in literature review, communication of results in writing and orally, critical thinking and innovative problem solving, and conducting original research. A 15-point rubric was used by the dissertation committee, with each item scored unsatisfactory, satisfactory, or excellent. For the two students who received doctoral degrees in 2013-14, all five learning outcomes were assessed at the satisfactory or excellent level which achieved the expectation of 80% expected to rate satisfactory or above.

College of Law

Law, JD **

Upon completing a Law JD degree, students should demonstrate understanding of fundamental areas of law sufficient to pass bar examination. Upon recognizing that students' pass rates was below their 90% benchmark in 2010 and 2011, in the fall of 2011, the faculty investigated reasons for the lower rate by contacting both examiners and students who had failed. Following this investigation, a process to help students identify those courses that directly prepare them for the exam, and to raise awareness about what to expect at the exam was identified. Additionally, annual intensive review sessions were implemented. Consequently the pass rate started going up in 2011 and 2012, and in 2013-2014, the rates are now above the programs' 90% pass rate.

College of Nursing

Nursing, BS *

One of the nine outcomes which students in the BS in Nursing are expected to demonstrate is that they can apply professional nursing standards, and ethical and legal principles to the delivery of care. This outcome was assessed through both direct and indirect methods: a rubric-based, preceptor evaluation, and a reflective assignment, the clinical contract, both of which are completed during the program's required clinical practicum. The benchmarks were met for both of these measures, and the faculty elected to take no action beyond monitoring on this outcome. Other outcomes are assessed through a variety of methods: written work (a "cost effective care" paper, a "leadership" paper, and a clinical contract

assignment), a research poster presentation, and through results of a clinical simulation (in "I-CARE*"). All outcomes were assessed across all delivery methods--whether the on-campus version or the [RN to BSN](#) track, which students take online.

Nursing, MS*

Graduate students in the Nursing MSN program are assessed on 1) their ability to provide advanced nursing care, on theoretical knowledge, 2) on research knowledge and collaboration skills, and 3) on their ability to evaluate health policies and economics of care. The faculty use assessments from students' clinical practicums, course-based research projects, and comprehensive examination. Students also completed an Educational Benchmarking Institute survey. For three of these outcomes, high levels of student performance led faculty to conclude that no action was needed for this year. For the outcome regarding research collaboration, the results were an overall mean of 5.21, just below the benchmark of 5.5 on a 7 point scale. Faculty decided to create a new course assignment asking students to work in groups and to present findings in a poster presentation.

College of Social Work

Undergraduate Program

Social Work, BS

BSSW graduates are expected to demonstrate mastery of a set of 13 learning outcomes, based on standards from their accrediting association in Social Work Education. These outcomes are measured using a portfolio, evaluation of students' field practice, and a senior exit survey. In recent years, in response to assessment results on seven of its outcomes, the program revised several of its courses ([2012-2013](#)) to include more emphasis on outcome specific topics, modified its curriculum sequencing and enhanced its field instructor training. Following these changes, all seven outcomes saw improvements in its 2013-2014 results for at least one of the three measures.

Graduate Programs

Gerontology, Graduate Certificate *

Graduates of this program are expected to be able to recognize the multicultural issues facing older adults. Students' performance is assessed through a course-embedded assignment, the Disparities quiz. The program's benchmark was not attained this year, and the faculty elected to review how this topic is addressed in the curriculum and to make changes as needed.

Social Work, MS *

In this MSSW program, students must meet nine outcomes such as use professional and ethical conduct, critical thinking to make judgments, communicate effectively, engage diversity and difference in practice, engage in research in their profession, and apply knowledge of human behavior in their practice. They are assessed through a variety of means: items in the graduate comprehensive exam, a field practice evaluation tool, and a self-efficacy scale. The exam and the field evaluation tool have both been modified to better link to the programmatic outcomes. [This program](#) demonstrates direct and indirect assessment and use of results in a program that has both full and part-time students, online and on-campus options, and two sites--Knoxville and Nashville.

College of Veterinary Medicine

Veterinary Medicine, DVM **

DVM graduates are expected to demonstrate mastery on 12 learning outcomes, nine of which are clinical competencies assessed by their supervisor during their externship. Results for these nine outcomes were satisfactory and required no action. For some, action had been taken in 2012-2013 and monitoring is continuing. Of the remaining outcomes, the one focusing on students' professional skills illustrates the program's use of both direct and indirect methods and triangulation to identify areas of learning needing improvement. A survey of employers, a senior exit survey, and an alumni survey identified emergency management, surgery and dentistry as learning areas that needed enhancement. In response to these results, the faculty implemented additional rotations for the first two areas. A review of the curriculum was also initiated in the Spring of 2014.

Interdisciplinary programs

Comparative and Experimental Medicine, MS *

MS graduates in CEM are expected to (1) demonstrate familiarity with the literature in their field of research; (2) demonstrate competence in preparing and delivering oral presentation of scientific material; and (3) demonstrate knowledge of mechanisms of diseases at the molecular level in preparation for a career in biological or biomedical sciences. Students must write a literature review for their research project, and this is evaluated by the committee members with reference to a rubric. This assessment demonstrated that the students were familiar with the literature but needed to improve writing skills. Although addressed in 2012-2013 with some action, this outcome is being further addressed by requiring more written reports and enrollment in an ESL course if deemed appropriate. For oral presentations skills, different types of presentations including seminars, lectures and talks at CEM research symposium are evaluated by faculty in attendance based upon a standardized rubric. The final objective is assessed by performance in a two-course sequence named Cellular and Molecular Basis of Disease parts 1 and 2. To date only one MS student has completed this sequence, and the faculty will continue to collect data to evaluate meeting this objective.

External Accreditation of Programs

The University of Tennessee engages in a process of external review of its programs on a periodic basis determined by the external agency. There are more than 20 accrediting agencies that monitor numerous degree programs. For many of these programs, the external review serves as their Academic Program Review (APR). For a list of these agencies and programs please see [the list of programmatic accreditation](#).

Academic Program Review: Quality Enhancement Reviews (QER)

[Academic Program Reviews](#) serve as a means to evaluate quality, productivity, need, and demand within the university, state, and region; to determine effectiveness and consider possible modifications; and to facilitate academic planning and budgeting. They bring to each unit the advantages of assessment from the perspective of peers outside the institution and colleagues from other units within the university.

Academic Program review occurs on a rotating five-year schedule, with every other review being a mid-cycle follow-up to the previous full review. Prior to the full review, the program completes a self-study which is distributed to all involved in the review process. The Review Team for the full review consists of external, discipline experts and internal peers from other units on campus. For the mid-cycle follow-up, every effort is made to bring in the

same team of reviewers. Each review culminates with a closing meeting between the Review Team and campus administration in which findings and recommendations are shared. The review takes place over a period 2 to 3 days; the mid-cycle review is a shorter process as the Review Team is only following up on the findings and recommendations from the full review. Finally, the Review Team is also responsible for completing a program review checklist supplied by the Tennessee Higher Education Commission (THEC) in order to meet performance funding criteria.

The table below has a variety of examples, with links to review team reports and the unit responses, as well as a selection of reports submitted by units.

Examples of Programmatic Review

Academic Program	Undergrad	Graduate	Graduate	Cycle Review Schedule
Aerospace, Mechanical, and Biomedical Engineering-- MABE (Combined)	BS	MS	PhD	2011 Mid-cycle review; 2011 Review team report; 2008 Review Team report; 2008 Unit response
Agricultural & Resources Economics	BS	MS	PhD	2008 Review team report; 2008 Unit response; 2013 Mid Cycle Report and Review combined
Anthropology	BA	MA	PhD	2009 Review team report; 2009 Unit response
Communication Studies	BA & BS	MS	PhD	2012 Review team report; 2012 Unit response
Educational Psychology and Counseling		MS & EdS	PhD	2009 Mid-cycle review; 2006 Review team report; 2006 Unit response *
English	BA	MA	PhD	2014 Review team report
Industrial Engineering	BS	MS	PhD	2012 Review team report; 2012 Unit response
Microbiology		MS	PhD	2010 Mid-cycle review; 2007 Review team report; 2007 Unit response*
Nursing	BS	MS		2008 Mid-cycle review; 2009 Unit Response; 2004 Review team report; 2005 Unit response
Nutrition	BS	MS	PhD	2012 Review team report; 2012 Unit response

Academic Program	Undergrad	Graduate	Graduate	Cycle Review Schedule
Social Work	BS	MS	DSW & PhD	2013 Review team report; 2013 Unit response
Sociology	BA	MA	PhD	2013 Review team report; 2013 Unit response / 2013 Self-Study&Appendices

*UT was on a 1-3-10 year cycle (with an review in year 1, a mid-cycle review in year 3, and the next review seven years after. This changed to a five year rotation in 2010.

Conclusion

The University of Tennessee, Knoxville, engages in a complex process of assessment of student learning outcomes that involves faculty and students in a multi-layered, staged process of identifying outcomes, gathering and analyzing data, and acting on results in undergraduate, graduate and certification programs, on campus and online. The interweaving of THEC and annual assessments with academic program reviews and, for many programs, external accreditation processes, results in a rich picture of our ongoing efforts towards continuous improvement of student learning. Therefore, UT demonstrates compliance.

3.3.1.2 Institutional Effectiveness: Administrative Support Services

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.2 administrative support service.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the flagship campus of the University of Tennessee System (UT System). As such, the UT System provides central services for all of its campuses and institutes. These administrative support services include the Controller's Office, Account Payable, Treasury Functions, Payroll Office, Enterprise Computing, and Purchasing. UT has no oversight for these operations. Likewise, for Development and Alumni Affairs, those activities are supported and managed through the UT Foundation. See Comprehensive Standard [3.2.13](#) for additional details on this governance and structure.

As a large and diverse public institution, UT has many units dedicated to providing the administrative support services that ensure efficient and effective fulfillment of the UT's mission. Units providing administrative support services establish goals, objectives, and outcomes for their services and use the results to make improvements.

Support units are reviewed continuously and external evaluation and feedback helps to guide development of programs and services and informs the administration of any weaknesses. Provided below are examples of how larger support units are assessed. All support units are measured in a similar fashion.

Information Technology

The Office of Information Technology (OIT) is the primary provider of central services for the Knoxville campus. These central services include the wired and wireless network and telephone infrastructure to every building, access and identity management solutions, data center and data center management, collaboration tools, and instructional and end user support. OIT also provides the hardware and technical support for a large, virtualized server farm that is leveraged by many units on campus and enterprise systems such as Banner, Blackboard, and MyUTK. The [OIT Service Catalog](#) provides a description of services available to faculty, staff, and students and provides information on how to obtain these services.

The expectations are that these services are available when requested (typically 24x7) and perform at a level of excellence commensurate with a large research university. As typical for such functions, cost increases to the end user are expected to be kept to a minimum.

With the implementation of the student technology fee in 1998, a student represented [Technology Advisory Board](#) (TAB) was created as a means for collecting feedback from students and deploying resources from the technology fee across the campus. TAB provides for effective communication between OIT and campus end-users regarding services and

product. The student tech fee provides access to a robust wireless network infrastructure, world class software programs and first rate student technology support services. As noted in the 2014 annual survey below, knowledgeable staff, access to technology training and rapid network download speeds are several areas wherein OIT excels in delivering service and are a direct result of strategic investment of the technology fee. In addition, two recent improvements are a direct result of student direction: Microsoft Office Pro Plus is now provided to all UT students and OIT has greatly enhanced the outdoor wireless connectivity in 5 major areas on campus. OIT provides numerous [training opportunities](#) and workshops to students, faculty, researchers, and staff. Training is offered in both face-to-face and online formats. A significant measure of success is that the technology fee has NEVER been increased since its inception, yet through efficient management of those funds the wireless infrastructure has been able to thrive in the face of what is has become a standard of 3-5 devices per student on campus over the last 5 years. Additional software packages have also been added in the last three years, despite maintaining the technology fee at pre-2000 levels.

In addition to holding the technology fee budget flat while increasing services and capacity, the administrative E&G budget for OIT has actually decreased since 2012. At that time, central IT services were split between the Knoxville campus and the UT System office to allow IT to play a more strategic role in the campus direction. While survey results show OIT in a more positive light the last three years, central funding has actually decreased 1.5%.

Besides budget, OIT measures its level of service and institutional effectiveness through an annual survey and regular service request evaluation surveys. In [2014](#), OIT joined the Higher Ed Techqual project in an attempt to benchmark UT IT Services with other institutions. Core services for Techqual are grouped as Connectivity and Access, Technology and Collaboration, Support and Training and Other Important Services. The first three items are broken down into 13 specific areas for evaluation. Using the core services and format provided by this initiative, it is documented that, on average a) expectations for these benchmark services are higher at UT than other High Research institutions that participate in Techqual and b) that the perception of OIT's service delivery consistently exceeds its peers in 12 out of 13 core IT services.

Results are reviewed by the Chief Information Officer and the OIT leadership team and reallocation of budget occurs as necessary to address critical areas.

University Police

Safety is always a top priority at UT. At the heart of the UT's efforts to promote safety is the University of Tennessee Police Department ([UTPD](#)). With fifty-three fully commissioned police officers, UTPD works around the clock, every day of the year to help ensure safety on campus and in the immediate surrounding area. UTPD provides valuable programming for students to increase awareness, personal safety, and property security. UTPD offers Rape Aggression Defense (RAD) self-defense classes throughout the year. Additionally, UTPD offers Operation ID, where students can have their valuables (laptops, iPods, bicycles, cellphones, etc.) engraved and cataloged with an ID number.

In recognition of the department's high standards, UTPD was granted national accreditation by the Commission on Accreditation for Law Enforcement Agencies (CALEA) in 2009, and was awarded reaccreditation in July of 2012. In January 2010, UTPD also was accredited through the International Association of Campus Law Enforcement Administrators (IACLEA) becoming one of only fifteen agencies dually accredited through CALEA and IACLEA, and at the time, the only campus law enforcement agency in Tennessee to have both accreditations. These accreditations demonstrate that UTPD promotes student safety and

accountability through programming, information sharing, and cooperation. The law enforcement accreditation process also includes assessment of community feedback regarding the effectiveness of the agency and its overall support of the university. This feedback is solicited and received in the form of commendations and complaints received by the agency, surveys, and open public forums. In addition, the UTPD Community Relations Unit (CRU) schedules training and safety events throughout the year to educate and communicate with UT students. In 2012 UTPD held 337 different programs and had contact with 18,627 individuals. In 2013, UTPD held 291 such programs resulting in contact with 18,488 individuals.

The Law Enforcement Accreditation Program was the first credentialing program established by CALEA after its founding. It was originally developed to address what was seen as a need to enhance law enforcement as a profession and to improve law enforcement service delivery. That mission continues today through a tiered law enforcement accreditation program. Participating agencies may enroll in either CALEA Law Enforcement Accreditation or CALEA Advanced Law Enforcement Accreditation, without regard to agency size.

The International Association of Campus Law Enforcement Administrators, Inc. (IACLEA), an association that represents campus public safety leaders at more than 1,200 institutions of higher education, offers IACLEA Accreditation to colleges and university law enforcement, security, and public safety departments. IACLEA Accreditation constitutes recognition that a department conforms to the highest professional standards for campus law enforcement and protective services.

To measure effectiveness of its initiatives, UTPD has long utilized the Complaint Statistics (COMPSTAT) model process. CompStat is a management philosophy or organizational management tool for police departments. UTPD utilizes comparative statistics to track crime trends and develop appropriate responses to crime trends. Comparative statistics are evaluated and compared on a weekly, monthly, quarterly and annual basis. The results of the analysis of crime are used to determine new initiatives to combat crime, geography of assigned patrol areas, staffing levels and times, crime prevention and educational campaigns, and other considerations. In addition, each of the departments three year accreditation cycles includes a workload assessment which is created to ensure proper staffing. UTPD works actively with the campus community to identify issues that may be aided by its participation. Each year over 20 members of UTPD are involved in active participation with over 30 campus committees on issues ranging from campus safety, to Comparative Statistics analysis with the city Police Department.

Parking & Transportation Services

Parking and Transportation Services is responsible for all campus transit and parking services, including oversight of our bus service, garages, parking lots, and special event parking. Annual departmental reviews and the UT Traffic & Parking Authority (TPA), with representation from faculty, staff and students, are the primary means for establishing goals, objectives and outcomes. More specifically, the annual work program is linked to priority items identified by the TPA for each academic year and the [budget](#) is reviewed and approved by the TPA annually. The budget figures and information presented to the TPA is extensive in nature and includes a comprehensive inventory of all parking area/lots, permit sales, citations, special event parking revenue and expenses, and the transit budget among other items.

In regard to quantitative [performance measures](#) for the department, these are developed following an extensive process that begins with the development of the fiscal year budget. The overall goals and initiatives for the campus parking and transit system are based on

priorities established by the UT Traffic & Parking Authority, input from campus stakeholders, consultation with the UT Administration and internal analyses conducted by the department management team. The goals, initiatives and performance measures are developed in the context of the overall goals and objectives of the University with a central focus being on the Top 25 Public Research University Initiative. The budget process is based largely on a determination of the parking inventory/supply that will be available for the upcoming academic year for each category or designation such as faculty/staff, student commuter, and student non-commuter. Annually, the department conducts a comprehensive analysis of factors that impact parking such as enrollment projections, building/facility use, construction, campus vehicular & pedestrian systems, transit system services, and alternative transportation services, that are considered when establishing the parking inventory for the year. After this analysis is completed, the number of parking spaces by designation is developed for the entire campus. Next, projected revenue is determined based on applicable parking fees and rates for parking permits, special events, citation revenue, visitor parking revenue and the student transportation fee. While the budget development process progresses, specific performance measures and work program initiatives are developed that support and complement the overall University and departmental goals, objectives and initiatives (see attached Parking and Transit [Performance Measures](#), [Initiatives](#) and [Budget](#)).

The performance measures are established on an annual basis and are categorized by the major functional areas of the department including: Financial, Enforcement, Information Technology (IT), Parking Inventory & Permit Management, Special Events, Human Resources, Campus Transit Service, Maintenance, Sustainability and Customer Service. Measures are documented and tracked on an ongoing basis and progress is reviewed and evaluated on a quarterly basis by the senior management team of the department. In addition, there are issues that arise during the year that were not known or anticipated when the original performance measures were developed. If this occurs and the impact is significant enough to warrant a revision to the performance measures, this action is taken in a timely fashion with consideration given to the overall University and departmental goals and objectives. Progress on each performance measure is documented and monitored on an ongoing basis so that adjustments or revisions may be made well before the completion of the fiscal year. Specifically, there is documentation as to whether the measurement was achieved, and if not, the measurement is reevaluated to determine specific actions that should be taken to address the deficiency. The review of departmental performance measures and the work program extend beyond the department as the process also includes review and evaluation by the UT Finance & Administration Division. This includes regular meetings and more detailed review of departmental performance during the annual performance review of the department director. Further, this process also extends to formal Unit Reviews in which all departments under this division have performance measures and work program initiatives reviewed during formal meetings, presentations and feedback.

In regard to campus transit and its impact on students, there was a significant upgrade to the entire transit system in 2013 with the implementation of the new “T” bus service. The foundation for the new campus transit system was centered on responding directly to student and campus stakeholder input, which called for a system that was supportive of the University’s pursuit of Top 25 status. Prior to the implementation of new services and programs, there were various efforts undertaken to help shape this new system including a Campus Transit Task Force, a comprehensive campus transit plan and numerous outreach efforts designed to identify the most important aspects of a student-centered transit system. Great care was taken during the outreach and stakeholder input to reach a wide range of students from all class levels with varying mobility needs. With the implementation

of the new system, ridership increased by almost 100,000 passengers due to brand new uniformly-branded buses with UT graphics & colors, real-time bus location technology and more flexible services to meet campus transportation needs. The effort to collect and utilize input to make continuous improvements to the transit system continues today through a transit app that includes a prominent and easy-to-use feedback feature. Students are relying heavily on the transit app to keep track of bus locations and stay abreast of real-time arrival times at their bus stops. This app has a one-click feature that allows students to provide instant feedback to T operations and customer team in addition to the UT Parking and Transit Services Office. Every text submitted through the app is documented, categorized and included in a tracking and reporting system that results in prompt and timely responses to inquiries or issues of concern to students. This system will be complemented during fiscal year 2015 when another comprehensive customer survey will be conducted to elicit input on current and emerging issues of important to the students. Further, the UT Parking and Transit Director serves on an Advisory Committee for the transit app vendor on a development project that involves creating more detailed service analyses and reporting that can assist with providing a better match transit service needs and demands.

Parking and Transportation is active in social media, using Twitter to keep the campus community abreast of changing traffic conditions and events. Mobile apps provide up-to-date information on parking lots and allow real-time GPS tracking of campus buses. The Parking and Transit website uses Google Analytics to track and showcase the information our customers find most important. The website is also designed as mobile friendly for smart phones and tablets.

Emergency Management

The Office of Emergency Management provides guidance and support to campus-wide preparedness efforts. Responsibilities and areas of oversight may be found on the [safety website](#). An executive steering committee provides governance structure and assesses effectiveness of training and programs. Specific assessments are provided below. Unit conducts consistent after action reviews for training and actual events. Examples are:

- Exercise After Action Reports
- Training Evaluations ([Summary Session Evaluations](#), [Coordinator Training Feedback](#))
- [Corrective Action Worksheet](#)
- [Training](#) requirements are identified in the campus Emergency Management Plan and tracked by the Office of Emergency Management

Unit Assessment Activities:

- Emergency Management Program review by State Audit Office
- System [EM policy](#) outlines annual reporting requirements
- Campus EM plan is signed by local EM Director and submitted to the Tennessee Emergency Management Agency
- All [campus awareness efforts](#) are [tracked](#) and when appropriate reviewed for impact using [Google analytics](#)
- [Annually](#) provides required Clery data

Other types of program reviews:

- Standing multi-disciplinary steering committee. Meets monthly to discuss, evaluate, and guide the campus emergency management effort

- Standing executive steering committee that meets quarterly (minimum) to address issues and recommendations from the steering committee that require senior campus administration approval or guidance
- Annual multi-disciplinary planning workshop to address planning gaps and updates
- Campus Notification Committee evaluates and guides improvements to the campus emergency notification efforts

Dining Services

Responsible for providing meals to resident and non-resident students, faculty, and staff on a daily basis, it is essential for Dining Services to have appropriate assessments for the purpose of setting goals and providing the highest quality of product and service.

Survey responses showed us that students have a strong need for campus grocery locations. Dining Services opened a new P.O.D., Provisions on Demand Market, in Hodges Library in the fall of 2013. The store features an expanded grab-and-go menu which includes Subway and McAlister's Deli sandwiches and salads.

Meal Equivalency is a unique feature to the dining program at the University of Tennessee. Meal Equivalency offers the students flexibility to their meal plan by exchanging a dining hall meal for a dollar amount to be used in retail locations around campus. In response to the student request to use Meal Equivalency in more locations on campus, Dining Services has expanded this usage to include a Saturday Dinner option and a Late Night option.

Ways in which feedback is received and in which Dining Services is assessed are listed below.

- Dining Styles Surveys - Feedback from the campus community on the dining locations and services provided on campus.
 - o Results of these surveys are reviewed with location managers.
 - o Survey Scores Increased in the following areas:
 - Food Quality increased .25%
 - Price Value increased .16%
 - Food Variety increased .20%
 - Probability of Purchasing a Meal Plan next year increased .15%
 - Catering Satisfaction Scores increased by 50%
- Student Advisory Committee Meetings - Members of key student groups on campus discuss results of focus groups and surveys. This group is essential in making changes and adding locations on campus.
- Voice of the Consumer - Customers can provide us with feedback and Dining Services can reply in real time.
- Focus Groups - Meetings with diverse groups from the campus community to get feedback on product quality, new locations, meal plan changes, etc. Results are shared with the local, regional and national ARAMARK team. The information gathered from these meetings helps us to enhance our offerings to the campus community.
- [Website](#) - The campus community can give feedback online either anonymously or by name. All inquiries are responded to.

Human Resources

Human Resources (HR) has a [five-year strategic plan](#) approved by the UT System President and all campus Chancellors, and is presented and updated with progress annually to the

System Board of Trustees. The strategic plan and [progress updates](#) are available to all employees on HR's website. (Note: The UT System Vice President for Human Resources also serves as the UT Knoxville Vice Chancellor for Human Resources. This relationship is discussed in [Comprehensive Standard 3.13.4.b](#))

HR's website provides information that employees and supervisors can easily access. The site averages 22,826 hits per month and outlines services and programs and provides contact information for specific services and programs. Also on this site is an [Ask HR](#) link, where questions, concerns or comments can be submitted.

HR provides a call center five days a week, from 8:00 am – 5:00 pm, with experienced HR staff. Employees can call for quick information, assistance, address problems they are encountering and other issues. The call center averages 89 calls each day statewide, with more than 95% coming from the Knoxville area.

Employee Feedback and Performance Measurement

Beginning in 2011, UT System contracted with an external party to conduct an employee engagement survey for all regular faculty and staff. Sixty-two percent of regular faculty and staff responded to the survey, far exceeding the expectation of ModernThink, UT System's partner, who surveys approximately 300 colleges and universities per year. The branding [Your Voice: Your UT](#) still defines this survey with every UT regular employee having been afforded the opportunity to participate. Ensuring confidentiality by contracting with a third party was important in gaining employees' participation. Each campus/institute formed work culture improvement teams to recommend improvements to address issues/concerns regarding programs, services, compensation, benefits, work environment, etc. The survey will be repeated every three years to monitor progress and to invite all employees to give feedback. Results are communicated in open forums and posted on the web site for all employees to access.

UT Knoxville received results by functional area, so each administrative area (Finance, Human Resources, etc.) received specific feedback. Results are communicated in open forums and posted on the web site for all employees to access.

The Employee Relations Advisory Board serves as an advisory group to the UT System President with respect to university policies, programs and practices. This group meets quarterly, and is elected by employees on their campus/institute. UT Knoxville has an Exempt Staff Council and several Employee Relations Councils that are designed by functional area and meet regularly with the chief administrator from their area. These groups are staff advisory groups focused on university policies, programs and practices. Representing faculty is the Faculty Senate, who meets regularly with the campus Chancellor and Vice Chancellors.

The UT System President's web page has a link entitled [UTalk](#), where any employee can express concerns, feedback and comments. If the employee leaves contact information, all responses are acknowledged and answered.

In terms of expected outcomes and accountability, every employee receives an annual performance review and develops goals and objectives for the following year. Vice Chancellors, with accountability for administrative support services, have regular meetings with the Chancellor, a performance review and create goals for each year. Each Vice Chancellor is evaluated against the goals that were set for the specific unit and agreed upon. Merit pay is based on performance. Vice Chancellors hold their unit heads

accountable in the same manner, and so on for every single employee. The annual performance review process is discussed in [Comprehensive Standard 3.2.9](#).

Environmental Health and Safety

Environmental Health and Safety's (EHS) goal is to prevent accidents and injuries involving students, staff, faculty and visitors on campus. Also included in this goal is environmental compliance. The main divisions in EHS are general safety, environmental compliance, fire safety and hazardous materials management. Currently there are a total of 11 individuals in the department. EHS reports to the Vice Chancellor for Finance and Administration. Fulfillment of its mission is through inspection of facilities, training, hazard evaluations, consultation, development/implementation of policies, procedures and plans, investigation of complaints, accidents and near misses. EHS maintains a strong working relationship with the following departments on campus; Emergency Management, Biosafety, Radiation Safety, Risk Management, Facilities Services and UT Police. The Director of EHS has roles in the system administration related to safety and emergency management; the third quarter [2013](#) and the first quarter [2014](#) reports are attached.

Effectiveness and Efficiency

In 2008 a committee on effectiveness and efficiency was created in response to reductions in state funding. The committee reported annually to the UT System Board of Trustees those initiatives identified as one time savings or recurring dollars. Semi-annually the Vice Chancellor compiles and [reports](#) on efficiencies gained from the campus. The most recent report demonstrates a combined campus savings of \$16,609,758 with other projects in progress to result in additional savings. Many initiatives result in non-monetary benefits such as improved services to the campus community, shorter wait times, and reduced administrative burdens as examples. This on-going report ensures the campus stays abreast of reviewing its achievements and ensures awareness of improvements and cost savings, real or potential.

Conclusion

In conclusion, the University of Tennessee relies on a number of assessment tools to ensure overall effectiveness of the services it is providing to the campus community making it compliant with this standard. The process ensures that continuous improvements in administrative support services are based on proper evaluation of each unit's goals and objectives. Reviews include both self-examination as well as external input. Decision-making and resource allocations take into account unit assessments and are consistently focused on strategies for achieving goals and outcomes.

3.3.1.3 Institutional Effectiveness: Academic and Student Support Services

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.3 academic and student support services.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) provides educational support services through many departments on campus. Educational support services are structured through student learning and development outcomes that are assessed yearly through annual data collection and reporting. The goal of these services is to provide educational support for students through systematically developed programs focused on building student success and enriching the student experience.

Many of the academic support services are decentralized across the University among the 11 colleges and other divisions such as [Student Life](#) and the [Office of the Provost](#). Each of these divisions and/or departments provides services targeting their specific student audience. In addition, educational support services are also provided for online and graduate students. Each individual college provides support programming specific to the needs of its majors while offices within the Office of the Provost provide support to a more general audience. Departments within Student Life, the Office of the Provost, and the Vice Chancellor for Diversity support a wide variety of students to include undergraduate, graduate, international, LGBTQ, multicultural, veterans, non-traditional, and transfer, with emphasis on non-academic resources. UT is part of the University of Tennessee System, which includes University of Tennessee, Chattanooga, University of Tennessee Health Science Center, and University of Tennessee, Martin. UT Knoxville does have two off-site locations - University of Tennessee Space Institute in Tullahoma (south-central Tennessee) and College of Social Work-Nashville; both with graduate programs. Additionally, there are [26 online programs](#); one is the RN to BSN and the remainder are graduate programs, mostly in engineering, nursing, and social work. However, students who access education via online are provided the same type of educational support as those who are residential students through their academic homes, the University Libraries, Office of Information Technology, and the Director for Online Programs. Professional staff and faculty are supported primarily through the Tennessee Teaching and Learning Center (Tenn TLC), Office of Information Technology, and the Office of Research and Engagement. Departments responsible for these services participate in regular assessment and reporting. Each unit carries out assessment on an ongoing basis in a process appropriate for their unique missions. A description of a representative samples of the assessment efforts and outcomes is provided below to demonstrate varied approaches. Individual departments have an identified mission statement focused on student academic development. Reference Core Requirement [2.10](#), which provides a list of student support services, and Comprehensive Standard [3.4.9](#), which provides a list of academic support services, for more general information on educational support services.

Specific Units Providing Educational Support Services

The units providing educational support services and addressed in this narrative are:

- Units in the Division of Student Life
- Units in the Office of the Provost
- Educational support services based in academia units

Providers of Educational Support Services

The UT educational support services are committed to an assessment process that includes creating student learning and development outcomes, assessing the degree to which these outcomes are achieved, and acting upon analysis to continually improve services. Each division and departments within the division are summarized below.

Division of Student Life

Mission of the Division of Student Life

The mission of the Division is to *foster the intellectual, cultural, social and emotional development of students by providing a climate conducive to learning and personal growth, enabling them to become fully productive members of a global community.*

Assessment Culture

Assessment efforts are infused into the culture of the Division of Student Life and the culture of each of the departments within the Division. The Division has an aggressive assessment agenda that examines Divisional and departmental initiatives. The agenda includes on-going departmental program reviews, development of departmental strategic plans, identification of program goals and student learning outcomes, measurement of annual successes and evaluation and measurement of program effectiveness and service delivery. A summary of the Division of Student Life's Learning Outcomes and Program Goals is provided in the following section. Next, there is an overview of how each department conducts assessment along with examples of how the specific units have utilized assessment data to "close the loop" to improve efficiency and/or enhance student's educational experience at the University.

Student Learning Outcomes

It is the objective of The Division of Student Life to facilitate student learning and development in the following eight areas, identified as our Divisional Student Learning Goals. This is accomplished through our programs, services, co-curricular programming and overall student support as well as through intentional interaction and collaboration with members of the University community including faculty, staff, alumni, parents and community representatives. Each unit will not necessarily meet each Student Learning Goal each year; however, as a Division we are committed to collaboratively reaching each of these goals through the creation of student learning outcomes. Listed below are the Divisional Student Learning Goals.

- *Self-Knowledge.* explore and clarify interests, skills, preferences and values • appraise oneself accurately • set personal, educational and career goals • exhibit self-confidence • define purpose • achieve sense of identity
- *Social Responsibility and Service.* engage in active citizenship • demonstrate issues awareness, understanding and advocacy • challenge unjust or uncivil behaviors and standards • participate in service activities • make ethical decisions • identify as a member of global community
- *Communication.* communicate effectively, verbally and non-verbally, in and out of the classroom • speak confidently in public • relay messages efficiently and suitably

to the situation and audience • exhibit diplomacy, tact and negotiation skills • uphold a standard of confidentiality

- *Student Engagement.* develop a sense of belonging, loyalty and institutional affinity • participate in campus and community groups • display responsibility to/for student organizations and relationships built on campus • possess dedication to the institution beyond graduation evidenced through gifts and campus contributions
- *Leadership.* define leadership style or philosophy • work well in a team • delegate • serve as a role model • lead with integrity • develop meaningful interpersonal relationships • resolve conflict with civility • set and measure individual and group goals
- *Healthy Living.* maintain or achieve emotional, personal and physical wellness • understand the consequences of risky behavior on health and academic success • make decisions that promote safe, healthy behaviors and reduce risk • contribute to a healthy, sustainable campus and community
- *Intercultural Competence.* demonstrate awareness, knowledge and skills to understand the impact of diversity on campus and in the community • seek involvement with people different than oneself • practice fairness and equity • respect and appreciate diverse viewpoints and backgrounds
- *Practical Competence.* identify and utilize campus resources • understand rights and responsibilities • strengthen problem solving, critical thinking and life skills • manage time and finances • adapt to changing situations • apply gained knowledge

Program Goals

It is the objective of The Division of Student Life to facilitate achievement and efficiency in the following six areas, identified as our Divisional Program Goals. These goals are accomplished through our staff and programs as well as through intentional interaction and collaboration with members of the University community including faculty, staff, alumni, parents and community representatives. Program goals relate specifically to the operational and process side of each department's purpose and align with the unit's mission and address the overall impact that occurs on campus and in the community as a result of the unit's activities. Each unit will not necessarily meet each Program Goal each year; however, as a Division we are committed to collaboratively reaching each of these goals through the creation of program outcomes. Listed below are the [Divisional Program Goals](#).

- *Service Delivery.* participation numbers • number of students and/or community members served • access figures
- *Revenue Generation.* general revenue • external funding and sponsorships • development initiatives • grants
- *Facility Operation.* major aspects of facilities and operations • capital projects • occupancy • registration data
- *Community Outreach.* outreach • community service • volunteer hours
- *Staff Engagement.* membership and involvement in professional associations • community service • conference participation • membership in local agencies • presentation and publication experience
- *Assessment and Accreditation.* departmental assessment projects • program reviews • accreditation projects

Assessment Team

The Division has an assessment team that supports student learning and success by providing leadership, oversight, and management for departmental and divisional assessment, evaluations, and institutional priorities. Members of the team formulate work groups to create and implement action plans for Assessment Plans and Reporting;

Communications; Data Gathering, Reporting & Analysis; Project Calendar, Student Voice Management Tool, and Trainings.

The Assessment Team meets regularly to ensure that the division is [assessing divisional effectiveness](#) and utilizing best practices. Timelines, progress reports, and processes for departmental annual reports, assessment plans, strategic plans and diversity plans are all functions and responsibilities created by the Assessment Team. Assessment Team responsibilities:

- Serves as the direct connection with departments in the Division of Student Life:
 - Acts as the primary personal communication resource for the Directors regarding proposed assessment initiatives; all initiatives related to assessment in each respective department must be conducted in consultation with and approved by Director or appropriate staff member in the department
 - Provides assistance and feedback on departmental assessment plans; based on divisional assessment plan and division strategic plan and priorities
 - Provides monthly reports on departmental assessment efforts
 - Provides support and training to staff within each department to ensure those who are creating assessments are utilizing appropriate questions and protocols appropriate for the type of assessment being conducted; and
 - Assists departments in utilizing their findings for continuous improvement
- Examines current assessment initiatives to evaluate current practices, programs, and initiatives to identify cross-departmental assessments
- Provides relevant data gathered through divisional or departmental assessments across the division
- Responds to data requests within the Division of Student Life
- Provide training for the Division of Student Life staff related to assessment, evaluation, and research
- Serves as a warehouse of information related to NSSE, CAS Standards, agency appropriate standards, SACSCOC Core requirements, and standards for the Division of Student Life
- Provides resources and information related to assessment and work of Assessment & Divisional Effectiveness to all constituents

The Assessment Team has developed an informative agenda that focuses on increasing accountability and credibility, enhancing the culture of assessment and evaluation, and improving efficiency at the Divisional and departmental level. The Division and its many departments use assessment data to “close the loop” to improve and enhance its program offerings and service delivery.

Annual Reports

The annual reporting processes provides units the opportunity to highlight achievements, challenges, student learning outcomes and program goals, assessment plans and outcomes, diversity and strategic planning progress, and contributions of division staff to university and division mission. To fully demonstrate the role and outcome of the annual reporting processes, examples of the past three years of annual reports, strategic plan and diversity planning updates are attached.

Annual Reports:

[2010-2011](#)

[2011-2012](#)

[2012-2013](#)

Strategic Plan:
[2013 Update](#)
[2011-2016](#)

Diversity Planning:
[2013 Progress Report](#)

Individual Department Summaries

Career Services uses a variety of assessments to understand the level of awareness and usage of services offered by the department, including some of its specific resources such as the Disability Careers Office and Hire-A-VOL. Employer and student feedback is gathered through surveys to measure the impact of the various job fairs and the on-campus recruiting program. Pre- and post-data collected from students in career classes allow the staff to develop meaningful curriculum. Graduation survey data collected each year helps the institution learn the first-destination (job, graduate school) of recent graduates registered with Career Services. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the Career Services [Assessment Summary](#). The annual divisional report for the [2011-2012](#) academic year and the annual statistical summary reports from the [2012-2013](#) academic year are attached.

The Office of the Dean of Students employs feedback from student and staff surveys to restructure organizational resources, develop new programs, create new programs and provide adequate professional development opportunities for staff, with the ultimate goal of meeting the needs of a diverse student body. The Dean of Students office identifies expected student learning outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results. The annual divisional reports for the [2011-2012](#) and [2012-2013](#) academic years for the Office of the Dean of Students is attached.

The Center for Leadership and Service uses results from user surveys, non-user surveys and student focus groups to help shape [departmental mission, vision, values](#), outcomes and program offerings. Post assessment tools collect participant feedback for the purpose of improving and expanding student engagement programs, as well as enhancing leadership training and course curriculum. The department also tracks community service activity of students and community partners to understand how student leaders access service opportunities and the ways in which their community service involvement affects their experience as well as the experiences of the community partner agencies. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the Center for Leadership and Service [Assessment Summary](#) and annual divisional reports for the [2011-2012](#) and [2012-2013](#) academic years.

The Office of Disability Services surveys each student after the intake meeting in order to make immediate changes as necessary. Interpreters and Transcribers received feedback regarding the quality of service provision via a student survey. Through a survey of faculty members, the office assesses the effectiveness of its Testing Center processes and procedures. The use of a student focus group will help the office better understand the needs of students with disabilities in order to inform future practices. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the Office of Disability Services

[Assessment Summary](#) and annual divisional reports for the [2011-2012](#) and [2012-2013](#) academic years.

RecSports utilizes a variety of tools to assess its impact on student learning and engagement. This includes tracking participant numbers on a semester basis, inclusive of fee paying students, constituents with paid memberships and community groups. As well as students who are involved in sport clubs, aquatic programs, fitness programs, intramural sports and outdoor programs. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the RecSports [Assessment Summary](#) and annual divisional reports for the [2010-2011](#), [2011-2012](#) and [2012-2013](#) academic years.

Sorority and Fraternity Life conducts several assessment projects. A new member survey is conducted to seek information from student participants about their experience during recruitment for NPC sororities and IFC fraternities. The surveys also provide information about Greek student experiences and what they learn from their involvement in activities provided by the Office of Sorority and Fraternity Life, such as Officer Training Boot Camp and the Greek Leadership Initiative. Feedback from chapter presidents and council officers is also collected in the form of an evaluation survey to inform staff of general office accessibility and knowledge of office roles. In 2012, a report of retention rates was initiated. In addition, it has been determined that Sorority and Fraternity Life will publish data collected to better inform the public population. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the Sorority and Fraternity Life [Assessment Summary](#) and annual divisional reports for the [2011-2012](#) and [2012-2013](#) academic years.

The Center for Student Engagement (formerly Office of Student Activities), like each unit within the Division of Student Life, submits an annual report each May. The annual report details the challenges and achievements of each office in alignment with the University Top 25/Vol Vision Strategic Plan, assesses the effectiveness of its efforts, and describes any specific changes that occur as a result of that assessment. The annual reporting process also includes updates to unit specific strategic plans, assessment plans, and diversity plans. The Office of Student Activities traditionally conducts one large-scale user and non-user needs assessment every two years. These instruments reach nearly 5,000 students to help identify how to best serve both engaged students and students identified as not engaged with the office. Pre- and post-tests are conducted with student leaders to gauge student learning and development. Annual divisional reports for the [2010-2011](#), [2011-2012](#), and [2012-2013](#) academic years are provided for the Office of Student Activities (predecessor of the Center for Student Engagement).

Student Conduct and Community Standards (formerly Office of Student Judicial Affairs) conducts assessment projects that evaluate student experiences with probationary meetings. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the Student Judicial Affairs [Assessment Summary](#) and annual divisional reports for the [2011-2012](#) and [2012-2013](#) academic years.

Student Media (formerly Student Publications) conducts several assessment projects. A biennial student participation survey is conducted to seek information from student participants about their reasons for involvement. The surveys also provide information about student experiences and what they learn from their involvement in student publications. Feedback from students in the form of a readership survey is also conducted to inform business practices. In addition, a writer's survey was initiated in 2012 to gauge

inclusiveness, appreciation of diversity, and overall working environment in the Student Publications office environment. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the Student Publication [Assessment Summary](#) and the annual divisional report for the [2012-2013](#) academic year.

New Student and Family Programs solicit feedback from students and parents regarding their overall experience at New Student Orientation. On an annual basis a survey is given to Parent Association members, as well as students of members to assess the impact of membership on both parent and student, as well as needs of parents and students. Pre- and post-assessment from students in leadership roles and welcome week attendees are conducted to better understand the extent to which the department contributes to divisional Student Learning Outcomes and Program Goals. The Office of New Student and Family Programs also works closely with our transfer student by offering [transfer orientation programs](#). A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the New Student and Family Programs [Assessment Summary](#) and annual divisional reports for the [2011-2012](#) and [2012-2013](#) academic years.

Center for Health Education and Wellness (formerly Safety, Environment, and Education Center, S.E.E. Center) conducts several on-going assessment initiatives that help inform its strategic plan, goals, mission and services. A University wide Health and Wellness survey is performed annually to inform programs and services related to alcohol prevention, interpersonal violence prevention, suicide prevention, wellness promotion and prevention. The S.E.E. Center facilitates the University's Alcohol Education Class (AEC). The office assess each class through participant survey and feedback. The AEC class assessment is utilized to help inform strengths and gaps in the alcohol education program and identify student learning through participation in AEC. The Center for Health and Wellness also collaborates with various campus constituents to [support our Veteran students](#). A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the S.E.E. Center (predecessor of the Center for Health Education and Wellness) [Assessment Summary](#) and annual divisional reports for the [2011-2012](#) and [2012-2013](#) academic years.

The *Student Counseling Center* conducts several assessment projects. Projects include participation in the Center for Collegiate Mental Health survey, participation in the Counseling Center Research Consortium and collecting feedback from student users regarding satisfaction with programs and services. Training evaluations are also conducted and feedback is used to help inform future and on-going training and development. The Counseling Center also conducts ongoing assessment of its Community Intervention efforts concerning the effectiveness of its suicide prevention program and the Center's efforts at reaching identified at-risk groups. Annual divisional reports for the [2011-2012](#) and [2012-2013](#) academic years are attached.

The *Student Health Center* conducts several assessment initiatives. Patient appointment no show studies, peer review chart audits, and routine examination of practices and services provided all help to inform future business practices and improve overall service delivery. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the Student Health [Assessment Summary](#) and annual divisional reports for the [2011-2012](#) and [2012-2013](#) academic years.

The University Center conducts various assessments initiatives each year. Training assessments are also conducted and the feedback helps to inform future training. Academic initiatives are also evaluated and assessed on an on-going basis. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the University Center [Assessment Summary](#) and the annual divisional report for the 2012-2013 academic year.

University Housing conducts various assessments initiatives each year. Assessment projects include collecting feedback from students and staff on the overall program effectiveness of the housing program through use of educational benchmarking. Training assessments are also conducted and the feedback helps to inform future training. Academic initiatives are also evaluated and assessed on an on-going basis. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the University Housing [Assessment Summary](#) and annual divisional reports for the 2011-2012 and 2012-2013 academic years.

Dissemination of Information to Campus Community: "[You Spoke – We Listened](#)"

On an annual basis each unit within the Division of Student Life submits an annual report that documents departmental goals and accomplishments as well as an assessment plan. The annual report also outlines how assessment results have been used to improve student learning outcomes and program goals. Individual departmental annual reports are compiled and organized to produce the Division of Student Life's annual report. Once completed, the Division of Student Life's Annual Report is distributed throughout the campus community. In addition, the "You Spoke-We Listened!" initiative communicates to students how their feedback was used to improve and expand involvement and engagement programs. The initiative also details how student feedback has been integrated into Student Life renovation and new construction plans and projects.

Student Support Services Provided by Administrative Support Units and University Programs

UT educational support is provided and assessed by several administrative support units and university programs, coordinated in part through The Office of the Provost, to include the graduate school and off-site locations, along with other offices such as the Office of Research and Engagement. Assessment practices vary among units and departments and are detailed below. These offices support the [UT mission](#), *to move forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world.*

Annual Reporting:

Many units within the Office of the Provost and the Office of Research and Engagement submit an annual report. Most annual reports detail the achievements of each office in alignment with the University Top 25/Vol Vision Strategic Plan, assesses the effectiveness of the unit's efforts, and describes any specific changes that occur as a result of that assessment.

Annual Priority Planning:

Priority planning occurs from October through December each year. During this time, departments present an annual report and a list of priorities based on an assessment of services. The priorities are aligned with the mission, goals, of the department and the University. In addition, the priorities are aligned with Top 25/Vol Vision Strategic Plan.

Departmental Assessment:

The departments that function within student support services regularly utilize various assessment collection and analysis to improve support. Some of these activities include staff observations, student evaluations, and data collection related to student success such as GPA, retention, and graduation rates.

Dissemination of Information:

Annual reports are provided prior to the annual priority planning period to assess progress and implement further strategies for success. These reports highlight achievement and also list initiatives to further the department's development. Reports are disseminated through various methods, and the below unit summaries illustrate dissemination efforts for each unit.

Individual Department/Unit Summaries

Each of the eleven academic colleges reports to The Office of the Provost through their respective Academic Dean. Colleges are responsible for supporting their students to matriculate through their major programming. For more information on Academic Colleges, refer to [CR 2.7.2](#), which discusses program content, and [CS 3.4.9](#), which provides information for academic support services.

The Department of Chemistry utilizes tutors that provide group or individual assistance to students needing assistance with introductory [general](#) or [organic](#) chemistry. They provide a schedule of tutoring session on the department website and work collaboratively with the Student Success Center and Multicultural Student Life to reach students. Additionally, they have available to all students a flyer that provides information about success in freshman chemistry and tutorial center location and times (flyer pages [2](#) and [3](#)).

The Math Tutorial Center annual assessment reporting includes summary of the written evaluations left by students in a feedback box, the computer-driven data on student visits to the center, and considerations of informally collected data such as emails from faculty and spoken remarks. This summary is given to the department chair. Evidence based on assessment includes increased attendance on the part of students, decreased complaints from constituents (faculty, students, administration, and tutors), decreased rates of tutor attrition, decreased problems observed by directors during center visits, and record-level diversity among tutor staff. The math department chair shares results with relevant deans to discuss policy/funding issues.

The Music Learning Center reports directly to the Director of the School of Music. Since the School of Music is providing the bulk of the funding for the Music Learning Center, the Director is informed of the number of hours of tutoring each month. The faculty coordinators assess the results of tutoring offered by the Music Learning Center at the end of each semester through the Tutoring Session reports filed by the tutors. The coordinators look at the number of hours tutored, the grades of the students being tutored and the evaluations of the tutors. Evidence of improvement based on assessment results include an increase in the number of students using the tutoring center, and an increase in the understanding of the students, hopefully resulting in passing student grades. The Music Learning Center shares the results of its assessments with the Director of the School of Music and through various presentations to campus partners and academic colleges.

The Writing Center, housed in the English Department, regularly tracks utilization data and recently received the "Writing Program Certification of Excellence" from the Conference on College Compensation and Communication. The Writing Center also used assessment data

to revise curriculum for English 103 and English 104 and provides resources for faculty for assessing student writing and writing development.

Undergraduate Academic Advising is critical to student success; consequently, all University of Tennessee students are required to meet with an academic advisor to create an academic plan and enroll in courses. As part of the Vol Vision strategic plan, undergraduate advising has been strengthened with the addition of additional professional advisors and the addition of directors of advising in the two colleges where the associate dean previously handle that role. The goal was to become more intentional with advising. Academic Advising is structured through each of the nine colleges and, as such, is decentralized across campus. However, the Directors of Academic Advising meet with the Assistant Provost for Student Success. Refer to [CR 2.7.2](#), which provides program content, and [CS 3.4.9](#), which provides a list of academic support services, for further information related to Academic Advising.

The Center for International Education's (CIE) principle role is to lead, coordinate, and support the university's strategies for global education, research, and engagement, and the Center regularly collects utilization data and publishes the information on their website through Fact Sheets. Various units also conduct regular assessment and report their results to the CIE.

The Educational Advancement Program is a U.S. Department of Education funded TRiO project that provides supportive services to first generation, low income, and/or students with disabilities for the purpose of ensuring their good academic standing, retention in, and graduation from college. The Program serves 250 students, two-thirds of whom must be first generation and low income or students with disabilities. The Program Plan of Action includes a recruitment, intake and assessment process, and a comprehensive set of intervention activities in the following categories: Academic Coaching, Tutoring, Special Instruction, Strategies For Academic Success Workshops, Career Exploration Seminars, Cultural Mentoring Outings, Financial Literacy, Financial Aid, Pell Grant Supplement Advice and Support, and a Graduate Research Institute. U.S. Department of Education (USDOE) mandated and measured standard outcomes on the four aforementioned objectives are collected annually, and utilized as prior experience by USDOE to determine future funding. The program has served approximately 750 students over the last five years, and 6,000 over the last 35 years; 71 percent of those students have been first generation and low-income, or students with disabilities. Data reveals that 85 percent of EAP participants have attained a GPA of 2.0 or better and that that EAP participants have registered a persistence rate of 86 percent. The Program has achieved an 85 percent graduation over the last 12 years. An examination of the table in the EAP Annual Report will reveal rates that exceed the national six-year rate of approximately 60 percent, and the University of Tennessee's rate of 65 percent. For more details, reference the EAP Annual Performance Reports for the [2010-2011](#) and [2011-2012](#) academic years. Also provided is the program evaluation plan for the [2013-2014](#) academic year.

The Office of Financial Aid and Scholarships coordinates the federal, state, institutional, and external aid programs for the University. Required annual audits are administered by the State and other audits are administered periodically by the designated State Agency or the University's Office of Audit and Consulting Services. In 2012-13, the Office of Financial Aid and Scholarships administered more than \$260 million in student aid. Two separate audits, the A-133 Federal student aid programs audit and an Athletic Aid audit, were conducted in 2012-13 regarding the administration of these programs. Both audits concluded with no substantive findings regarding the Office of Financial Aid and Scholarships. In addition, the Office of Financial Aid and Scholarships randomly samples Free Application for Federal Student Aid (FAFSA) applicants to verify selection criteria as part of the U.S. Department of

Education Quality Assurance Program. Evidence of improvement based on assessment results include the following. During the 2012-13 academic year, the Office randomly sampled 634 FAFSAs. Of that number, 527 completed the process and enrolled Fall 2012. Further evidence is illustrated by analysis on the 527 aid applications to identify substantive trends in applicant errors. From this analysis, the Office established their verification criteria for the 2013-14 award year. As a state entity, audit results are available as public record through the office or agency that administers each audit and on the University of Tennessee Controller's Office website.

One Stop Express Student Services is a new department within the Division of Enrollment Services that opened in the summer of 2013. One Stop will conduct regular assessments of primary services, and report these to the Assistant Provost for Enrollment Services and other administrators as requested. One Stop will use several methods to measure operational performance and make data-informed decisions about the department including satisfaction surveys and key performance indicators. Examples of satisfaction surveys include: (1) surveys for individual transactions with One Stop, (2) in partnership with the Office of University Housing, annual surveys of on-campus students through the ACUHO-I/EBI Resident Assessment tool, (3) in partnership with the Office of New Student and Family Programs, annual surveys of current members of the UT Parent's Association through the Parents Association weekly e-newsletter, and (4) in partnership with the Office of Communications and Marketing, annual surveys of current students through the Student@TN e-newsletter. Examples of key performance indicators include departmental metrics regarding phone, email, and walk-in transactions.

Since the inception of the First-Year Studies department in 2011, the programs and courses of the First-Year Studies department have been in transition to a single unified unit. As such, reporting for individual programs has been separated. Separate reports exist for the Life of the Mind program (in conjunction with a larger campus initiative – Light the Torch), and the UT-Pellissippi State Community College (PSCC) Bridge Program. Each report has been submitted on an annual basis, since 2011. The first-year seminars and peer mentor program have been in a state of transitional ownership; thus, no annual report has been drafted in recent years. Examples of assessment in practice prior to 2013 include the following. As a result of the annual FYS 100 student survey, which indicated that time management is the largest success concern of first-term, the FYS 101 textbook and seminar content requirements were overhauled to include a greater time management focus. The UT-PSCC Bridge Program was converted into a living-learning community following the [2011-2012](#) Bridge Year End Report's indication that greater social cohesion was needed in the cohort. For full information on First-Year Studies assessment, please refer to the [2011](#) and [2012](#) Light the Torch Report and demographic information about the [FYS Peer Mentors](#).

The Graduate School and professional programs in the College of Law and the College of Veterinary Medicine conduct regular assessment practices are primarily conducted by faculty including student assessment of instruction survey, review of syllabus, curriculum, and program accreditation standards. The Graduate Council meets regularly and aims to promote excellence in graduate education through the establishment of standards for admission, retention, and graduation. The counsel regularly assesses curricular revisions and new proposals for graduate programs, evaluated interdisciplinary, intercollegiate, and international programs, approves individual to direct doctoral dissertations, and considers new initiatives and other matters of policy pertaining to graduate programs. The College of Law has seven strategic goals to help carry out the mission of the school and regularly publishes consumer information and rankings on its website. The College of Veterinary Medicine mission focuses on teaching, research and service and routinely publishes their strategic plan on their website.

The Office of Multicultural Student Life conducts a needs assessment on a bi-annual basis, in effort to better understand the needs students who are users and non-users of MSL sponsored events, programs and services. Pre- and Post-assessments are used to measure the learning of peer mentors, peer tutors, student employees and student organization leaders. Multicultural Student Life also utilizes semi-structure interviews and focus groups to understand the impact of its academic support services on student success and to determine if multicultural competence is enhanced after participation in our diversity and multicultural education workshops. A summary of sample assessment initiatives for the past three years and how the data was used to improve the department's programs and services are provided in the Office of Multicultural Student Life [Assessment Summary](#). Note: As of the 2013-2014 academic year with the addition of the new position of Vice Chancellor for Diversity, the Office of Multicultural Student Life moved from the Division of Student Life to the Office of Diversity.

The Office of National Scholarships and Fellowships (ONSF) conducts an annual survey of all UT students who have completed a nationally competitive scholarship or fellowship application process utilizing the support systems offered by the ONSF. The ONSF also surveys the population of students selected to interview nationally, as well as named scholars for a secondary set of data. A comprehensive report of these results are submitted to the Assistant Vice Provost for Student Success each year in May, upon completion of the annual national scholarship cycle. Based on this information, the ONSF will modify its support services for students, including, but not limited to: adjusting campus deadlines and processes, building campus faculty selection committees, adding to the ONSF portfolio of national opportunities, and continuing to strengthen advising and instruction offered to students pre-application, focusing on developmental strategies for making the most of their UT experience. Survey data will also lead to the identification of outreach opportunities and highlight the necessity for high-impact collaboration with other units on campus that support excellence in undergraduate scholarship, including undergraduate research, leadership and service learning, and intentional international study.

The Office of the University Registrar disseminates its activities and accomplishments via a five-year strategic plan which is distributed annually to the Assistant Provost and Director of Enrollment Services. The goals are regularly reviewed, specific areas are assessed, and adjustments are made as needed, thereby closing the assessment loop. The Office of the University Registrar quantitatively monitor the use of services by tracking the number of transcripts produced, veterans certified, internal and external reports written, curricular changes processed, and committees/taskforces served. The Office also employs qualitative measures to recognize project-based accomplishments such as the implementation of uTrack, the transition to a One-Stop Express Student Services Center, and the completion of the online graduation application. One of the objectives in support of the outreach strategic goal was to increase participation on taskforces and university committees. In the past year, the Office improved campus service by eleven committees (Athletic Eligibility Committee, Compliance Review Committee, Faculty/Staff Campaign Committee, Institutional Data Set Committee, SACS Writing Teams, SIS Management Team, Strategic Planning Team, Strategic Tactics Team, Strategic Instructional Fund Committee, Syllabus Taskforce, Veterans Taskforce). Another objective was to organize one charitable giving or service project annually which was accomplished by raising \$250 to assist Super-Storm Sandy victims (via the Red Cross). More information about our goals can be found in the strategic plan. Detailed information can be found in the Office of the [University Registrar 2010-2015 Strategic Plan](#).

The Student Success Center (SSC) conducts yearly assessments of core academic support programs, which are compiled into a Comprehensive Assessment Report distributed to the Assistant Vice Provost for Student Success each year. Examples of qualitative and quantitative data collection include user surveys, staff observations, and utilization data collection. This data is analyzed yearly, and based on this analysis the SSC has incorporated several changes to meet student need and demand of academic support services, including changes to tutoring and supplemental instruction. Tutoring resources offered by the Student Success Center were initiated in 2011 in order to meet the needs of the University student populations and to support the University strategic plan and Vol vision. The SSC assessment of supplemental instruction includes the following: (1) assessment of longitudinal data of historically difficult courses at UT (minimum 200 enrolled students and at least a 20% D/F/W rate), and (2) from this assessment and in consultation with academic department heads, the SSC determines which courses would be most beneficial for SI sections. For full information on SSC assessment, please refer to the SSC [Comprehensive Assessment Reports](#).

The Thornton Athletics Student Life Center annual reporting consists of a comprehensive academic report initiated by each academic counselor, NCAA certification officer and compliance office. Department collaboration ensures accuracy of this annual reporting, and the Tutor Coordinator collects semester data from GradesFirst in regards to tutor usage and requests. All reports are then sent to the Provost and the Chancellor. Annual reporting consists of a comprehensive academic report initiated by each academic counselor, NCAA certification officer and compliance office. The Thornton Center then provides a PDF file to each sport administrator with a semester summary. Based on assessments, the Thornton Center works to adjust student programming to ensure provision of the optimal services necessary for student enhancement and growth. A recently initiated Pre-Game transition program for all incoming summer students to bridge the gap from High School to College life was made based on assessment. In addition, a high achievers program to initiate early contact between Graduate school offices, internships and employment was added. The Center continually works to improve data collection in order to better serve students and staff. The annual report is provided to the Office of the Provost and Chancellor. Semester summaries are provided to the departments. Internally, the website is updated with information annually.

Regular assessments of various kinds are conducted to assure that the University Libraries are supporting student and faculty needs. On a rotational basis, the UT Libraries conducts library user surveys, usability testing, focus groups, and observational studies. Formal faculty and student advisory groups (Deans Student Advisory group, Faculty Senate IT and Library Committee, Library Faculty reps group) are organized each year to provide feedback to the library administration. Spontaneous informal meetings over lunch are conducted with students and faculty to discuss ideas for library improvements. Suggestion boxes both physical and virtual collect user comments, questions, and suggestions. Among the improvements that have resulted from assessment findings include additional wireless printing stations, increased number of collaborative spaces for group work, quick print stations, quiet zones, additional laptops for check out, increased publicity on services, more food and drink options, more informal learning spaces, and specific resource acquisition, including digital and unique special collections. For more information, see Core Requirement 2.9 and Comprehensive Standards 3.8.1, 3.8.2, and 3.8.3, which provides information on library and other learning resources. Instructional and engagement activities are evaluated using a variety of formal, informal, and statistical methods. Library instruction for General Education courses is evaluated using mixed methods to gain statistical data, instructor feedback, polls and quizzes to provide immediate feedback to students, as well as assessment of student learning outcomes. Specialized, upper division instruction is

evaluated by a combination of student and instructor feedback and vetting the sessions and assignments between department instructors and librarian due to the tailoring of the material to the needs of the individual research projects. For more information, see Comprehensive Standard 3.8.2. Examples of assessment findings are provided in the following reports: 1) [Extended Hours Reports – 2007 and 2008](#); 2) [2009 In-Library User Survey Report](#); 3) [2009 LibQUAL+ Report](#); 4) [2009 UT Libraries Website Focus Groups Report](#); 5) [2012 Student Lunch Feedback Report](#); and 6) [2013 LibQUAL+ Report](#).

The *University Honors Program* currently utilizes a relational database, which allows tracks the progress of students in honors programs. The database includes student background information (name, permanent address, high school, gender, race/ethnicity, intended major), academics (program status (good standing, on probation, etc.), completion of curriculum requirements, GPA), thesis information (advisor, project description), research and ready for the world grant information (applied for, received). Based on analysis of this data, several changes have been implemented to improve student experiences, including increasing advising efforts. Chancellor's Honors Program students are required to complete an enhanced curriculum of 21+ honors-designated credit hours. As of March 2013, of 221 incoming freshmen in the 2008 Honors cohort, 77 (34.8%) had completed the required coursework. Increased advising efforts help students establish concrete plans in their first year to enable them to complete their honors curriculum.

The *Office of Undergraduate Research* in the Office of Research coordinates a number of [activities](#) to engage undergraduate students in research including: Exhibition of Undergraduate Research and Creative Achievement (EURECA), Research Week, Posters at the Capitol, Undergraduate Summer Research Internships, *Pursuit: The Journal of Undergraduate Research at the University of Tennessee*, and the Undergraduate Research Students' Association (founded in 2010). Over the past five years, the EURECA exhibition has grown from 250 student participants to 415. Numbers of submissions to *Pursuit* has varied each year since inception with a total of 66 articles being published over a four year period (2010-2013).

Conclusion

The University of Tennessee, Knoxville, offers a broad array of academic and student support services to assist students in progressing from admission to graduation. Over the past four years with the adoption of the Vol Vision Journey to the Top 25 Strategic Plan, UT has initiated better assessment of programs to determine effectiveness and make changes based on the assessment. Thus, demonstrating compliance with this standard.

3.3.1.4 Institutional Effectiveness: Research

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.4 research within its mission, if appropriate.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution and is a member of the University of Tennessee System (System). The primary mission of UT is to move forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world. As the preeminent research-based, land-grant university in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions. As such faculty, staff, and students are engaged in research that ranges from basic to applied.

UT's Carnegie Classification is Research University ([very high research activity](#)). Undergraduate admission is highly selective and admission to graduate and professional programs is also competitive. Graduate offerings include master's, doctoral, graduate certificate, and professional programs that focus both on research and practice. Nationally ranked programs, as well as our partnerships with Oak Ridge National Laboratories (ORNL), and other UT System campuses and institutes (see [Comprehensive Standard 3.13.4.b](#) System Operation) are among UT's unique characteristics. All tenure and tenure-track faculty (see Faculty Handbook, Section [2.23](#)) are expected to engage in research and scholarly activity. Non-tenure-track faculty with research professor appointments are also expected to be fully engaged in research and are evaluated solely on their research performance (see Faculty Handbook, Sections [4.1.2](#) and [4.2.2](#)). The number of faculty successfully receiving externally funds for their research has increased by 46% over the past five years resulting in a 106% increase in funds available for research.

In spring 2010, UT received a challenge from then Governor Phil Bredesen to become a Top 25 public research university. The campus underwent a strategic planning process to benchmark metrics and practices, and developed a strategic plan titled [Vol Vision - Journey to the Top 25](#). The System President Joseph A. DiPietro, the System Board of Trustees, Governor Bill Haslam, and the legislature have supported the effort in many ways. Research is one of five main themes in the campus Top 25 strategic plan developed during the 2010-2011 academic year. The [Research Strategic Action Plan](#) resulted from listening to faculty from all disciplines, evaluation of recommendations from campus-wide committees, and the goals and objectives in the university's Top 25 strategic plan. Since completion of the plan, a new Vice Chancellor for Research and Engagement was hired and revisited the plan.

The UT Office of Research and Engagement (ORE) vision statement supports the UT mission and strategic plan:

Fostering excellence in research, scholarship and creative activity across all disciplines; promoting transdisciplinary discovery; and facilitating external partnerships to enhance the discovery enterprise and its impact to society.

ORE drives the campus research enterprise by providing technical expertise in proposal development, faculty development, sponsored programs administration, and compliance requirements. The office assists with identifying external funding opportunities and administering internal funding programs. It is also responsible for managing TERA, the electronic research administration system. Nine of the ten System/ORNL Governor's Chairs have built their research enterprises on the Knoxville campus; three have helped expand capabilities in nuclear safety, nuclear radiation, and environmental biotechnology. Providing state-of-the-art research facilities is a primary consideration in our building plans and "core facility" plans, which help bring more large-scale technology and equipment to laboratories through cost-sharing arrangements.

The Vice Chancellor for Research and Engagement (Vice Chancellor) realized that changes were needed to make the office more effective and responsive. The action items contained in the strategic plan represent the overarching comments received from multiple groups. Under the leadership of the recently appointed Vice Chancellor, the ORE held three listening sessions during the winter 2012–2013. About 106 people attended the three sessions. The first session consisted of ORE staff and groups on campus that the division works closely with to achieve its mission, including

- Upper administration, center and institute directors that report to ORE, deans, associate deans, and ORE staff
- Deans, department heads, center and institute directors from colleges, and ORE staff
- New faculty, assistant professors, associate professors, full professors, chancellor professors, distinguished scientist, governor chairs, joint faculty, faculty senate officers, research council members, undergraduate students, graduate students, and ORE staff

Participants in each session were divided into small groups and asked to answer 21 questions. Revisions to the strategic plan were made based on the feedback ([Appendix 3.3.1.4-A](#), Revised Strategic Initiatives and detailed [Research Strategic Plan](#), January 2014).

Each action item of the strategic plan was reviewed at the end of each fiscal year by the person responsible. The ORE issues a report in the fall of each year detailing progress made. The research and scholarly work of the faculty is also assessed annually through the annual performance review process, annual retention review (tenure-track faculty) along with tenure, promotion, and cumulative performance reviews (see [Comprehensive Standard 3.7.2 Faculty Evaluation](#)). Research in the academic departments is assessed as part of the Academic Program Review ([Appendix I, Section 5](#); [Appendix II, Section 4](#); [Appendix III, Section B](#)) which has been revised to demonstrate departmental contribution to the strategic plan.

Office of the Vice Chancellor for Research and Engagement

The Office of the Vice Chancellor for Research and Engagement operationalizes the research enterprise of the university, works to fulfill the goals of the campus's strategic plan, and provides essential data on research activities. The organizational [chart](#) outlines the structure of the office which includes

- Community Engagement and Outreach

- Undergraduate Research
- Compliance and Responsible Conduct of Research
- Faculty Development Team
- Office of Sponsored Programs
- Research Development Team
- Research Finance and Administration
- Research Informatics
- Research Centers and Institutes
- Joint Institutes (with ORNL)

The Office of Research and Engagement provide updates on progress to strategic metrics in quarterly reports and annual reports distributed via email to the campus and via the Internet to other constituents. Sample annual reports included are:

- [Fiscal Year 2010](#)
- [Fiscal Year 2011](#)
- [Fiscal Year 2012](#)
- [Fiscal Year 2013](#)

Three years ago, ORE instituted a process for either campus or college-based centers to undergo review on a [regular basis](#); two review forms are used - [campus-level](#) and [college-based](#). Review committee findings for reviews of the Center on Deafness ([November 8, 2013](#)) and The Institute for Environmental Modeling ([May 12, 2014](#)) are included as examples of these reviews. The ORE also has a process by which faculty may [create new campus center](#), institute or bureau which includes the need to develop an evaluation plan to determine progress and success.

Conclusions

The University of Tennessee, Knoxville (UT) has research as part of its mission. Evaluation of research quality is made through annual and cumulative performance review, and tenure and promotion review of faculty. The Vice Chancellor for Research and Engagement has oversight responsibility for all functions related to research including sponsored programs, compliance, faculty and student support and development, relationships with outside agencies, and review of research centers and institutions. Progress towards institutional goals is measured through metrics specific to research in the strategic plan and is reported out to the university community, the System Board of Trustees, and key decision makers by the UT campus Vice Chancellor and Chancellor. UT demonstrates compliance with this standard.

3.3.1.5 Institutional Effectiveness: Community/Public Service

The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

3.3.1.5 community/public service within its mission, if appropriate.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the flagship campus of the University of Tennessee System (System) with a Board of Trustees providing oversight to all campuses and institutes within the UT System. The UT System is led by a President, to whom the Chancellor for the University of Tennessee, Knoxville answers. The University of Tennessee Institute of Agriculture (UTIA) is headquartered in Knoxville. The UTIA Chancellor has oversight for Tennessee Agricultural Research and UT Extension programs (federally supported outreach programs in agriculture, natural resources, family and consumers, youth development and 4-H) across the state. The Institute for Public Service (IPS), another unit of the University of Tennessee System, provides university expertise for communities and workplaces by consulting daily with government, law enforcement and industry leaders to improve efficiency and performance of government and businesses. IPS is led by a Vice President who answers directly to the UT System President. As a result of the Fifth-Year Interim Report, the University of Tennessee was reorganized by separating out the UT System administration, the UTIA, and the IPS from the University of Tennessee, Knoxville (see Comprehensive Standard [3.13.5.b](#) for a discussion of the reorganization). The organizational structure and relationship between UT, IPS, and UTIA is detailed in [CS 3.13.4.b](#) Description of System Operation. Therefore, these programs are not addressed in this compliance report, as would be expected for other land-grant universities.

At the same time as the reorganization was occurring, the UT Knoxville campus had undergone strategic planning. Our mission statement recognizes outreach as an important function of the University:

to move forward the frontiers of human knowledge and enrich and elevate the citizens of the state of Tennessee, the nation, and the world. As the preeminent research-based, land-grant university in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions.

The Vol Vision-Journey to the Top 25 action plan covers five strategic goals for becoming a Top 25 public research university. One of the strategic priorities ([page 4](#)) is to *strengthen our capacity and productivity in research, scholarship, and creative activity to better educate our students; enhance economic, social, and environmental development; support outreach to our various constituencies; and extend the reputation and recognition of our campus.* One of our institutional [Values](#) is *engagement with our local and extended communities, embracing intercultural and global perspectives.* The Vol Vision Journey to the Top 25 action plan document includes an outline of current efforts to change the [faculty productivity and benchmarking](#) review process. The program review changes explicitly include *defined and consistent program output metrics [for] undergraduate, graduate,*

research, and community engagement. These metrics will impact evaluations of faculty productivity and [support] faculty rewards and strategic planning initiatives.

Establishing a Coordinating Structure for UT's Outreach Mission

Outreach occurs in three basic ways through 1) faculty and community partnerships to address needs of different constituents, 2) formal course and academic-program based instruction for students, and 3) informal volunteer programs for students, faculty and staff. Three units on campus have taken the leadership in each of the three areas; these connect the UT's outreach mission to its education and/or research missions, in support of the stated strategic goals and priorities of UT.

Table 3.3.1.5-1: Mission-based public service at the University of Tennessee, Knoxville

Unit	Academic Outreach and Community Engagement
Office of Community Engagement and Outreach (Office of Research and Engagement)	Coordinates and facilitates a broad and diverse set of community-campus partnerships, providing community engaged scholarship and community engaged research opportunities for UT faculty.
UT Service-Learning (Office of the Provost)	Engages faculty and community partners in course-based service-learning experiences that enhance students' academic learning while pursuing solutions to society's most pressing problems.
Center for Leadership and Service (Division of Student Life)	Educates and engages all UT students to lead and serve the global community.

In 2012, a new Vice Chancellor for Research and Engagement was hired and reviewed the Vol Vision Strategic Plan. Organizational structure was established to operationalize the engagement elements of the strategic plan and has dedicated Top 25 strategic plan funding to establish the **Office of Community Engagement and Outreach** (OCEO) based within the Office of Research and Engagement (ORE). Vol Vision action plan metrics have since been added that measure our engagement by keeping track of formal partnerships, the number of UT participants, scholarly projects and national awards.

The Office of Community Engagement and Outreach (OCEO) is charged with advancing campus-wide coordination for community engagement. OCEO reports directly to the Vice Chancellor for Research and Engagement and has an advisory committee that includes members of the external community along with UT faculty, staff, students and administrators. OCEO works closely with a number of other offices which together form UT's coordinating infrastructure for community engagement. OCEO also serves as the point of coordination for Carnegie Foundation's elective Community Engagement Classification application (a [joint, collaborative application](#) between UT Knoxville and the UTIA). Undertaking the application process has allowed the institution to identify areas where improved assessment is needed.

The OCEO serves the entire institution; every OCEO initiative is informed by its core mission to promote and assess authentic, two-way partnerships based in mutuality and reciprocity. OCEO aligned its management of UT Vol Vision strategic plan funding for internally funded outreach grants with the application and review criteria for Association of Public and Land-grant University's (APLU) C. Peter Magrath award and are vetted by review teams including

both UT and community representatives. OCEO requires and publishes [end-of-project reports](#) for all funded projects on permanent webpages.

The competitive, peer-review process is also designed to support institutional priorities for external funding and the production of excellent, peer-reviewed scholarship. UT's submissions for the APLU C. Peter Magrath Award for community engagement have been selected as regional winner and national finalist in 2011, and were recognized with Exemplary Partnership Awards in 2011, 2012, and 2013.

Newly created, the **UT Service-Learning** mission is to engage faculty and community partners in meaningful, reciprocal, and impact-driven service-learning experiences that enhance students' academic learning, prepare them for democratic citizenship, and leverage their scholarship towards the pursuit of multi-faceted solutions to society's most pressing problems. Many of the service-learning experiences result from the faculty engagement in activities supported by the OCEO.

In keeping with the mission of the University, the desired outcomes of UT Service-Learning are documented in an initial, two-year strategic plan and include the following [five goals](#):

1. Institutionalize service-learning processes for faculty and community partners
2. Foster institutional awareness of best practices in service-learning
3. Facilitate matching of faculty and community partners regarding service-learning opportunities
4. Develop systems for tracking service-learning activity
5. Build the capacity of service-learning on campus

UT Service-Learning has established measurable objectives for each of its five strategic goals, and has implemented a number of ongoing processes by which UT service-learning courses can be monitored and assessed.

As of spring 2014, service-learning at UT, is now a formally defined, course-based activity, with an initial group of S-designated courses from nine different UT colleges now underway. The Undergraduate Council [approved](#) the S-designation at the April 8, 2014 meeting (detail provided on [pages 4 through 9](#)). Service-learning courses, therefore, will first appear in the 2014–15 Undergraduate Catalog, and then also will be reflected on student transcripts beginning fall 2015. UT learning outcomes for students' curricular engagement with community are specific to courses and programs.

Following standard service-learning practice, academic credit for UT curricular student engagement is given for learning, not for service. Faculty applying for formal S-designation for their service learning courses are required to identify the learning outcomes for the course that will be advanced through the service-learning project or experience and describe how they will evaluate the extent to which the outcomes were advanced.

The University of Tennessee piloted a service-learning course designation during the 2013–2014 academic year, with nine pilot courses representing eight of the 11 colleges; these are:

- College of Architecture and Design: Architecture 483 Advanced Architectural Design–Urbanism
- College of Arts and Sciences: Sociology 495 Social Justice and Community Service

- College of Agricultural Science and Natural Resources: Agricultural Leadership, Education, and Communication 450 Ag Leadership Development
- College of Communication and Information: Information Science 554 Public Library Management and Services
- College of Education, Health and Human Sciences: Education 100 Special Topics - Service-Learning
- College of Engineering: Civil Engineering 400 Senior Design Project
- College of Law: Law 948 Public Defender Externship
- College of Nursing: Nursing 382 Health Promotion and Maintenance in the Community
- College of Veterinary Medicine: Veterinary Medicine 893 Clinical Rotation in Large Animal Clinical Services III Equine and Farm Animal Field Services

In an initial screening of courses offered in 2012-2013 academic year, the Service-Learning Steering Committee reviewed courses using the adopted formal process and criteria; the committee ratified 333 course sections for 2012-13 that would have been eligible for UT's formal service-learning designation, had the current designation then been available. This figure represents 38 departments (61.2 percent), 6.9 percent of all UT courses taught in 2012-13, and 1.8 percent of all course sections taught that year. 2012-13 participants included 5,826 students (21.5 percent) and 188 faculty (12.8 percent).

Most service-learning students participate in some sort of post-placement assessment such as a questionnaire or survey, which is then used to review and revise the placement process. Some service-learning course work culminates in a discipline-specific exam (such as the Veterinary program's "NAVLE," and the College of Nursing's "HESI") to determine whether the required disciplinary learning goals have been satisfactorily achieved. Exam results are used to improve future courses as well as to measure teaching and learning effectiveness.

The UT Service-Learning is in the process of developing mechanisms by which faculty and community partners will evaluate their experiences working with each other in a service-learning capacity. These mechanisms will be tied to the upcoming "S" course designation, and faculty applying for this designation will be asked to describe their processes for evaluating 1) the extent to which the intended student learning outcomes were advanced through the service project or experience, 2) the extent to which the need identified by the community partner was met through the service project or experience, and 3) if applicable, how the faculty and community partner will use their evaluative data to improve the partnership over time. The UT Service-Learning provides planning and assessment tools for use by faculty whose departments or colleges do not have existing planning and assessment mechanisms. Upon implementation of the "S" designation process, faculty whose courses receive the designation will be asked to provide the data from their assessments to the Service Learning Office to inform needed areas of growth and increased institutional support.

The **Center for Leadership and Service** (CLS) in the Division of Student Life has a history of providing volunteer opportunities to students within the greater Knoxville community. The Center employs a variety of programs and services, open to any student interested in furthering his or her leadership skills or serving those in need. All programs are voluntary, however, their goal is to provide a connection between students and focused-needs of the community: hunger and homelessness, literacy, the environment, global issues, women's issues, and healthcare. The Center two years ago instituted an assessment plan and report out regularly to the Vice Chancellor for Student Life ([2012-2013 annual report](#)).

CLS annually surveys more than 100 partner organizations to determine perceptions of overall university engagement and efforts of individual students with whom they have worked. UT Student Life aggregates community perceptions as part of a division-wide Engagement Assessment. When a community partner survey showed a community perception that the university could improve its *giving back culture*, institutional funds were allocated to expand an optional orientation program for incoming students to include a week of community-engaged service.

Future Plans

Because many of our current outreach efforts are integrated into our teaching and research programs, the above three offices are establishing processes by which various outreach and service functions can be assessed in a more formal process. The goal is to use community engagement assessment data to guide priorities and resource allocation decisions, as well as to enhance the capacity and competence of our research, teaching and outreach functions. In addition to advisory boards at institutional and unit levels, mechanisms that systematically assess community perceptions of the campus-level mission and strategic plan for community engagement will involve an array of tools that are created and deployed at the unit or department level. UT will also incorporate mechanisms to ensure the input and feedback of partners in the planning, assessment and improvement cycles at all levels. An example of unit-level assessment methods includes UT Office of the Vice Chancellor for Diversity (Note: This is a newly created position and an outgrowth of reorganization of diversity functions at the System, campus and institute levels, and was identified as an action in the Vol Vision Strategic Plan; first Vice Chancellor hired in June 2013) held listening sessions with diverse external communities to inform an inaugural set of programs and infrastructure. A session held in [October 2013](#) with members of Knoxville's Latino/Hispanic community focused on such questions as 1) How is UT viewed in the Latino/Hispanic community?, 2) How is the UT community engaged with the Latino/Hispanic community?, and 3) How would you like to see UT engaged with the community?. These listening sessions with diverse external communities informed the development of an inaugural set of programs and infrastructure. Plans are in place to ensure community member involvement in articulating a vision framework (summer 2014) which will become the basis for community-campus discussion and goal setting to begin fall 2014.

Finally, the UT System Board of Trustees has a Research, Outreach and Economic Development Committee responsible for assessing programs. With oversight from UT System Board, community engagement activity is reported through a statewide [online dashboard](#) (includes data from the UT campus identified as UTK on graphs and tables) that increases public accountability for the engagement efforts of all System campuses and institutes. Assessment is coordinated at the campus level by members of the Outreach and Engagement Community of Practice.

Conclusion

Under direction provided by the Provost and Senior Vice Chancellor, by the Vice Chancellor of Student Life, and by the Vice Chancellor of Research and Engagement, UT's mission for community engagement and outreach will be coordinated, assessed, and continually improved upon by the three major divisions of the university. Rather than standing apart from the University's other missions of instruction and research, community engagement and outreach is being integrated into the same process of planning, evaluation, assessment and change implementation that applies to all other units.

UT's efforts to integrate community engagement with its mission have recently been given a clear structure. These efforts support the mission and the strategic plan's goals. The

narrative and supporting documentation provided here demonstrate the University's intentional and strategic commitment to community engagement and outreach, along with evidence that processes are being established to regularly evaluate the work, and the evaluation data will be used for continual improvement.

3.3.2 Quality Enhancement Plan

The institution has developed a Quality Enhancement Plan that (1) demonstrates institutional capability for the initiation, implementation, and completion of the QEP; (2) includes broad-based involvement of institutional constituencies in the development and proposed implementation of the QEP; and (3) identifies goals and a plan to assess their achievement. (**Note:** *This requirement is not addressed by the institution in its Compliance Certification.*)

Judgment

☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

3.4.1 Educational Programs: All: Academic program approval

The institution demonstrates that each educational program for which academic credit is awarded is approved by the faculty and the administration.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution. The university offers bachelor, master, and doctoral level programs as well as graduate certificates; UT does not offer associate degrees. Curricular proposals originate with faculty who follow policies for creation of new programs, discontinuance of programs, or modifications of existing programs as established by the University of Tennessee System Board of Trustees and the Tennessee Higher Education Commission (THEC). Faculty and administrators are engaged with each other throughout the process.

Authority over Curriculum

UT faculty members oversee the development of the curriculum, including new academic programs or closure of academic programs, as well as related academic policies and procedures. Final approval for new academic programs comes from the University of Tennessee System Board of Trustees and later the Tennessee Higher Education Commission (THEC). These responsibilities are referenced in a number of areas, including but not limited to the following:

- UT System Board of Trustees Bylaws ([Art. I, Sec. 2](#)): *The Board shall: (a) 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 shall be the function of the faculties;*
- THEC Policy for New Academic Programs ([Sec. 1.0.10](#)): *In accordance with Public Chapter 179 of the Legislative Act creating the Higher Education Commission in 1967, the Commission has the statutory responsibility to review and approve new academic programs, off-campus extensions of existing academic programs, new academic units (divisions, colleges, and schools) and new instructional locations for public institutions of higher education in the State of Tennessee.*
- UT Faculty Handbook ([Sec. 1.6](#)): *The faculty role in campus-wide governance is through the senate, the representative body specifically charged by the board (a) to formulate the university's educational standards and degree requirements, including approval of academic programs and their curricula; and (b) to consider, advise, and recommend to the administration policies about a wide range of issues affecting the general welfare of the faculty.*
- [Faculty Senate Homepage](#): *The UT Faculty Senate is the representative body through which the faculty participate in University affairs and shared governance. Through committees and a democratically elected legislative body it promulgates policies and regulations regarding the general educational objectives of UTK.*
- [Undergraduate Council Operating Guidelines](#): *The Undergraduate Council shall concern itself with standards for admission, retention, and graduation; with curricular matters in the undergraduate programs; with the development of interdisciplinary programs; with the approval of new programs and any other matters of educational policy pertaining to undergraduate programs.*

- **Undergraduate Curriculum Committee Guidelines:** *The role of the Curriculum Committee of the Undergraduate Council is to ensure consistency and quality of undergraduate curricula at the University of Tennessee. In this role, the Curriculum Committee makes recommendations to the council regarding the approval or denial of curricular changes submitted to the council for consideration.*
- **Graduate Council Bylaws (Art. I):** *The Graduate Council establishes standards for admission, retention, and graduation; assesses curricular revisions and new proposals for graduate programs; evaluates interdisciplinary, intercollegiate and international programs; approves individuals to direct doctoral dissertations; and considers new initiatives and other matters of policy pertaining to graduate programs. Graduate Council is a special committee of the Faculty Senate that works closely with the Graduate School and a variety of other campus bodies to fulfill its mission.*
- **Graduate Curriculum Committee Mission Statement:** *To ensure quality and consistency in the University's graduate programs and accuracy in the Graduate Catalog, the role of the Curriculum Committee is to make recommendations to the Graduate Council for the approval or denial of all proposals for curricular changes submitted by the academic deans.*

College-Level Curricular Change Process

All curricular proposals, regardless of format or mode of delivery, must be vetted and approved as each of the 11 College's bylaws dictate before being submitted to the appropriate university Curriculum Committee. If a college wishes to put forward a new academic major, the unit files intent to propose a new major through the college to the Provost and then the University of Tennessee System Vice President for Academic Affairs and Student Success who files the intent to propose a new major with the Tennessee Higher Education Commission (THEC). If THEC approves the intent to propose a new major, the unit can then continue in developing the full proposal for review and approval through the campus, university and THEC approval process.

As an example of a college process, the College of Arts and Sciences has a [College Curriculum Committee](#) and three [Divisional Curriculum Committees](#) that approve all curricular changes. All four committees meet at least once per semester. The divisional committees are organized along disciplinary lines: one committee for arts and humanities, one for natural sciences, and one for social sciences. Each divisional committee has one representative from each of the academic units in that division (the department head or her/his designee), two or three appointed student members (from the Dean's Student Advisory Committee), and a couple of members from other academic units. Divisional committees can reject proposals, approve a proposal "in principle" and ask for the revised proposal to be circulated within a week for an email vote, and approve proposals as written. Changes approved by the divisional committee go to the College Curriculum Committee for further consideration.

The members of the College Curriculum Committee include the faculty chairs of the three divisional committees, one of the College's Graduate Council representatives, two of the College's Undergraduate Council Representatives, three elected at-large faculty members, and three appointed student members (from the Dean's Student Advisory Committee). The College Curriculum Committee can reject proposals, approve a proposal "in principle" and ask for the revised proposal to be circulated within a week for an email vote, and approve proposals as written. Changes approved by the College Curriculum Committee are posted to the College website.

College bylaws have a provision that allows the College Curriculum Committee to forward any proposals that the Committee considers to be *major, significant, or controversial* to the entire faculty for a vote. The bylaws also allow a group of 25 faculty members to request that the College Curriculum Committee reconsider a change that the Committee approved. Such a request requires the College Curriculum Committee to meet again, either in person or by email, to reapprove or reject the change. This request must take place within three weeks of the date that the change is posted online.

After the three-week review period has elapsed, all changes approved by the College Curriculum Committee are forwarded to the Curriculum Coordinator in the Office of the University Registrar (for undergraduate changes) and the Curriculum Coordinator in the Graduate School (for graduate changes). There, the proposals for all Colleges are compiled for university-level review.

University-Level Curricular Change Process

Undergraduate and Graduate Curriculum Committees Approval

The Curriculum Coordinators set the curricular approval calendar at the [undergraduate](#) and [graduate](#) levels and prepare the agendas for the Undergraduate and the Graduate Curriculum Committee meetings. Submissions are due from the Colleges at least two weeks prior to the meeting. The agenda must be posted by the Curriculum Coordinators to the appropriate Council website at least one week prior to the meeting, at which time the committee members are notified by email.

The [Undergraduate Curriculum Committee](#) consists of sixteen members:

- Nine committee members are elected faculty members of the Undergraduate Council.
- Five committee members are ex-officio members of the Undergraduate Council (usually academic associate deans).
- One committee member is a student member of the Undergraduate Council.
- The Chair of the Undergraduate Council serves as an ex-officio member of the committee.

The [Graduate Curriculum Committee](#) includes a minimum of nine members:

- Eight committee members are faculty members of the Graduate Council.
- One committee member is a member of the Graduate Student Association appointed by the Dean of Graduate Studies.

The Undergraduate and the Graduate Curriculum Committees can reject proposals, approve a proposal “in principle” and ask for the revised proposal to be circulated within a week for an email vote, and approve proposals as written. Approved proposals are included in the Curriculum Committee minutes which are forwarded to the Undergraduate and the Graduate Councils for review.

Undergraduate and Graduate Councils Approval

The [Undergraduate Council](#) consists of approximately thirty members. Voting members include:

- Elected faculty members apportioned among the nine undergraduate degree-granting units according to the average number of degrees awarded during the prior

three academic years (1-300 degrees = one representative, 301-500 degrees = two representatives, 501-700 degrees = three representatives, etc.)

- One member of the ROTC faculty
- Four student members designated by the Dean of Students.

Ex-officio, non-voting members include the following (or their designees):

- the Assistant Provost of Enrollment Services
- the Dean of Libraries
- the Director of the Center for International Education
- the Chair of the Standing Committee on Advising
- the Director of the Honors Program
- the Director of the Tennessee Teaching and Learning Center
- the administrative officer having primary responsibility for undergraduate curriculum in each college or school (if that person is not a college or school representative)

The [Graduate Council](#) consists of approximately forty members. Voting members include:

- Elected faculty members apportioned among the graduate degree-granting units and intercollegiate programs according to the average number of graduate students enrolled in the previous fall term (1-300 students = one representative, 301-500 students = two representatives, 501-700 students = three representatives, etc.)

Ex-officio, non-voting members include the following (or their designees):

- the Dean of the Graduate School
- the Dean of Libraries
- the Director of the Center for International Education
- the Chair of the Research Council
- the administrative officer having primary responsibility for graduate curriculum in each college or for oversight of all intercollegiate programs (if that person is not a college or intercollegiate programs representative)

The agenda must be posted by the Curriculum Coordinators to the appropriate Council website at least one week prior to the meeting, at which time the Council members are notified by email. Any curricular change may be reopened for review and its implementation delayed by the Undergraduate and the Graduate Councils. Approved proposals are included in the Council minutes, along with other standing committee reports. The minutes are then posted online at least two weeks prior to the Faculty Senate meeting at which they will be reviewed.

Faculty Senate Approval

The Undergraduate and Graduate Councils minutes are reviewed and approved by the Faculty Senate. Any curricular change may be reopened for review and its implementation delayed by the Faculty Senate Executive Committee or the full Senate. Following Faculty Senate approval, new academic program proposals are forwarded to the academic officers for review.

Minutes for all Undergraduate Council, Graduate Council, and Faculty Senate meetings are available online and distributed to a variety of campus offices via an email listserv and posted to their respective webpages.

UT Administration Approval

The University of Tennessee System Board of Trustees does not require review and approval of changes to existing bachelor, master, doctoral programs or graduate certificates. Only the closure of programs or the addition of new programs requires UT System Board and Tennessee Higher Education Commission (THEC) review and approval. When new program proposals or program closures have received the appropriate signatures from the Provost and the Chancellor, the UT System Vice President for Academic Affairs and Student Success reviews and submits the proposal on behalf of UT to the Academic Affairs and Student Success Committee of the UT System Board. Once approved by this committee, the full UT System Board of Trustees reviews. If approved, the Vice President for Academic Affairs and Student Success forwards the proposal to THEC.

THEC and Board of Trustees Approval

If the UT System Board approves the program, the proposal goes to the Tennessee Higher Education Commission (THEC) for final approval. All approved programs are regularly monitored with regular reporting to THEC for a period of time as described in the THEC Report Academic Program Review:

- [THEC Post Approval Monitoring](#): five year review of enrollment and graduate projections, program cost, program progress towards (if applicable) and other goals agreed upon at the time of proposing the program.
- [THEC Program Productivity Review](#) (Low-Producing Programs Report): on-going monitoring of all programs in operation for more than five years is conducted to identify those that are not graduating a sufficient number of students as well as those that are thriving. The purpose of this review is to ensure that demand for the programs continues as is evidenced by the number of graduates produced.
- [THEC Performance Funding Qualitative Review](#): within the THEC Performance Funding accountability program, institutions are to demonstrate program quality through self-evaluations that include external reviewers or consultants.

Example of a Program Approval

A recent example of the approval process working is the recent addition of a Master of Fine Arts with a major in Creative Writing. This is a new academic major which was separated from the Master of Arts with a major in English. The department created the proposal for college review. Once approved through campus channels, the Vice President for Academic Affairs and Student Success at the UT System level informed THEC of the proposal separation of creative writing from the Master of Art with a major in English. THEC requested a full new academic program proposal with external consultant review, thus causing the delay between when the college approved the proposal and when the Graduate Council approved the proposal. UT has not had any new undergraduate degree programs go through the proposal process within the past five years.

Department of English, [Creative Writing MFA Proposal](#), Humanities Divisional Approval, September 19, 2011, and College Approval, October 19, 2011
Graduate Council Minutes, [January 31, 2013](#), and full details as forwarded approved by the Graduate Council Curriculum Committee, [January 17, 2013](#)
UT System Board Agenda Item from the Academic Affairs and Student Success Committee, [June 20, 2013](#)
UT System Board, Full Board Agenda, June 20, 2013, [Consent Agenda Item M](#).
UT System transmittal letter of [April 30, 2013](#) with full MFA proposal, [April 2013](#)
THEC approval of the MFA with a major in Creative Writing, [July 30, 2013](#)

Conclusion

The University of Tennessee, Knoxville, demonstrates through the Faculty Handbook, System Board of Trustees bylaws, Tennessee Higher Education Commission policies, and Faculty Senate, Undergraduate and Graduate Councils policies, that the faculty and the administration have authority to approve educational programs and, therefore, is compliant with this standard.

3.4.2 Educational Programs: All: Continuing education/service programs

The institution's continuing education, outreach, and service programs are consistent with the institution's mission.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the flagship campus of the University of Tennessee System (UT System) with a Board of Trustees providing oversight to all campuses and institutes within the UT System. The UT System is led by a President, to whom the Chancellor for the University of Tennessee, Knoxville answers. Outreach and engagement are reflected in the institutional mission statement as given in [Vol Vision: Journey to the Top 25, to move forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world](#). *UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions.*

Continuing Education Programs

The [Department of Conferences & Non-Credit Programs](#) reports to the Provost, and consists of [UT Conferences](#), [The Culinary Institute](#), [Professional Development](#), [Personal Development](#) and the [Smoky Mountain Field School](#). Professional Development offers an array of non-credit certificate programs including Paralegal Certificate, Healthcare Certificate, Unexploded Ordnance Technician Program, Photography Certificate, Computer Application Certificate, Advanced Human Resources Certificate, Landscape and Garden Design Certificate, Nonprofit Management Certificate, Supervisory Management Certificate, Process Improvement Certificate, and Project Management Certificate. Personal Development offers a wide array of courses in art, music, and culture; food and wine; health, fitness, and recreation; home and finance; languages and travel; and urban adventures. A catalog is available in print and on the web (<http://noncredit.utk.edu/catalog/index.html>).

The [University of Tennessee Space Institute](#) (UTSI) was established in 1964 as an extension of UT's campus, located in Tullahoma, Tennessee adjacent to the U. S. Air Force Arnold Engineering Development Center. UTSI has become an internationally recognized institution for its many graduate study and professional development and research [programs](#) in engineering, physics, mathematics, and aviation systems and with remarkable contributions at the local, state, national, and global levels. Thousands of engineers, scientists, and skilled craftsmen in industry and government have participated in UTSI's continuing education programs. All courses are conducted by the UTSI staff and by the most qualified persons available in education, industry, government and the private sector.

[Executive Programs](#) in the College of Business Administration (CBA) provides a broad suite of continuing education programming customized to solve organizational challenges. The CBA uses a proprietary approach that delivers high-quality education in condensed time-frames, providing significant value to participants and organizations. The CBA offers a comprehensive portfolio of non-degree short courses, both open enrollment and custom; and non-credit certificate/certifications in the areas of operations excellence (lean and process improvement), supply chain management/ logistics, leadership and general

management, and healthcare business solutions. The CBA is the first and only institution approved by the top professional supply chain management and logistics organization to provide continuing education credits for its members. The Council of Supply Chain Management Professionals (CSCMP) recently endorsed the center to offer credits through its Approved Continuing Education Provider (ACEP) program. ACEP is designed to be a registry of continuing education providers who have been approved by CSCMP based on its delivery of high-quality programs and courses to supply chain management and logistics professionals.

The Executive Healthcare Business Program recently won several international awards for its work helping medical teams around the nation improve their services and enhance the patient experience, including the 2014 Outcomes and Assessment Award for its work with the 325th Medical Group's Family Health Clinic at Tyndall Air Force Base in Panama City, Florida, as well as two of five major awards during the national conference of the Alliance of Continuing Education in the Health Professions, an international association that includes more than 2,200 medical, pharmaceutical, device and continuing education professionals. The alliance gives the award to recognize an entity's excellence in medical education.

The Social Work Office of Research and Public Service (SWORPS) develops and delivers management and employee development training to social service agencies, enabling each agency to meet its unique job-training needs. The SWORPS staff provides this training by collecting and analyzing data and by listening to the needs and goals of each agency's staff and working with agency administrators to develop appropriate responses to individual needs.

The Center for Transportation Research (CTR) provides continuing education and workforce development training to transportation personnel in local, state, and federal agencies, as well as to those in private industry. CTR provides seminars, workshops, and short courses in programs that include the Tennessee Transportation Assistance Program (TTAP), which conducts dozens of training courses each year, the Tennessee Academy for Transportation Engineering (TATE) non-credit certificate program for engineers, planners, designers, technicians, and other personnel working in the transportation field, Railroad Education & Training (RET) courses such as Railroad Track Inspection and Safety Standards; Railroad Track Inspection and Safety Standards for High Speed Rail; Track Inspection and Safety Standards for Rail Transit Systems; and Basic Railroad Track Maintenance, and the Traffic Signal Academy, offering comprehensive training on academic research findings and established best practices in signal timing procedures and policies regarding standards, warrants, installation and maintenance guidelines, and strategies to minimize the adverse effects of liability issues.

The College of Veterinary Medicine (CVM) provides continuing education courses for veterinarians, posting information about courses on their [website](#).

Outreach and Service Programs

Within the Office of Research and Engagement, the Office of Community Engagement & Outreach (OCEO) is charged with advancing campus-wide coordination for community engagement. OCEO reports directly to UT Vice Chancellor for Research and Engagement.

In 2012, the Provost and Senior Vice Chancellor and the Vice Chancellor for Student Life each established a new point of coordination to advance UT student outreach and community engagement. UT Service-Learning (UTSL) reports to the Vice Provost for Academic Affairs, while the Center for Leadership and Service (CLS) reports to the Vice Chancellor of Student Life. UTSL coordinates curricular service-learning partnerships

between faculty and community organizations and facilitates the review process for the service-learning course designation. CLS, meanwhile, focuses on co-curricular and volunteer student engagement. OCEO, UTSL, and CLS work closely with a number of other campus entities to coordinate and administer UT outreach and community engagement.

The [Chancellor's Academic Outreach and Engagement Council](#) includes faculty representation from all 11 colleges. Members work closely with the vice chancellor for research and engagement and the director of community engagement and outreach to develop policy, mentor faculty, serve on review committees, liaise with the Faculty Senate and continue their own academic outreach and community-engaged scholarship.

The [Institute for a Secure and Sustainable Environment's \(ISSE\)](#) multidisciplinary research staff comprises economists, biologists, ecologists, hydrologists, political scientists, planners, educators, communicators, chemists, engineers, accountants, soil scientists, sociologists, geographers, information-systems specialists, and historians. ISSE promotes improvement in regional water quality through community-based projects, outreach, education, training and community empowerment activities such as a \$500,000 watershed improvement plan in Beaver Creek watershed, the Knox County Adopt-A-Watershed program which has engaged thousands of K-12 students in service learning related to water quality improvement, state-wide professional development training for water quality protection (several hundred professionals per year), the Tennessee Smart Yards Program to educate homeowners about water-quality-enhancing landscaping practices and improvement of water quality in local watersheds through implementation of watershed improvement. The empowerment of local communities is a key component of ISSE's work.

The [UT Nonwovens Research Lab](#) makes its production lines available to private industry and government. Operators and engineers are available on-site to operate the machinery, troubleshoot and help determine product viability. Many products with global impact have been developed this way, such as lightweight radiation shield material, bio-absorbable products for medical use, flame-resistant shirts for firefighters, wraps for horses' hooves and biodegradable filters for household air and water filtration.

The [Howard H. Baker Jr. Center for Public Policy](#) is a nonpartisan institute devoted to education and research concerning public policy and civic engagement. Through classes, public lectures, research, and student initiatives, the center aims to provide policy makers, citizens, scholars, and students with the information and skills necessary to work effectively within our political system and to serve our local, state, national, and global communities. The Center offers a number of public lectures and programs on topics across the political spectrum, with a focus on its three main areas: Energy & Environment, Global Security and Leadership & Governance. To help promote policy-related scholarship, the Baker Center also is home to the Modern Political Archive featuring the papers of many Tennessee political leaders, including those of Senator Baker himself, Senator Fred Thompson, Ambassador Victor Ashe, and Governor Donald Sundquist.

The [University Assisted Community Schools Program](#) has been in place at Pond Gap Elementary School since 2009, and is designed to address unmet basic needs of children and their families to enhance their educational attainment. At-risk urban students at five schools thus far are enabled to create long-term, mentoring relationships with UT students and faculty based on the three tenants of prevention, collaboration, and systems-level thinking. Program initiatives include the provision of health services to students and their families; mental health screenings; academic support for students and their families; and financial support for the families. In 2012-13, 100 Pond Gap Elementary students participated, along with 55 students who were engaged in summer activities, 125 UT &

Pellissippi State Community College students during the regular school year; 20 UT students in summer programs., and 40+ parents in G.E.D., language and cooking classes.

A wide array of cultural offerings for the community are offered by various programs in the arts. UT is home to the Clarence Brown Theatre, the McClung Museum of Natural History and Culture, and The Ewing Gallery of Art and Architecture. The UT Downtown Gallery provides the Knoxville community an opportunity to see works by UT Master of Arts students. UT School of Music offers more than 200 recitals and concerts per year and most are free to the public. One hundred faculty in music, art and theater programs carry out a long-standing partnerships with arts and cultural groups, which include, but are not limited to, the Knoxville Symphony Orchestra, Knoxville Opera Company, Knoxville Jazz Society, Knoxville Museum of Art, Arrowmont School of Arts and Craft and the Joy of Music Youth School.

The Department of Intercollegiate Athletics sponsor each summer over 10,000 youth participate in camps hosted by UT athletic coaches and staff.

The University of Tennessee Institute of Agriculture (UTIA) is headquartered in Knoxville and is composed of two academic units, College of Agricultural Sciences and Natural Resources, College of Veterinary Medicine; and two non-academic units, AgResearch (formerly, the Tennessee Agricultural Experiment Station) and UT Extension programs across the state. The UT Extension and AgResearch programs are not addressed in this compliance report, as would be expected with other land-grant universities, because they are not responsible to the UT Knoxville Chancellor. The organizational structure and relationship between UT and UTIA is detailed in [CS 3.13.4.b](#) Description of System Operation.

Conclusion

The University of Tennessee, Knoxville provides an array of high-quality, mission-based continuing education and outreach programs through various units on campus, thus demonstrating compliance with this standard.

3.4.3 Educational Programs: All: Admission policies

The institution publishes admissions policies consistent with its mission.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

University of Tennessee, Knoxville (UT) undergraduate, graduate and professional programs admissions policies are published on the web and in undergraduate and graduate catalogs, thus demonstrating compliance. The mission of UT as the state's flagship comprehensive research institution is to move forward the frontiers of human knowledge and enrich and elevate society. The means to achieve these goals include scientific research, humanistic scholarship and artistic creation.

Undergraduate Admissions

Admissions policies for undergraduates fit UT's mission of remaining the state's leading comprehensive research institution. It is the policy of the UT Office of Undergraduate Admissions to use holistic review and to consider the following credentials in making decisions: high school core grade point average; "super-scored" ACT/SAT score; academic courses; class rank (if applicable); extracurricular and leadership activities, life experiences expressed in a personal statement, and one recommendation (Undergraduate Admissions, [Admission Requirements](#)).

Students applying for **first-year undergraduate admission** to UT Knoxville, must have completed 16 core academic units required for admission ([Admission, 2013-2014 UG e-Catalog](#)): 4 units of English; 2 units of algebra; 1 unit of geometry; 1 unit of advanced algebra and trigonometry, statistics, discrete mathematics with statistics and probability, pre-calculus, calculus, capstone, senior math or quantitative decision making; 3 units of natural science (Biology I, Chemistry or Physics, and a third lab science); 1 unit of American history; 1 unit of European history, world history, or world geography; 2 units of a single foreign language; and 1 unit of visual or performing arts. This information is available to prospective students on the Admissions web site (Undergraduate Admissions, [Admissions Requirements](#) webpage) and are described in the online undergraduate catalog ([Admission, 2013-2014 UG e-Catalog](#)).

Requirements for **international undergraduate students** ([Admission, 2013-2014 UG e-Catalog](#) and Undergraduate Admissions [International](#) webpage) are provided in the UT web site and include specific requirements for transcript evaluation and English language proficiency for freshman and transfer students.

Undergraduate transfer students also undergo holistic review of their high school and collegiate records ([Admission, 2013-2014 UG e-Catalog](#) and Undergraduate Admissions [Transfer Students](#) webpage). The application and review process is provided in the online undergraduate catalog and at the Admissions website.

The 2013-2014 UT Fact Book provides information about the characteristics of first-time freshmen including [applied, admitted, and enrolled](#); [gender, race/ethnicity distributions](#); [entering scores](#) for freshmen; [average SAT](#) scores; [average ACT](#) scores; place of [permanent residence](#). Similar statistics are presented for [transfer students](#). These data show that

admissions to the University are consistent with those of a comprehensive research university.

Since the start of the [Tennessee Education Lottery Scholarship \(TELS\) Program](#) administered by the Tennessee Student Assistance Corporation, a scholarship program funded by the State of Tennessee through proceeds from lottery ticket sales (fall 2004 was first semester for the award), more top freshman students were retained in the state to attend UT. The proportion of in-state to out-of state students has shifted from approximately 80% of the students being Tennesseans to 90%, and the average ACT has increased by more than 10% from the beginning of the TELS Program.

Graduate and Professional Admissions

Admissions policies for **graduate and professional studies** include minimum requirements that reflect the standards of a top comprehensive research institution. Admissions requirements for most graduate programs are in the UT 2013-2014 Graduate Catalog ([Admissions Policies](#), 2013-2014 Grad e-Catalog). More detailed information regarding admissions qualifications for specific academic programs is given at departmental and/or college web sites. In some cases individual program admission requirements exceed those set by the Graduate Council (see Table 3.4.3-1 for specific programs). University policy on graduate admissions is under the purview of the Graduate Council, a subcommittee of the Faculty Senate. When a department proposes higher admission requirements, they are reviewed by the Graduate Council (see Comprehensive Standard [3.4.1](#) discussing the faculty control of the curriculum).

The [College of Law](#) and the [College of Veterinary Medicine](#) provide detailed information for admission and application since on their web pages since they use national application centers rather than direct application through the Graduate School. Both use holistic review for admission.

To be considered for individual program admission, applicants must first meet the minimum admissibility requirements as set forth by the Graduate Council. These requirements are a bachelor's degree granted by a regionally accredited institution or foreign equivalent and a satisfactory grade point average. The minimum grade point average of 2.7 out of a possible 4.0 is required for applicants having earned bachelor's degrees granted by a regionally accredited institution.

A 3.0 of a possible 4.0 grade point average is required for **international applicants** earning the foreign equivalent of a U.S. bachelor's degree. Higher grade point averages are required for applicants having previously completed graduate work. Evidence of meeting the minimum requirements is assessed by reviewing academic records submitted to the Office of Graduate Admissions by the applicant. General requirements and information for international students are provided on the Graduate Admissions [International Students](#) webpage and in the Graduate Catalog ([2013-2014 Grad e-Catalog](#)). Applicants whose native language is not English must submit results of the TOEFL or IELTS exams. Minimum scores required are 550 (paper-based) and 80 (internet based) TOEFL and 6.5 on the IELTS.

Table 3.4.3-1 Exceptions to the Graduate School Admissions Requirements

College of Agricultural Sciences and Natural Sciences:

[Animal Science](#) and [Natural Resources](#) PhD publish a required UG cumulative 3.0/4.0 minimum grade point average for both domestic and international applicants (link to online catalog: [Animal Science](#), [Natural Resources](#))

College of Architecture and Design:

All programs publish a required UG cumulative 3.0/4.0 minimum grade point average for both domestic and international applicants. Architecture, Master of Architecture ([pdf](#), [online catalog](#))

Landscape Architecture, MALA ([pdf](#), [online catalog](#))

Landscape Architecture, MLA ([pdf](#), [online catalog](#))

Landscape Architecture, MSLA ([pdf](#), [online catalog](#))

College of Arts and Sciences:

Anthropology, MA: required UG 3.5/4.0 minimum grade point average ([pdf](#), [online catalog](#))

Anthropology, PhD: required cumulative 3.3/4.0 minimum grade point average in undergraduate or graduate work ([pdf](#), [online catalog](#))

BCMB MS and PhD: publish a required cumulative UG 3.0/4.0 minimum grade point average for both domestic and international applicants ([pdf](#), [online catalog](#))

Microbiology MS and PhD: publish a required cumulative UG 3.0/4.0 minimum grade point average for both domestic and international applicants ([pdf](#), [online catalog](#))

Modern Foreign Languages, PhD: publish a required cumulative UG 3.0/4.0 minimum grade point average for both domestic and international applicants ([pdf](#), [online catalog](#))

Modern Foreign Languages, German Major, BA-MA: publishes a required cumulative UG 3.0/4.0 minimum grade point average and 3.5/4.0 UG in the major ([pdf](#), [online catalog](#))

Ecology and Evolutionary Biology MS, PhD publishes a required UG 3.0/4.0 science and mathematics grade point average and UG 3.0/4.0 cumulative grade point average ([pdf](#), [online catalog](#))

Political Science publishes a required UG 3.2/4.0 major grade point average and UG 3.0/4.0 cumulative grade point average for MA ([pdf](#), [online catalog](#)). For the PhD, the published required grade point average on graduate work is 3.5/4.0 ([pdf](#), [online catalog](#)).

Public Policy and Administration MPPA requires UG 3.2/4.0 major grade point average and UG 3.0/4.0 cumulative grade point average ([pdf](#), [online catalog](#))

College of Communication and Information:

Information Sciences, MS, publishes a required cumulative UG 3.25/4.0 minimum grade point average for both domestic and international applicants ([pdf](#), [online catalog](#))

Communication and Information, MS and PhD publishes a required UG 3.0/4.0 grade point average and a 3.5 for graduate work (MS: [pdf](#), [online catalog](#); PhD: [pdf](#), [online catalog](#))

College of Education, Health and Human Sciences:

Education major, PhD, publishes a required 3.3/4.0 graduate grade point average

Leadership Studies in Education concentration ([pdf](#), [online catalog](#))

Literacy Studies concentration ([pdf](#), [online catalog](#))

Special Education concentration ([pdf](#), [online catalog](#))

Teacher Education concentration ([pdf](#), [online catalog](#))

Higher Education Administration, PhD, publishes a required 3.5/4.0 graduate grade point average ([pdf](#), [online catalog](#))

Public Health publishes a 3.2/4.0 graduate grade point average for the Education major, Health Behavior and Health Education concentration, PhD ([pdf](#), [online catalog](#))

College of Engineering:

Electrical Engineering and Computer Science publish a cumulative UG 3.0/4.0 minimum grade point average and in the senior year for both domestic and international applicants.

Electrical Engineering, MS ([pdf](#), [online catalog](#))

Computer Engineering, MS ([pdf](#), [online catalog](#))

Computer Science, MS ([pdf](#), [online catalog](#))

College of Nursing:

Nursing publishes a cumulative UG 3.0/4.0 minimum grade point average for the MSN program; a minimum 3.3/4.0 on all previous college work for the PhD; 3.0/4.0 on all previous college work for the DNP.

Nursing, MSN ([pdf](#), [online catalog](#))

Nursing, DNP ([pdf](#), [online catalog](#))

Nursing, PhD ([pdf](#), [online catalog](#))

Data for first-time [graduate and professional students](#) by college, race, and gender is provided in the 2013-2014 Fact Book. These data show that admissions to the University are consistent with those of a comprehensive research university.

Conclusion

The University of Tennessee, Knoxville, publishes in the web-based catalogs and on the Undergraduate and Graduate admissions web pages the admissions policies. UT is the flagship campus and uses selective admissions with is consistent with its mission; thereby, demonstrating compliance.

3.4.4 Educational Programs: All: Acceptance of academic credit

The institution publishes policies that include criteria for evaluating, awarding, and accepting credit for transfer, experiential learning, credit by examination, advanced placement, and professional certificates that is consistent with its mission and ensures that course work and learning outcomes are at the collegiate level and comparable to the institution's own degree programs. The institution assumes responsibility for the academic quality of any course work or credit recorded on the institution's transcript. (See the Commission policy "Collaborative Academic Arrangements: Policy and Procedures.") (**Note:** Although not listed as a reference in the Principles of Accreditation, see also the Commission policy "The Quality and Integrity of Undergraduate Degrees.")

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT), is the state's flagship, comprehensive land-grant research institution that has published policies for the acceptance of academic credit that includes criteria for transfer, credit by examination, AP, and professional certificates. This is consistent with UT's [mission to move forward the frontiers of human knowledge and enrich and elevate the citizens of the state of Tennessee, the nation and the world.](#)

The Faculty Senate, the Undergraduate Council, and the Graduate Council are the representatives of the faculty that define the curriculum and the acceptance of transfer credit. These representative bodies assure that academic transfer credit is at the collegiate level and comparable to credit earned in the university's own programs. The Faculty Senate and the Councils responsibilities are given in their respective bylaws/guidelines.

Faculty Senate Bylaws, [Art. I, Sec. 1\(a\) and \(b\)](#), Powers and Duties of the Faculty Senate
Faculty Senate Bylaws, [Art. III, Sec. 2 \(H\)](#), Graduate Council
Faculty Senate Bylaws, [Art. III, Sec. 2 \(L\)](#), Undergraduate Council
Graduate Council Bylaws, [Art. I](#)
Undergraduate Council [Operating Guidelines](#)

The university does not award credit for remedial, experiential learning, or for life experience (non-transfer work). The university does not award credit for non-credit coursework except for [active duty military service](#).

Policies for Accepting Undergraduate Transfer Course Credit

Evaluation of Undergraduate Transfer Credit

UT accepts transfer credit of similar content from accredited institutions. Coursework that leads to the Associate of Arts or the Associate of Science degree are accepted. Coursework that leads to an Associate of Applied Science degree from career/technical programs offered by Tennessee Technology Centers and Tennessee Community Colleges is not transferable.

College level non-remedial courses without an exact equivalent to UT may also transfer with an LD (lower division course credit) or a UD (upper division course credit) designation. LD or UD courses used to meet specific curricular requirements must receive the approval of the college in which the major is located.

State Transfer Policy/Procedure and UT Implementation

In support of the [Complete College Tennessee Act of 2010](#), passed by the State of Tennessee legislature that sets forth a framework to ease completion of college degrees including transfer pathways and transferability of general education coursework, the [Tennessee Transfer Pathways](#) were developed for the student who has completed an Associate of Arts or Associate of Science degree and wants to transfer to a 4-year Tennessee college or university. A student who completes all the courses on a particular pathway will be certified by the sending institution and the transcript will indicate they have completed all of the courses toward the completion of the particular major.

All courses comprising the Tennessee Transfer Pathways are unbundled, evaluated and recorded individually on the students' academic history. The name of the institution, the pathway completed, and the date of completion are noted on the transfer student's UT academic history (an internal, advising document) along with the course evaluations and grades.

The former articulation agreements set up with local two-year institutions were replaced by the Tennessee Transfer Pathways. These articulation agreements remain valid but must be completed by 2016. The name of the institution, the articulation agreement completed, and the date of completion is noted on the transfer student's UT academic history.

With implementation of the Complete College Tennessee Act of 2010, UT also updated its transfer credit policy with the fall semester 2013. [Transfer credit](#) will be granted only for college level non-remedial courses in which a grade of "D-" or better was earned. Credit in which a grade of F was earned is not applicable and will not count toward a degree; however, the course, hours and grade are placed on the UT transcript and calculated in the GPA noted as *transfer GPA* which includes all coursework transferred to UT; these grades are not included in the UT coursework GPA. While courses with grades below a C may be awarded transfer credit, many UT programs require a grade of C or higher in courses in the major, and the student bears the ultimate responsibility for educational planning, selecting courses, meeting program requirements, and adhering to policies and procedures.

Transfer GPAs are calculated by UT and may differ from averages calculated by other institutions. All grades for repeated courses are calculated in the overall GPA for admission. The last attempt for a repeated course will be the one accepted for transfer credit and recorded on the permanent record. This information will be used in making decisions about admission, course placement, and other academic decisions. The official grade point average for any UT student does not include transfer grades; it only includes UT coursework.

If a student disagrees with a transfer credit evaluation, the student may appeal the decision by providing additional course information that includes a course syllabus, course outline, required textbook, and instructor information. The Office of the University Registrar will contact the appropriate department for a review of the submitted information. If the course is approved by the department, it is posted to the student's [academic history](#) (an internal, advising document) and [academic transcript](#) (an official document showing courses completed and degrees, printed on security paper and displays the seal of the University, the Registrar's signature and the date the transcript was printed). Equivalencies have been established for courses offered at Tennessee Board of Regents (TBR) institutions (state-supported community colleges and other 4-year institutions), private (not-for-profit) Tennessee 4-year institutions, UT Chattanooga, UT Martin, Regents Online Degree Program (a program with the Tennessee Board of Regents) and some 4-year institutions in

Southeastern states and are provided on a dedicated web page, [Transfer Articulation](#), are found at the Office of the University Registrar website. The information at this site changes as the university adds new courses and revises previous evaluations.

Transfer Articulation Agreements are established and approved by the UT faculty. UT first established these agreements in 1992-1993. The requirements and courses to fulfill these agreements are determined by the faculty and administration in the academic colleges at the University. Agreements are generally reviewed annually at the end of the curricular change cycle by the faculty and associate deans. When the Tennessee State Legislature voted to establish Transfer Pathways in the 2012-2013 Undergraduate Catalog, UT ceased updating the Articulation Agreements.

This summer and Fall 2014, UT is in the process of developing new articulation agreements with the Tennessee Board of Regent Schools. Faculty, Directors of Advising and Associate Deans are working on new agreements with Mississippi State Community College; UT is planning to have these approved sometime in the Fall. University representatives will be meeting with faculty at Mississippi State to review the new agreements. The agreements will be shared with the UT faculty at our Academic Policy and Curriculum Committees and then with the Undergraduate Council.

The Office of the University Registrar follows transfer credit guidelines for courses from accredited colleges as suggested in the American Association of College Registrars and Admissions Officers (AACRAO) [publication](#) *Transfer Credit Practices of Designated Educational Institutions*. Transfer of academic credit policy and practices are also consistent with SACSCOC *Transfer of Academic Credit* position statement in that policy and practices provide for student mobility (as is the intention of the Complete College Tennessee Act of 2010) and ensures awarding appropriate credit.

To assure that all students receive comparable educational experiences in their degree programs, all students are required to complete 60 hours of credit at an accredited senior college, and the last 30 hours must be in residence at UT. At least twenty-five percent of coursework for the degree must be completed at UT.

Undergraduate Transfer Evaluation Procedures

The faculty is responsible for the definition of the content of all university courses including those used for transfer. The Office of the University Registrar evaluates all undergraduate transfer coursework through a long standing collaborative effort with departmental faculty, department heads, and undergraduate program coordinators. This process assures that transfer courses cover the same content and require the same learning outcomes as UT coursework. For those institutions with whom we do not have articulation agreements, transcript evaluators request syllabi from the institution from which a student is transferring if the course had not previously been evaluated. These syllabi of new courses from transfer institutions are then sent to departments for departmental evaluation and decision as to equivalency. Approved courses are added to the both the Banner transfer evaluation tables and [transfer equivalency website](#).

The Office of Undergraduate Admissions receives official transcripts for transfer students which are evaluated by the transfer evaluation staff in the Office of the University Registrar. All coursework on the transcript will be reviewed for transferability regardless of whether the course was offered in a traditional format or some form of distance education. If the course has not been approved for direct equivalent credit as noted on the transfer equivalency website, the designated LD (lower division) or UD (upper division) course credit can be used as elective credit. A student may petition to have such a course accepted as a

substitute by submitting the appropriate documentation to the student's College Advising Center. Each college has petition forms posted to their advising websites; for examples see the forms from the College of [Arts and Sciences](#) and the College of [Agricultural Sciences and Natural Resources](#). If the course is needed for general education the student completes the general education [petition form](#) found at the College of Arts and Sciences and other colleges' advising websites. This form is forwarded to the appropriate general education subcommittee for review and decision.

If the transferring course contains the same content, learning outcomes, credit hours, prerequisite/corequisite courses, grading scale, and methods of evaluation as the UT course, it is posted to the student's academic record with the UT departmental prefix, course number, title, and hours of credit.

UT does not accept any courses not designed for transfer to four-year colleges or universities (non-transfer courses.) Credits that are not acceptable for transfer include courses that are remedial, occupational, technical, non-credit or career coursework used in the Associate of Applied Science degree programs (non-college transfer programs).

International Transfer Credit

International transfer students must have official copies of their academic transcripts evaluated by an evaluation agency that is a member of NACES (National Association of Credential Evaluation Services). This process ensures that students have an accurate evaluation by the appropriate evaluators. The same evaluation process that is used for domestic institutions then is applied to the evaluated academic transcripts from the evaluation agency.

Study Abroad Transfer Credit

Students who participate in UT Knoxville faculty-led study abroad programs and register for UT Knoxville courses earn the same graded credit as they would for courses taken on campus. All grades are calculated in the UT grade point average.

Students who participate in all other study abroad programs from accredited institutions will be subject to the same transfer policies as students studying at domestic institutions (see above information on transfer evaluation process). All hours and grades count toward the Tennessee Education Lottery Scholarship (TELS; a scholarship program administered by the Tennessee Student Assistance Corporation established by the State of Tennessee to administer funding from various sources include the Tennessee Lottery) satisfactory academic progress GPA calculation to determine continued eligibility (satisfactory academic progress GPA includes all graded coursework taken regardless of the institution awarding the credit), but are not included in the UT GPA calculation.

Credit earned through study abroad programs sponsored by other institutions is carefully reviewed for suitability of transfer according to the university's transfer credit policies ([Transfer credit policy](#)). To obtain credit for such programs, students must complete a request for international transfer credit form ([International Transfer Credit Form](#)) before departing. Students must provide a specific list of the courses to be taken at the host institution (subject code, course number, and title) as well as the specific requirements those courses are intended to fulfill. The student, the student's advisor, and the Programs Abroad Office must approve and sign the completed form. The Programs Abroad Office also maintains a [transfer credit database](#) that contains a list of study abroad courses that have been previously reviewed and approved for use toward UT degree requirements. The Programs Abroad Handbook provides information on the process in two locations - [Transfer](#)

[Credit Process](#) (a brief description) and the detailed process - [Transferring Credit](#) for Coursework Taken Abroad.

Transfer Summer School Coursework

UT does not have a policy prohibiting students from enrolling at another institution during the summer and then having that transcript evaluated for transfer to UT. Summer school coursework credits are treated as any other transfer credits.

Military Transfer Credit

Any student who has active duty military service receives [academic credit](#) based on their number of months of active duty. In order to have this credit awarded the student supplies a copy of his DD214 form to a UT transfer evaluator who awards three to sixteen semester credit hours from the departments of Military Science and Leadership (MLSL), Physical Education (PYED), and University Studies (UNST).

If a veteran has been determined to be eligible for Chapter 30 Montgomery GI Bill (MGIB), the Office of the University Registrar awards semester credit hours for MLSL 101 (2 hours), MLSL 102 (2 hours), MLSL 202 (3 hours), and PYED LD (5 hours). Credit is based on eligibility for the MGIB, which is based on honorable active duty military service. Credit is not awarded if the student already has credit for MLSL 101, MLSL 102, or MLSL 202 whether the credit is through UT registration or transferred from another school.

Additional academic credit can be awarded for military service school credit. Students should provide an American Council on Education Registry Transcript for evaluation by a UT transfer evaluator. UT awards credit for the courses in the baccalaureate/associate degree category but does not award credit for the occupational certificate category.

Dual Enrollment Credit

UT accepts dual enrollment credit from institutions that require faculty teaching the courses meet the academic qualifications necessary for courses transferring to four-year colleges and universities. This requirement is a master's degree and at least 18 graduate hours in the discipline. Dual enrollment credit courses must meet the same transfer-level quality accreditation standards as the institutions' other lower-division courses.

UT does not accept any courses not designed for transfer to four-year colleges or universities (non-transfer courses).

Advance Placement (AP), International Baccalaureate (IB), College Level Examinations Program (CLEP), and Cambridge A/AS Level Examinations

Advanced Placement Examinations (AP). Freshmen admitted to UT may receive credit on the basis of performance on one or more of the Advanced Placement Examinations offered each May by the College Entrance Examination Board (CEEB) in 18 subject areas. The tests are usually taken by high school students during their junior or senior year. Disciplines at UT which grant advanced placement credit for satisfactory test scores include biology, chemistry, computer science, economics, English, French, geography, geology, German, history, Latin, mathematics, music, physics, political science, psychology, Spanish, and statistics. Each participating department decides the acceptable score for credit. The advanced placement list and scores are published at the Undergraduate Admissions Office [website](#).

International Baccalaureate Examinations (IB). The International Baccalaureate Diploma Program of the International Baccalaureate Organization (IBO) is a rigorous pre-university

course of studies that leads to examinations for highly motivated secondary school students. Students who have participated in the International Baccalaureate Program through their high schools may receive credit based on satisfactory test scores as established by UT's participating departments. Each participating department decides the acceptable score for credit, and these are published at the Undergraduate Admissions Office [website](#).

College Level Examinations Program (CLEP). With departmental approval, nationally recognized examinations, such as the examinations of the CLEP, may be used to earn credit. These scores are published at the Undergraduate Admissions Office [website](#).

Cambridge Advanced Level (A-Level) and Advanced Subsidiary Level (AS-Level) Examinations. Students admitted to UT Knoxville may receive credit on the basis of performance on one or more of these examinations. Several disciplines at UT grant academic credit for satisfactory test scores. Each participating department decides the acceptable score for credit, and these scores are published at the Undergraduate Admissions Office [website](#).

General Education Transfer

Students Applying for Transfer with an Associate of Arts (AA) or Associate of Science (AS) Degree from Tennessee Board of Regents (TBR) Community Colleges

Transfer applicants who have earned AA or AS degrees from institutions in the Tennessee Board of Regents (TBR) system will have fulfilled the general education requirement established by the faculty at UT. Transfer of general education courses from TBR universities or colleges is guaranteed upon completion of the AA or AS degree. The requirements of general education will be complete and accepted by UT in the transfer process without loss of credit. This policy began fall semester 2009 and applies to any student who completed their AA or AS TBR degree in 2009 and entered the University of Tennessee Fall Semester 2009 or later. This policy does not apply to completion of an Associate of Applied Science degree. (2013-14 Undergraduate Catalog).

Tennessee state policy mandating acceptance of general education is defined in the [Complete College Tennessee Act of 2010](#) stipulating that *an associate of science or associate of arts degree graduate from a Tennessee community college shall be deemed to have met all general education and university parallel core requirements for transfer to a Tennessee public university as a junior. Notwithstanding the subdivision (A) admission into a particular program, school or college within the university; or into the University of Tennessee, Knoxville shall remain competitive in accordance with generally applicable policies.*

Students Applying for Transfer Prior to Degree Completion

Transfer applicants from institutions in the University of Tennessee (UT) or Tennessee Board of Regents (TBR) systems who have not earned an Associate of Arts or an Associate of Science degree but who have been certified by the institution from which they are transferring as having completed all the general education requirements of that institution will have completed general education requirements for the University of Tennessee, Knoxville (UT). They will not be required to take any additional coursework to meet general education requirements at UT. Similarly, transfer applicants from institutions in UT or TBR systems who have been certified by the institution from which they are transferring as having completed sub-section(s) of general education (e.g., Natural Sciences) at that

institution will be credited for completing the same section (if it exists) at UT Knoxville. The acceptance of certified general education completion does not imply that the student has met any other admission or degree requirements at UT Knoxville.

Certification of general education completion must be provided by the institution at which the courses were taken. Certification must occur at the time the student transfers to UT Knoxville. No retroactive certification will be accepted" ([2013-14 Undergraduate Catalog](#)). This policy began Fall Semester 2011 and includes any student who is certified by the sending institution. This policy recognizes that the TBR institutions general education courses meet the transfer-quality accreditation standards defined by the Principles of Accreditation. Each of these courses is individually evaluated and recorded on the students' academic history.

Graduate and Professional Programs

Transfer of courses into graduate and professional programs is limited. The [2013-14 Graduate Catalog](#) states,

Courses taken at another institution may be considered for transfer into a master's or EdS program as determined by the committee and approved by the Dean of the Graduate School. At the doctoral level, courses are not officially transferred although they may be used to meet degree requirements. Where a requirement has been met through coursework in another program, the student may petition the academic unit for a waiver of the requirement at the doctoral level. Official transcripts must be sent directly to the Graduate School from all institutions previously attended before any credit will be considered.

To be transferred into a master's or EdS program at the University of Tennessee, Knoxville, a course must

- o *Be taken for graduate credit.*
- o *Carry a grade of B or better.*
- o *Be a part of a graduate program in which the student had a B average.*
- o *Not have been used for a previous degree.*
- o *Be approved by the student's graduate committee and the Dean of the Graduate School on the Admission to Candidacy form.*

Courses transferred to any graduate program will not affect the minimum residence requirements for the program, nor will they be counted in determining the student's grade point average. Credits transferred from universities outside the University of Tennessee system cannot be used to meet the thesis or dissertation requirements or 600-level course work requirements. Credit for extension courses taken from other institutions is not transferable, nor is credit for any course taken at an unaccredited institution.

- o *Master's Degree: A majority of the total hours required for a master's degree must be taken at the University of Tennessee, Knoxville. Transferred courses must have been completed within the six-year period prior to receipt of the degree. The courses must be listed on the Admission to Candidacy form and will be placed on the student's university transcript only after admission to candidacy.*
- o *Specialist in Education Degree: A maximum of 6 semester (9 quarter) hours of course work beyond the master's degree may be transferred to an EdS*

program. Transferred courses in the most recent 30 hours taken for the degree must have been completed within the six-year period prior to the receipt of the degree. The courses must be listed on the Admission to Candidacy form and will be placed on the student's university transcript only after admission to candidacy.

- o Doctoral Degree: Course work taken prior to admission to a doctoral program may be used toward the degree, as determined by the student's doctoral committee. Although the courses are used as part of the requirements toward the degree and are listed on the admission to candidacy, they are not officially transfer courses and are not placed on the student's university transcript.*

Policies for Accepting Transfer Credit in the College of Law

[Transfer of courses](#) into the College of Law is limited to second and third-year students, and they must be in good standing at a law school accredited by the American Bar Association. Candidates admitted to Law may receive credit for up to 31 semester hours of work successfully completed at their previous, ABA-approved law school. A total of at least 58 credit hours must be completed at UT College of Law in order to graduate from UT.

Policies for Accepting Transfer Credit in the College of Veterinary Medicine

The College of Veterinary Medicine (CVM) does not award transfer credit from any other Veterinary Medicine program. The [admissions website](#) for the CVM provides the details for applying to the CVM.

Conclusion

The University of Tennessee, Knoxville, publishes policies that include criteria for evaluating, awarding, and accepting credit for transfer, credit by examination, advanced placement (AP, CLEP, IB and Cambridge), that is consistent with its mission and ensures that course work and learning outcomes are at the collegiate level and comparable to the its own degree programs. Information is available within the Undergraduate and Graduate Catalogs and on the websites for Undergraduate Admissions, Office of the University Registrar, Graduate Admissions, Center for International Education, College of Law, and the College of Veterinary Medicine; thus, demonstrating compliance with this standard.

3.4.5 Educational Programs: All: Academic policies

The institution publishes academic policies that adhere to principles of good educational practice. These policies are disseminated to students, faculty, and other interested parties through publications that accurately represent the programs and services of the institution.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) publishes academic policies that adhere to principles of good educational practice and are disseminated to students, faculty, and other interested parties through the Undergraduate Catalog, the Graduate Catalog, *Hill Topics* the student handbook, and via websites such as the Office of the University Registrar. Academic affairs policies are also published online on the [Office of the Provost](#) website.

Development and Approval of Academic Policies

As with the curricula, faculty members play a primary role in the creation and revision of academic policies and procedures. As described on the [Faculty Senate website](#), *The UT Faculty Senate is the representative body through which the faculty participate in University affairs and shared governance. Through committees and a democratically elected legislative body it promulgates policies and regulations regarding the general educational objectives of UTK.*

The [Undergraduate](#) and the [Graduate](#) Councils, standing committees of the Faculty Senate, oversee standards for admission, retention, and graduation; curricular matters; and any other matters of educational policy pertaining to undergraduate and graduate programs. Each Council is further subdivided into committees, one of which is devoted to academic policy issues. While the [Undergraduate](#) and the [Graduate](#) Academic Policy Committees are primarily comprised of elected faculty members, they do include staff and student representatives to ensure the voices of affected constituencies are heard.

Policy proposals may be submitted by any number of groups, such as the Provost's Office, the Office of the University Registrar, the Student Government Association, Student Life, or a college. If a proposal is approved by the appropriate Academic Policy Committee, it is forwarded to the corresponding Undergraduate or Graduate Council for review and approval and later the Faculty Senate for final approval. Minutes for all Undergraduate Council, Graduate Council, and Faculty Senate meetings are available online and distributed to a variety of campus offices via an email listserv.

Recent actions on policy revisions taken by the Undergraduate and Graduate Councils include:

Undergraduate Council [Minutes, January 29, 2013](#), Actions of the Academic Policy Committee (Approved by the [Faculty Senate](#), March 4, 2013)

1. November 7, 2012 Meeting, Procedural change for ECTS Credit, approved
2. December 5, 2012 Meeting, Rejection of procedural change in review of courses not taught in four or more years
3. January 16, 2013 Meeting, Approved credit hour definition, approved change to Academic Probation, approved change to Academic Advising, approved change to

General Transfer Admission Policies, tabled a change to Transfer Credit: Study Abroad Programs, approved addition of Exploratory Student; approved Glossary Addition - Holistic Review definition

Graduate Council [Minutes, January 31, 2013](#), Actions of the Academic Policy Committee (Approved by the [Faculty Senate](#), March 4, 2013)

1. January 16, 2013 Meeting, Revised Dual Doctoral Degree Policy, Approved credit hour definition, approved BA-MPPA exception for Dual Degree

Mission-Driven Policy Reform

In recent years, a number of policy changes have been enacted to support the university's quest to become a Top 25 public research university. Some include limiting the number of dropped courses allowed in an academic career, limiting the number of total withdrawals, transitioning to a holistic transfer admission process, and creating guidelines for the university's new academic monitoring system (uTrack).

Dissemination of Policies

Major academic policies are published in the [Undergraduate](#) and [Graduate](#) Catalogs. They are also referenced in a number of publications, including but not limited to [Hill Topics](#), the [UT Teaching Guide](#), [degree audits](#), and advising handbooks (two samples are provided: Colleges of [Arts and Sciences](#) and [Business Administration](#)).

As a general practice, course syllabi also contain warnings about engaging in plagiarism and other violations of academic policy. The *UT Teaching Guide*, published by the Tennessee Teaching and Learning Center, suggests that a [model syllabus](#) might include policies on [attendance](#) and exams as well. A [syllabus template](#) is also available. Additionally, the [Campus Syllabus](#), a supplement to individual course syllabi provided by the Tennessee Teaching and Learning Center on behalf of the Office of the Provost, includes the honor code (Academic Integrity). This document is either used alongside a course syllabus or the sections are incorporated into the course syllabus.

Conclusion

The University of Tennessee, Knoxville, publishes academic policies in the undergraduate and graduate catalogs, which are available to all online; *Hill Topics*, the student handbook, which is also available online; and through various other websites such as the Office of the University Registrar and the Office of the Provost, that are available to students, parents, faculty, staff and other interested parties. Revisions to academic policy is the domain of faculty through their college councils and through UT Undergraduate and Graduate Councils and the Faculty Senate, whose minutes are made available online. These resources demonstrate compliance that UT adhere to principles of good educational practice and disseminates the information to all interested parties.

3.4.6 Educational Programs: All: Practices for awarding credit

The institution employs sound and acceptable practices for determining the amount and level of credit awarded for courses, regardless of format or mode of delivery.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution. The university offers bachelor, master, and doctoral level programs as well as graduate certificates; UT does not offer associate degrees. UT operates on a semester system and has a [Calendar Committee](#) that establishes the annual calendar to ensure each semester meets standards established by the Tennessee Higher Education Commission (THEC) and uses the semester credit hour as the basis of awarding academic credit. All curricular proposals are approved through departments, colleges, Undergraduate and Graduate Councils, and the Faculty Senate, ensuring that appropriate credit is awarded for each course and all curricula meet the credit hour requirements.

Awarding Credit

The credit hour definition was jointly approved by the Undergraduate ([January 29, 2013](#) meeting) and Graduate ([January 31, 2013](#) meeting) Councils after extensive discussion in the Academic Policy Committees of the two councils, where review of the SACS COC Credit Hours Policy Statement and [guidance offered](#) by the U.S. Department of Education were reviewed and discussed. As defined in the 2013-14 [Undergraduate](#) and [Graduate](#) Catalogs and the Guidelines for Submission of Curricular Materials ([undergraduate](#) and [graduate](#) guidelines),

The unit of credit is the semester credit hour. One semester credit hour represents an amount of instruction that reasonably approximates both 50 minutes per week of classroom-based direct instruction and a minimum of two hours per week of student work outside the classroom over a fall or spring semester. Normally, each semester credit hour represents an amount of instruction that is equivalent to 700 minutes of classroom-based direct instruction. The amount of time that is required to earn one semester credit hour in a laboratory, fieldwork, studio, or seminar-based course varies with the nature of the subject and the aims of the course; typically, a minimum of two or three hours of work in a laboratory, field, studio, or seminar-based setting is considered the equivalent of 50 minutes of classroom-based direct instruction. Semester credit hours earned in courses such as internships, research, theses, dissertation, etc. are based on outcome expectations established by the academic program.

The fall and spring semesters are 14 weeks of instruction and one week allowed for final exams for a total of 15 weeks per semester. Summer semester is 10 weeks long without a final exam period scheduled. There are also two 5-week terms during the summer, without final exam period scheduled. Final examinations, if used, are given during the last class period of the term during the first, second, and full terms of the summer semester. Mini-term lasts for 3 weeks in May after the end of the spring semester and before the start of summer semester in June. The Office of the University Registrar provides [guidance on scheduling](#) courses on their webpage, stating that courses should meet for a minimum of 700 minutes per credit hour.

Contact Hour Requirements

The Office of the University Registrar publishes [Contact Hour Requirements](#) and [Valid Class Times](#) on its website to assist faculty with relating class hours to credit hours. There is a separate contact hour chart for each term (fall/spring, summer, and mini-term) that factors in the number of minutes per class period, the number of class periods per week, and the number of weeks per term. For example, a **minimum** of 700 minutes is required per credit hour, so a 3-credit hour class requires 2,100 contact minutes. If the class meets in summer term (10 weeks) and the class period is 75 minutes long, the class must meet three days per week to meet the 2,100 minimum (in this case, 2,250 total minutes). If the class period is only 60 minutes long, the class must meet four days per week to meet the minimum (in this case, 2,400 total minutes).

Course Numbering to Reflect Level

The 2013-14 Undergraduate Catalog explains how the [course numbering system](#) relates to course level.

Course numbers	Level
000-099	Noncredit; preparatory
100-299	Lower division; primarily for freshmen and sophomores
300-499	Upper division; primarily for juniors and seniors; when taken for graduate credit, the letter G will precede the course credit hours on the grade report
500-599	Graduate; sometimes available for undergraduate credit; when taken for undergraduate credit, the letter U will precede the course credit hours on the grade report
600-699	Advanced graduate; open to graduate students; available for undergraduate credit (with approval of instructor) for students holding a degree who are taking additional work as undergraduate non-degree students; when taken for undergraduate credit, the letter U will precede the course credit hours on the grade report
800-899	Veterinary Medicine; Law
900-999	Law

Undergraduate vs. Graduate Level Credit

The 2013-2014 Graduate Catalog elaborates on how [graduate credit](#) differs from undergraduate credit, *Consistent with the accreditation requirements of the Southern Association of Colleges and Schools (SACS) that graduate curricula must be substantially different from undergraduate curricula, classes at the 400 level in which both graduate and undergraduate students are enrolled must be structured so as to reflect this distinction. That is, course requirements for graduate credit will be more rigorous and will exceed expectations for undergraduates.*

The 2013-2014 Graduate Catalog also includes minimum requirements for courses taught in a nonstandard scheduling format (i.e. those courses in which the instruction is not distributed evenly or proportionally across the semester/term schedule). Academic units must submit a [Non-Standard Course Format Form](#) to the Graduate Curriculum Committee for any courses that are intended to be taught in nonstandard format. The form requires the following information: proposed credit hours, total contact hours, projected dates for

session (minimum of one week for each credit hour), course format description, rationale for nonstandard format, attendance policy, course assignments, evaluation methods, and a complete syllabus. Further, courses proposed for nonstandard format must meet the following minimum criteria:

- o *The number of contact hours should never be fewer than the equivalent of one hour per week during the term for each hour of credit awarded, i.e., 15 hours per semester hour.*
- o *For every contact hour, there should be at least two hours of student preparation.*
- o *For each hour of graduate credit under the semester system, there should be a minimum elapsed time of one week.*

The workload in a short course of several weeks' duration does not have to be distributed evenly. However, substantive and meaningful interaction between the faculty member and student are to be maintained throughout.

Alternative Delivery Methods

While the UT credit hour definition is broad in scope to encompass a variety of instructional settings, it does not mean that alternative delivery methods are held to less rigorous standards of evaluation. For example, credit earned through **study abroad programs** sponsored by other institutions is carefully reviewed for suitability of transfer according to the university's transfer credit policies ([Transfer credit policy](#)). To obtain credit for such programs, students must complete a request for international transfer credit form ([International Transfer Credit Form](#)) before departing. Students must provide a specific list of the courses to be taken at the host institution (subject code, course number, and title) as well as the specific requirements those courses are intended to fulfill. The student, the student's advisor, and the Programs Abroad Office must approve and sign the completed form. The Programs Abroad Office also maintains a [Transfer credit database](#) that contains a list of study abroad courses that have been previously reviewed and approved for use toward UT degree requirements. The Programs Abroad Handbook provides information on the process in two locations - [Transfer Credit Process](#) (a brief description) and the detailed process - [Transferring Credit for Coursework Taken Abroad](#).

The Office of the University Registrar, with assistance from the academic departments and the Programs Abroad Office, is charged with **evaluating international transfer credit** and determining appropriate credit hours. UT transcript evaluators follow best practices in evaluating international credit as outlined in the American Association of Collegiate Registrars and Admissions Officers' (AACRAO) [AACRAO International Academic Credential Evaluation Guide](#) and World Education Services' (WES) [credit conversion guide](#). One specific example is UT's policy for handling European Transfer Credit System (ECTS) hours, the most widely used academic credit system in Europe. Like many institutions, UT rounds up ECTS hours that would otherwise come in as fractional credit. The Undergraduate Council approved the ECTS transfer policy in [January 29, 2013](#).

Although **distance education, independent study, and similar courses** do not always meet in a classroom on the typical semester schedule, the credit awarded for these courses is determined by university faculty. The courses follow the same approval process as courses taught in the classroom and, prior to approval, are determined to be the equivalent of on-campus courses in content and rigor. The credit awarded for distance education and similar courses is based on student learning outcomes and consistent with the credit hours awarded for the equivalent in-class course.

As described in the US Department of Education [Credit Hour Memo](#), the federal credit hour definition *does not emphasize the concept of "seat time" (time in class) as the primary metric*. At UT, seat time is only one of several factors evaluated during the review process conducted in the college curriculum committees and the Undergraduate and Graduate Councils' Curriculum Committees for new courses and programs and is evident in the student learning outcomes established by each program. Hence the inclusion of the following statement in the credit hour definition published in the Undergraduate and Graduate Catalogs, that places the responsibility with the programmatic faculty:

The amount of time that is required to earn one semester credit hour in a laboratory, fieldwork, studio, or seminar-based course varies with the nature of the subject and the aims of the course; typically, a minimum of two or three hours of work in a laboratory, field, studio, or seminar-based setting is considered the equivalent of 50 minutes of classroom-based direct instruction. Semester credit hours earned in courses such as internships, research, theses, dissertation, etc. are based on outcome expectations established by the academic program.

In compliance with Comprehensive Standard [3.4.4](#), UT credit may award undergraduate credits through [satisfactory scores](#) on proficiency, advanced placement (AP), College Level Examination Program (CLEP), and International Baccalaureate (IB) examinations. Proficiency exams are available for certain UT graduate programs and circumstances, excluding College of Law and College of Veterinary Medicine.

Approval of Curricula

All curricular proposals, regardless of format or mode of delivery, must be vetted and approved as each Colleges' bylaws dictate before being submitted to either the Undergraduate or Graduate Curriculum Committee of the respective Councils. The Curriculum Committees carefully examine the number of semester hours proposed and required student content, assignments, and evaluation methods when reviewing new course proposals and new degree proposals. If a proposal is approved by the Curriculum Committee, it is forwarded to the corresponding Council for review and approval and later the Faculty Senate for final approval ([Undergraduate curricular change process flowchart](#) and [Graduate curricular change process flowchart](#)). Minutes for all Undergraduate Council, Graduate Council, and Faculty Senate meetings are available online and distributed to a variety of campus offices via an email listserv.

New academic degree programs require additional approvals from UT administration, the UT System Board of Trustees, and the Tennessee Higher Education Commission (THEC) in accordance with established academic policies and procedures ([THEC new programs policy](#)). As part of the review process, the department must provide comparative information about similar programs in the discipline at other institutions, which includes program length, curriculum content, and credit hours awarded.

Conclusion

The University of Tennessee, Knoxville, has a sound definition, procedures, and practices for the awarding of credit at the undergraduate and graduate levels, regardless of format or mode of delivery, and demonstrates compliance with this standard.

3.4.7 Educational Programs: All: Consortial relationships/ contractual agreements

The institution ensures the quality of educational programs/courses offered through consortia relationships or contractual agreements, ensures ongoing compliance with the *Principles*, and periodically evaluates the consortial relationship and/or agreement against the mission of the institution. (See the Commission policy “Collaborative Academic Arrangements.”)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

University of Tennessee, Knoxville (UT) ensures the quality of all educational courses, including courses offered through consortial relationships and contractual agreements. For each agreement, the University ensures ongoing compliance with the comprehensive requirements and evaluates the agreement or relationship against the University's mission. In 2011, the Provost designated Dr. Carolyn Hodges, Vice Provost and Dean of the Graduate School as the chair of a committee to review all such agreements prior to approval. The committee was composed of Dr. Ernest L. Brothers, Assistant Dean Director, Office of Graduate Training and Mentorship and Associate Director for the National Institute for Mathematical and Biological Synthesis (NIMBioS); Ms. Yvonne Kilpatrick, Assistant Dean and Director, Office of Graduate Admissions; Dr. Catherine Luther, Associate Dean, College of Communication and Information; and faculty member appointed by the Vice Provost and Dean of the Graduate School. Upon receipt of a proposed agreement, the committee would review the document making recommendations and corrections. The agreement was then returned to the appropriate party for the necessary signatures, with the signed copy being submitted to the Office of Budget and Finance for final approval.

Consortial Relationships

- **UT College of Engineering / Fisk University Dual Degree Program.** The UT College of Engineering and Fisk University agree to a cooperative in a Dual Degree Program leading to a Bachelor of Science from Fisk University and Bachelor of Science in Engineering from the University of Tennessee. Under this [agreement](#) (signed in May 2011), a student will spend the first three years at Fisk University, then complete the requirements for an engineering degree at the University of Tennessee. Students will be eligible for admission to their selected engineering program at the University of Tennessee College of Engineering and are recommended by Fisk University. To date, no students have been enrolled in the program.
- **UT College of Engineering / Maryville College Dual Degree Program.** The UT College of Engineering and Maryville College (Maryville, TN) agree to cooperate in a Dual Degree Program leading to a Bachelor of Science from Maryville College and Bachelor of Science in Engineering from the University of Tennessee (original agreement signed in 2002, [revised](#) in 2007, currently under review for renewal). Under this agreement, a student will spend the first three years at Maryville College, then complete the requirements for an engineering degree at the University of Tennessee. Students will be eligible for admission to their selected engineering program at the University of Tennessee College of Engineering and are

recommended by Maryville College. Between 2010 and 2014, 12 students have graduated from this program.

- **UT College of Education, Health and Human Sciences/University of Padua Dual Degree Program.** The College of Education, Health and Human Sciences entered into an [agreement](#) with the Doctoral School in Pedagogical Sciences to offer a dual degree program (Fall Semester, 2013). Students who wish to enter the PhD dual degree program in Education must be registered at both universities (home and host), at some point during the program. Each student must apply for and be admitted to each university. All coursework from Italy will be reviewed for suitability of transferring to UT. Students from the University of Padua who study at UT are required to take a minimum of 30 hours of coursework at UT which is more than 30 percent of the total credits required for the degree. The doctoral students will carry out their research under the guidance of two supervisors, one from each university. The supervisors will be appointed in accordance with the regulations of each institution. The envisaged duration of the doctorate is three years. The dissertation will be written in English (with a written abstract in Italian) and will be assessed by means of a single examination. The board of examiners/committee of the doctoral dissertation will be designated jointly by the two universities. To date, only one student has been enrolled in this program. To date, only one student has participated and graduated from this program.
- **The University of Tennessee, Knoxville (UT) /University of Tennessee Institute of Agriculture (UTIA) Collaborative Academic Arrangement.** This [agreement](#), entered into in May 2013 as a result of the reorganization of the University of Tennessee (see [substantive change letter](#) of March 2012) that resulted in the removal of the University of Tennessee System Office, the University of Tennessee Institute of Public Service, the non-academic units within the UTIA (the Agricultural Experiment Station and UT Extension), and the University of Tennessee Health Science Center (an applicant institution to SACS for separate accreditation) affirms the relationship between UT and UTIA. The relationship between the two entities encompasses a broad array of policies, procedures, programs, facilities, and services. These areas of overlap include academic program governance, faculty governance, and student life (See attachment). The academic programs in the College of Veterinary Medicine and College of Agricultural Science and Natural Resources are expected to conduct assessment of student learning outcomes, undergo academic program review as mandated by the Tennessee Higher Education Commission, undergo appropriate programmatic accreditation reviews, and follow all policies and procedures relating to academic affairs and student life.
- **The University of Tennessee, Knoxville (UT) College of Arts and Sciences/University of Tennessee Medical Center (UTMC) Bachelor of Science in Medical Laboratory Science.** UT College of Arts and Sciences is in a collaborative agreement with the University of Tennessee Medical Center in the delivery of the Bachelor of Science in Medical Laboratory Science (formerly Clinical Laboratory Science). The program has been in existence for 50 years with an advisory committee and predates the 1999 Tennessee Legislature action to *spin-off* the UTMC from the University of Tennessee System. The University Health System, Inc., is a 501 c(3) and operates as a Tennessee not-for-profit corporation as the UTMC. Assessment of students is ongoing and employs the results from the American Society for Clinical Pathology (ASCP) Board examination. They have an advisory board with representation from both UT and UTMC which meets annually in May to discuss such things as student success, financial arrangements, and to review and renew the agreement. Attached are the minutes from the [2013](#) and [2014](#) meetings and the 2009-2010 Academic Affiliation Agreement (the [agreement](#) is

being amended to reflect the change in the name change from Clinical Laboratory Science to Medical Laboratory Science).

- **The University of Tennessee, Knoxville (UT) and Pellissippi State Community College (PSCC) Bridge Program.** This program was initiated in response to the Complete College Tennessee Act of 2010. This program allows students to enroll in courses and take advantage of services at both institutions. After completion of the program requirements, a student is guaranteed admission into UT (however, not necessarily into a specific degree program, as additional requirements may apply). The attached [memo of understanding](#) is a revision of the initial agreement and is effective for five years beginning with the 2014-2015 academic year. The program is managed by the UT Director of First-Year Studies and PSCC's Vice President for Student Affairs. All aspects of the program are reviewed annually by the Bridge Program Review Committee, which consists of representatives from both institutions (see reports from 2011-2012 - [Stats](#) and [Year-End Report](#); and 2012-2013 [Stats](#) for some examples of reports prepared for annual assessment of program success). Based on our student performance assessment and program enrollment data changes were made to the Volunteer Bridge Program for the 2014-2015 cohort. The primary purpose of these changes were to grow the program and serving a greater variety of student needs. In the first three years of the program, enrollment decreased from 74 participants in 2011 to 48 participants in 2013 (see [Bridge Program, First 3 Cohorts Comparison](#)). Bridge program staff examined several potential barriers to student enrollment: the invitation protocol was changed to include students with one developmental test score (previously denied), fall term start date (previously summer term start date), and commuters. These changes allowed greater planning flexibility for students and families and allowed access for students who would not usually be considered for admission to the University. As a result the 2014-2015 Bridge cohort stands at 207 students, of whom 115 have a developmental test score.
- **The University of Tennessee, Knoxville (UT) College of Agricultural Sciences and Natural Resources and College of Arts and Sciences/University of Tennessee Health Science Center (UTHSC) 3+1 Programs.** In anticipation of a successful application for accreditation submitted by the UTHSC to SACSCOC, the two units within the current University of Tennessee have prepared an [agreement](#) for continuation of 3+1 programs in pre-pharmacy, pre-professional, pre-dentistry, and pre-medicine based in the two UT colleges in Knoxville and the UTHSC programs. These programs will treat the transfer of credits from the UTHSC to UT for degree completion as falling under our transfer policies.

Conclusion

The University of Tennessee, Knoxville, ensures the quality of education programs offered through consortia relationships by review by an institutional committee to assess the quality of the programs prior to approving the program be initiated. UT does not enter into consortia relationships for delivery of specific courses. The individual programs are expected to review and assess the effectiveness of these relationships and make decisions on continuance based on these reviews. For those with long histories, these reviews are taking place. Therefore, UT has demonstrated compliance with this standard in that it ensures quality of the programs at initiation and intervals thereafter.

3.4.8 Educational Programs: All: Noncredit to credit

The institution awards academic credit for course work taken on a noncredit basis only when there is documentation that the noncredit course work is equivalent to a designated credit experience.

Judgment

☐ Compliance ☐ Partial Compliance ☐ Non-Compliance ☒ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution. The university offers bachelor, master, and doctoral level programs as well as graduate certificates; UT does not offer associate degrees. UT does not award credit for course work taken on a [noncredit](#) basis.

3.4.9 Educational Programs: All: Academic support services

The institution provides appropriate academic support services.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) provides academic support services for students to succeed in their academic endeavors as well as providing support to faculty and staff in delivering appropriate academic support to students. Support services start with the undergraduate academic advisors, who may be professional staff in the college advising centers or faculty advisors in the departments and/or advising centers. Graduate faculty mentors and staff in the Graduate School take the lead in graduate education. Many campus offices support all undergraduate and graduate students, regardless of whether or not they are on-campus, enrolled at the University of Tennessee Space Institute (UTSI) or at College of Social Work-Nashville, or in online programs (NOTE: Of the [26 online programs](#), only one is a baccalaureate program, the RN to BSN program. The remainder at graduate certificate or master's programs with the majority being in engineering, nursing or social work). Other campus offices target the needs of specific populations of students (e.g., international students, students with disabilities, student athletes, minority students).

Part of the university's mission *embodies the spirit of excellence in teaching* and as such, support services are there to support excellence in teaching for faculty and graduate teaching associates/ assistants.

Support is provided for online students, graduate students, off-site students, undergraduate students, and all UT faculty. Faculty serve as the primary providers of academic support for online courses via blended learning, office hours, online access, and/or referral to other campus wide academic support units such as supplemental instruction videos through the Student Success Center.

Resources are also shared to on-campus, off-site locations, and distance education students through several websites such as

- [One Stop](#) Express Student Services (a consolidation webpage for various student services and also provides an interactive campus map to allow students to locate the services)
- UT [Current Students](#) website, which also provides links to numerous resources and office on campus to help on-campus and off-campus students
- Office of [Information Technology](#) web site, especially the [HelpDesk](#) Knowledge Base available online, online contact form, or via phone service (865-974-9900) (see discussion in Comprehensive Standard [3.4.12](#))
- University Libraries websites (see discussion in Comprehensive Standard [3.8.1](#) and [3.8.2](#))
- [Vol Resources](#) webpage with a map so students can easily locate the different support services.

Graduate students support is provided by faculty mentors, the Office of [Graduate Training and Research](#), Graduate Teaching Workshops provided by the Tennessee Teaching and Learning Center, the students' colleges and departments, and the Graduate Student Senate.

Off-site locations include the Space Institute (Tullahoma, Tenn.), which offers engineering and physics graduate education, and the College of Social Work in Nashville, which offers graduate education, support the students at those locations and the students have full access to the Knoxville campus services through online and telephone contact with the Graduate School, Office of Information Technology, and University Libraries. UT's distance education offerings are at the graduate level and students have access to faculty mentors via telephone, email, and discussion boards/ chat through the course management system (Online@UT powered by Blackboard Learn and Blackboard Collaborate).

Undergraduate and online students are served through a variety of support units to assist with both academic and non-academic student development. Information regarding academic support services is provided through various UT websites, portals, and E-mail list serves as well as through publications such as the [Undergraduate](#) and [Graduate](#) Catalogs (available online through the Office of the Registrar website), the *Daily Beacon* (the student-operated student newspaper), and the student handbook, *Hill Topics*, and the Office of the Graduate School website. The Director for Online Programs also supports students and faculty in obtaining the students the needed assistance. Below is a discussion of the various services provided organized by purpose.

A. Advising

UT advises students to guide them along their academic path. Undergraduate academic advising is coordinated by the Assistant Provost for Student Success. Each of the nine undergraduate colleges has a director for undergraduate advising and utilize professional and faculty advisors. Graduate students are advised in their home departments by their graduate advisor. The [advising policy](#) is provided in the undergraduate catalog. UT employs uses two tools to assist with the undergraduate advising process: [Degree Audit Reporting System](#) (DARS; used to track progress towards degree completion and clear students for graduation; [sample report](#) attached) and, recently adopted, Universal Tracking ([uTrack](#)) that identifies milestone (courses and other measures of progress towards a degree) in each undergraduate academic major plan of study that must be completed by specific points in the course of study. Missing milestones triggers automatic advising sessions. College advising centers also provide materials to assist students with understanding the academic majors. The each undergraduate advising center posts information to the web. Graduate student advising is conducted by faculty in the student's academic home.

Undergraduate Advising Webpages

- College of [Agricultural Sciences and Natural Resources](#) (CASNR)
- College of [Architecture and Design](#) (CAD)
- College of [Arts and Sciences](#) (CAS)
- College of [Business Administration](#) (CAB)
- College of [Communication and Information](#) (CCI)
- College of [Education, Health and Human Sciences](#)
- College of [Engineering](#)
- College of [Nursing](#)
- College of [Social Work](#)

B. Academic Coaching

The [Student Success Center](#) provides [Academic Coaching](#), one-on-one session with a trained Graduate Teaching Assistant in the areas of time management, learning strategies, study skills, and more to better equip students to handle the student challenges and to progress toward graduation. This service is provided at no cost to the student and is available by appointment or drop in.

C. Supplemental Instruction

The Student Success Center provides [Supplemental Instruction](#), large group study sessions conducted by a student leader, to students enrolled in traditionally challenging courses, identified with a D/F/W rate of at least 20% with a minimum of 200 students enrolled in each course. Sessions are led by trained SI Student Leaders twice weekly with an emphasis on group work and collaboration.

D. Tutoring Services

Tutoring is provided by many departments across campus including the Office of [Multicultural Student Life](#), the [Student Success Center](#) located in Greve Hall, the [Thornton Athletics Student Life Center](#), the [Writing Center](#) in the Department of English in Humanities and Social Sciences Building, the Chemistry Tutorial Center (general [chemistry](#) and [organic chemistry](#) tutoring) in the Department of Chemistry in Buehler Hall, the [Math Tutorial Center](#) in the Department of Mathematics located in Ayres Hall, and the [Music Learning Center](#) in the School of Music in the Natalie Haslam Music Center. The Writing Center and Math Tutorial Center offer limited hours of consultation in The Commons of the John Hodges Main Library. The Writing Center also offers limited hours of consultation in the Webster Pendergrass Agriculture and Veterinary Medicine Library. Tutoring is available via appointment or drop in, and students can access tutoring schedules through several University websites and portals.

E. Peer Mentoring

Through strategic and consistent contact with upper-class students, the Multicultural Mentoring Program (MMP) offers peer-to-peer mentoring support for first year students of color. MMP encourages personal and professional enrichment by providing a variety of academic, social and community service events to first year students. Peer mentors receive continuous and relevant training to prepare them to serve as resources to effectively assist students. The program takes a holistic approach in promoting student success, and enhancing the University's efforts in recruiting, retaining and graduating students of color. Peer mentoring is also provided by First Year Studies in the Student Success Center.

F. Career Services

The [Career Services](#) is the first stop for all things career-related, including career counseling, career exploration classes, interest and personality assessments, and resources to help students find the right major and career. Career Services monitors student and employer use of their services and presents an [annual report](#). Staff members are assigned specific colleges and academic majors in order to develop expertise in those areas. Some colleges also have career services personnel who work collaboratively with the Career Services office.

G. New Student Orientation and Programs

The Office of [New Student and Family Programs](#) oversees all orientation and transition programs for new students and their families and provides services and information to parents and families via the UT Parents Association.

H. Living and Learning Communities (LLC)

University Housing, with the combined support of numerous departments, offices, and campus partners, provides students [collaborative learning opportunities](#) by merging the residential experience with educational components and academic coursework. Student learning is promoted through a seamless learning environment that supports, motivates,

and inspires students to actively engage in educationally purposeful activities. Participants live with other LLC students on a designated floor in a residence hall, take classes together, participate in cultural and educational programs, and become involved in community events and social activities. This residential experience encourages students to make meaningful connections with their peers, faculty, and university staff and will ultimately assist students in their adjustment to college life.

I. Resource Libraries and Laboratories

The University provides specialized library services to students in several programs, including Agriculture and Veterinary Medicine, Law, Music, Social Work, Space Institute, and Special Collections Libraries. The Library has extensive online services that support faculty and students at the UTSI and College of Social Work-Nashville, and those taking distance and online courses. Information on library resources and services is fully discussed in Core Requirement [2.9 Learning Resources and Services](#), Comprehensive Standards [3.8.1 Learning/ information resources](#) and [3.8.2 Instruction in library use](#).

J. Computer Laboratories

The Hodges Library (the main library) provides several computer laboratories for students, while multiple departments and colleges across campus such as The Student Success Center and the Writing Center, provide smaller spaces for all students to utilize. Hodges Library and the Agriculture and Veterinary Medicine Library also loans laptops for student use within the libraries. Information about technology use, training, and availability is fully discussed in Comprehensive Standard [3.4.12 Educational Programs: All: Technology use](#).

K. One Stop Express Student Services

UT consolidated several functions most frequently used by undergraduate students including financial aid counseling, university account, registration, and records into what is called [One Stop Express Student Services](#), using a customer service model. One Stop was opened for with the 2013-2014 academic year and is conveniently located centrally in Hodges Library lobby.

L. Programs for Special Populations

Academic retention programs occur across campus and include a wide range of programs run by various departments. Decentralized efforts are coordinated through the Office of the Provost, including the [Educational Advancement Program](#) for first-generation college students, low-income, or special needs such as disabilities or academic need; the [UT LEAD Program](#) for Tennessee Pledge (students whose family's adjusted gross income is less than 200% of the federal poverty level) and Tennessee Promise (students who have graduated from Tennessee high schools which have low enrollment at UT) Scholarships recipients; the [Chancellor's](#) and [Specialized Honors](#) Programs for the high ability students; and Academic Success Workshops offered by the Student Success Center targeting those undergraduate students who go on academic probation with the goal of assisting these students to acquire the work-habits needed to return to good standing.

M. Disability Services

The Office of [Disability Services](#) assists students with documented disabilities by determining their eligibility for services and then working with students to determine reasonable accommodations and services which will, in turn, give the student equal access to the University.

N. Student Health Center

The [Student Health Center](#) provides outpatient medical care for all currently enrolled students who have paid the University Programs and Services fee and also offers professional, confidential, and competitively-priced prescription services to students, faculty, and staff. The Counseling Center provides mental health support.

O. The Office of Graduate Training and Mentorship (OGTM)

The Office of [Graduate Training and Mentorship](#) was developed to enhance and sustain a culture for academic success and professional development for graduate students. In an effort to assist graduate departments with this mission, the OGTM provides the following services: recruitment and retention efforts; diversity resources and initiatives; data collection and maintenance; grant development and research.

Academic Support Services for Instructors

In order to further the mission of the University of Tennessee, Knoxville, several support services for faculty are provided through several units including the Tennessee Teaching and Learning Center (Tenn TLC), the Office of Information Technology (OIT) Instructional Services, and the University Libraries. Services are provided to instructors who wish to improve their teaching skills, learn new pedagogy, incorporate technology (i.e., personal response systems, tablets) in their courses. Opportunities are communicated to instructors through new employee orientation, targeted emails [Deans, Directors and Department Heads listserv; daily UT News (Tennessee_Today), OIT News (Office of Information Technology e-newsletter)], websites, new department head training, and through the student newspaper.

These units offer support through one-on-one consultation, targeted workshops, short courses, and institutes (e.g., Summer Teaching Institute on Course Design, New Faculty Teaching Institute), and small grants. Various colleges will also support faculty through various workshops and other targeted training opportunities (for example, the College of Agricultural Sciences and Natural Resources annual teaching workshop). In collaboration with the Graduate School, a teaching certificate program for graduate teaching assistants/associates and lecturers is forthcoming.

A. Faculty Research Grants

The Creative Teaching Grant Program typically funds 10 grants annually to faculty that desire to experiment with a creative strategy related to their teaching. The program is sponsored through shared funding from the Tenn TLC, the College Deans, and the Office of Research. One focus of these grants is to develop action research projects about teaching that are publishable.

B. OIT Instructional Services

The OIT Instructional Services provides several teaching focused grants. The Faculty First program provides grants to faculty who seek OIT assistance in developing a course enhanced with traditional or emerging technology. The project is for faculty to assess the effect of instructional technology on student learning. Second, the GTA@IT grant assists Graduate Teaching Assistants and Associates in redesigning a course or course components for web-based delivery in Online@UT (e.g., Blackboard, the University's course management system).

C. University Libraries

The University Libraries offers two faculty grants. The New Faculty Funds are designed to order collections that are needed to support the specialized research and teaching areas of new faculty. Endowment funds are available for the first three years of their appointment. The Lindsay Young Endowment Fund provides “special acquisitions in the humanities that will make a qualitative difference in the collections of the Libraries.” Nominations are solicited from humanities faculty members and decided upon by a committee of humanities teaching faculty and librarians.

D. The Center for International Education, Programs Abroad Office

The [Programs Abroad Office](#) (PAO) assists UT students and faculty who are interested in participating in or leading a study abroad program. The PAO manages faculty-led study abroad programs, exchange programs, international internships, and international partnerships and agreements. PAO advisors meet with any student interested in studying abroad to discuss the options and opportunities available.

Additional Information

Compliance with this principle is evidenced primarily in the undergraduate and graduate catalogs, where students can find information on policies and procedures, University websites, where students can find information about available services, in Comprehensive Standard [3.3.1.3](#), which provides a list of assessment practices by student support services, and Core Requirement [2.10](#), which provides a more detailed list of student support services.

Conclusion

The University of Tennessee, Knoxville is in compliance with this standard as evidenced by the availability of various services to undergraduate and graduate students, and instructors to support the education of students.

3.4.10 Educational Programs: All: Responsibility for curriculum

The institution places primary responsibility for the content, quality, and effectiveness of the curriculum with its faculty.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The faculty at the University of Tennessee, Knoxville, have primary responsibility for the content, quality, and effectiveness of the curriculum. These responsibilities are given to the faculty and stated in The Faculty Handbook for The University of Tennessee, Knoxville (UT), and are implemented through the procedures of the Undergraduate and Graduate Councils. Procedural documents are available to all on their web sites, which demonstrate compliance.

The [Faculty Handbook](#) governs faculty and administration at UT (including faculty resident at the University of Tennessee Space Institute (UTSI)) and University of Tennessee Institute of Agriculture (UTIA). [Section 1.5](#) of the *Faculty Handbook* provides that members of the faculty have the *primary role in determining curriculum* at UT. This responsibility is carried out through the Faculty Senate under [Section 1.6](#) of the *Faculty Handbook*. This section provides as follows:

The senate is authorized to review curriculum, including admission and graduation requirements for programs of all academic units. The review process takes place through designated committees at the college and university level, proceeding to the senate through the Undergraduate and/or Graduate Councils. Departmental proposals for the curriculum are transmitted by a departmental representative (or head) for review by divisional, college, and university committees. The head does not have veto power in curricular recommendations approved by departmental faculty, although it is important for college and university committees to have full benefit of the head's advice and judgment about such recommendations. Each academic unit is represented on the senate by an equitable number of senators as stated in the Faculty Senate Bylaws. Other faculty members may serve on faculty senate committees and task forces to assist in this process.

In accordance with Bylaws of the Faculty Senate of The University of Tennessee, Knoxville ([Art. II, Sec. 1B](#)), the Faculty Senate comprises faculty representatives from UT (including faculty resident at UTSI) and UTIA, as well as campus administration.

As noted in the *Faculty Handbook* section excerpted above, the Undergraduate Council and Graduate Council, whose membership comprises faculty representatives from each college at UT and campus administrators together play a central role in campus curricular decisions. Each council is a part of and reports to the Faculty Senate but operates with significant autonomy and at a detailed level between Faculty Senate meetings. Each body publishes minutes of its proceedings once they are approved by the membership, and the Chair of each council sits (with other Faculty Senate committee chairs) on the Executive Council of the Faculty Senate.

The Undergraduate Council addresses undergraduate curricular matters through the [Curriculum Committee](#), which comprises faculty members from different colleges. The Undergraduate Council publishes [Curricular Submission Guidelines](#), for proposed undergraduate course and academic program changes and an [Undergraduate Curricular](#)

[Approval Calendar](#). Significantly, during the 2012-13 academic year, the Undergraduate Council reviewed and approved the consolidation of all of the undergraduate majors in the Modern Foreign Languages and Literatures department and three concentrations in the Interdisciplinary Programs unit into one Modern Foreign Languages and Literatures major with concentrations in each of the languages as presented in the [October 30, 2012](#) Undergraduate Council minutes. The Faculty Senate approved this action on [November 19, 2012](#) included in all of the proposals from the College of Arts and Sciences.

The Graduate Council also addresses graduate school curricular matters through the [Curriculum Committee](#) comprising faculty members from the different colleges and publishes [Curricular Submission Guidelines](#) for proposed graduate curricular changes. The guidelines include a chart that summarizes the curricular change process. The Curriculum Committee's [Operating Guidelines](#) outline its role, duties, composition, and operations. As an example of recent action on [September 12, 2013](#), the Graduate Council reviewed and approved dropping the Intercollegiate/Interdisciplinary Gerontology Minor and Graduate Certificate, with the College of Social Work assuming full responsibility for the Gerontology Graduate Certificate. The dropping of the minor involved three colleges: College of Education, Health, and Human Sciences (CEHHS); College of Nursing (Nursing); and the College of Social Work (Social Work). The Faculty Senate approved the proposal on [November 18, 2013](#).

Proposals for curricular changes originate with the faculty associated with the different academic programs. These faculty also have responsibility for the quality and effectiveness of the programs through assessment of student learning outcomes, as discussed in Comprehensive Standard [3.3.1.1](#). Faculty identify student learning outcomes and determine the most appropriate way to assess them. The Tennessee Teaching and Learning Center conducts general workshops on assessing student learning outcomes as well as provides consultation with those faculty so seeking more specific advice. The Tennessee Higher Education Commission also mandates academic program review on a regular ten-year cycle with a fifth-year mid-cycle review. The Office of the Provost manages the [academic program review](#) process. The internal and external reviewers who participate in academic program review also consider effectiveness of the curriculum, success of the students, and faculty development opportunities that will contribute in improved teaching.

The University of Tennessee System (System) has provides [guidelines and frameworks](#) for the development of new academic programs for each of the member campuses to follow (based on Tennessee Higher Education Commission policies and guidelines), and the discontinuance of academic programs on its campuses. Under this guidance, UT has adopted a [Procedural Framework for Academic Program Discontinuance and Reorganization](#). As stated under the purpose of the procedural framework, *It is an outgrowth of administrative and faculty deliberations in the aftermath of proposed budget cuts that were made near the close of the 2008 academic year. At the time that those proposals were made, there were no commonly agreed upon principles to guide the decision-making process.* This framework meaningfully engages faculty in the process of evaluating administrative proposals to approve academic program reorganizations and terminations. The [UT Knoxville Substantive Change Policy](#), and the [Undergraduate](#) and [Graduate](#) Curricular Submission Guidelines address the procedure for contacting the SACSCOC Liaison in order to provide the needed information to report any closures to SACSCOC.

Conclusion

The University of Tennessee, Knoxville, places responsibility for the content, quality, and effectiveness of the curriculum with its faculty through University of Tennessee System

Board of Trustees policies, the UT Faculty Handbook and through actions of the Undergraduate and Graduate Councils, thus demonstrating compliance with this standard.

3.4.11 Educational Programs: All: Academic program coordination

For each major in a degree program, the institution assigns responsibility for program coordination, as well as for curriculum development and review, to persons academically qualified in the field. In those degree programs for which the institution does not identify a major, this requirement applies to a curricular area or concentration.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) places the responsibility for the coordination, curriculum development and review in the hands of the department heads, school directors, and program directors for select degree programs. These unit heads provide the oversight for 1) faculty selection (tenure, tenure-track, and non-tenure-track), teaching assignments, workload, and annual performance review; 2) hiring of graduate teaching associates (those graduate students with a minimum of 18 credit hours in the discipline or doctoral students who have already earned an appropriate master's degree in the discipline); 3) faculty assessment of student learning outcomes and reporting to the associate deans annually on their assessment activities; and 4) ensuring that university curricular approval policies and procedures are followed. Credentials of unit heads ([Appendix 3.4.11-A](#)) are provided with this report.

Six of the eleven academic colleges are organized into departments or schools with the department heads or school directors having full responsibility for all degrees and certificates providing oversight and coordination of the curriculum. These colleges are, College of Agricultural Sciences and Natural Resources, College of Arts and Sciences, College of Business Administration, College of Communication and Information, College of Education, Health and Human Sciences, and College of Engineering. Within the College of Arts and Sciences, the associate dean assumes the oversight duties related to interdisciplinary programs as these cross departmental lines.

Four colleges have college-wide graduate programs with an associate dean or a director handling the coordination of the curriculum and oversight for curriculum development meeting the requirements of the Graduate School: College of Architecture and Design (graduate director), College of Business Administration (associate dean), College of Communication and Information (associate dean), and College of Veterinary Medicine (associate dean). The College of Agricultural Sciences and Natural Resources has an interdepartmental doctoral program (PhD in Plants, Soils and Insects; this involves three of the eight departments) which is coordinated by the associate dean

Four colleges are not organized into departments or schools and have program directors with the oversight function for curriculum development, assessment, and review: College of Architecture and Design, College of Law, College of Nursing, College of Social Work.

There are two intercollegiate units with directors: Comparative and Experimental Medicine, and Energy Science and Engineering.

Depending upon the size of the department/school, department heads and school directors may assign faculty to help with the day-to-day operations, such as timetable preparation,

graduate admissions; however these appointments rotate among the faculty on a yearly or biennial basis. Department heads and school directors serve for five years and have full responsibilities for all functions of the departmental or school operations. They can be reappointed for multiple five year terms; many are.

As part of the search process, successful candidates for department heads and school directors have their credentials verified by Human Resources through the National Student Clearinghouse. If a candidate's degree is earned at a university which is not part of the clearinghouse, HR will contact the institution. If the candidate's degree is from a foreign university, HR requests the candidate send an official transcript in order to verify the degree. Additionally, effective January 1, 2011, full criminal background checks will be conducted for any person being hired into a permanent position (graduate, undergraduate, and professional student employees will not have a background check). All new hires are required to supply official transcripts.

Various actions used to ensure program coordination are:

1. Department heads, school directors, and faculty undergo annual performance review. Coordination of academic programs is part of that review for department heads and school directors and for those faculty members who serve as graduate directors or undergraduate coordinators (on a limited appointment basis of one or two years).
2. Academic programs undergo regular reviews by unit, college dean, review team, and accreditation reviews at UT. Reviewers are specifically asked to assess the adequacy and quality of the department head/ school director and program faculty.
3. The Faculty Handbook indicates that department heads have responsibility to *work with faculty to plan, execute, and review curriculum*. ([Sec. 1.4.2](#)) Furthermore, the Faculty Handbook specifies that faculty have a *primary role in determining curriculum, educational policy, standards for evaluating teaching and scholarship...* ([Sec. 1.5](#)) The Faculty Senators represent each of the 11 colleges (including faculty located at the University of Tennessee Space Institute, Tullahoma, Tenn.), University Libraries, and university administrators (Bylaws, [Art. II, Sec. 1 A, B and E](#)). In 2013-2014, Faculty Senate bylaws were amended to allow the election of faculty in non-tenure track, full-time or continuing part-time appointment with the rank or equivalent rank of lecturer, clinical instructor, assistant professor or higher, to fill seats from the colleges.
4. The Undergraduate Council, whose membership comprises representatives from each college, has responsibility for faculty oversight of content, quality and effectiveness of the curriculum, academic policy, and undergraduate appeals. The Vice Provost for Academic Affairs is the primary administrative liaison to the Undergraduate Council
5. The Graduate Council, which includes faculty representatives from each college with graduate and professional degree programs and a dedicated seat for the UT Space Institute, has oversight responsibility for academic policy, approvals to direct doctoral dissertations, curriculum, review and approval of new degree programs. The Vice Provost and Dean of the Graduate School is the primary administrative liaison to the Graduate Council.
6. The [Undergraduate](#) and [Graduate](#) Councils, with the assistance of the Office of the University Registrar, publish guidelines for submission of curricular materials.
7. The Director for Online Programs works closely with faculty and departments with the development of online courses and/or full programs.

In 2009-2010 academic year, the Graduate Council approved a position description for Director of Graduate Studies, prepared by the Dean of the Graduate School in counsel with the Graduate Deans representing the different colleges in Knoxville and the UTSI. This

position description specifies that a faculty member serves as the Director of Graduate Studies for each degree program. (Graduate Council Minutes, April 15, 2010 Meeting, [report](#) by the Graduate Deans and the [full document](#)). As provided in Graduate Studies Director Responsibilities (2010) duties focus on the management of recruitment, admissions, and orientation for graduate students:

- Serves as liaison between the department and Graduate School in matters related to graduate education
- Serves as primary contact with prospective students, departmental graduate faculty, college, graduate and international admissions, and graduate school regarding questions posed about the departmental graduate program(s)
- Oversees graduate student application process within department/programs
- Manages the recruiting and admission process for graduate students and coordinates the department/program graduate marketing materials; handles or coordinates with appropriate professional staff, prospective graduate student inquiries, campus visits, correspondence and application review
- Monitors admission policies for all graduate students (domestic and international)
- Monitors noted deficiencies of admitted graduate students
- Registers international graduate students for SPEAK test and monitors scores; monitors evaluation and observations of students with probationary scores on SPEAK test.
- Oversees departmental/program orientation of new graduate students
- Ensures new GTA's are notified of and registered for attendance at Graduate School Orientation during fall semester
- Provides academic leadership in the department for graduate program curricula
- In conjunction with graduate faculty, engages in strategic planning regarding graduate issues

Conclusion

The University of Tennessee, Knoxville, assigns responsibility for program coordination primarily to the deans, department heads, and school directors who are assisted by undergraduate coordinators, graduate directors, and/or assistant/associate heads. Credentials are reviewed during the hiring process; through annual performance review, tenure and promotion review, and post-tenure reviews, continued excellence is assessed. UT has appropriate processes in place to ensure all academic programs are coordinated by persons academically qualified in the appropriate fields, thus being compliant with this standard.

3.4.12 Educational Programs: All: Technology use

The institution's use of technology enhances student learning and is appropriate for meeting the objectives of its programs. Students have access to and training in the use of technology.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT), is the state's flagship, comprehensive land-grant research institution. UT has a long commitment to enhance student learning through the use of technology. This commitment, as discussed in detail below, has resulted in a university culture that expects the integration of appropriate technologies within classes and programs offered by the university to enhance all students' learning. Furthermore, students have access to a variety of training opportunities regarding the effective use of software packages and there are also many resources to assist faculty in integrating technology into their teaching practices.

This commitment accelerated with the early adoption of CourseInfo in 1998, which is now known as Blackboard Learn. UT's entire campus has had wireless Internet access since 2001, and there continues to be a robust and reliable network with wired and wireless infrastructure. One key to the success has been strategic use of the Student Technology Fee to build out the robust wireless network so that it can withstand increases of 40% annually in wireless device usage. UT also has public and departmental computer labs, central file storage, e-mail, an enterprise learning management system, technology-enhanced classrooms, video-conferencing, a standardized "clicker" (student response system), online classes and programs, a centralized 24/7 help desk, access to digital content, collaboration tools, support for podcasting and multimedia development, and grants for the development of technology-driven course content. Faculty input for technology enhancements is provided through the Library and Information Technology Faculty Senate Committee with membership that includes the Assistant Vice Chancellor and Chief Information Officer (CIO) and the Dean of UT Libraries. Student input for technology enhancements is provided through the Technology Fee Advisory Board, where the Assistant Vice Chancellor and CIO is the Co-Chair with the President of the Student Government Association.

Enhancing Student Learning

The Office of Information Technology (OIT) provides several tools that faculty members actively use to place part or all of their course content online. Online@UT, powered by Blackboard Learn, is an online learning management system that provides tools for document distribution, communication, assessment, and student engagement. OIT implemented Online@UT in 1998 and its use has steadily grown to become an expected aspect of any UT course. The [Online@UT website](#) provides the login to Online@UT, using university issued NetID and user selected password (see [FR 4.8.1](#) for discussion of university issued Net ID and passwords for authentication), as well as Online@UT-related support documentation. Ninety percent of all UT students (undergraduate, graduate and professional students on campus) have at least one course that [uses Online@UT](#) and 78.8% of all courses have an active Online@UT course site. LiveOnline@UT, powered by Blackboard Collaborate, is used to deliver live, synchronous classes using two-way audio and video. Blackboard Collaborate is the online classroom and webinar application for UT. There are 19 graduate degree/certificate programs that are [using LiveOnline@UT](#) to deliver their courses.

The [LiveOnline@UT website](#) provides timely information about the system and outlines the steps for getting help when students are participating in a live session.

UT's Classroom Upgrade Committee is a subcommittee of the Facility Services Fee Committee, and is focused on the upgrading of classroom space hosted by the university registrar. Currently, a total of 198 out of 204 technology-enhanced classrooms fall into this category of classroom space. A major priority for this subcommittee is to upgrade and maintain technology in all registrar-hosted classrooms on campus. In the summer of 2012 (2011-2012 academic year), the Classroom Upgrade Committee completed a major overhaul and renovation of the Humanities and Social Sciences Building with a budget of \$3.5 million. UT chose this building for renovation because more than 25 percent of all undergraduate student credit hours are delivered from this facility and nearly every undergraduate takes at least one course from one of its classrooms. A major driving force of this project was a focus on supporting student learning and engagement. Therefore, mobile tablet armchairs and mobile tables with chairs were installed to allow for rapid class reconfiguration during and between classes. Team collaboration surfaces were created in these classrooms by placing SmartBoards on the walls around each room.



Figure 3.4.12-1 Flat and Flexible Classroom

Approximately \$540,000 in funding was provided during the 2012-2013 academic year to install instructional technology in registrar-hosted classrooms in the following new buildings: C. E. Brehm Animal Sciences Building, Natalie L. Haslam Music Center, and the John D. Tickle Engineering Building. These funds represent the installation of instructional technology in about 18 new classrooms spread out over three colleges: Agricultural Sciences and Natural Resources, Arts and Sciences, and Engineering.

During the past two years, the Classroom Upgrade Committee also investigated the use of document cameras, digital tablets for instruction, and the "Flat and Flexible" classroom technology, which re-purposes space for more technology use and increased student collaboration at the graduate and undergraduate levels and was installed in the Colleges of Arts and Sciences, Communication and Information Sciences, and Agricultural Sciences and Natural Resources. With respect to instructional technologies, the Classroom Upgrade

Committee found that the Flat and Flexible specialized classrooms should be supported by strong college management plans because teaching strategies were often not paired with the functionality of these rooms; that document cameras are literally robust and are still needed by a subset of UT instructors; and, that the software support for the use of tablets in classrooms is close to fruition. A need identified was for document cameras, thus by the end of the 2012-2013 academic year, UT had document cameras distributed in about 173 of 204 registrar-hosted classrooms.

Instructional Technology in University Libraries

University Libraries provides specialized classrooms and learning spaces for all students, faculty, and staff including six viewing room classrooms that provide space for instructors using media or other library resources as part of their class sessions. Viewing rooms are equipped with an instructor's podium with touchscreen and projection, wireless access, all-region DVD players and standard VHS players. They range in capacity from 20-50 students. Two viewing rooms contain mobile furniture and interactive monitors for group work. Room 129 was renovated, as part of a collaboration of the UT Libraries, Tennessee Teaching and Learning Center, and the Classroom Upgrade Committee, to include mobile furniture with mobile table armchairs, an equipment stack for media, a SmartBoard, and interactive classroom technologies that encourage blended and participatory learning. Well over 1,000 UT instructors and professors have been trained in new teaching and learning pedagogies in that classroom.

There are three library instruction classrooms for the delivery of information, technology, media literacy instruction, and advanced research skills. The rooms are equipped to accommodate multiple modes of learning and have "clickers" available to provide interactivity and easy student assessment options.

The John C. Hodges (Main) Library's Lindsay Young Auditorium seats approximately 180 and provides large screen front projection, a variety of microphone options for events and presentations, full sound system, multiple media playback options, and a MediaSite tracking camera system for recording and streaming events and classes. In addition to films and events, the auditorium is used as a place to record and conduct online instructional sessions.

Personal Response System: Clicker Technology

UT has been using "clicker" technology for in-class student engagement and assessment since 2006. Students use personal remote-controlled or Internet-accessible mobile devices to submit responses to in-class questions, via radio frequency (rf) or wireless technology, to a receiver connected to the instructor's laptop computer. Software installed on the computer analyzes the data and displays the results graphically (e.g., bar graphs, pie charts, etc.), giving both students and faculty immediate feedback on what concepts might need further review or preparation. UT's current standardized vendor is Turning Technologies. OIT and the [Clicker Technology Faculty Advisory Committee](#) work together to continually evaluate clicker technology products in order to assess whether a new technology needs to be pilot tested and adopted. The Clicker Technology Faculty Advisory Committee's charge is to serve as a liaison between OIT and faculty who use clickers by communicating clicker usage issues that are encountered within their departments; testing current and competitive vendor products; assisting with survey development; and, any pilot study implementation, as needed. OIT's Clicker Technology Coordinator contacts current clicker technology users regarding their interest in serving on the Committee. Committee members consist of five to seven departmental representatives from varying disciplines and class sizes: large (100-650 students), undergraduate, general education/required courses, and/or small (25-99

students), non-required, graduate courses. Committee members include early adopters that have used clicker technology for five or more years, and newer adopters seeking to encourage increased clicker technology use within their departments. Faculty members are asked to serve a maximum of two academic years, and may "roll off" at will. Meetings are once a year and during the semester-ending Clicker Technology Roundtable sessions. Additional meetings may be scheduled as needed.

OIT conducted a survey of faculty and student clicker technology users in fall 2012. The results support current research that using personal response systems in class does enhance comprehension for both students and faculty. Forty faculty received the survey and 23 responded to the survey. Of the 8,674 students enrolled in classes using clicker technology who received the survey, 604 responded. Eighty-seven percent of faculty respondents agree or strongly agree that the use of clicker technology helped them to meet course objectives and 70% reported that clicker technology helped them to instantly identify content areas students did NOT grasp. Seventy-eight percent of student respondents agreed that clicker technology made the class more engaging than a traditional lecture and 75% said it increased their attention in class.

Since spring 2009, OIT, along with Turning Technologies, has provided clicker technology training and support to approximately 215 UT faculty representing 45 departments, over 230 classes, and approximately 40,000 students.

iTunes U: UT Channel

UT participates in [iTunes U](#), which is a free, hosted service for colleges and universities that provides easy access to educational content, including lectures and interviews. Content can be downloaded to a computer or transferred to a mobile device allowing the students to study anywhere, anytime they choose. Faculty can post content to either a public or private iTunes U site. These audio, video and text files, created by the instructors, can contain course materials, lectures, seminars, and other valuable information related to a course. Any UT student can access the audio and video podcasts or PDF files by logging on to iTunes U with their NetID and password. There are currently a total of 455 unique public and private UT iTunes U sites available to students.

Support for Faculty and Students

OIT's instructional development service supports faculty with the integration of instructional technologies into their teaching. Faculty can request a consultation with an instructional designer, multimedia developer, or other staff member depending on their needs. Faculty can request OIT assistance with the development of small-scale projects that are low to moderate technical complexity and that do not take more than two months to complete. Faculty can also submit a proposal to the [Faculty First grant program](#), which is an opportunity to create a year-long partnership between the faculty member and OIT staff in the development of larger-scope instructional projects. In general, OIT staff members work with faculty instructors to complete approximately 125-150 small scale instructional projects per year and 5-10 Faculty First projects each year.

The Student Success Center (SSC) offers [Supplemental Instruction \(SI\)](#) sessions for undergraduate students in Chemistry 110, 120, 130, 350, and 360, and Mathematics 115, 119, and 130. SI leaders are selected via an application and interview process, contingent on academic and judicial good standing. To serve as an SI leader for a course, a student must have earned a grade of 3.0 or higher in the course, and an overall GPA of above 3.0 is preferred. The student must also demonstrate content competency (as determined by the course professor), good interpersonal and communication skills, and comfort and skill in

public speaking. In addition to the initial application and interview, a reference from a UT faculty or staff member is required. SI leaders must be at least second-semester sophomores; junior or senior standing is preferred. As an additional resource for SI sessions, SI leaders make [video recordings](#) available to the students, covering content that students typically find challenging. When challenging content is identified, SI leaders design a video presentation of how to work with the material, record the presentation in the SI office, and make it available to students via YouTube. These video recordings provide visual support to students who could not attend the session or who want to review the material that was covered.

The Writing Center serves student writers (undergraduate and graduate students) in all disciplines of the UT academic community by offering free tutoring help throughout the writing process. The Writing Center has 17 computers available to students, each with "typical" lab programs installed (Microsoft Office, Adobe, etc.). Two computers also have Final Draft, to aid students in screenplay writing. One computer is wheelchair-accessible, but the Writing Center does not otherwise offer ADA modifications (e.g., voice composition software). The Writing Center also offers a "grammar hotline" via telephone for brief queries about writing. The Writing Center Director trains instructors assigned to two technology-based classrooms in the Humanities and Social Sciences (HSS) building. This training involves use of the advanced instructional software (Insight and SmartBoard) in these classrooms to enhance instructors' use of technology in the classroom. Insight software allows instructors to interact with students in the classroom on their computers and guide their usage. Insight gives instructors the ability to see which students are logged in and to view their activity on the classroom computers in real time; instructors can also use Insight to restrict or limit students' Internet access, project individual computers' content at the front of the room, chat computer to computer, administer quizzes and surveys, and control students' computers as needed (to demonstrate revision strategies, for instance).

First-Year Studies offers FYS 100: The Volunteer Connection, an online (via Online@UT), zero-credit-hour course that is required of all first-time, first-year students, taken primarily over the summer before their first semester. The course consists of 10 modules designed to introduce students to academic life at UT and facilitate their transition by engaging them in a common academic experience (the *Life of the Mind* common reading program), acquainting them with important tools and campus resources, and over-viewing strategies that will help them succeed academically and personally in college and beyond. The first such module, entitled "Technology@UT," offers tutorials for the most common technology needs of students at UT, particularly MyUTK (online student portal), Online@UT, public computer lab access, security awareness, and policies governing technology use at UT. Upon completing the module, students complete a brief quiz to demonstrate their proficiency with this information.

Gaining Input from Faculty and Students

Gaining input from faculty and students is accomplished through several avenues. OIT conducts an annual online survey of customer satisfaction, which is distributed to students, faculty and staff. On the 2013 OIT Satisfaction Survey, average overall satisfaction with OIT services was 4.00, measured on a 5 point scale (1-very dissatisfied, 5-very satisfied), which was significantly higher than average satisfaction from 2012 (mean=3.96). When looking within each status group, students showed a significant increase in satisfaction with a mean of 3.97 in 2013 compared to 3.86 in 2012. Staff showed a significant decrease in satisfaction 4.14 in 2012 to 4.06 in 2013. Although the decrease was significant, staff were still satisfied overall. There was no significant change in the satisfaction levels of the faculty (mean=3.97).

OIT joined the Higher Ed TechQual+ Project to conduct the 2014 Customer Satisfaction Survey in order to compare UT to some of our peer institutions. The TechQual+ survey instrument consists of 13 items that assess the quality of services as related to the following core commitments: 1) availability of technology services, 2) reliable and effective access to those services, and 3) consistent and timely support. The survey asked the respondent to rate each item on three factors: minimum service level expectation, desired service level expectation, and perceived service performance. In a comparison of other High Research Universities who participate in TechQual+, the customer expectations at UT exceed our peer's customer expectations in 12 out of 13 core items. Our adequacy gap score, which is calculated as perceived performance level minus minimum service level expectation, exceeds UT's peers in 10 out of 13 items.

UT Libraries also assesses its services, spaces, and collections by gathering input from students, faculty, and staff in a variety of methods. This is key to the libraries' strategic planning and goal of continuous improvement. For over a decade the UT Libraries has utilized the standardized library evaluation survey instrument developed by the Association of Research Libraries called LibQual. The survey was most recently administered in 2013.

On a rotational basis, the UT Libraries conducts library user surveys and usability testing as additional means of evaluation. Formal faculty and student advisory groups (Deans Student Advisory group, Faculty Senate IT and Library committee, Library Faculty reps group) are organized each year to provide feedback to the library administration. Spontaneous informal meetings over lunch are conducted with students and faculty to discuss ideas for library improvements. Suggestion boxes, both physical and virtual, collect user comments, questions, and suggestions. The UT Libraries is also a partner on the LibVal, Return on Investment grant with the UT Center for Information Studies in the School of Information Sciences. Valuable data regarding the relationship of the learning commons and library instruction to student success has been documented through this Institute of Museum and Library Services (IMLS) grant-funded project. More information about technology use and availability to undergraduate, graduate, professional, and distant students is discussed in both Core Requirement [2.9](#) and Comprehensive Standard [3.8.2](#).

Meeting Colleges' Needs

Because the hallmark of the educated person is the ability to think independently, students at the University of Tennessee, Knoxville are taught to acquire, evaluate, and use information. As part of the General Education Program, the [Building Basic Skills](#) requirement outcomes are:

- Students must be able to acquire information by conducting independent research, both in a conventional library setting and through the use of the rapidly developing electronic technologies, including databases and Internet resources.
- Students must then learn to evaluate the reliability, accuracy, and logical soundness of that information. The students will be taught to apply evaluative techniques to statistical and rhetorical presentations in arts, humanities, natural sciences, and social sciences.
- Students must be trained to use the information that they have acquired. They must write clearly, speak convincingly, and solve problems using creative approaches.

Every College has varied ways that they integrate technology into their specific curriculum, including those already discussed such as the use of Online@UT, LiveOnline@UT, "clickers" and technology-enhanced classrooms. The Technology Fee Advisory Board reserves approximately \$1 million each year to be distributed to departments for technology needs following [specific guidelines](#).

A few examples of departmental technology use are highlighted in this section.

College of Agriculture Sciences and Natural Resources

Keeping today's undergraduate students actively engaged during class is a challenge, and the current trend in "flipped" classrooms encourages activities other than standard lectures. The TEAL (technology enhanced/active learning) classroom opened in January 2011. Mobile furniture in the TEAL room allows for easy rearrangement of its eight tables and 32 chairs. A portable media cart carries four fully charged Windows® laptops and 12 iPads. There are four wall-mounted 48-inch monitor/mini-Mac combinations, in addition to a standard instructor workstation/mini-Mac and overhead projector/large screen. The software used (ClassSpot) allows students to share their work and collaborate on the wall-mounted monitors, helping them to learn more effectively by actively participating in the construction of knowledge. Students study an online mini-lecture before coming to class and then the group embarks on the active learning assignment. For example, a general topic such as dams might be divided into themes such as history, types, societal impacts and downstream effects of dams. A handout provides background information, learning outcomes and expectations, presentation platform, instructions, guided questions, suggested division of labor and time on task, and a grading rubric. Feedback from students using the TEAL technology has been very positive and has noted an added plus – the average attendance increased by 17 percent with the new instructional format.

College of Architecture and Design

Through the technologies and resources provided, students are prepared to pursue entrepreneurial initiatives, lead creative teams, and accelerate innovation. Some of the tools available to students of the UT College of Architecture and Design include:

- A wood shop that features all necessary tools for the creation of furniture, industrial design projects, and building staging and mock-ups. The wood shop has 3D printing, milling, laser cutting, and other digital fabrication resources for students.
- A digital print and image center. Students may print and scan their projects through our own print shop.
- A college computer lab is accessible day and night, and features all necessary and quality software to complete design and research projects. Digital "pin-up" centers are also available through several classrooms and the "Clerestory," a digital review space.
- Libraries and collections are available to students for all of their research and resource needs. From our digital collections to our materials library and subject librarian, students can delve deep into their design studies and interests.
- The Fab Lab is a state-of-the-art fabrication laboratory that offers students opportunities to construct, test, design, and build.

College of Arts and Sciences

In an effort to meet student demand for certain courses and use classroom time to support active learning activities, the Department of Modern Foreign Languages and Literatures (MFL) launched the initiative to shift some instructional time from classroom to online delivery in targeted French and Spanish foreign language courses. The face-to-face meetings were reduced from three to two sessions per week and the third face-to-face session was replaced with interactive online activities. The comparison of scores for the same exam given to students who took the class in a traditional format and the students who took a hybrid course in Spanish 123 (Intensive Elementary Spanish) and Spanish 150 (Intermediate Spanish Transition) showed no significant difference. In addition, the same groups of students showed no significant difference in performance on Spanish Placement

exams. Additionally MFL uses many specialized software products such as OWL Testing, WebCAPE, OPIc, Skype with Call Recorder, 323Link, Blackboard Collaborate Voice Authoring, Transana, InqScribe and Scrivener.

The School of Art's Media Pool, supported by Technology Fee funding, provides all students enrolled in Art with access to high-end equipment. For example, in several art classes, immediately after the faculty member demonstrates the use of a camera in class, students can check out this model of camera for up to 48 hours to shoot video for the current assignment. The student takes their work on an SD card to the lab in the Art and Architecture Building to edit the sounds and video with ProTools and Premier software. On average 50 students check out this equipment each week.

Desktop computers purchased with Technology Fee funds are used by over 800 students each week in the introductory physics and astronomy labs, as well as in advanced courses. Students use the computers in a comprehensive fashion starting with data acquisition and proceeding to graphical analysis, computation, and reporting results. In the advanced classes, computers allow automation of the experiments. The computers are as much a part of the experimental apparatus as the physics equipment itself; they provide the bridge between textbook concepts and their application to real-world problems.

The new Natalie L. Haslam Music Center has eight technology-enhanced classrooms, a computer lab with 19 Apple computers, each equipped with a MIDI Keyboard and software for music notation, ear training, marching band techniques, Internet access, and word processing.

College of Business Administration

The College of Business Administration (CBA) acknowledges that success in today's business environment is largely a function of accessibility to and interpretation of information. This information provides the knowledge that allows employees and employers to make smart business decisions. Because today's business world demands that employees be able to effectively use personal computers and diverse software applications, the College of Business Administration intertwines technology with its curriculum at all levels, relying on the university's wireless network and the university's course management system, Blackboard Learn. All CBA undergraduate majors are required to have laptop computers (since 2002).

The Master's of Business Administration (MBA) programs and the Graduate and Executive Education programs require laptop computers. The MBA Programs for working professionals combine residential periods of instruction with virtual classroom instruction delivered primarily using both Online@UT and LiveOnline@UT.

College of Communication and Information

The Scripps Convergence Lab provides communication and information students with a transformative facility for creating, writing and producing a variety of projects to prepare themselves for successful careers as working professionals.

College of Education, Health, and Human Sciences

Due to Technology Fee funding, students across campus who are engaged in social science research have access to and support for using cutting-edge software, ATLAS.ti, to assist them in collecting, transcribing, managing and analyzing their qualitative and mixed methods datasets. Student and faculty researchers can use this powerful software to assist in their analysis of not only text, but also image, audio and video data – adding robustness

and depth to their studies. ATLAS.ti also makes collaboration and teamwork more effective and efficient.

Nutrition 100 is offered in both online and “traditional”/face-to-face formats at the University of Tennessee. Nutrition 100 is also a high-demand course that meets a General Education requirement for the Natural Sciences and is a required class for several majors. This demand led to the development of Online Nutrition 100, which is a completely online course, offered asynchronously, to allow students to view lectures and complete assignments conveniently on their own time. It is not a self-paced course, as there are designated due dates throughout the semester; however, students are allowed to work ahead if they wish. Online Nutrition 100 has been proven to uphold equal educational quality, rigor, and content as compared to that of the traditional Nutrition 100 course, and consistent instructor-student communication is maintained throughout. Delivering both online and traditional formats allows the Department of Nutrition to offer more students this high-demand course, while allowing flexibility in teaching modalities.

College of Engineering

The College of Engineering has two new buildings, the Min H. Kao Electrical Engineering and Computer Science Building and the John D. Tickle Engineering Building. The Min H. Kao Electrical Engineering and Computer Science Building houses state-of-the-art instructional facilities, including teaching laboratories with the latest electrical and electronic equipment, computers, and software so that students will receive an education using the modern tools and techniques expected of new graduates. The John D. Tickle building contains 24 laboratories, three conventional classrooms, one lecture hall, and three student workspaces. The laboratories include a high-bay area for both structural testing and asphalt road surface testing. There is also a geotechnical laboratory. The three classrooms promote collaborative learning through the use of movable chairs and SmartBoards.

Thanks to Technology Fee funding, the Nuclear Engineering Department has made substantial progress on its 3-year technology strategic plan. The department has used Technology Fee funds to purchase quite a few items including laptops, an additional computing cluster node, and hardware components for the Radiation Measurements Laboratory. The department has realized numerous benefits from this equipment: with the laptops, they provide properly-configured machines for distance education classes, helping to ease the technological burden on instructors; with the additional cluster node they meet the increasing demand for computational resources presented by expanding enrollment in undergraduate courses, as well as provide a secure, high-performance, internally-administered system for student access to export-controlled simulation software such as MCNP5, MCNPX, SCALE, NESTLE, DENOVO, SERPENT, and VESTA; the additional hardware components purchased for the RML are also helping to meet the needs of an expanding student body, which has increased nearly 50% in size over the past 6 years.

College of Law

The College of Law provides an assortment of audio-visual equipment for classroom use. Examples include LCD projectors, laptop computers, video cameras, digital still cameras, television, document cameras, and audio equipment. CALI, the Center for Computer-Assisted Legal Instruction, offers over 600 interactive online lessons for law students, designed to supplement and enhance learning in almost every legal subject.

The College, through Technology Fee funds, also introduced recording capabilities into its student study rooms, allowing law students to record oral arguments, negotiations, and study sessions to an online portal-based system. The system was developed in-house and allows students to swipe their student ID cards to access the recording capabilities and

control the recording through touchscreen interfaces. Once recordings have been completed, students are able to grant access to participants, other classmates, and faculty who can then view the videos online, leaving comments that are synced to the video timeline and display and disappear in real-time on video playback.

College of Nursing

The undergraduate program incorporates classroom, clinical and laboratory learning to develop registered nurse competencies and integrate knowledge and skills of current and emerging technology into nursing practice. Simulation is used in a variety of courses along with other innovative teaching methods such as classroom response systems and academic electronic health records.

One specific example is the implementation of a software program called DocuCare™ in undergraduate courses. Using this software, students create and maintain electronic patient records during simulated nursing scenarios and throughout the course. Course instructors monitor and review the records to check for thoroughness, accuracy, and understanding of the material taught. The software is web-based and can be accessed by the students from their laptops or mobile devices. Integrating this skill into the undergraduate coursework exposes Nursing students to real-world experiences they will need as professional nurses.

The College of Nursing also has the Health Information Technology Systems (HITS), also known as the simulation center, making state-of-the-art education possible for its students. Now, with advancing healthcare training technologies, nurses learn patient care skills in a safe lab environment before caring for real patients. Smart manikins purchased with Technology Fee funding, have heart and breath sounds, talk and can even have a cardiac arrest. Nursing students practice their clinical skills in a simulated environment with these manikins and chart their care on educational electronic health records accessed with laptops.

College of Social Work

The College of Social Work helps students expand thinking and prepare them to help people improve their social functioning in a technologically complex, culturally diverse, and rapidly changing world without borders.

The online Master of Science in Social Work is one of the nation's top accredited online programs, and employs both Online@UT and LiveOnline@UT for the delivery of instruction to graduate students on the Knoxville campus, graduate students located in Nashville, or located elsewhere in this online program.

The Doctor of Social Work (DSW) in Clinical Practice and Leadership prepares graduates for advanced clinical practice and leadership. Geared toward working professionals, the DSW is an intensive accelerated program that is delivered primarily online. The curriculum focuses on advanced clinical practice, clinical research and advanced practice leadership. One primary student outcome is that graduates will utilize information systems/technology to support and improve social work care and social health issues. All courses are delivered using both Blackboard Learn and Blackboard Collaborate, employing both synchronistic and asynchronistic approaches, interactive video, and instructional media.

College of Veterinary Medicine

The College of Veterinary Medicine is a media-rich educational environment. Classroom learning is enhanced through the use of clickers (student response systems) because it provides a risk-free method for students to interact with the instructor and other students.

This technology provides immediate feedback about how students are processing pathologic conditions in animals.

Purchased with Technology Fee funds, virtual microscope technology provides several important improvements over regular microscope instruction, in that instructors can actively demonstrate the changes they want students to see on the overhead projector, while students can take a more in depth study at their own computer terminal. This way there is little chance that important structures will be missed. Maintenance is easy, there are no microscopes to service, or store and the images are available after the class so students can refer to them prior to examinations. Additionally, student feedback is consistently positive.

Providing Access to Technology

The purpose of the Technology Fee is to support the mission of the University by providing all students (undergraduate, graduate and professional) with improved access to the technological infrastructure, resources, and services at UTK enhancing the student's educational experience. This fee supports a number of computing, telecommunications and instructional technology [services](#).

MyUTK provides a central location for students, faculty, and staff to connect with UTK's online systems. Students can access registration, course schedules, weekly schedules, academic links, Vol Card balances, and more. Staff will see advising links and other resources. Faculty have access to grades, class details, Online@UT, Advising, and additional services.

Students have mobile access to information via the [University of Tennessee Mobile App](#), [Blackboard Mobile™ Learn](#) and [Blackboard Collaborate™ Mobile](#).

E-mail is the university's official form of communication with students. OIT provides each student with a UT e-mail account once they are admitted to the university. At that time, all official correspondence including registration information, financial aid, and course work, is delivered to the student's UT e-mail account. These accounts are hosted by Microsoft Office 365 and include a 25 GB mailbox, access to Microsoft web applications, and 25 GB online document storage. Faculty and staff e-mail accounts are hosted on a campus Exchange 2010 system. The campus Exchange and Office 365 directories are synchronized to allow for seamless e-mail delivery and address book access for all students, faculty, and staff. Both the campus Exchange and Office 365 accounts allow for client access (e.g., Outlook), web access, and mobile access from a smartphone or tablet. Students, faculty, and staff can access their UT e-mail anytime, anywhere.

All UT students, faculty, and staff have two primary options for file storage, T-Storage and SkyDrive Pro. T-Storage is a campus-hosted solution and provides users with a 25 GB home area. Home areas can be mapped to a personal computer and are automatically mapped when you log into a computer on the domain, including the OIT Computer Labs. SkyDrive Pro is a cloud-based solution and is included with each Microsoft Office 365 account. The SkyDrive Pro account has a 25 GB capacity and easily integrates with the Office 365 web applications.

UT has a world-class network. In addition to providing direct Ethernet connections and an extensive indoor and outdoor wireless network, we also have a network built for collaboration with our colleges. All Students, faculty, and staff have access to over 34,000 active Ethernet ports on campus, including wired access in every residence hall room. These connections currently provide 10/100/1000MB access. All of the academic and administrative buildings and residence halls are on the wireless network, which is supported

by 4,000 wireless access points. In addition, the popular green spaces on campus including the Humanities Amphitheater, Presidential Courtyard, Circle Park, and the Ayres Courtyard have wireless access. There is a secure wireless network for UT students, faculty, and staff to use and network access is provided to guests who are visiting campus. In addition, UT participates in the Eduroam network and provides secured wireless access to any visitor whose home institution participates in the Eduroam network. Many UT faculty and staff collaborate with the researchers at the Oak Ridge National Lab (ORNL) and UT has a 10GB high speed network connection to ORNL and to the organizations who participate in Internet2. In the upcoming year, we will be increasing the speed of this connection to 100GB.

Approximately 1,000 computers are available in OIT-public, OIT-supported departmental and residence hall computer labs. Departmentally run computing labs are also available to students. Additionally, Table 3.4.12-1 and Table 3.4.12-2 summarize the computer labs and assets that are available for student use.<

The UT Libraries provides UT students, faculty, and staff with spaces and services designed to facilitate teaching, learning, and research. There are group and individual study spaces including floors designated as quiet and group spaces. The Commons provides informal learning spaces on a twenty-four hour basis and is well used by students and instructors alike. In collaboration with OIT, the Libraries provide 200 desktop computers in addition to 75 laptops and other devices available for checkout. Students and researchers have access to a wide range of print and online materials. A variety of scanning and printing options are also available including large format and 3D scanning as well as color, black and white, and wireless printing.

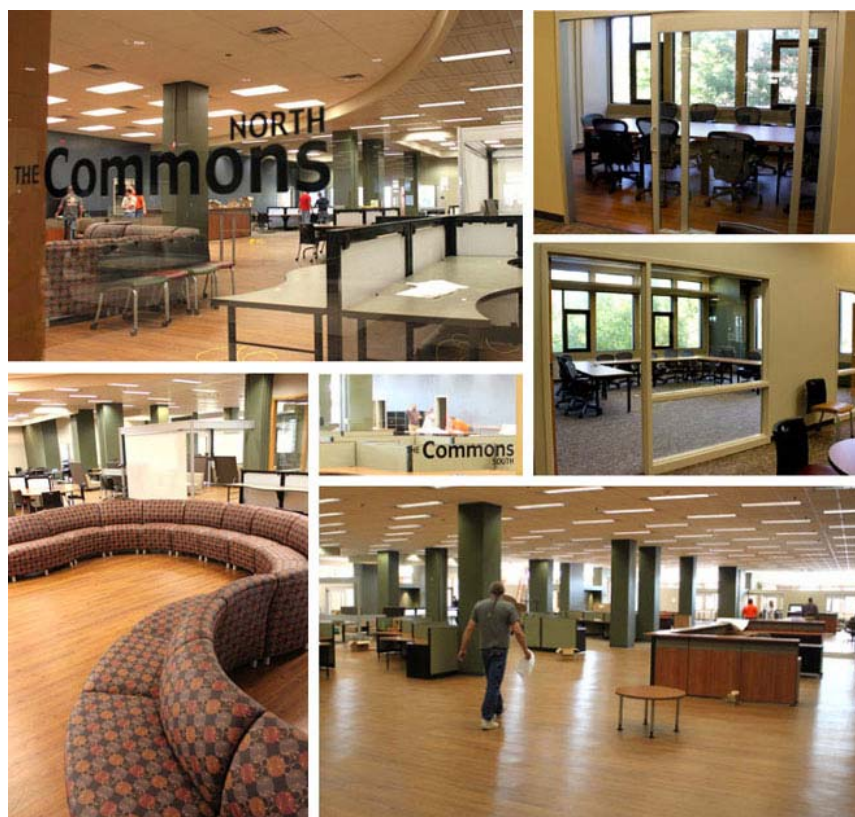


Figure 3.4.12-2 The Commons at John C. Hodges Library

The Commons, a partnership between the UT Libraries, OIT, and campus academic support, is a technology-rich learning environment that provides students with:

- Range of informal learning spaces including group study rooms equipped with presentation technologies, Media:Scape collaboration furniture, powered furniture for mobile devices, individual and group furniture
- Robust wireless network
- Wide range of software and technology
- Equipment for checkout (laptops, scanners, video cameras, audio recorders, and more)
- Audio and video recording and production studios
- Video production lab
- Collaborative workspaces and group study rooms
- Research Assistance and Library Services
- Full range of information technology services
- A full range of tutoring services in all disciplines including The Student Success Center, Writing Center, STAT201 Lab, Math Tutorial Center, and more.

The Studio is a media production lab that provides specialized computers, software, and equipment for media-enhanced educational projects. Consultants are available to assist students and to work with instructors to incorporate media projects into coursework.

The University Libraries is committed to providing equal access to library services and technologies for all users. The Libraries has a librarian designated as the disabilities coordinator who collaborates with the campus Disability Services office to provide user assistance, adaptive furniture, hardware, and software for individuals with mobility issues and with hearing and vision impairments. A variety of software and equipment is available at all branches of the UT Libraries to assist students, faculty, and staff with teaching, learning, and research. Equipment includes screen readers, a videophone, JAWS screen reading software, Kurzweil reader, magnifiers, adaptive equipment and more.

OIT's Digital Media Services (DMS) provides audio and video capture and encoding for faculty. The digitized media is streamed using Sonic Foundry's Mediasite server platform. Mediasite is a presentation tool that allows instructors to make live digital recordings of lectures or presentations. Students can view the presentation over the Internet in real-time or can access the presentation on a streaming server for viewing at a later date. Mediasite allows instructors to simultaneously show media in two windows. For example, PowerPoint slides can be displayed in one window and a video feed in another. Mediasite also allows for closed captioning, the ability to search slides, and the ability to slow down or speed up presentations. The DMS Mediasite server came online July 1, 2012. During the 2012-2013 academic year, 2,015 presentations were uploaded to the server representing 1,966 hours of content. 4,149 users made 52,883 requests to view content from the server resulting in slightly over 10,054 hours of total content viewed.

OIT provides a variety of software, such as specialized software for Math, Statistics and Geographic Information Systems, as well as bibliography tools and more – through our Site-License software agreements. This software is subsidized by the Student Technology Fee and is distributed for use by university students (undergraduate, graduate and professional, on-campus or distance), faculty, and staff either at no charge or at a subsidized rate. Software is either [downloadable](#) with a valid NetID and password or available for purchase in the university technology store, which ships purchases to distant students.

[Apps@UTK](#) is UT's cloud computing solution, which allows students, faculty, and staff to run software remotely, without actually having that software installed on their own computer. The system can be used from any Windows, Macintosh or Linux computer as well as Apple or Android mobile devices.

OIT offers a large Linux-based computer cluster for calculations that require long processing times, a high degree of parallelism, or large data sets. Researchers have the opportunity to execute calculations on thousands of processors simultaneously and have access to large, high performance storage systems. Several commercial software packages are available for use (including MatLab, Maple, SAS, and SPSS) as well as a complete suite of open source tools. Researchers also have multiple compiler options for developing and executing custom applications.

Providing Training Opportunities

OIT offers a number of [hands-on training opportunities](#) that are available for students, faculty, and staff. These workshops are typically 2 hours and cover topics ranging from using the rubric tool in Online@UT to writing research papers with Microsoft Word. Workshops are organized as student-focused, which target particular software that students would utilize to complete homework assignments; instructor-focused, which target software faculty would utilize to create instructional materials and online instruction; and, researcher-focused, which target software used for data analysis. SharePoint workshops are also offered for all campus students, faculty, and staff.

Table 3.4.12-3 OIT Workshop opportunities

Audience / Academic Year	Workshop Topics	No. of Sessions	Registered Attendees
Student-focused topics			
2011-2012	25	110	666
2012-2013	22	129	437
2013-2014	42	83	564 (up to April 30, 2014)
Instructor-focused topics			
2011-2012	20	177	570
2012-2013	37	212	567
2013-2014	28	108	517 (up to April 30, 2014)
Researcher-focused topics			
2011-2012	27	71	395
2012-2013	26	73	585
2013-2014	26	58	474 (up to April 30, 2014)
SharePoint topics			
2011-2012	4	40	225
2012-2013	6	40	189
2013-2014	8	25	196 (up to April 30, 2014)

UT also offers online training on all Microsoft Products via the Microsoft IT Academy. The Microsoft IT Academy offers a variety of courses, including courses to prepare students for

certification. Additionally, faculty can give access codes to their academic class, and then monitor them in the online course for participation and completion. The Microsoft IT Academy is available to all students, faculty, and staff.

Table 3.4.12-4 Microsoft IT Academy participation

Academic Year	IT Academy log ins
2011-2012	1,536
2012-2013	1,431
2013-2014	938 (up to April 30, 2014)

The UT Libraries provides Bibliographic Management Training and Support for Teaching and Research. The Libraries provide extensive training and consultation to faculty in the uses of both EndNote and Zotero [bibliographic management software](#). Librarians offer several regularly scheduled EndNote training sessions per semester as well as shorter, introductory sessions as requested, appended onto bibliographic sessions. UT faculty may also schedule course-specific EndNote training sessions for their departments. The UT Libraries also provides one-on-one consultation in the use of EndNote and a variety of guides and documentation for users.

The OIT HelpDesk is the central point of contact for all UT students, faculty, and staff with technology needs and issues. The OIT HelpDesk is available 24/7 by phone and provides assistance with all of the centralized IT services including NetID password resets, Volmail, MyUTK, webpage accounts, Online@UT, computer support, network access, and much more. During the 2012-2013 academic year, the OIT HelpDesk received over 62,000 phone calls, e-mails, and walk-in visits and resolved 85% of these cases without escalation to the tier 2 support within OIT with a customer satisfaction rating of 4.95 out of 5.0. The five most common reasons that students contact the OIT HelpDesk are: 1) NetID requests (password resets, consolidation of accounts, login issues, etc.); 2) Course Delivery (Online@UT and LiveOnline@UT); 3) e-mail; 4) MyUTK; and, 5) Desktop Support. In addition to phone support, all students, faculty, and staff can also receive help in person in The Commons at Hodges Library or by e-mail. Many of the frequently asked questions are available in the OIT Knowledge Base.

The Practice Presentation Room is located on the second floor of the John C. Hodges Library. OIT's Student Technology Assistants for Research and Teaching (START) Program provides training and support to all UT students, faculty, and staff using the equipment within the Practice Presentation Room and a Small Group Study Room. The Practice Presentation Room is an extension of the equipment and services OIT makes available in their Technology - Enhanced Classrooms throughout the UT campus, and is designated for students, faculty, and staff to practice a presentation in a realistic environment.

Table 3.4.12-5 Practice presentation room usage, John C. Hodges Library

	2011-2012	2012-2013 (Commons was closed for renovation Fall, 2012)	2013-2014 (through April 30, 2014)
Reservations	1,241	213	1,165
Patrons served	8,950	1,961	18,143
SMART/Videoconference Training	41	25	70

Conclusion

The University of Tennessee, Knoxville, uses technology to enhance the educational experience of all students. Through collaboration among the Office of Information Technology (OIT), Tennessee Teaching and Learning Center, Faculty Senate committees, Student Government Association representatives, Classroom Upgrade Committee, and University Libraries, UT offers training to faculty in how to effectively use technology to enhance learning and provides training to students on how to utilize technology in their education. OIT and others effectively assess use of various technologies and gain end-user input to determine future needs and directions. Therefore, UT demonstrates compliance with this standard.

3.5.1 Educational Programs: Undergraduate: General Education Competencies

The institution identifies college-level general education competencies and the extent to which students have attained them.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee's current General Education program was established in 2004. Its goal is to provide the foundation for successful academic study, for lifelong learning, and for carrying out the duties of local, national, and global citizenship. By building basic skills in communication, analysis, and computation as well as by broadening students' historical and cultural perspectives, the general education curriculum helps students acquire an understanding of both self and society and thus contributes to their personal enrichment while enrolled and after graduation.

The General Education program has been designed to enable the student to move among colleges within the university or to move to another institution of higher learning. Although it will provide students with the skills required by college study, those skills are specific neither to UT Knoxville nor to a particular major or career path.

The General Education Committee

The general education program is coordinated by the university's General Education Committee, a standing committee of the Undergraduate Council to advise the Undergraduate Council on matters pertaining to general education. Specifically, the General Education Committee

- Makes and receives recommendations regarding the philosophy and requirements of the General Education component
- Develops criteria and procedures for submitting, evaluating and approving courses that meet the University of Tennessee general education standards
- Reviews and approves courses proposed for inclusion on the General Education list of courses
- Recommends and implements policies and procedures for continual improvement of general education
- Facilitates and encourages campus dialogue and communication regarding general education.

Members of the General Education Committee are appointed by the Chair of the Undergraduate Council from the membership of the Undergraduate Council in a manner that ensures broad representation of colleges. In addition to the membership from the Undergraduate Council, the chair of each General Education subcommittee, a representative of the UG Council Advising committee and a student member appointed by the President of the Student Government Association serve on the committee. Representatives from Institutional Research and Assessment, the University Libraries, and the Registrar's office are appointed each year by the Chair of the Undergraduate Council in consultation with the Directors/Deans of those specific units.

There are seven subcommittees, one each for each of the Basic Skills and Broadened Perspectives areas. The subcommittees serve in an advisory role to the General Education committee and are charged with management of the lists of courses to be included in the General Education requirement for their respective subcommittee. Specifically, subcommittees review and make recommendations for approving general education courses and review courses for continuation as general education courses. Subcommittees correspond with departments proposing courses and consult with faculty in revising course proposals. In addition, subcommittees review student petitions for general education courses.

Student Learning Outcomes for General Education

The General Education program is expected to produce the following outcomes for students:

Building Basic Skills. Because the hallmark of the educated person is the ability to think independently, students must be trained to acquire, evaluate, and use information.

- Students must be able to acquire information by conducting independent research, both in a conventional library setting and through the use of the rapidly developing electronic technologies, including databases and internet resources.
- Students must then learn to evaluate the reliability, accuracy, and logical soundness of that information. The students will be taught to apply evaluative techniques to statistical and rhetorical presentations in arts, humanities, natural sciences, and social sciences.
- Students must be trained to use the information that they have acquired. They must write clearly, speak convincingly, and solve problems using creative approaches.

Developing Broadened Perspectives. General education should help students develop habits of self-examination in the context of the individual's relationship to family, community, society, and world. To this end, general education should also help foster a commitment to respecting the diversity of personal and cultural values.

- Students should be able to explain their own values and beliefs, as well as to understand the histories and cultures behind those values. Students should also develop a commitment to lifelong learning so that they may continue to examine the relationships between their personal perspectives and the perspectives that arise from other cultures.
- Students should strengthen their sensitivity to cultural diversity by studying the histories and traditions of other cultures, both within and outside the United States; and by understanding the dynamic nature of a multicultural world through interdisciplinary perspectives or by learning other languages.

In 2013-14, the General Education Committee reviewed the student learning outcomes for all General Education areas and developed more specific statements of the student learning outcomes for each area. The numbered items below, while not yet official in terms of the Undergraduate Catalog, represent the specific student learning outcomes for each general education area.

Building Basic Skills

Communicating through Writing

[From the Undergraduate Catalog](#): Good writing skills enable students to create and share ideas, investigate and describe values, and record discoveries – all skills that are necessary

not only for professional success but also for personal fulfillment in a world where communication increasingly takes place through electronic media. Students must be able to identify areas for inquiry, locate relevant information, evaluate its usefulness and quality, and incorporate the information logically and ethically. They must be able to write correctly, and they must be aware that different audiences and purposes call for different rhetorical responses.

1. *Students will demonstrate the ability to able to write correctly.*
2. *Students will demonstrate the ability to employ appropriate rhetorical frameworks.*
3. *Students will demonstrate the ability to follow disciplinary conventions, such as the use of relevant and credible evidence and for citing and documenting sources.*

Communicating Orally

[From the Undergraduate Catalog](#): The ability to communicate one's ideas orally is as important as the ability to express them well in writing. Students should be able to speak in an informative and/or convincing manner to other individuals and to groups, both small and large. Being able to express one's thoughts clearly has always been a critical component of good citizenship. Students should be able to locate relevant information, evaluate its usefulness and quality, and incorporate the information logically and ethically in public address.

1. *Students will demonstrate the ability to speak effectively across a variety of contexts.*
2. *Students will demonstrate the ability to identify relevant information and integrate the information logically into presentations.*
3. *Students will demonstrate the ability to organize messages clearly.*

Quantitative Reasoning

[From the Undergraduate Catalog](#): In today's world, arguments and claims often rely for support on scientific studies and statistical evidence. Students should possess the mathematical and quantitative skills to evaluate such evidence. Furthermore, students should possess the skills both to recognize the quantitative dimension of problems and to use mathematical reasoning to formulate and solve the problem. Finally, students need strong quantitative skills because they are indispensable in managing everyday-life situations.

1. *Students will demonstrate the ability to evaluate quantitative evidence.*
2. *Students will demonstrate the ability to use quantitative or mathematical reasoning to formulate and solve problems.*

Developing Broadened Perspectives

Arts and Humanities

[From the Undergraduate Catalog](#): To live well in the present, one must have an acquaintance with the past, especially with the cultural achievements that are the distinctive hallmarks of all human societies. An appreciation of art, music, theater, literature, and philosophy will not only enrich the lives of students, but it will also help them understand their own and other's aspirations, both in a historical and a contemporary context.

1. *Students will demonstrate knowledge of prominent works in the arts and humanities.*

2. *Students will demonstrate knowledge of prominent figures/artists/writers/philosophers in the arts and humanities.*
3. *Students will demonstrate knowledge of cultural/ historical milestones in the arts and humanities.*
4. *Students will demonstrate an appreciation and understanding of the arts and humanities through critical review of a work (e.g., painting, composition, book, article, or philosophical treatise).*

Cultures and Civilizations

From the Undergraduate Catalog: Developing an appreciation of linguistic, historical, and cultural diversity through the study of multiple languages or cultures improves the ability of students to function effectively in our global community. Studying a second language and its cultural and historical context can also provide a foundation for lifelong learning about other cultures and civilizations.

1. *Students will demonstrate understanding of linguistic, historical, and/or cultural diversity by identifying, describing, or comparing historical and global perspectives of diversity among individuals and groups.*
2. *For language courses: Students will demonstrate knowledge of the cultural and historical contexts of a second language.*

Natural Sciences

From the Undergraduate Catalog: As science and technology come to play an increasingly important role in contemporary life, it is essential for all educated persons to have a fundamental understanding of science and its methods. All students should be familiar with one or more scientific disciplines and the role of science in contemporary society. Such familiarity may be gained through acquisition of knowledge of a discipline's basic vocabulary, chief discoveries, and fundamental principles; exposure to a discipline's experimental techniques; and the ability to analyze issues with scientific dimensions.

1. *Students will demonstrate ability to use the basic vocabulary of a course's discipline.*
2. *Students will demonstrate knowledge of fundamental principles, experimental techniques or chief discoveries of a course's discipline.*
3. *Students will demonstrate understanding of experimental techniques used by a course's disciplines.*

Social Sciences

From the Undergraduate Catalog: The goal of the social sciences is to help us understand the way that we live, especially the relation between the individual and the group, sometimes from an historical but often from a contemporary perspective. Vital to the continued health and success of our society is an *understanding of the complex individual, political, and social dynamics that make up the modern world*. Students should not only have knowledge of the principal concerns of the social sciences, but they should also *understand the methods by which social scientists collect and evaluate knowledge*.

1. *Students will demonstrate understanding of the complex individual, political, and social dynamics that make up the modern world.*
2. *Students will demonstrate understanding of the methods used by social scientists to collect and evaluate knowledge.*

Assessment of General Education Competencies

Until recently, the University of Tennessee, Knoxville (UT) conducted assessment by focusing on that required by the Tennessee Higher Education Commission (THEC)—a focus of cyclic academic program review, programmatic accreditation, and specific metrics as required by THEC. Analysis of weaknesses in UT's system of assessing student learner outcomes led us to make a variety of changes across the institution. To assess the achievement of student learner outcomes in General Education, the previous focus on meeting the THEC standard by administering and reporting the results of the California Critical Skills and Thinking Test was determined to be insufficient in providing direct measures of assessment for student learner outcomes at the course level. Therefore, the University put into place a number new procedures for assessing General Education in the 2013-14 AY.

Assessment Methodology: Overview

A subset of courses representing approximately 20% of the total enrollment within each general education area was identified for assessment for the 2013-14 AY. An effort was made to gather a representative sample across all general education areas, course levels, and across all colleges. 14 100-level, 19 200-level, 7 300-level, and 4 400-level courses were assessed. (In our general education program, the majority of the 300- and 400-level courses are in the Communicating Through Writing area only.) Within each general education area, courses were selected in part based upon numbers of students enrolled, in order to gain a valid assessment pool. In general, students in the 100- and 200-level courses are freshman and sophomores (see [General Education Courses Assessed 2013-14](#)). Department heads or their appointed course liaisons chose student work from each selected course to submit for assessment using at least one of the student learning outcomes for that general education area. Faculty instructors collected random samples of the selected student work from at least 20% of the students enrolled in the Fall 2013 semester. Departments submitted the student work items, along with a course syllabus, assignment, and other relevant information (such as exam answer keys) to the General Education Committee for review and assessment. All names and other identifying information were redacted from all materials submitted.

Trained raters assessed or scored all student work. The raters were selected via the following process: department heads sent out the call for applications to professorial faculty, lecturers, and/or graduate teaching associates. All submitted applications were reviewed by the chair of the General Education Committee, and those with appropriate backgrounds in each of the general education areas were hired. (Rate of pay was established by the Office of the Provost and was the same for all raters.) Raters were trained to evaluate student work with rubrics in two-hour group norming sessions conducted by a member of the Tennessee Teaching and Learning Center, the chair of the General Education Committee, and the subcommittee chair for the particular general education area. Separate training sessions were held for raters in each of the general education areas.

Student work and associated assignment or other relevant information were distributed to the raters. All written student work was evaluated by two raters, and exam data were scored by one rater. In the event of scores that differed by more than 2 points on a rubric scale, a third evaluator (in most cases, the subcommittee chair for the general education area involved) was brought in to resolve the difference. The raters completed their assessments within an established time frame and returned the results to the chair of the General Education Committee, who distributed them to the chairs of the relevant subcommittee areas, who subsequently tabulated the findings and drew conclusions about achievement for each selected outcome within their area.

Development of Rubrics to Assess Student Work

In 2013-14, the General Education Committee developed and approved rubrics and benchmark scales to assess student work in each of the General Education areas. See [General Education Student Learning Outcomes and Rubrics](#) for a detailed description of the rubrics used in each area.

Evidence of Attainment

The Table 3.5.1-1 Overview of Results, General Education Assessment, 2013-14, lists the performance of students within each general education area and actions taken or planned. While different areas used different rubrics, the overall assessment used the following categories: student attainment of the general education student learning outcomes was considered to be either inadequate, adequate, effective, or outstanding. Following the table is a discussion of each courses assessed with the course identifier linked to the full course report where additional detail and results for individual criteria are presented.

Table 3.5.1-1 Overview of Results, General Education Assessment, 2013-14

GENERAL EDUCATION AREA	FINDING: Overall Student Performance	ACTIONS TAKEN
Basic Skills		
<i>Communicating Through Writing</i>		
WC Student Learning Outcome 1	Adequate	Faculty development/training, revisions to pedagogy/instructional strategy
WC Student Learning Outcome 2	Adequate	Faculty development/training, revisions to pedagogy/instructional strategy
WC Student Learning Outcome 3	Adequate	Course revision, faculty development/training, revisions to pedagogy/instructional strategy
<i>Communicating Orally</i>		
OC Student Learning Outcome 1	Effective	Revision to assessment methodology, course revision, curriculum revision
OC Student Learning Outcome 2	Effective	Revision to assessment methodology
OC Student Learning Outcome 3	Effective	Course revision
<i>Quantitative Reasoning</i>		
QR Student Learning Outcome 1	Effective	Revision to assessment methodology, faculty development/training
QR Student Learning Outcome 2	Effective	Revision to assessment methodology, faculty development/training
Broadened Perspectives		
<i>Arts and Humanities</i>		
AH Student Learning Outcome 1	Adequate	Course revision, faculty development/training, revisions to pedagogy/instructional strategy

GENERAL EDUCATION AREA	FINDING: Overall Student Performance	ACTIONS TAKEN
AH Student Learning Outcome 2	Effective	Student support/mentoring, faculty development/training, revisions to pedagogy/instructional strategy
AH Student Learning Outcome 3	Not assessed	N/A
AH Student Learning Outcome 4	Adequate	Course revision, faculty development/training, revisions to pedagogy/instructional strategy
<i>Cultures and Civilizations</i>		
CC Student Learning Outcome 1	Adequate	Course revision, faculty development/training, revisions to pedagogy/instructional strategy
CC Student Learning Outcome 2	Adequate	Course revisions
<i>Natural Sciences</i>		
NS Student Learning Outcome 1	Effective	Course revisions
NS Student Learning Outcome 2	Effective	Course revision, faculty development/training, revisions to pedagogy/instructional strategy
NS Student Learning Outcome 3	Effective	Faculty development/training
<i>Social Sciences</i>		
SS Student Learning Outcome 1	Adequate	Student support/mentoring, curriculum revision, faculty development/training, revisions to pedagogy/instructional strategy
SS Student Learning Outcome 2	Not assessed	N/A

A. BASIC SKILLS

1. Communicating through Writing (WC)

There are three student learning outcomes in the Communicating Through Writing area. In 2013-14, all outcomes were assessed. Across all outcomes, the average rating of student work was 2.63 on a scale of 1-4, meaning that overall, most students demonstrate adequate attainment of the 3 student learning outcomes for the Communicating Through Writing area.

Attainment of WC Student Learning Outcome 1, "Demonstrate the ability to able to write correctly."

Embedded student course work was collected from the following courses: Agricultural Leadership, Education, and Communications 440, Animal Sciences 280, Electrical and Computer Engineering 400, Forestry 321, Hotels, Restaurants, and Tourism 390, Industrial Engineering 350, Philosophy 340, Philosophy 390, Social Work 314. Written work was assessed by raters using the WC rubric, using a scale of 1-4, with 1 being "inadequate" and 4 being "outstanding" (see [WC Rubrics](#)).

Assessment Results & Analysis

The average rating across all WC courses assessed for Student Learning Outcome 1 for all four criteria of the rubric was 2.49, adequate, meaning that most students meet the expectation for attainment of this student learning outcome.

Averages across all courses were determined for each criterion of the WC Learning Outcome 1 rubric:

For Criterion A, demonstrates effective focus to convey a unified point or effect, the average rating across all courses was 2.62, "Adequate," meaning that in their written work, students provide some focus (either stated or implied) to the material and state valid related points; however, the unifying idea is not consistently integrated across the paper. Some (about 50%) students' work is in the "effective" range, which includes focusing material to convey a consistently unified point or effect and bringing insights together in a generally coherent and effective way.

For Criterion B, demonstrates control of organization/support, the average rating across all courses was 2.64, "adequate," meaning that students provide connections within and between paragraphs and/or from beginning to end that at times are either unclear or awkward, or that their organizational strategy does not follow the guidelines, and supporting detail is offered for some, but not all, major "points." Some (about 50%) students' writing is in the "Effective" range, which includes providing adequate connections within and between paragraphs and from beginning to end, although some connections within or between paragraphs may not be clear, and providing supporting detail for each major point.

For Criterion C, demonstrates control of syntax and style, the average rating across all courses was 2.52, "Adequate," meaning that most students use language that generally conveys meaning to readers.

For Criterion D, demonstrates control of mechanics and grammar, the average rating across all courses was 2.36, "Adequate," meaning that most students' work tends to demonstrate some errors in usage, mechanics, or grammar, but those errors generally do not confuse the intended meaning.

Results were further broken down by courses:

Agricultural Leadership, Education and Communications 440: Based on the assessment, students overall demonstrate adequate ability to write correctly. The overall average rating for all students across all 4 criteria of the WC SLO1 rubric was 2.55 on a scale of 1-4.

Animal Science 280: Based on the assessment, students overall demonstrate adequate ability to write correctly. The overall average rating for all students across all 4 criteria of the WC SLO1 rubric was 2.65 on a scale of 1-4.

Electrical and Computer Engineering 400: Based on the assessment, students overall demonstrate adequate ability to write correctly. The overall average rating for all students across all 4 criteria of the WC SLO1 rubric was 2.51 on a scale of 1-4.

Forestry 321: Based on the assessment, students overall demonstrate adequate ability to write correctly. The overall average rating for all students across all 4 criteria of the WC SLO1 rubric was 2.5 on a scale of 1-4.

Hotels, Restaurants, and Tourism 390: Based on the assessment, students overall demonstrate adequate ability to write correctly. The overall average rating for all students

on Criteria C and D of the WC SLO1 rubric was 2 on a scale of 1-4. It was not possible to assess the A and B criteria using the student work submitted.

Also, review of the course syllabus submitted by the department indicates it is not clear how the course meets the WC criteria, which include assigning 5,000 words of writing, 3,500 of which should be formal; graded writing that accounts for more than 50% of the course grade; and opportunities for revising major written work using instructor feedback.

Industrial and Systems Engineering 350: Based on the assessment, students overall demonstrate adequate ability to write correctly. The overall average rating for all students across all criteria of the WC SLO1 rubric was 2.62 on a scale of 1-4.

Also, review of the course syllabus submitted by the department indicates it is not clear how the course meets the WC criteria, which include assigning 5,000 words of writing, 3,500 of which should be formal; graded writing that accounts for more than 50% of the course grade; and opportunities for revising major written work using instructor feedback.

Philosophy 340: Based on the assessment, students overall demonstrate adequate ability to write correctly. The overall average rating for all students across all 4 criteria of the WC SLO1 rubric was 2.5 on a scale of 1-4.

Philosophy 390: Based on the assessment, students overall demonstrate adequate ability to write correctly. The overall average rating for all students across all 4 criteria of the WC SLO1 rubric was 2.5 on a scale of 1-4.

Social Work 314: Based on the assessment, students overall demonstrate adequate ability to write correctly. The overall average rating for all students across all 4 criteria of the WC SLO1 rubric was 2.55 on a scale of 1-4. Also, review of the course syllabus indicates it is not clear how this course meets the WC course characteristics, which include 5,000 words of writing, 3,500 of which should be formal; graded writing that accounts for more than 50% of the course grade; and opportunities for revising major written work with instructor feedback.

Actions Taken

Results from the course assessments were reported to departments, which plan the following types of actions based on the assessment: course revision, faculty development/training, and revisions to pedagogy/ instructional strategy. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY. See the individual course reports for additional detail about actions taken or planned.

Attainment of WC Student Learning Outcome 2, "Students will demonstrate the ability to employ appropriate rhetorical frameworks."

Embedded student course work was collected from the following courses: English 255, English 264, English 360, and Journalism and Electronic Media 200. Written work was assessed by raters using the WC rubric, using a scale of 1-4, with 1 being "inadequate" and 4 being "outstanding" (see [WC Rubrics](#)).

Assessment Results & Analysis

The average rating across all WC courses assessed for Student Learning Outcome 2 for both criteria of the rubric was 2.52, adequate, meaning that most students meet the expectation for attainment of this student learning outcome.

Averages across all courses were determined for each criterion of the WC Learning Outcome 2 rubric:

For Criterion A, effective use of an appropriate genre or rhetorical framework to communicate with the intended audience, the average rating across all courses was 2.65, adequate. Students' work demonstrates use of appropriate genre or rhetorical framework, though multiple violations of convention(s) limit the work's ability to communicate with an audience familiar with the genre or discipline. The student's work itself does not read entirely fluidly, requiring some re-reading to determine meaning. Some students' work is in the "effective" range, which includes use of an appropriate genre or rhetorical framework with minor violations of conventions, thus achieving effective communication with an audience familiar with the genre or discipline, and the work reads fluidly.

For Criterion B, accurate and effective use of appropriate disciplinary knowledge and insight, the average rating across all courses was 2.54, adequate, meaning disciplinary concepts, theories, perspectives, findings, or examples are used in general or mechanical ways; crucial disciplinary knowledge or perspectives may be missing; claims are sometimes not supported or are disconnected from disciplinary insights; and some disciplinary misconceptions and unwarranted use of jargon may be present.

Results were further broken down by courses:

English 255: Based on the assessment, students overall demonstrate adequate ability to employ appropriate rhetorical frameworks. The overall average rating across both criteria of the Communicating through Writing Student Learning Outcome 2 rubric was 2.67 on a scale of 1-4. The results broken down by individual criterion are as follows:

For Criterion A, effective use of an appropriate genre or rhetorical framework to communicate with the intended audience, the average rating across all students was 2.68, adequate.

For Criterion B, accurate and effective use of appropriate disciplinary knowledge and insight, the average rating across all students was 2.65, adequate.

English 264: Based on the assessment, students overall demonstrate adequate ability to employ appropriate rhetorical frameworks. The overall average rating across both criteria of the Communicating through Writing Student Learning Outcome 2 rubric was 2.5 on a scale of 1-4. The results broken down by individual criterion are as follows:

For Criterion A, effective use of an appropriate genre or rhetorical framework to communicate with the intended audience, the average rating across all students was 2.5, adequate.

For Criterion B, accurate and effective use of appropriate disciplinary knowledge and insight, the average rating across all students was 2.5, adequate.

English 360: Based on the assessment, students overall demonstrate adequate ability to employ appropriate rhetorical frameworks. The overall average rating across both criteria of the Communicating through Writing Student Learning Outcome 2 rubric was 2.71 on a scale of 1-4. The results broken down by individual criterion are as follows:

For Criterion A, effective use of an appropriate genre or rhetorical framework to communicate with the intended audience, the average rating across all students was 2.78, adequate.

For Criterion B, accurate and effective use of appropriate disciplinary knowledge and insight, the average rating across all students was 2.44 adequate.

Journalism and Electronic Media 200: Based on the assessment, students overall demonstrate adequate ability to employ appropriate rhetorical frameworks. The overall average rating across both criteria of the Communicating through Writing Student Learning Outcome 2 rubric was 2.2 on a scale of 1-4. The results broken down by individual criterion are as follows:

For Criterion A, effective use of an appropriate genre or rhetorical framework to communicate with the intended audience, the average rating across all students was 2.2, adequate.

Criterion B was not assessed for this course since it did not apply to the sample of student work submitted.

Actions Taken

Results from the course assessments were reported to departments, which plan the following types of actions based on the assessment: course revision, faculty development/training, and revisions to pedagogy/ instructional strategy. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY. See the individual course reports for additional detail about actions taken or planned.

Attainment of WC Student Learning Outcome 3, "Students will demonstrate the ability to follow disciplinary conventions, such as the use of relevant and credible evidence and for citing and documenting sources."

Embedded student course work was collected from the following courses: Biochemistry and Molecular Biology 409 and Nuclear Engineering 402. Written work was assessed by raters using the WC rubric, using a scale of 1-4, with 1 being "inadequate" and 4 being "outstanding" (see [WC Rubrics](#)).

Assessment Results & Analysis

The average rating across all WC courses assessed for Student Learning Outcome 3 for both criteria of the rubric was 2.88, adequate, meaning that most students meet the expectation for attainment of this student learning outcome. Averages across all courses were determined for each criterion of the WC Learning Outcome 3 rubric:

Criterion A, use of relevant and credible evidence: 2.71 (adequate) meaning that student work demonstrates awareness or use of validation criteria in the selected discipline but sometimes employs them mechanically or superficially. The student work may include oversimplifications or misconceptions, and not all key claims are supported. Sources are sometimes used pro-forma and tend to be included without explanation. Some students' work is in the "effective" range, which includes accurate use of validation criteria for the selected discipline and generally good use of relevant and credible sources to support key claims.

Criterion B, proper citation and documentation of sources: 3.04 (effective), meaning most students cite sources correctly according to specified style sheet, though there are occasional errors in the works cited/references page and/or in the in-text citations. Results are further broken down by courses: Biochemistry and Molecular Biology 409: Based on the assessment, students overall demonstrate adequate ability to follow disciplinary conventions, such as the use of relevant and credible evidence and for citing and documenting sources. The overall average rating across both criteria of the Communicating through Writing Student Learning Outcome 3 rubric was 2.95 on a scale of 1-4, which is on the high end of the "adequate" range; more than 50% of the students demonstrate "effective" ability to following disciplinary conventions.

The results broken down by individual criterion are as follows:

For Criterion A, use of relevant and credible evidence, the average rating across all student work was 2.6, adequate.

For Criterion B, proper citation and documentation of sources, the average rating across all student work was 3.3, effective.

Nuclear Engineering 402: Based on the assessment, students overall demonstrate adequate ability to follow disciplinary conventions, such as the use of relevant and credible evidence and for citing and documenting sources. The overall average rating across both criteria of the Communicating through Writing Student Learning Outcome 3 rubric was 2.8 on a scale of 1-4, near the high end of the "adequate" range; more than 50% of the students demonstrate "effective" ability to following disciplinary conventions. The results broken down by individual criterion are as follows:

For Criterion A, use of relevant and credible evidence, the average rating across all student work was 2.83, adequate.

For Criterion B, proper citation and documentation of sources, the average rating across all student work was 2.77, adequate.

Actions Taken

Results from the course assessments were reported to departments, which plan the following types of actions based on the assessment: course revision, faculty development/training, and revisions to pedagogy/ instructional strategy. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY. See the individual course reports for additional detail about actions taken and planned.

2. Communicating Orally (OC)

There are three student learning outcomes in the "Communicating Orally" area. Across all three outcomes, most students demonstrate effective attainment of the student learning outcomes for the Communicating Orally area.

Results are broken down by individual student learning outcome assessed:

Attainment of OC Student Learning Outcome 1, "Students will demonstrate the ability to speak effectively across a variety of contexts."

Embedded student course work was selected from the following courses: Communication Studies 210 and Communication Studies 240. Assessment included pre- and post-test analysis of speech anxiety measure and communication competence measure; analysis of

delivery and content components of informative speech assignment based on informative speech rubric; analysis of informative speech assignments for intercultural content based on informative speech rubric. See "[Oral Comm 2014 Report](#)" for detail about results, analysis, and actions.

Assessment Results & Analysis

Overall, students meet expectations for attainment of this general education outcome. Speech anxiety and communication competence scores continue to meet department requirements; insufficient intercultural communication content in CMST 210 (Public Speaking) and 240 (Business and Professional Communication); assessment process initiated for delivery and content components of informative speech assignment Fall 2013.

Actions Taken

Actions were taken in the following areas: revision to assessment methodology, course revision, curriculum revision. Revised persuasive speech evaluation rubric to include intercultural component; initiated textbook revision to include intercultural content; collected baseline data for review of delivery and content components of informative speech.

Attainment of OC Student Learning Outcome 2, "Students will demonstrate the ability to identify relevant information and integrate the information logically into presentations."

Embedded student course work was selected from the following courses: Communication Studies 210 and Communication Studies 240. Assessment included review of speech rubrics; analysis of evaluations of supporting information and source citations. See [Oral Comm 2014 Report](#) for details on results, analysis and actions.

Assessment Results & Analysis

Students demonstrate successful attainment of the general education requirements. Need to include persuasive presentations in the analysis in addition to informative presentations to more fully capture student learning outcomes.

Actions Taken

Actions were taken in the following areas: changes to assessment methodology, changes to criteria/ benchmarking. Developed persuasive presentation rubric for use during the 2013-14 academic year. Assessed learning outcomes based on new persuasive presentation rubric.

Attainment of OC Student Learning Outcome 3, "Students will demonstrate the ability to organize messages clearly."

Embedded student course work was selected from the following courses: Communication Studies 210 and Communication Studies 240. Assessment included analysis of informative speech results; analyze speech rubric evaluations for appropriate organization, introductions, conclusions, and transitions. See [Oral Comm 2014 Report](#) for details on results, analysis, and actions.

Assessment Results & Analysis

Student work demonstrates successful attainment of general education requirements. Group presentations require additional instruction on how to integrate group members more effectively into presentation.

Actions Taken

Action was taken in the following areas: course revision: development of new course content designed to address how to prepare and coordinate group presentations.

3. Quantitative Reasoning (QR)

There are two student learning outcomes in the Quantitative Reasoning area. In 2013-14, both outcomes were assessed. Across both outcomes, the average rating of student work was # on a scale of 1-4, meaning that overall, most students demonstrate adequate attainment of the 2 student learning outcomes for the Quantitative Reasoning area.

Attainment of Student Learning Outcome 1, "Students will demonstrate the ability to evaluate quantitative evidence"

Embedded student course work was collected from the following course: Statistics 201. Exam data were assessed by raters using the QR rubric for SLO1. (See [QR Rubrics](#)).

Assessment Results & Analysis

[Statistics 201](#) was the only course evaluated with respect to QR student learning outcome 1 in 2013-14, so there are no comparative data across multiple QR courses. Overall, 54% of the students met the objective. The average score was 3.045/4.0. 34% were scored Outstanding, meaning in their work, conclusions with support are given using proper quantitative terminology and notation; 20% were scored Effective, meaning that in their work, conclusions with support are given, but contain misuse of terminology or data and incomplete support; 40% were scored Nearly Adequate meaning that in their work conclusions with support are given but are imprecise or inaccurate; and 6% were scored Ineffective, meaning that in their work, incomplete solutions (missing conclusion or support) are given.

Actions Taken

Results from the course assessment were reported to the departments, which plans the following types of actions based on the assessment: revisions to assessment methodology and faculty development/ training. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY.

Attainment of QR Student Learning Outcome 2, "Students will demonstrate the ability to use quantitative or mathematical reasoning to formulate and solve problems."

Embedded course work was collected from the following courses: Computer Science 201, Mathematics 113, Mathematics 115, Mathematics 123, Mathematics 141, and Mathematics 152. Student work was assessed by raters using the QR rubric for SLO2. (See [QR Rubrics](#).)

Assessment Results & Analysis

The average across all courses evaluated on QR Student Learning Outcome 2 was 3.06/4.0, with 65.3% effective or better in meeting the objective.

[Computer Science 102](#): Overall 83% of the students were Outstanding or Effective in meeting the objective. The average score was 4.42/6.0.

The students' exam responses were examined for correctness (yes/no), and the results were totaled to a score of 0-6. A score of 4 (effective) or higher meant the student's work met the general education student learning outcome, with a score of 5 or 6 considered Outstanding. A score of 3 or below meant the student's work did not meet the general education student learning outcome, with a score of 3 considered Nearly Adequate and 1 or 2 for Ineffective. 0 was primarily reserved for missing work. 50% were scored Outstanding;

33% were scored Effective; 8% were scored Nearly Adequate; and 8% were scored Ineffective in meeting the student learning objective.

Mathematics Courses:

Student exam responses were examined for correctness and work shown. These results were totaled to a score of 0-4. A score of 3 (Effective) or higher meant the student's work achieved the General Education student learning outcome, with a score of 4 considered Outstanding. A score of 2 or below meant the student's work did not meet the general education student learning outcome, with a score of 2 considered Nearly Adequate and 1 for Ineffective. 0 was primarily reserved for missing work.

Mathematics 113: 34% were scored Outstanding; 9% were Effective; 41% were Nearly Adequate; and 16% were Ineffective in meeting the student learning objective. Overall, 43% of the students were Outstanding or Effective in meeting the learning objective. The average score was 2.625/4.

Mathematics 123: 50% were scored Outstanding; 8% were Effective; 36% were Nearly Adequate; and 6% were Ineffective in meeting the learning objective. Overall, 58% of the students were Outstanding or Effective in meeting the learning objective. The average score was 3.03/4.

Mathematics 141: 54% were scored Outstanding; 5% were Effective; 36% were Nearly Adequate; and 5% were Ineffective in meeting the student learning outcome. Overall, 59% of the students were Outstanding or Effective in meeting the learning objective. The average score was 3.08/4.

Mathematics 152: 0% were scored Outstanding; 0% were Effective; 83% were Nearly Adequate; and 17% were Ineffective in meeting the objective. Overall, 0% of the students were Outstanding or Effective in meeting the learning objective. The average score was 1.83/4.

Actions Taken

Results from the course assessment were reported to the departments, which plans the following types of actions based on the assessment: revisions to assessment methodology and faculty development/ training. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY.

See the individual course reports for further details regarding assessment results and actions planned.

B. BROADENED PERSPECTIVES

1. Arts and Humanities (AH)

There are four student learning outcomes in the Arts and Humanities area. In 2013-14, outcomes 1, 2, and 4 were assessed. Across the three outcomes assessed, the average rating of student work was 2.9 on a scale of 1-4, meaning that overall attainment was at the high end of the "adequate" rating. Most students demonstrate adequate or effective attainment of the student learning outcomes for the Arts and Humanities area. Results are broken down by individual student learning outcome assessed:

Attainment of AH Student Learning Outcome 1, "Students will demonstrate knowledge of prominent works in the arts and humanities."

Embedded course work was collected from the following courses: Art History 172 and Musicology 210. Written work was assessed by raters using the AH rubric (see [AH Rubrics](#)). For exam data, attainment of the student learning outcome was assessed based on the percentage of correct responses, using the following benchmark scale that corresponds to the [AH rubric](#):

- 1 (Inadequate): Mastery is not evident in most samples of the sample set (< 20% correct);
- 2 (Adequate): Mastery is minimally evident throughout the sample set (21% < X < 50% correct);
- 3 (Effective): Mastery is evident in most samples of the sample set (51% < X < 80% correct)
- 4 (Outstanding): Mastery is evident in the vast majority of the samples throughout the set (>81% correct).

The average rating across all AH courses assessed for Student Learning Outcome 1 was 2.9, adequate, meaning that most students demonstrate effective or adequate attainment of this student learning outcome. Overall, students demonstrated some knowledge of some of the works in the area of study. In written work, they tended to provide only a few general or implied reasons why the works are culturally or historically important and occasional reference to specific features of the works. Their answers often lacked detail, accuracy, and/or relevance. They only occasionally referred to works by title. However, many students' written work was in the effective category, meaning that students demonstrated good knowledge of major work(s) in the area of study, stated clear yet general reasons why the work(s) is/are culturally or historically important, usually made direct reference to the work(s) and provided some information about its/their the important features, though at times the work lacked detail, accuracy, or relevance.

Results were further broken down by courses:

Art History 172: Based on the assessment, students demonstrated adequate knowledge of prominent works in the arts and humanities. The overall average rating for all students on this assessment was a 2.85 on a scale of 1-4.

Musicology 210: Based on the assessment, students demonstrated effective knowledge of prominent works in the arts and humanities. The overall average rating for students on this assessment was a 3 on a scale of 1-4.

Actions Taken

Results from each course assessment were reported to departments, who plan the following types of actions based on the assessment: course revision, faculty development/ training, and/or revisions to pedagogy/ instructional strategy. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY.

Attainment of AH Student Learning Outcome 2, "Students will demonstrate knowledge of prominent figures/artists/writers/philosophers in the arts and humanities."

Embedded student course work was collected from the following course: Philosophy 252. Written work was assessed by raters using the [AH rubric](#).

Assessment Results & Analysis

One course was assessed for AH SLO2, [Philosophy 252](#): The average rating was 3.3 on a scale of 1-4, Effective, indicating most students met or exceeded expectations for attainment for this outcome.

Most students' work was rated with a 3 or 4. Outstanding work (rated with a 4) demonstrated extensive knowledge of the major figure(s)/artist(s)/writer(s)/philosopher(s) in the area of study. They articulated insightful, specific reasons why the figure(s) [etc.] is/are culturally or historically important, provided well detailed, accurate, and relevant information about the figure(s) [etc.]. Work rated 3, effective, demonstrated good knowledge of figure(s)/artist(s)/ writer(s)/philosopher(s) in the area of study; students stated clear yet general reasons why the figure(s) etc. is/are culturally or historically important, and usually made direct reference to and provided clear information about the figure(s) [etc.], though the work was occasionally lacking in detail, accuracy, or relevance.

Actions Taken

Results from the course assessment were reported to the department, which plans the following types of actions based on the assessment: student support/ mentoring, faculty development/ training, and revisions to pedagogy/ instructional strategy. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY.

Attainment of AH Student Learning Outcome 4, "Students will demonstrate an appreciation and understanding of the arts and humanities through critical review of a work (e.g., painting, composition, book, article, or philosophical treatise)."

Embedded student course work was collected from the following courses and assessed using a rubric: Classics 221, English 233, English 253, Theatre 100, Philosophy 252. (See [AH Rubrics](#).)

Assessment Results & Analysis

The average rating across all courses for Student Learning Objective 4 was 2.6, adequate, on a scale of 1-4, meaning that students met the general expectation for attainment of this student learning outcome.

Across all courses assessed, many students provided a clear summary of a work in the area studied but offered little analysis or evaluation, or offered unsupported opinion. Student referred to some terminology from the discipline, though some misconceptions were present. They occasional direct reference to the work and to other relevant works, cultural/historical contexts, or concepts, as appropriate to the assignment. The essay often lacked specific detail and supporting explanation and/or may have lacked accuracy or relevance. Essays demonstrated some organizational flaws or were sometimes confusing to read.

However, the work of many students was rated with the score of 3, effective, meaning that it provided a coherent discussion of a work in the area studied and made valid critical points, yet provided more summary than analysis. It used and applied some terminology appropriate to the area studied. Students provided clear and direct statements about the work and its relationship to some relevant works, cultural/historical contexts, and/or concepts, as appropriate to the assignment. At times, claims or explanations were lacking in supporting detail, reference to relevant external sources (if applicable), accuracy, or relevance. Overall the essay was logically structured and focused.

Results were further broken down by courses:

Classics 221: Based on the assessment, students demonstrated adequate appreciation and understanding of the arts and humanities. The overall average rating for all students' work on this assessment, using Student Learning Objective 4 of the AH rubric, was 2.69 on a scale of 1-4.

English 233: Students demonstrated adequate appreciation and understanding of the arts and humanities. The overall average rating across all students' work on this assessment, using Student Learning Objective 4 of the AH rubric, 2.38 on a scale of 1-4.

English 253: Students demonstrated adequate appreciation and understanding of the arts and humanities. The overall average rating for all students on this assessment, using Student Learning Objective 4 of the AH rubric, was 2.69 on a scale of 1-4.

Theatre 100: Students demonstrated adequate appreciation and understanding of the arts and humanities. The overall average rating for all students (across both sections) on this assessment, using Student Learning Objective 4 of the AH rubric, was 2.45 on a scale of 1-4.

Philosophy 252: Students demonstrated adequate appreciation and understanding of the arts and humanities. The overall average rating for all students on this assessment, using Student Learning Objective 4 of the AH rubric, was 2.7 on a scale of 1-4.

Actions Taken

Results from the course assessments were reported to departments, who plan the following types of actions based on the assessment: course revisions, faculty development/ training, and revisions to pedagogy/ instructional strategy. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY. See the individual reports for each course for additional detail.

2. Cultures and Civilizations (CC)

There are two student learning outcomes in the Cultures and Civilizations area. In 2013-14, both outcomes were assessed. Across both outcomes, the average rating of student work was 2.34 on a scale of 1-4, meaning that overall attainment was "adequate." Most students demonstrate adequate or effective attainment of the student learning outcomes for the Cultures and Civilizations area.

Results are broken down by individual student learning outcome assessed:

Attainment of CC Student Learning Outcome 1, "Students will demonstrate understanding of linguistic, historical, and/or cultural diversity by identifying, describing, or comparing historical and global perspectives of diversity among individuals and groups."

Embedded coursework was collected from the following courses: Anthropology 120, Cultural Studies in Education 200, Environmental and Soil Sciences 220, History 242, and Religious Studies 102. Written work was assessed by raters using the [CC rubric](#). For exam data, attainment of the student learning outcome was assessed based on the percentage of correct responses, which were compared against a benchmark scale for performance that corresponds to the [CC rubric](#):

- 1 (Inadequate): Mastery is not evident in most samples of the sample set (< 20% correct)

- 2 (Adequate): Mastery is minimally evident throughout the sample set (21% < X < 50% correct)
- 3 (Effective): Mastery is evident in most samples of the sample set (51% < X < 80% correct)
- 4 (Outstanding): Mastery is evident in the vast majority of the samples throughout the set (>81% correct)

The average rating across all courses for CC Student Learning Objective 1 was 2.27, adequate, on a scale of 1-4, meaning that students demonstrated adequate attainment of this student learning outcome.

Work rated with a "1," ineffective, demonstrates little to no understanding of cultural diversity/differences or of a culture different from one's own, providing no or few details or examples of historical development in a comparative context. Written work rated with a "2," adequate, attempts to demonstrate an understanding of cultural diversity/differences or of a culture different from one's own by providing some details or examples of historical development in a comparative context. Written work rated with a "3," effective, demonstrates an understanding of cultural diversity/differences or of a culture different from one's own, by providing pertinent details or examples of historical development in a comparative cultural context. Work rated with a "4," outstanding, demonstrates a subtle understanding of cultural diversity/differences or of a culture different from one's own, viewed from a comparative/historical perspective, by providing detailed examples analyzed at a high level of complexity.

The total percentage of work rated 1, ineffective, was 8.45%; the total percentage of work rated 2, adequate, was 52.03%; the total percentage of work rated 3, effective, was 35.03%; and the total percentage of work rated 4, outstanding, was 4.25%.

91% of students demonstrated work that was adequate or above in meeting the student learning outcome.

Results were further broken down by course:

Anthropology 120: The results from the multiple-choice exam demonstrate that mastery of student learning objective 1 for CC is evident in the vast majority of the samples throughout the set (>81% correct). 90.3% was the average score on the selected exam questions across all students within the sample set. Overall rating was 4 (outstanding) on a scale of 1-4.

Cultural Studies in Education 200: The data provided were very diverse across the different sections of the course, making it difficult to draw reliable conclusions about how well students across the course are meeting the General Education student learning objective for Cultures and Civilizations.

a. The overall average rating for the written work on essay exams was a 1.85, at the high end of the "Ineffective" rating for the student learning objective 1 rubric for CC. Most work within the sample set received an "adequate" rating: 17.8% of the written essay exam responses received a rating of 1, ineffective; 78.5% received a rating of 2, adequate; and 3.5% received a rating of 3, effective. No essay exam responses received a 4, outstanding.

b. The results from the multiple-choice exam demonstrate that mastery of CC student learning objective 1 is evident in the vast majority (all) of the samples throughout the

set (>81% correct). 91% was the average score across all students within the sample set, for an overall rating of 4 (outstanding) on a scale of 1-4.

Environmental and Soil Sciences 220: Based on the assessment, the overall average rating on the essays exams was 2.17, Adequate. Most work within the sample set received an “effective” rating: 0% of the essays received a rating of 4, outstanding; 33.3% of the essays received a rating of 3, effective; 61.1% received a rating of 2, adequate; and 5.5% received a rating of 1, ineffective.

History 242: Based on the assessment, the overall average rating on the essays was 2.71, Adequate. The majority of the work within the sample set received either an “effective” or “outstanding” rating: 14.4% of the essays received a rating of 4, outstanding; 41.4% received a rating of 3, effective; 41.4% received a rating of 2, adequate; 2.8% received a rating of 1, ineffective.

Religious Studies 102: Based on the assessment, the overall average rating on the essays exams was 2.34, Adequate. Broken down further, the results are as follows: 2.6% of the essays received a rating of 4, outstanding; 34.2% received a rating of 3, effective; 55.2% received a rating of 2, adequate; and 7.8% received a rating of 1, ineffective.

Actions Taken

Results from the course assessments were reported to departments, who plan the following types of actions based on the assessment: course revisions, faculty development/ training, and revisions to pedagogy/ instructional strategy. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY. See the individual course reports for each course for additional detail.

Attainment of CC Student Learning Outcome 2, “For language courses: Students will demonstrate knowledge of the cultural and historical contexts of a second language.”

Embedded coursework was collected from the following course: Spanish 212. Written work was assessed by raters using the [CC rubric](#).

Assessment Results & Analysis

Only one course was assessed in 2013-14, [Spanish 212](#). Based on the assessment, the overall average rating on the written work was 2.41 on a scale of 1-4, meaning that most students demonstrated work that was adequate or better in attaining CC student learning outcome 2.

Broken down further, the results are as follows: 11.3% of the work received a rating of 4, outstanding; 34% received a rating of 3, effective; 34.6% received a rating of 2, adequate; 15.9% received a rating of 1, ineffective.

Work rated with a 4, outstanding, demonstrates extensive knowledge of the cultural contexts of the language by citing examples of cultural difference and contrasting these examples with his/her own culture (placing these examples in historical perspective, whenever possible); work rated with a 3, effective, demonstrates knowledge of the cultural contexts of the language by analyzing cultural differences in a comparative manner, giving detailed examples (placed in historical perspective, when relevant); work rated with a 2, adequate, attempts to demonstrate knowledge of the cultural contexts of the language but with little attention to detail (or to historical perspective, when relevant); work rated with a

1, ineffective, demonstrates little to no knowledge of the cultural or historical contexts of the language.

Actions Taken

Results from the course assessments were reported to the department, which plans the following action based on the assessment: course revisions. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY.

3. Natural Sciences (NS)

There are three student learning outcomes in the Natural Sciences area. In 2013-14, all three outcomes were assessed. Across all outcomes, most students demonstrate effective mastery of the student learning outcomes.

More specifically,

SLO 1: Mastery of the student learning outcome is evident in most samples of the sample sets from two courses. (Effective)

SLO 2: Mastery of the student learning outcome is evident in most samples of the sample set (average 61% as assessed through student work in 5 courses). (Effective)

SLO 3: Mastery of the student learning outcome is evident in most samples of the sample set (as assessed through a subset of student work in BIOL 140 only, averaging a score of 3.0 out of a possible 5, or 60% of maximum). (Effective)

Results are broken down by individual student learning outcome assessed:

Attainment of NS Student Learning Outcome 1, "Students will demonstrate ability to use the basic vocabulary of a course's discipline."

Embedded coursework was collected from the following courses: Engineering Fundamentals 152 and Geology 203. For exam data, attainment of the student learning outcome was assessed based on the percentage of correct responses, which were compared against a benchmark scale for performance that corresponds to the [NS rubric](#):

- 1 (Inadequate): Mastery is not evident in most samples of the sample set (< 20% correct)
- 2 (Adequate): Mastery is minimally evident throughout the sample set (21% < X < 50% correct)
- 3 (Effective): Mastery is evident in most samples of the sample set (51% < X < 80% correct)
- 4 (Outstanding): Mastery is evident in the vast majority of the samples throughout the set (>81% correct)

Assessment Results & Analysis

Overall, mastery of NS Student Learning Outcome 1 is evident in most samples of the sample sets from two courses. (Effective)

Engineering Fundamentals 152: Based on the assessment, mastery of Student Learning Outcome 1 was minimally evident throughout the sample set—Ineffective. The overall average performance for all students across the question set was 43% correct. Mastery did not vary by section ($P = 0.98$). Mastery did vary by question ($P = 0.03$). Across all sections, approximately 56% answered question 1 correctly, while approximately 31% answered question 13 correctly. With only 2 questions, and highly variable response between those, true assessment of mastery of Student Learning Objective 1 is difficult for this class.

Geology 203: Based on the assessment, mastery of Student Learning Objective 1 was evident in the vast majority of samples—Effective. The overall average performance for all students across the question set was 89% correct. Mastery did not vary by question ($P = 0.15$). Mastery did not vary by student ($P = 0.57$), but with only two questions, analysis is questionable. Seven out of nine students answered both questions correctly; the remaining two students answered question 22 incorrectly.

Actions Taken

Results from the course assessments were reported to the departments, which plan the following actions based on the assessment: course revisions. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY. See the individual course reports for additional detail.

Attainment of NS Student Learning Outcome 2, “Students will demonstrate knowledge of fundamental principles, experimental techniques or chief discoveries of a course’s discipline.”

Embedded coursework was collected from the following courses: Engineering Fundamentals 152 and Geology 203, Microbiology 210, Nutrition 100, and Physics 222. For exam data, attainment of the student learning outcome was assessed based on the percentage of correct responses, which were compared against a benchmark scale for performance that corresponds to the NS rubric (see NS Rubric):

- 1 (Inadequate): Mastery is not evident in most samples of the sample set ($< 20\%$ correct)
- 2 (Adequate): Mastery is minimally evident throughout the sample set ($21\% < X < 50\%$ correct)
- 3 (Effective): Mastery is evident in most samples of the sample set ($51\% < X < 80\%$ correct)
- 4 (Outstanding): Mastery is evident in the vast majority of the samples throughout the set ($> 81\%$ correct)

Assessment Results and Analysis

Overall, mastery of NS Student Learning Outcome 2 is evident in most samples of the sample set (average 61% as assessed through student work in 5 courses). (Effective)

Results are broken down by individual courses:

Engineering Fundamentals 152: Based on the assessment, mastery of Student Learning Objective 2 was minimally evident throughout the sample set—Ineffective. The overall average performance for all students across the question set was 50% correct. Mastery did not vary by section ($P = 0.27$). Mastery did vary by question ($P = .02$). Across all sections, approximately 64% answered question 6 correctly, while approximately 36% answered question 8 correctly. With only 2 questions, and highly variable response between those, true assessment of mastery of Student Learning Outcome 2 is difficult for this class.

Geology 203: Based on the assessment, mastery of Student Learning Outcome 2 was minimally evident throughout the sample set—Ineffective. The overall average performance for all students across the question set was 41%. Mastery varied by question ($P = 0.01$). Correct answers were observed in approximately 78%, 33%, and 11% of students sampled in questions 26, 40, and 41 respectively. Mastery did not vary by student ($P = 0.84$). Total correct from the three questions ranged from a high of two (67%) to a low of 0.

Microbiology 210: Based on the assessment, mastery of Student Learning Outcome 2 was evident in most samples—Effective. The overall average performance for all students across all 8 questions was 68%. Mastery varied by question, ranging from 37% correct to 91% correct. A simple one-way ANOVA detected differences in percent correct due to question ($P < 0.0001$) such that students were less likely to answer questions 1 and 8 correctly, and were more likely to answer questions 6 and 7 correctly. While all questions related to Student Learning Outcome 2, there may be varying levels of difficulty within the question set, or perhaps there existed varying depth of coverage of material relating to the question set. Mastery varied by section, ranging from 56% correct to 78% correct, although sample size (4 students per section) may not be adequate to assess variation by section. A simple one-way ANOVA detected no significant difference in percent correct due to section ($P = 0.58$).

Nutrition 100: Based on the assessment, mastery of Student Learner Outcome 2 was evident in the vast majority of samples throughout the set—Effective. The overall average performance for all students across all sections was 82%. Mastery did not vary between sections ($P = 0.19$). Mastery did vary greatly by question ($P < 0.0001$). Percent correct for question 4 and 14 were much lower (58% and 67%, respectively) than for the other questions. Highest percent correct came from questions 10 and 13 (96% for each).

Physics 222: Based on the assessment, mastery of Student Learning Outcome 2 was evident in most samples throughout the sample set—Effective. The overall average performance for all students across both instructors was 66%. Mastery tended to vary by instructor ($P = 0.067$) such that the average percent correct was greater for Instructor N's students (71.5%) than for Instructor B's students (60.4%). Mastery did not vary by question overall across both instructors ($P = 0.68$, paired t-test), but the ranges differed. Through the 17-question quiz, percent correct for instructor B (per question) ranged from 60% to 82.2%; percent correct for Instructor N ranged from 14.3% to 92.9%. The poorest performance for Instructor B's students was on question 17; question 15 yielded by far the poorest score for Instructor N's students. For Instructor N, individual student scores ($n=45$) for each question were analyzed. Percent correct did not vary by student ($P = 0.25$) or by question ($P = 0.24$).

Actions Taken

Results from the course assessments were reported to the departments, which plan the following actions based on the assessment: course revisions, faculty development/ training, changes to pedagogy/instructional strategy. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY. See the individual course reports for additional detail.

Attainment of NS Student Learning Outcome 3, "Students will demonstrate understanding of experimental techniques used by a course's discipline."

Embedded coursework was collected from the following course: Biology 140. The students' PowerPoint presentations were rated by two independent raters each, and scores were given according to a scale of 1 (poor) to 5 (excellent), with 3 indicating midrange work for the following categories: Hypothesis, Experimental Design, Results, Conclusions/Interpretation.

Hypothesis: A score of 1 indicates hypothesis and prediction not clear. A score of 5 indicates hypothesis and prediction clearly identified.

Experimental Design: A score of 1 indicates uncreative and inappropriate experimental design. Does not test hypothesis, does not include details such as variables and replicates. A score of 5 indicates excellent experimental design that addresses the hypothesis. Creative and well explained. Included explicit identification of variables and replicates.

Results: A score of 1 indicates no potential results presented, or of an extremely poor quality. A score of 5 indicates excellent understanding of potential results. Examples of data for supported prediction and data for non-supported prediction are clear.

Conclusions/Implications: A score of 1 indicates student did not explain what could be learned from this experiment. Did not address potential weaknesses in the literature. A score of 5 indicates student gave a clear explanation of what could be learned from this experiment and the implications of these results. Take home points summarized. Addresses weaknesses in the literature.

Mastery was rated based on the following benchmark scale:

Mastery is not evident in most samples of the sample set (average score of < 2.00)

Mastery is minimally evident throughout the sample set (average score of $2.00 < X < 3.00$)

Mastery is evident in most samples of the sample set (average score $3.00 < X < 4.00$)

Mastery is evident in the vast majority of the samples throughout the set (average score > 4.00)

(See NS Rubric.)

Assessment Results & Analysis

Overall, mastery of NS Student Learning Outcome 3 is evident in most samples of the sample set (as assessed through a subset of student work in BIOL 140 only, averaging a score of 3.0 out of a possible 5, or 60% of maximum)—Effective.

Only one course was assessed in 2013-14, Biology 140. The overall performance of each student (averaging of category scores) was 3.023 (min = 2.125; max = 5.00)—Effective. Mastery varied between categories ($P < 0.0001$).

Averages for each category:

Hypothesis – 3.14 (ranging from 1.0 to 5.0). Mastery is evident in most samples of the sample set for this category—Effective.

Experimental Design – 2.95 (ranging from 1.0 to 5.0). Mastery is minimally evident throughout the sample set for this category—Ineffective.

Results – 2.64 (ranging from 1.0 to 5.0). Mastery is minimally evident throughout the sample set for this category—Ineffective. Interpretation (conclusions and implications) – 2.32 (ranging from 1.0 to 5.0). Mastery is minimally evident throughout the sample set for this category—Ineffective.

Actions Taken

Results from the course assessment were reported to the department, which plans the following actions based on the assessment: faculty development and training. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY.

4. Social Sciences (SS)

There are two student learning outcomes in the Social Sciences area. In 2013-14, student learning outcome 1 was assessed. The average rating of student work across all courses was 2.8 on a scale of 1-4, meaning that overall attainment was "adequate." Most students demonstrate adequate or effective attainment of the student learning outcomes for the Social Sciences area.

Results are broken down by individual student learning outcome assessed:

Attainment of SS Student Learning Outcome 1, "Students will demonstrate understanding of the complex individual, political, and social dynamics that make up the modern world."

Embedded student course work was collected from the following courses: Agricultural and Resource Economics 201, Child and Family Studies 220, Geography 201, Political Science 101, and Sociology 110. Written work was assessed by two raters using the SS Written work rubric for Student Learning Outcome 1 (see [SS Rubrics](#)). Exam responses were tabulated and the total number of correct answers was placed within a benchmark scale (values for scoring ranges vary according to course):

Score=[Range is Course-Specific]= Outstanding / Exceeds expectations = 4.0 Rating

Score: [Range is Course-Specific]=Effective / Meets expectations= 3.0 - 3.9 Rating

Score=[Range is Course-Specific]=Adequate / Approaches expectations=2.0 - 2.9 Rating

Score= [Range is Course-Specific]=Ineffective / Does not meet expectations 1.0 - 1.9

The average ratings across all student work for SS Student Learning Outcome 1 were as follows: Average rating across all courses: 2.8 (on a scale of 1-4), indicating that most students demonstrate at least adequate ability to understand the complex individual, political, and social dynamics that make up the modern world.

Average percentage of student work that fell into each rating category:

Outstanding/Exceeds Expectations (rating of 4): 24%

Effective/Meets Expectations (rating of 3): 36%

Adequate/Approaches Expectations (rating of 2): 15%

Ineffective/Does not Meet Expectations (rating of 1): 21%

Results were further broken down by courses:

[Agricultural and Resource Economics 201](#): The average rating across all students was 2.8 on a scale of 1-4. Based on the assessment, most students demonstrate at least adequate ability to understand the complex individual, political, and social dynamics that make up the modern world. 27% of the students demonstrated effective and 27% outstanding understanding of the complex individual, political, and social dynamics that make up the modern world.

[Child and Family Studies 220](#): The average rating across all students was 3.2 on a scale of 1-4. Based on the assessment, most students demonstrate effective ability to understand the complex individual, political, and social dynamics that make up the modern world. Only 3% of students did not approach expectations. 33% of students demonstrated outstanding ability, which includes demonstrating a subtle understanding of the complex individual, political, and social dynamics that make up the modern world.

[Geography 201](#): The average rating across all students was 2.9 on a scale of 1-4. Based on the assessment, most students demonstrate adequate ability (at the high end of the adequate range) to understand the complex individual, political, and social dynamics that

make up the modern world. 30% of the students demonstrated effective understanding and 40% of students demonstrated outstanding understanding of the complex individual, political, and social dynamics that make up the modern world. However, 20% of students did not meet expectations.

Political Science 101: The average rating across all students was 2.6 on a scale of 1-4. Based on the assessment, most students demonstrate at least adequate ability to understand the complex individual, political, and social dynamics that make up the modern world. 50% of the students demonstrated effective understanding and 13% of students demonstrated outstanding understanding of the complex individual, political, and social dynamics that make up the modern world. 15% demonstrated adequate understanding. However, 21% of students did not meet expectations.

Sociology 110: The combined average rating for student work across both sections of SOC110 was 2.4 on a scale of 1-4. Based on the assessment, students overall demonstrate adequate ability to understand the complex individual, political, and social dynamics that make up the modern world, which includes making attempts to demonstrate understanding of the complex dynamics that make up the modern world, stating reasonably clear positions or claims and attempting to support those with relevant sources and/or examples.

a. Paper analysis results (one section): The average rating across all students was 2.8 on a scale of 1-4. Students overall demonstrate adequate ability to understand the complex individual, political, and social dynamics that make up the modern world, which includes making attempts to demonstrate understanding of the complex dynamics that make up the modern world, stating reasonably clear positions or claims and attempting to support those with relevant sources and/or examples. 25% of the students demonstrated effective understanding and 13% of students demonstrated outstanding understanding of the complex individual, political, and social dynamics that make up the modern world. 50% demonstrated adequate understanding. However, 13% of students did not meet expectations.

b. Written exam results (one section): The average rating score was 1.97 on a scale of 1-4, which is statistically significantly higher than 1.0 (i.e., ineffective) but not significantly less than 2.0 (i.e., adequate). 8% of the students demonstrated effective understanding and 0% of students demonstrated outstanding understanding of the complex individual, political, and social dynamics that make up the modern world. 50% demonstrated adequate understanding. However, 42% of students did not meet expectations.

Actions Taken

Results from the course assessment were reported to the departments, which plan the following actions based on the assessment: student support/ mentoring, curriculum revision, faculty development/ training, revisions to pedagogy/ instructional strategy. Reports of the assessment were made available to departments at the end of Spring 2014, so specific actions proposed will take place in the 2014-15 AY. See the individual course reports for additional details.

Closing Statement

The University of Tennessee, Knoxville, has defined General Education competencies/student learning outcomes for students and now assesses them directly through embedded coursework to determine the degree to which students are meeting them. Until recently, UT conducted assessment by focusing on standards required by the Tennessee Higher Education Commission (THEC)—a focus of cyclic academic program

review, programmatic accreditation, and specific metrics as required by THEC. To better assess the achievement of student learning outcomes in General Education, the previous focus on meeting the THEC standard by administering and reporting the results of the California Critical Skills and Thinking Test was changed in 2013-14 to include direct measures of assessment for student learning outcomes at the course level. The results of the 2013-14 direct assessment demonstrate that most students meet the standards (that is, they perform at an adequate level) in each General Education area. The University is currently engaging in a process of developing a long-term plan for assessing General Education, which will be ready at the end of the 2014-15 AY.

3.5.2 Educational Programs: Undergraduate: Institutional credits for a degree

At least 25 percent of the credit hours required for the degree are earned through instruction offered by the institution awarding the degree. (See the Commission policy “Collaborative Academic Arrangements.”)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state’s flagship, comprehensive land-grant research institution. The university offers bachelor, master, and doctoral level programs as well as graduate certificates; UT does not offer associate degrees. As a comprehensive, flagship campus, UT offers all the courses the faculty require for any given degree program, regardless of whether it is an undergraduate or graduate program. The undergraduate catalog, Degree Audit Reporting System, academic histories, and academic transcripts clearly demonstrate that students are required to earn 25% of their credit hours from UT for the awarding of a baccalaureate degree.

Undergraduate Residence

The [2013-14 Undergraduate Catalog](#) stipulates that at least 25% of the semester credit hours for the [first baccalaureate degree](#) must be earned through University of Tennessee instruction. For a [second baccalaureate degree](#), a minimum of thirty semester hours beyond the first degree is required.

The undergraduate residence requirement is disseminated in the *Undergraduate Catalog*, communicated through UT’s advising offices, enforced by [DARS](#)—the degree audit reporting system, and confirmed by the graduation specialists in the Office of the University Registrar. Students and academic advisors have access to the DARS system to run reports at any time during a student’s active enrollment. The [DARS report](#) clearly states *at least 25% of the total hours required must be completed at the University of Tennessee, Knoxville*.

The university’s undergraduate transcript makes clear the number of hours transferred from another institution by listing them at the start of the [transcript](#). The unofficial academic history also includes the specific courses transferred at the beginning of the [academic history](#) and then again provides a [summary of hours](#) taken at UT and those credit hours transferred to UT. DARS reports also list courses transferred. Transcript evaluators review transfer course work, determine equivalency with the assistance of faculty from the appropriate discipline, and enter the course work to the academic history. Those courses entered as equivalent will be appropriately applied to requirements. Those courses not entered to the academic history as equivalent may be petitioned to meet degree requirements beyond simple satisfying free electives. Information about transfer equivalency is available to students on the Office of the Registrar Transfer Students web page (see [policies](#) and [equivalencies](#)).

Undergraduate Joint Degree and 3+1 Programs

UT offers the Bachelor of Science in Audiology and Speech Pathology as a [joint degree](#) with the University of Tennessee Health Science Center (UTHSC), headquartered in Memphis, through consortial arrangements. The memorandum of understanding stipulates

that students meet the same minimum residence requirement of students pursuing any other undergraduate degree program. Furthermore, it [stipulates](#) that students will complete 90 credit hours at UT prior to admission to the UTHSC. In order to earn the BS from UT, all students must meet all of UT graduation requirements, including the 25% rule.

UT offers several [3+1 programs](#) for students anticipating transferring to a college of veterinary medicine or health profession.

- Animal Science Major, [Pre-Veterinary Medicine 3+1 Concentration](#)
- Food Science and Technology Major, [Pre-Pharmacy 3+1 Concentration](#)
- Food Science and Technology Major, [Pre-Professional 3+1 Concentration](#)
- Pre-Professional Programs Major– [Pre-Dentistry Concentration](#)
- Pre-Professional Programs Major– [Pre-Medicine Concentration](#)
- Pre-Professional Programs Major– [Pre-Pharmacy Concentration](#)
- Pre-Professional Programs Major– [Pre-Veterinary Medicine Concentration](#)

With each of these programs, students complete their general education and other degree requirements at UT. Upon successful admission and completion of their first year of studies in veterinary medicine or health science, the student can be awarded the appropriate UT baccalaureate degree. The student must meet the 25% requirement and this is checked by the graduation specialists in the Office of the University Registrar.

Conclusion

The University of Tennessee, Knoxville is in compliance with this standard as the institution offers all of the courses the students need to earn degrees. UT currently does not have any arrangements with other institutions to offer any portion of the degree programs other than the aforementioned 3+1 programs with the University of Tennessee Health Science Center. UT uses the Degree Audit Report System to ensure that each undergraduate meets the requirement prior to being cleared for graduation.

3.5.3 Educational Programs: Undergraduate: Undergraduate program requirements

The institution publishes requirements for its undergraduate programs, including its general education components. These requirements conform to commonly accepted standards and practices for degree programs. (See the Commission policy “The Quality and Integrity of Undergraduate Degrees.”)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state’s flagship, comprehensive land-grant research institution. All requirements for [undergraduate programs](#), including general education components, are published in the [2013-2014 Undergraduate Catalog](#). The catalog is published online and therefore widely available to constituents both on and off campus. The online catalog allows a student to click on any course in an academic program showcase (listing of degree requirements) to display the catalog description of the course including any prerequisites and general education designation, if appropriate. Additionally, the online catalog has a searchable database of courses.

General Education Requirements

[General education requirements](#) are published in the online catalog and there is a quick link to them from the catalog webpage. They are also available on the General Education Committee [website](#). The General Education [Committee](#) serves as a standing committee of the Undergraduate Council to advise the Council on matters pertaining to general education. Specifically, the General Education Committee:

- Makes and receives recommendations regarding the philosophy and requirements of the general education component
- Develops criteria and procedures for submitting, evaluating and approving courses that meet the University of Tennessee standards
- Reviews and approves courses proposed for inclusion on the General Education list of courses
- Recommends and implements policies and procedures for continual improvement of general education
- Facilitates and encourages campus dialogue and communication regarding general education

There are seven subcommittees, one for each of the Basic Skills and Broadened Perspectives areas (see [Comprehensive Requirement 2.7.3](#) for a detailed discussion of the general education requirement). The faculty subcommittees serve in an advisory role to the General Education Committee; they review and make recommendations for approving general education courses, review courses for continuation as general education courses, and review student petitions for general education courses.

Faculty members who wish to add a course to the general education list must submit a course application and a syllabus. The application is reviewed by the appropriate faculty subcommittee to ensure the course satisfies the learning outcomes, as given in the 2013-

2014 Undergraduate Catalog for the specific general education category. The General Education Committee [website](#) includes a number of course development resources such as sample proposals, course guidelines, and frequently asked questions.

As with UT's academic programs, the general education program is regularly evaluated to reflect best practices. The current program was established in 2004 and evaluated again in 2011. The General Education Task Force was charged with thoroughly reviewing the general education program, comparing it with peer and aspirational peer institutions. The Task Force released its findings in [September 2012](#) with two short-term and one long-term goal: 1) to improve advising, link general education courses to a particular catalog year and limit the frequency with which general education offerings can be altered, 2) streamline the petitioning process, and 3) clarify the outcomes and improve assessment. The [DARS reports](#) now reflect date limitations for approved general education courses. The General Education Committee has [addressed](#) streamlining the petition process (moving from paper to electronic) and improving the clarity of outcomes and improving assessment.

Other Standing Committees of the Undergraduate Council

Besides the General Education Committee, the other standing committees that contribute to the system of checks and balances to ensure program requirements conform to accepted disciplinary and higher education standards and practices include:

- [Academic Policy](#): review, revise, and create academic policies that will be considered by the Undergraduate Council for publication in the Undergraduate Catalog. The policies considered will be those relating to general requirements for admission, registration, receipt of credit, and award of degrees
- [Advising](#): support academic advising as part of the teaching mission of the university and the teaching role of faculty; coordinate across academic colleges and units the underlying principles of best practice in academic advising as outlined in the Undergraduate Catalog and university academic policies.; provide a forum for discussion of academic advising policy, procedures and processes for faculty, advising administrators, enrollment services administrators, and student affairs administrators; recommend policy to the Undergraduate Council on matters that pertain to academic advising and areas related to academic advising.
- [Appeals](#): serve as the review board for all undergraduate grade appeals that are not resolved at the departmental or college level as outlined in the Grade Appeal Policy in the Undergraduate Catalog; serve as the final dismissal and readmission appeals board for undergraduate students who are seeking readmission to the university after being academically dismissed two or more times.
- [Associate Deans Group](#): provide transparency and a means of regular communication between colleges and the Provost's Office; to discuss common concerns and suggest revisions to practices and policy affecting undergraduate education
- [Curriculum](#): ensure consistency and quality of undergraduate curricula at the University of Tennessee; make recommendations to the Undergraduate Council regarding the approval or denial of curricular changes submitted to the council for consideration

College Requirements

Some colleges also have college-wide components to the majors, such as the College of Engineering, ensuring their programs conform to [ABET requirements](#). To provide breadth for the BA and BS degrees, the College of Arts and Sciences has [distribution requirements designed to enhance the skills of thinking critically and analytically, and of effective](#)

communication and writing through study and use of different kinds of human knowledge. All college requirements for the curriculum are voted upon by the faculty and are forwarded to the Curriculum Committee of the Undergraduate Council for review and approval.

Conforming to Accepted Standards and Practices

All of UT's degree programs conform to commonly accepted standards and practices as documented in each unit's academic program review. In accordance with the 2010-15 *Performance Funding Guidelines* of the Tennessee Higher Education Commission (THEC), each baccalaureate program without discipline-specific accreditation undergoes either an intensive academic audit or external peer review every five years (calendar is made public on the Office of the Provost [website](#)). Programs accredited by specialized professional organizations are exempt from this requirement since they undergo rigorous review by their accrediting agency (see [Comprehensive Standard 3.13.1](#), Table 3.13.1-1 for a list of accredited programs at UT). During the [academic program review process](#), learning outcomes are assessed and evaluated, allowing the faculty to determine the effectiveness of courses and programs and take the necessary steps for improvement. Furthermore, the Office of the University Registrar employs accepted practices for the review, application and transcription of transfer coursework (see [Comprehensive Standard 3.4.4](#) Acceptance of academic credit for a discussion of their processes) along with petition processes for the application of specific courses to satisfy general education (see [Core Requirement 2.7.3](#) for a discussion of the general education petition process) and other degree requirements (see [Comprehensive Standard 3.4.4](#) for a discussion of the petition process for course work other than general education).

Conclusion

The University of Tennessee, Knoxville, publishes the requirements for undergraduate programs in the online undergraduate catalog, which provides access to students and prospective students wherever they are located. Undergraduate majors clearly incorporate and note general education requirements. The Office of the University Registrar employs accepted practices for the application of transfer credits to student transcripts. Therefore, UT demonstrates compliance with this standard.

3.5.4 Educational Programs: Undergraduate: Terminal degrees of faculty

At least 25 percent of the course hours in each major at the baccalaureate level are taught by faculty members holding an appropriate terminal degree—usually the earned doctorate or the equivalent of the terminal degree.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville, (UT) is the research intensive, land-grant flagship campus for the University of Tennessee System. As such, it offers a wide array of undergraduate programs in nine colleges. Through the search process, the administration prioritizes the hiring of highly qualified faculty into tenure and non-tenure-track positions to ensure that those hired to teach in the undergraduate programs have the appropriate educational qualifications and experiences. Because of this, we can demonstrate that at least 25 percent of the course hours in each major at the baccalaureate level are taught by faculty members holding an appropriate terminal degree and that we are therefore fully compliant with this standard.

Student credit hours for fall 2013 and spring 2014 courses at the 300 and 400 level (upper-level) are generally the required courses for a major. Only the courses within the department / major are presented, since each department only has control over the credentialing of their own faculty. Accepted terminal degrees and specific program notes are below.

Table 3.5.4-1 presents these student-course hours by college, degree program, and department / major. Across the university as a whole, 80.6% of undergraduate major upper-level credit hours are taught by faculty holding the appropriate terminal degree. The median rate is 85.8%. Eight programs have 100% of their major courses taught by credentialed faculty, and another 14 had at least 90%. The lowest program was Theater (26.1%), where many instructors are credentialed on their extensive professional experience in performance or technical aspects of theatre.

The University of Tennessee, Knoxville has two off-site locations where students attend courses for graduate programs, but no baccalaureate programs are offered at the two off-site locations. UT offers only one bachelor's online program, the RN-to-BSN. Of the five faculty members teaching online upper-level nursing courses, four hold the appropriate terminal degree and teach 96% of the courses. All faculty are credentialed and all courses are approved as part of the overall degree program regardless of location or mode of delivery. Therefore, all degree programs are presented together in Table 3.5.4-1. A listing of the faculty members is presented in Table 3.5.4-2.

Terminal Degrees

Besides the Ph.D. (Doctor of Philosophy), the following doctoral-level degrees are considered the terminal degree:

- D.B.A. – Doctor of Business Administration
- D.M. – Doctor of Music
- D.M.A. – Doctor of Musical Arts

- D.N.P. – Doctor of Nursing Practice
- D.PA. – Doctor of Public Health
- D.Sc – Doctor of Science
- D.V.M., BVSc – Doctor of Veterinary Medicine
- Ed.D. – Doctor of Education
- J.D. – Juris Doctor
- Pharm.D. – Doctor of Pharmacy
- Psy.D. – Doctor of Psychology

The following master's degrees are considered the terminal degree in their respective disciplines (given in parentheses):

- M.Arch. - Master of Architecture (architecture)
- M.F.A. - Master of Fine Arts (art, music, theatre, creative writing)
- M.L.A. - Master of Landscape Architecture (landscape architecture, plant sciences)
- M.L.I.S., M.L.S., M.S.L.S. - Master of Library and Information Science (information science)
- M.A. - Master of Arts in Product Design (interior design)
- M.S. - Master of Science in Graphic Design (art)
- M.S. - Master of Science in Industrial Design (interior design)
- M.P.H. - Master of Public Health (clinical laboratory science)
- M.S.W. - Master of Social Work (social work)

Program Explanations (refer to [Table 3.5.4-1](#))

Interdisciplinary Programs are 13 concentrations within the Bachelor of Arts Interdisciplinary Studies Program (College of Arts and Sciences). Many courses within the different concentrations are utilized in other majors and credentialed in the disciplinary departments that host the courses. Several courses, however, are credentialed under Interdisciplinary Programs.

Theory and Practice in Teacher Education offers minors in elementary, middle grades, or secondary; four concentrations in Special Education; and a second major in Art Education. All of their upper-level courses are credentialed and listed under that department.

The Clinical Laboratory Science Bachelor of Science degree is composed of three years of study at the University of Tennessee – Knoxville and the fourth year at the University of Tennessee Medical Center in Knoxville. The courses and faculty are credentialed with Microbiology in the College of Arts and Sciences.

Audiology and Speech Pathology (AUSP) is a 3+1 program where students take the first three years at the University of Tennessee – Knoxville and the fourth year at the University of Tennessee Health Sciences Center. At Knoxville, 3,043 upper-level credit hours were taught, with 82.9% being taught by instructors with the appropriate terminal degree. These data are not presented in the table.

A Bachelor of Science degree in Pre-Professional Programs may be gained in one of two ways. If a student is pursuing pre-dentistry, pre-medicine, or pre-pharmacy, then they take the first three years at the University of Tennessee – Knoxville and the fourth year at the University of Tennessee Health Sciences Center (which is the first year of the professional program). Students interested in preparing for study in Veterinary Medicine will receive a B.S. degree after taking the first three years at the University of Tennessee – Knoxville and

the fourth year after being accepted into the College of Veterinary Medicine at Knoxville. Courses are credentialed within their major area.

The College Scholars Program is an interdisciplinary, individualized honors program in the College of Arts and Sciences. Each student creates their own Bachelor of Arts curriculum under the guidance of the College Scholars Program director professor Dr. Jeffrey Kovac, Department of Chemistry. Courses utilized in this program are credentialed within their major area.

Conclusion

The University of Tennessee, Knoxville can demonstrate that upper-division courses in each major are taught by faculty with an earned doctorate or terminal degree. Therefore, UT is compliant with this standard.

3.6.1 Educational Programs: Graduate/Post-Baccalaureate: Post-baccalaureate program rigor

The institution's post-baccalaureate professional degree programs, master's and doctoral degree programs, are progressively more advanced in academic content than its undergraduate programs.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Graduate courses and programs at the University of Tennessee, Knoxville (UT) are progressively more advanced in academic content and rigor than its baccalaureate courses and programs. The [Graduate Council](#) establishes minimum requirements for [master's](#), [doctoral](#), and [specialist in education](#) degree programs; departments/programs may stipulate additional requirements, which are provided in the Graduate Catalog program descriptions (beginning on [page 50](#) of the pdf file of the *2013-2014 Graduate Catalog*) and in the Graduate Student Handbooks (two examples are provided - Department of [English](#) and College of [Communication and Information](#)) for each department/program. A robust and thorough process of review is required to make changes to the rigor and content of graduate courses and programs. Additions, deletions, or revisions to graduate curricula are first proposed by the program and department and reviewed by the college curriculum committee adhering to the [guidelines](#) set forth by the Graduate School; the Graduate Council [Curriculum Committee](#) then conducts a review before sending materials to the full Graduate Council to review for final approval, request for revision and re-submission, or rejection. Adoption of the approved curriculum changes becomes effective upon Faculty Senate approval of the Graduate Council minutes detailing the actions on curriculum matters.

[Graduate credit](#) may be earned in 400-level courses designated for graduate and undergraduate enroll, in 500-level courses, and in 600-level courses and seminars. The 400-level courses that have been approved to carry simultaneously graduate and undergraduate credit must be designed to reflect the different levels of expectation in performance and learning outcomes for graduate and undergraduate students, with more demanding requirements applied to graduate students, e.g., additional reading, more extensive research, and more rigorous evaluation measures. Courses available for graduate or undergraduate credit are clearly indicated as such in the catalog; in addition, differentiation in the requirements must be included on the course syllabus. Sample syllabi are attached:

Advertising, [ADV 490](#)
Agriculture and Resource Economics, [AREC 470](#)
Architecture, [ARCH 425](#)
Civil Engineering, [CE 474](#)
Counseling, [COUN 480](#)
Economics, [ECON 436](#)
English, [ENGL 441](#)
Forestry, [FORS 422](#)
Geography, [GEOG 430](#)
Journalism and Electronic Media, [JREM 456](#)

Journalism and Electronic Media, [JREM 460](#)
Nuclear Engineering, [NE 470](#)
Nutrition, [NTR 412](#)
Plant Sciences, [PLSC 430](#)
Psychology, PSYC 433 (see [pages 3 and 8 through 10](#))
Special Education, [SPED 430](#)
Theatre, [THEA 464](#) (see [pages 1 and 2](#))

Colleges of Law, Nursing, Social Work, and Veterinary Medicine do not offer any 400-level courses for graduate credit.

Advanced undergraduate students seeking to earn graduate credit in a 400- or 500-level course using the option of [senior privilege](#) may only do so with the specific restrictions. Those students must: 1) have fewer than 30 semester hours for completion of the undergraduate degree; 2) have at least a 3.0 GPA; 3) be enrolled in no more than 15 hours during the term in which graduate credit is sought; 4) submit the appropriate form and have it approved by the dean of the Graduate School before taking the course; 5) may only complete a maximum of 9 hours of graduate credit as a senior eligible for graduate credit; and 6) may not use the graduate credits earned while in undergraduate status for a graduate degree program, unless the courses are included in approved [dual bachelor-master's degree programs](#). Appeals for a retroactive change from undergraduate to graduate credit will not be accepted.

While the number of required graduate credit hours beyond the bachelor's degree varies among [master's degree programs](#), policy set by the Graduate Council calls for a minimum of 30 hours of graduate credit beyond the bachelor's degree. Two-thirds of the credit hours earned for the master's degree must be from courses at the 500-level or above. A final comprehensive examination is required: either a thesis or problems in lieu of thesis and an oral (or oral and written) exam or, for non-thesis students, a comprehensive written exam and capstone experience, such as an independent project, internship, exhibit, recital, or advanced seminar.

Candidates for the [doctoral degree](#) are required to complete a minimum of 24 hours of graduate credit beyond the master's degree or, if the master's degree is not required, 48 hours beyond the baccalaureate degree. At least 6 hours must be at the 600-level, not including hours earned in course 600, Doctoral Research and Dissertation. A minimum of 24 hours of course 600 Doctoral Research and Dissertation is required for those seeking the PhD. When the student is admitted, programs have the option of administering a diagnostic oral and/or written examination to determine the student's preparation for doctoral study; as the student progresses, programs may elect to give an oral and/or written qualifying examinations to test the student's preparedness for the more highly specialized study for completion of the doctoral program.

All doctoral students must successfully complete a comprehensive examination before admission to candidacy; the application for admission to candidacy outlines the courses to be used for the degree and must be approved by the Graduate School. PhD candidates must complete a dissertation that represents an original research project and pass a defense, or oral examination, on the work; students seeking professional doctorates must complete a culminating experience, such as an independent project or internship.

Conclusion

The University of Tennessee, Knoxville, has a process in place to ensure that the post-baccalaureate professional degree programs, master's and doctoral degree programs are progressively more advanced in academic content than undergraduate programs. All proposals undergo a rigorous review process. Therefore, the university demonstrates compliance with this standard.

3.6.2 Educational Programs: Graduate/Post-Baccalaureate: Graduate curriculum

The institution structures its graduate curricula (1) to include knowledge of the literature of the discipline and (2) to ensure ongoing student engagement in research and/or appropriate professional practice and training experiences.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) upholds high academic standards in graduate education to ensure excellence in its graduate programs and high levels of achievement by our graduate students. Our priority is to provide students with graduate curricula that cover pertinent knowledge within each of our disciplines and give students opportunities to explore important emerging areas of inquiry.

Curricula are designed by the graduate faculty and undergo several stages of review at the unit, college, and university level to make certain that rigor and depth are reflected in offered coursework. New coursework and program approval processes are described in the 2013-2014 Curricular Submission [Guidelines](#) of the Graduate Council. The Graduate Catalog updated each year by the university's Graduate School also provides information regarding [academic policies and requirements](#) of the degree programs offered. In addition to the Graduate Catalog, each academic unit is required to prepare a Graduate Studies Handbook containing specifics on the policies and requirements as related to its degree program(s). The Graduate School provides guidance in preparing the handbook to ensure that the same information is included for each program and to ensure all graduate students receive needed information (see [Handbook Template](#) for more information). Examples of Graduate Studies Handbooks are provided in Table 3.6.2-1.

TABLE 3.6.2-1: Examples of Graduate Studies Handbooks

Home College	Graduate Studies Handbook
College of Engineering	Biochemical & Molecular Engineering
College of Business Administration	Business MBA
College of Communication and Information	Communication and Information
Intercollegiate	Intercollegiate Comparative and Experimental Medicine
College of Agricultural Sciences and Natural Resources	Entomology & Plant Pathology
College of Law	Law
College of Nursing	Nursing DNP Nursing MSN Nursing PhD
College of Arts and Sciences	Political Science
College of Social Work	Social Work

The graduate programs at UT offer courses of study that deliver comprehensive knowledge of extant literature and promote critical student engagement with the material covered. Descriptions of the graduate courses delivered in each of the graduate disciplines can be found in the [Graduate Catalog](#) under [Course Descriptions](#) (listed in alphabetical order by discipline alpha designation). Please see examples of course syllabi presented in Table 3.6.2-2.

TABLE 3.6.2-2: Examples of Course Syllabi

Course Number	Course Title - Syllabus
ADVT 520	Advertising and Communication Theory
ARCH 503	Modern Architecture: Histories and Theories
ARCH 521	Principles of Architectural Production
BCMB 511	Advanced Protein Chemistry and Cellular Biology
BCMB 610	Current Topics in Biochemistry, Cellular, and Molecular Biology
BSE 519	Modeling Techniques and Applications
BSE 619	Mathematical Modeling for Engineers
BUAD 518	E&I Innovation in Practice
CCI 605	Philosophical and Theoretical Foundations of Communication and Information
CHEM 510	Analytic Spectrometry
CHEM 531	Characteristics of Inorganic Compounds
CMST 542	Communication and Ethnography
CMVM 541	Cellular and Molecular Basis of Disease
CMVM 612	Journal Club in Biomedical and Diagnostic Sciences
EDPY 515	Education Applications of Behavioral Theories of Learning
EDPY 655	Research in Psychoeducational Studies
ENGL 671	Studies in 20th-Century Literature
GEOG 541	Topics in Urban/Economic Geography
GEOG 633	Seminar in Physical Geography
HEAM 516	Research Methods
HEAM 572	Student Development Theory and Practice in Higher Education
HIST 510	Foundations of Graduate Study in History
HIST 643	Seminar in 20th-Century United States
INSC 510 - online	Information Environment
INSC 510 - on-campus	Information Environment
INSC 520	Information Representation and Organization
KNS 565	Advanced Physiology of Exercise
KNS 635	Physical Activity and Positive Health
LAW 802	Civil Procedure II
LAW 803	Contracts I
LAW 810	Property
MGT 625	Contemporary and Global Issues in Strategic Management
MGT/SCM 611	Theoretical Foundations
MGT/SCM 612	Quantitative Research Methods
MICRO 594	Grant Writing
MICRO 680	Foundations in Microbiology

Course Number	Course Title - Syllabus
NE 579	Empirical Models for Monitoring and Diagnostics
NE 640	Nuclear Cross Section Modeling
NURS 501	Nursing Research: Methods, Design, and Analysis
NURS 582	Scholarly Inquiry for Advanced Practice Nursing
NURS 609	Research Practicum
NURS 610	Nursing Science Seminar
PHIL 520	Topics in Ancient or Medieval Philosophy
PHIL 522	Topics in Modern Philosophy
PLSC 515	Agroecology
PLSC 605	Special Topics in Plant Breeding and Genetics
PLSC 653	Advanced Plant Breeding
REED 539	Practicum in Remediation of Reading Problems
REED 605	Organizing and Administering Reading Programs
SCHP 541	Psychoeducational Assessment
SOCI 504	Sociological Foundations of Political Economy
SOCI 521	Sociological Theory I
SOWK 513	Lifespan and Neurophysiologic Development
SOWK 539	Leadership Skills and Knowledge for Advanced Social Work Practice
SOWK 602	Research for Social Work Practice II
SOWK 606	Analysis of Social Work Data II
SOWK 670	Critical Literature Reviews
VMD 845	Veterinary Nutrition
VMD 853	Endocrine System

Graduate programs normally require a culminating dissertation, thesis or project (general discussion of [degree program requirements](#) is given in the [Graduate Catalog](#) and specific requirements are given with each degree program description throughout the catalog). Dissertations and theses are available through the University Libraries electronic resources and are searchable using the discipline and key words. Those produced from each program can be located by entering the unit name and the word theses or dissertations in the search field of the Libraries' online catalog. Table 3.6.2-3 provides a list of examples of theses and dissertations with the pdf files attached.

TABLE 3.6.2-3: Examples of Theses and Dissertations

Area of Study	Theses / Dissertation Title
Agricultural Economics	"Evaluation of Pre-processing and Storage Options in Biomass Supply Logistics: A Case Study in East Tennessee" (Thesis)
Aerospace Engineering	"Analysis and Optimization of Unsteady Flow Past a Circular Cylinder Using a Harmonic Balance Method" (Thesis)
Animal Science	"Pathway Profiling Identifies Mechanisms of Adipose Deposition in Domestic Chickens" (Dissertation)

Area of Study	Theses / Dissertation Title
Architecture	"Beyond the Walls: The Architecture of Imprisonment and Community" (Thesis) "Wasted Land: Finding Redemption in a Post-Industrial Movement" (Thesis) "Working with Paul Rudolph to Make Rudolph Work: Reclaiming, Conserving, and Adapting Sarasota High School (1958)" (Thesis) "Reconnect: A New Identity for Suburban Commercial Space" (Thesis) "Urban Schools: Creating Diverse Popultaions and Vibrant Cities" (Thesis)
Biochemistry and Cellular and Molecular Biology	"Examining the Roles of PsToc75 POTRA Domains in Chloroplast Protein Import" (Thesis)
Business Administration	"Shopper Marketing and Social Networks: The Path to Integration" (Dissertation) "The Concept of Supply Chain Agility: Conceptualization, Antecedents, and the Impact on Firm Performance" (Dissertation) "Social Structure, Non-market Valuation, and Bargaining" (Dissertation) "A Consideration of the Potential Side Effects of Health Insurance Coverage" (Dissertation)
Chemical Engineering	"A Study of Polymer Electrolyte Membranes and Associated Interfacial Systems via Molecular Dynamics Simulations" (Dissertation)
Communication and Information	"Consumers' Optimistic Bias and Responses to Risk Disclosures in Direct-to-Consumer (DTC) Prescription Drug Advertising: The Moderating Role of Subjective Health Literacy" (Dissertation) "Complex Adaptive Systems Theory Applied to Virtual Scientific Collaborations: The Case of DataONE" (Dissertation) "Emergency Text Messaging Systems and Higher Education Campuses: Expanding Crisis Communication Theories and Best Practices" (Thesis) "Law Enforcement, Communication Training & Verbal Judo" (Thesis)
Comparative and Experimental Medicine	"Characterization of Feline Adiponectin and its Association with Metabolic Indices in Lean and Obese Cats" (Dissertation) "A Description of the Movement of the Canine Pelvic Limb in Three Dimensions Using an Inverse Dynamics Method, and a Comparison of Two Techniques to Surgically Repair a Cranial Cruciate Ligament Deficient Stifle" (Dissertation) "Effects of Pituitary Pars Intermedia Dysfunction (PPID), Season, and Pasture Diet on Blood Adrenocorticotrophic Hormone and Metabolite Concentrations in Horses" (Thesis) "Spatial Epidemiology and Temporal Trends of Heart Attack and Stroke in Middle Tennessee" (Thesis)
English	" 'Petticoat Gunboats': The Wartime Expansion of Confederate Women's Discursive Opportunities Through Ladies' Gunboat Societies" (Thesis)
Food Science and Technology	"Nano-dispersing Lipophilic Antimicrobials for Improved Food Safety" (Dissertation)

Area of Study	Theses / Dissertation Title
Industrial Engineering	"Energy Efficiency in Residential Buildings in Knoxville, TN, U.S." (Thesis)
Kinesiology	"The Accuracy of the Progressive Aerobic Cardiovascular Endurance Run to Estimate Aerobic Fitness in Youth" (Thesis)
Kinesiology and Sports Studies	"Can America's top sedentary activity be made more active?: Physical Activity and Leisure-time Studies (PALS)" (Dissertation)
Modern Foreign Languages	"Littérature Québécoise et Problématique Identitaire: Poétique de L'exil." (Thesis) "Antonio Preciado and the Afro Presence in Ecuadorian Literature" (Dissertation)
Life Sciences	"Soybean Nodulin 26: A Channel for Water and Ammonia at the Symbiotic Interface of Legumes and Nitrogen-fixing Rhizobia Bacteria" (Dissertation)
Nuclear Engineering	"Investigation of Time and Position Resolved Alpha Transducers for Multi-Modal Imaging with a D-T Neutron Generator" (Dissertation)
Nursing	"End-of-Life Culture Care Expressions, Meanings, Patterns, and Practices among Yup'ik Eskimo" (Dissertation) "This is me. I like who I am': A Qualitative Descriptive Study Using Photo Elicitation to Examine the World of the School-Age Child With Cystic Fibrosis" (Dissertation)
Nutritional Sciences	"Nutritional Ergogenic Aids: The Influences of Carbohydrate-Protein Supplementation During Endurance Exercise" (Thesis)
Physics	"Neutron Scattering Study of the Iron Based Superconductors" (Dissertation)
Plant Sciences	"Use of Capacitance Sensors for Development of Conservation Irrigation Regimes" (Thesis)
Plants, Soils and Insects	"Assessing the Efficiency of Phenotypic and Molecular Genotype Selection Methods for Complex Traits in Soybean" (Dissertation)
Psychology	"Dating Violence Victimization and Alcohol Problems: An Examination of Social Support's Stress-Buffering Hypothesis" (Thesis) "Rejection Sensitivity in Adolescent Offspring of Mothers with Borderline Personality Disorder" (Thesis)
School Psychology	"Three Studies Evaluating a Computer-Based Sight-Word Reading Intervention System across Special-Needs Students" (Dissertation)
Social Work	"Validation of the Air Force Family Needs Screener" (Dissertation) "Gender and Post Traumatic Stress Disorder Screening in the Military: A Measurement Study" (Dissertation) "Medication Adherence, Self-Efficacy, and Health Literacy among African-American Breast Cancer" (Dissertation) "www.homeless.org/culture: A Cross-level Analysis of the Relationship between Organizational Culture and Technology Use among Homeless Service Providers" (Dissertation)

A formal process is in place for the credentialing of tenure-track, tenured, and non-tenure-track faculty members to direct dissertations. Details regarding the credentialing process are provided in the [bylaws](#) and [procedures](#) of the Graduate Council's Credentials Committee [webpage](#). The process allows for review of credentials (list of theses and dissertations supervised; list of peer-reviewed publications; list of grants and other external

validation or support of creative and scholarly activity; other evidence relevant to the approval to direct dissertations; and a letter of support from the department head placing these items in the context of the discipline) and approval for up to ten years after which review is necessary for another ten-year period.

Graduate programs may also require a final comprehensive examination designed to test student knowledge of the major literature and practices in the student's field of study. The requirement for a [final examination](#) for thesis and [problems](#) in lieu of thesis, [non-thesis](#) students, [specialist in education](#) students, and [doctoral students](#) is given in the Graduate Catalog.

In recognizing the need to move students toward excellence in research or professional practice and training, students are given opportunities to create new knowledge or creative works and apply their acquired professional skills. Many colleges have research centers, institutes, or groups that promote and support graduate research. The UT's Office of Research and Engagement also offers opportunities to promote student engagement in research. Funding for student travel to academic and professional conferences for purposes of presenting research papers or creative accomplishments is provided to students on a competitive basis by individual departments/schools, colleges, and the university.

The following section presents further examples of how programs are supporting ongoing student engagement with research or participation in professional practice and training.

College of Agricultural Sciences and Natural Resources (CASNR)

Most graduate students are funded through AgResearch graduate assistantships or faculty grants and contracts. Some become engaged in industry-funded research. Both thesis- and non-thesis-Master's programs are offered. When a student completes a non-thesis program, there is an expectation of the completion of some other form of scholarship (preparation of an Extension publication, research leading to a refereed publication, teaching resource). All doctoral programs require the dissertation.

Besides the normal academic activities common to graduate education that lead to the understanding of the pertinent literature and develop students' ability to conduct independent research, graduate students may also:

1. make presentations at research field days held at the 11 research and education centers located across the state that are part of AgResearch and UT Extension;
2. attend and make presentations at regional, national, and international scientific conferences;
3. participate on some college committees;
4. prepare displays for Ag Day (alumni and stakeholder event), 4-H and FFA events;
5. serve as assistant coaches to undergraduate competition teams;
6. assist Extension faculty with the development of Extension educational materials (factsheets, bulletins, websites, presentations, and smartphone apps); and
7. some advanced doctoral students may assist in mentoring undergraduate research projects.

College of Architecture and Design (CAD)

There are three curricular paths leading to a Master of Architecture degree at UT. Two of these are professional degrees accredited by the National Architectural Accrediting Board.

The third curricular path is a "post-professional" curriculum, for graduates with a 5-year Bachelor of Architecture degree (which is also accredited by the NAAB).

All students in the professional curricular tracks leading to the Master of Architecture degree are required to take a 3 credit course, Arc 562: Professional Practice. A tenure-line faculty member who is also a registered architect teaches the course. The course always includes visiting lectures by a wide range of practitioners in an effort to both better present the increasing scope of professional architectural practice, and to keep abreast with a fast-changing business and technical environment. Students in the "post-professional" Master of Architecture curricular path must demonstrate that they have had an equivalent course to Arc 562 as a requirement of admission.

Beyond this single course, the graduate program assigns 30% of its Graduate Assistantships to students in all three curricular paths to support faculty-led research. These Graduate Research Assistants work with faculty in such venues/projects as: the Design / Build / Evaluate Initiative (an official Organized Research Unit of UT); the college's Haiti Project; US Department of Energy Solar Decathlon; US Environmental Protection Agency "Green Oak" Research; and several US Department of Housing and Urban Development "PlanET" projects. Work product from these efforts has often resulted in joint faculty/graduate student research papers presented at national scholarly conferences. Many of these research projects also infuse the existing required curriculum with new elective course work for graduate students — further fusing research, practice, and study.

College of Arts and Sciences (CAS)

Programs require graduate-level coursework that emphasize the development of well-defined research that result in conference presentations and/or publications. Other opportunities for research engagement also exist. For example, the Department of Microbiology requires students to participate in journal clubs in which students discuss and critique original literature in current journals. Weekly colloquia also offer students a chance to present their research in preparation of their thesis or dissertation defense. Many departments also provide opportunities to learn from and interact with professionals within their chosen field of study. For example, the Department of Chemistry requires students to participate in departmental seminars that feature talks by prominent scientists from across the globe. The Department of Theatre has their students routinely collaborate with guest artists in the creative laboratory of the Clarence Brown Theatre.

College of Business Administration (CBA)

Engagement with the business community is built into all MBA programs. For example, students in the full-time program complete a team-based immersion in a not-for-profit organization that addresses the specific needs of the organization and results in a report and presentation to the organization's leaders (see CBA Innovation in Practice). Students in Executive MBA programs work with faculty mentors to complete year-long projects targeting a specific problem in their current organization.

Doctoral programs include engagement with the academic literature, research activities, and organizations. Thorough engagement with the literature is built into every doctoral-level class. All concentrations require early involvement in research projects, and interaction with the business community with regard to framing research projects and solving "real world" problems. For example – students in the Marketing and Supply Chain concentrations actively participate in biannual forums that bring business leaders to campus for research and practice collaboration. In addition, students complete summer projects targeted at eventual refereed presentation and publication.

College of Communication and Information (CCI)

Dissertation Colloquia are held each spring semester. Doctoral candidates present their dissertation research to faculty and graduate students in preparation of their dissertation defense. Brown Bag sessions with faculty and graduate students are held on a regular basis to allow for presentations of research projects. The sessions have often resulted in collaborative research projects between faculty and students. Brown Bag sessions led by faculty members and/or senior doctoral students are held on a regular basis for MS students to discuss professional development and working environments. Practica or internships are offered to all MS students. Faculty advisors and on-site professional mentors work with students to determine objectives. Students work on papers describing their experiences. Workplace supervisors provide feedback on student performance.

College of Education, Health, and Human Sciences (CEHHS)

A college-wide Graduate Student Research Colloquium is held each spring to allow graduate students an opportunity to showcase their research. All programs have opportunities for students to put their education into practice in settings outside of the university. Examples include: nutrition students in the dietetic internship, sport management students in sports industry placements, and teacher education students in local schools. Programs have a variety of ways that faculty engage with students in research. Some of this work is one-on-one but often research groups are formed. In addition to traditional courses where research is explored, many programs hold regular journal clubs and/or research meetings of graduate students and faculty members. All curricula have research components. The specific requirements vary across programs. Doctoral programs set expectations that students present at professional meetings and publish their research in professional journals.

College of Engineering (COE)

UT's association with Oak Ridge National Laboratories (ORNL) provides graduate students with access to ORNL's research facilities and opportunities to join research teams composed of ORNL personnel and COE faculty.

College of Law (COL)

Students work on four student-edited law reviews, publishing scholarship of lawyers and law professors from the United States and abroad. Students also participate in numerous inter-scholastic moot court competitions and two internal competitions. Clinical courses and faculty-led externships provide supervised practice experience in a variety of settings. Through the UT Pro Bono program, many students volunteer their time to provide legal services to people who otherwise could not afford them. Students are paired with mentors who are practicing attorneys and the Career Services office offers numerous programs throughout the year on issues of professional development.

College of Nursing (CON)

On-going engagement with nursing and inter-professional research is facilitated through student involvement with multiple research teams housed in the Center for Health Sciences Research. Doctoral colloquia allow both faculty and student presentation of on-going projects while preparing students for either capstone projects [DNP] or dissertation studies [PhD]. The Center also provides GRA opportunities. A summer "research camp" is held annually to provide students the opportunity to meet/learn from experts in methodology.

Students completing clinical practica required for post-graduation certification examinations work in a variety of primary and acute care settings with selected preceptors. Students are encouraged to submit selected work from courses to local and regional conferences [such as Southern Nursing Research Society]. Since doctoral programs are offered primarily on-line with scheduled on-site visits, faculty members participate in on-going professional development aimed at nurturing a “community of scholars” with distance students.

College of Social Work (COSW)

All PhD students are assigned to a faculty member who provides research mentorship. Students regularly publish data-based research papers with their faculty mentor prior to initiating their dissertation research. PhD students are funded to attend professional conferences and may request funding for workshops, trainings, and seminars related to their area of research focus. PhD students often participate in grant-writing workshops and the summer grant-writing institute offered through the UT Office of Research.

Doctor of Social Work (DSW) students have two capstone experiences. The first is a critical literature review, and the second is a research project. Students work with a capstone committee to create two publishable papers.

Master of Science in Social Work (MSSW) students engage in experiential training in their field practicum, both in their first foundation year and their second concentration year. Field sites are geared toward their area of practice interest, particularly in their concentration year, and all students must develop expertise in the practice area of their concentration (either Management, Leadership and Community Practice; or Evidenced Based Interpersonal Practice), as well as gain skills in evaluating their own practice and using research evidence to guide their practice.

College of Veterinary Medicine (CVM)

Veterinary students are provided the opportunity to explore careers in research through participation in a hypothesis driven research project and group training activities. The program funds students considering a career in biomedical research and provide sufficient exposure during a 10-week period to facilitate their decision and gain an appreciation for the role of research in veterinary medicine. The objectives of the program are for pre-clinical veterinary students to receive hands-on research experience, develop an understanding of research careers and opportunities, develop a basic understanding of the scientific method and research design, develop skills in one or more research techniques, obtain experience creating and delivering a presentation, and to learn about ethical issues involved in research. A second year externship program is offered each summer. The intent of the program is to provide second year veterinary students opportunities to work directly with private veterinary practitioners, to learn from them, to appreciate their professional dedication and skills, and to obtain hands-on experience in primary care veterinary medicine. Students are expected to fully participate as a member of the veterinary practice. The emphasis of the clinical experience is on understanding common primary healthcare presentations in companion animals, gaining respect and appreciation for some of the underlying business decisions in private practice, and achieving competency in performing some technical skills considered basic to the practice of veterinary medicine.

Intercollegiate – Comparative & Experimental Medicine

Graduate Students in the Comparative and Experimental Medicine (CEM) program participate in a two-day, on campus, research symposium sponsored by the College of Veterinary Medicine, Tennessee AgResearch, UTK Office of Research and the UT Graduate

School. The symposium features student research talks, invited speakers and a presentation on postdoctoral opportunities. The CEM requires master's candidates to present once and PhD candidates to present twice prior to their defense. Students compete for travel awards, which provide them the opportunity to present their work at national meetings.

Intercollegiate – Energy Science & Engineering

The University of Tennessee and the Oak Ridge National Laboratory have established a unique interdisciplinary PhD program in the area of energy science and engineering. The Bredesen Center for Interdisciplinary Research and Graduate Education grants a doctoral degree in [Energy Science and Engineering](#) (ESE) major. In addition the Center offers concentration in ESE for students who are pursuing doctoral degrees in colleges of Arts and Sciences, Engineering, and Agricultural Sciences and Natural Resources.

Conclusion

The University of Tennessee, Knoxville, ensures that graduate curricula include knowledge of the literature as evidenced by the sample of course syllabi presented and the dissertations and theses. The dissertations and theses demonstrate that students engage in research and the colleges also encourage various other activities, as described, that attend to the appropriate professional practice and training experiences. Therefore, UT demonstrates compliance with this standard.

3.6.3 Educational Programs: Graduate/Post-Baccalaureate: Institutional credits for a graduate degree

At least one-third of credits toward a graduate or a post-baccalaureate professional degree are earned through instruction offered by the institution awarding the degree. (See Commission policy "Collaborative Academic Arrangements".)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution. The university offers master's, professional degrees, and doctoral level programs as well as graduate certificates. As a comprehensive, flagship campus, UT offers all the courses the faculty require for any given degree program, regardless of whether it is an undergraduate or graduate program. The graduate catalog, academic histories, and academic transcripts demonstrate that students are required to earn at least one-third of the semester credit hours from UT for the awarding of a post-baccalaureate professional or graduate degree.

Graduate Residence

The [2013-14 Graduate Catalog](#) defines the residence requirement for [master's](#), [specialist in education](#), and [doctoral](#) degrees.

- The majority of coursework for the master's degree must be completed at UT. This is clearly stated in the 2013-2014 Graduate Catalog in the [Transfer Credits](#) section. Furthermore, departmental/ programmatic graduate handbooks also provide guidance to students. For example,
 - the Department of Political Science requires at [least two-thirds](#) of the total semester credit hours counted toward a master's degree be taken at UT; this is stated in their departmental graduate handbook;
 - in the Master of Science in Communication and Information degree, up to [nine semester credit hours](#) of graduate coursework may be accepted for transfer into the program, with approval by the program advisor and the associate dean.
- Per policy as stipulated in the 2013-2014 Graduate Catalog, a maximum of 6 semester credit hours beyond the master's degree may be transferred to a [Specialist in Education](#) program.
- Although some transfer work taken before admission to the [doctoral program](#) may be used to meet degree requirements (with the approval of the student's doctoral committee), specific transfer courses are not placed on the university transcript. [Graduate](#) and [professional](#) student academic histories and transcripts will show any transfer course work that is applied to the degree program.

The graduate residence requirement is disseminated in the Graduate Catalog and graduate student handbooks, communicated through program advisors, directors of graduate studies, and Graduate School staff, and monitored by graduation specialists in the Graduate School using [Master's](#) and [Doctoral](#) Admission to Candidacy forms.

Collaborative Agreements

UT currently does not have any joint graduate or post-baccalaureate programs. There is one [dual degree program](#) with the University of Padua, which requires that at least one-third of the course work applied to the UT degree will be earned at the university.

Conclusion

The University of Tennessee, Knoxville (UT) offers all courses for its various graduate degree programs and is compliant with this standard.

3.6.4 Educational Programs: Graduate/Post-Baccalaureate: Post-baccalaureate program requirements

The institution defines and publishes requirements for its graduate and post-baccalaureate professional programs. These requirements conform to commonly accepted standards and practices for degree programs.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) defines and publishes the university and individual program requirements for its master's, doctoral, and professional degree programs in the online [Graduate Catalog](#), which is updated annually to reflect course and curriculum changes and additions and deletions of programs. Each program also maintains a Graduate Student Handbook outlining program and degree requirements (see list below of representative handbooks from across the breadth of disciplines offered by UT); the handbooks follow [guidelines](#) set by the Graduate School and are reviewed annually by the associate dean for graduate studies. Most departments also maintain degree requirement information on their respective websites as webpages or simply post the handbook. A few maintain hard-copy versions for distribution or on a departmental intranet.

Policies and procedures for academic program development and degree completion must undergo clearly defined approval processes which are defined by the Graduate Council and are overseen and implemented by the Graduate School. Proposals for new policies or revision of existing ones are reviewed by the [Academic Policy Committee](#) (APC) of the Graduate Council. The APC formulates a recommendation and takes a vote after reviewing national best practices and sharing findings with and gathering input from the advisory group of [Graduate Associate Deans](#) and the Graduate School executive staff, comprised of the dean and assistant and associate deans. The vote and recommendation of the APC is forwarded to the full Graduate Council for a vote and ratification.

The mission of the [Curriculum Committee](#) of the Graduate Council is *to ensure quality and consistency in the University's graduate programs by recommending the approval or denial of proposals for curricular changes submitted by the colleges*. Proposals for course changes (new, revised, deleted) or changes to existing program curricula or program requirements begin at the program/department level, move to the college curriculum committee, and are then sent to the Curriculum Committee of the Graduate Council for a vote. Proposals must follow [curricular submission guidelines](#) set by the Graduate Council, whereby they must fit a uniform format by which the committee members consider whether the proposed changes: 1) meet university standards and or expectations of accrediting bodies; 2) meet guidelines of the Graduate Council and the Tennessee Higher Education Commission; 3) are appropriate to program needs and consistent with Graduate Council policies; 4) provide sufficient rationale; 5) ensure that if they have an impact on other units, those units have been consulted; 6) demonstrate adequate resources to accommodate the changes; and 7) indicate clear learning outcomes and assessment measures. The vote and recommendations of the Curriculum Committee are then sent to and voted on by the full Graduate Council. Ratification of the changes is effective upon Faculty Senate approval of the Graduate Council minutes reflecting the approved curriculum changes.

Proposals for new degree programs must undergo a more robust process which includes, along with review at all University levels as defined for course changes, review the Board of Trustees of the University of Tennessee System and finally, by the Tennessee Higher Education Commission (THEC). Substantive changes to academic units must be approved by THEC and Southern Association of Colleges and Schools Commission on Colleges (SACS COC). For new degree programs a letter of intent must be reviewed and approved by THEC, followed by submission of a full proposal and visitation from external consultants, before a final report is provided for approval by the Board of Trustees and THEC. Detailed information about policies and procedures relating to proposing new degree programs is discussed in Comprehensive Standard [3.4.10 Responsibility for curriculum](#).

The [Graduate Catalog](#) gives the general [academic policies and requirements](#) that apply to all master's, doctoral, and professional degree programs. The policies not only govern procedures and requirements for degree completion but also define requirements for admission, retention, policies for administration of assistantships, and university/administrative policies (e.g., immunization, security, fees and financial assistance).

While the number of required graduate credit hours beyond the bachelor's degree varies among [master's degree programs](#), policy set by the Graduate Council calls for a minimum of 30 hours of graduate credit beyond the bachelor's degree. Two-thirds of the credit hours earned for the master's degree must be from courses at the 500-level or above. A final comprehensive examination is required: either a thesis or problems in lieu of thesis and an oral (or oral and written) exam or, for non-thesis students, a comprehensive written exam and capstone experience, such as an independent project, internship, exhibit, recital, or advanced seminar.

Candidates for the [doctoral degree](#) are required to complete a minimum of 24 hours of graduate credit beyond the master's degree or, if the master's degree is not required, 48 hours beyond the baccalaureate degree. At least 6 hours must be at the 600-level, not including hours earned in course 600, Doctoral Research and Dissertation. A minimum of 24 hours of course 600 Doctoral Research and Dissertation is required for those seeking the PhD. When the student is admitted, programs have the option of administering a diagnostic oral and/or written examination to determine the student's preparation for doctoral study; as the student progresses, programs may elect to give an oral and/or written qualifying examinations to test the student's preparedness for the more highly specialized study for completion of the doctoral program.

All doctoral students must successfully complete a comprehensive examination before admission to candidacy; the application for admission to candidacy outlines the courses to be used for the degree and must be approved by the Graduate School. PhD candidates must complete a dissertation that represents an original research project and pass a defense, or oral examination, on the work; students seeking professional doctorates must complete a culminating experience, such as an independent project or internship.

Representative Graduate Handbooks:

- College of Agricultural Sciences and Natural Resources
 - [Agricultural Leadership, Education and Communication](#)
 - [Entomology and Plant Pathology](#)
 - [Forestry, Wildlife and Fisheries](#)
- College of [Architecture and Design](#)

- College of Arts and Sciences
 - Anthropology
 - Art
 - Ecology and Evolutionary Biology
 - English
 - Geography
 - History
 - Modern Foreign Languages and Literatures
 - Physics and Astronomy
 - Political Science
- College of Business Administration
 - Economics
 - Management
 - Master of Business Administration Programs
- College of Communication and Information
- College of Education, Health and Human Sciences
 - Child and Family Studies
 - Education Leadership and Policy Studies
 - Kinesiology, Recreation and Sports Studies
 - Public Health
- College of Engineering
 - Chemical and Biomolecular Engineering
 - Civil and Environmental Engineering
 - Industrial and Systems Engineering
 - Mechanical, Aerospace and Biomedical Engineering
- College of Law
- College of Nursing
 - Nursing, MSN
 - Nursing, DNP
 - Nursing, PhD
- College of Social Work
 - Social Work, MSSW
 - Social Work, DSW
 - Social Work, PhD
- Intercollegiate Programs
 - Comparative and Experimental Medicine
 - Energy Science and Engineering

Conclusion

The University of Tennessee, Knoxville, demonstrates compliance with this standard by defining and publishing requirements for its graduate and post-baccalaureate professional programs in the online graduate catalog and made available on departmental websites. The Graduate School, Graduate Council, and graduate faculty ensure that requirements conform to accepted standards and practices.

3.7.1 Faculty: Faculty competence

The institution employs competent faculty members qualified to accomplish the mission and goals of the institution. When determining acceptable qualifications of its faculty, an institution gives primary consideration to the highest earned degree in the discipline. The institution also considers competence, effectiveness, and capacity, including, as appropriate, undergraduate and graduate degrees, related work experiences in the field, professional licensure and certifications, honors and awards, continuous documented excellence in teaching, or other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes. For all cases, the institution is responsible for justifying and documenting the qualifications of its faculty. (See *the Commission guidelines “Faculty Credentials.”*)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

As Tennessee’s flagship, land-grant, and only public RU/VH Carnegie institution, the University of Tennessee, Knoxville (UT) seeks to recruit and retain stellar faculty in order to carry out its mission of teaching, research, and engagement. In addition to the benefits it derives from being the state’s premier public institution of higher education, UT benefits from its proximity to Oak Ridge National Laboratory, which enables us to recruit world-class scientists and appoint joint faculty, thereby enhancing scientific collaborations and graduate study. The university employs competent faculty members qualified to accomplish its mission and goals.

Summary of the Hiring Process

The process for hiring all faculty is detailed in [UT Faculty Handbook, Sec. 3.1 through 3.6](#) for tenure line faculty and [Sec. 4.1 through 4.2](#) for non-tenure line faculty. The University of Tennessee System Board of Trustees is silent on the process for appointing faculty, thereby delegating that responsibility to the individual units within the system.

The *Faculty Handbook* accords a major role in recruitment and appointment to the tenure-line faculty members of the academic unit where the appointment is to be made. In this way, experts in the discipline vet each appointment, thereby assuring that all appointments meet or exceed minimum qualifications for the position. The faculty recommendation for appointment, which takes the form of a vote, is reviewed and approved or rejected by the department head, the dean of the appropriate college, and the provost.

Departments are required to retain all records that substantiate information contained in the official UT records. Such records include copies of the [Request to Search](#), the [Search Exemption](#) form (if applicable), the [Narrative Summary](#) materials (includes such things as the members of the search committee, recruitment and advertisement efforts, primary and alternate candidates, and supporting documentation), and the [Request to Make an Offer](#) form, and any other information collected during the search, such as candidate files, returned [EEO Self-Identification forms](#) (as applicable), and records of scoring or selection. Records must be kept for ten calendar years after the effective date of appointment of an individual to the position. These records may be sent to Records Management to be held for the required period, or may be maintained in departmental files.

Records of faculty searches are maintained in the Office of Equity and Diversity (OED) and in the department office. OED's website gives directions to departments on which [records](#) must be kept and for how long. The OED website also contains step-by-step instructions for searching as well as useful links, including a link to a printed copy of the UT [Search Procedures Manual](#).

Determination of Competence

Hiring Tenure-Line Faculty (Process)

The hiring process at UT is based upon the principles of shared governance and professional self-regulation. The search process begins when the Office of the Provost issues a request in late May to the colleges to submit their plans for recruiting and appointing tenure-line faculty during the coming academic year, usually with appointment to come in the following year. Upon the provost's approval of the plans, the colleges or their departments begin the search process. The search process is composed typically of the following stages:

- Stage 1: Request to search: The head seeks recommendations from the faculty for the constitution of a search committee and appoints the committee after reviewing the recommendations and in accord with the bylaws of the department and the college. The committee is responsible for drafting a position description that contains minimum and desired qualifications. The department head, dean, provost, and Office of Equity and Diversity (OED) review all documents submitted with the Request to Search form. See *Faculty Handbook*, 3.1 "Process for appointment of new faculty to tenure-track positions"
- Stage 2: Recruitment and initial screening: Upon approval of the search by the Offices of the Provost and Equity and Diversity, an advertisement is posted in national commercial and professional venues. In addition to advertising the position in all appropriate digital and print venues, members of the search committee are encouraged to recruit candidates by personal contacts with other disciplinary colleagues. Because UT believes that diversity enhances the educational process, special encouragement is given to amassing a diverse applicant pool, where diversity is broadly construed. The committee members screen applications and submit a "narrative summary" of the principal candidates, who will be invited to campus for interviews, as well as a list of alternate candidates, who could be invited. This narrative summary contains an account of the strengths and weaknesses and the curriculum vitae of the principal and alternate candidates, thereby ensuring that all candidates meet the advertised minimum qualifications. This summary is reviewed by the department head, dean, provost, and Office of Equity and Diversity.
- Stage 3: Campus visit and selection: Once the narrative summary is approved, all principal candidates for tenure-line faculty positions are invited to campus. During the campus visit, the candidate usually meets with the department head, search committee, faculty, and other interested groups. The purpose of the campus visit is to give the tenure-line faculty in the hiring unit the opportunity to hear the candidate's presentation of his or her scholarship and to engage in questions and answers relative to all aspects of the faculty position. According to the UT *Faculty Handbook*, appointment requires a positive vote of the tenure-line faculty. What constitutes a positive vote is determined by the bylaws of the hiring department. Some departments require a two-thirds vote of the tenure-line faculty; others require a simple majority. Although the department head is not bound by the vote of the tenure-line faculty, instances where the head goes against the faculty recommendation are rare. When such an instance occurs, moreover, the faculty have the right to meet with the dean and the provost to discuss the department head's decision. Recommendations for faculty appointment go through the same approval

process as the other stages of the hiring process: the request is made by the department head; the dean, provost, and Office of Equity and Diversity review the process and approve or reject the request.

- **Stage 4: Appointment:** Binding offers of employment are made by the Chief Academic Officer (Provost), and are contingent upon the successful completion of a background check and the receipt of an official transcript from the institution that bestowed the terminal degree upon the candidate. The transcript is scanned and stored in UT's personnel management system (SAP-IRIS).

Hiring Tenure-Line Faculty (qualifications)

In the overwhelming majority of cases, the minimum qualification for appointment to a tenure-line position is the terminal degree for the discipline. In the rare situation where the candidate who is deemed best for the position does not possess the terminal degree, UT has a provision for the candidate to begin employment off the tenure-track, as an *instructor*, a title that is reserved exclusively for new faculty members who have not yet completed all requirements for the terminal degree. An instructor has one year to complete all requirements. At the end of the year, if the instructor has not completed all requirements, she or he is terminated.

There are even rarer situations where a candidate is appointed as an assistant professor on the tenure-track. In such situations, the dean is required to justify the appointment to the provost. Such exceptions, which are again very rare, have happened in our Fine Arts faculty, where a faculty member may have corresponding professional experience. In such situations, as well, the faculty member is usually in studio classes, and the teaching of that faculty member is closely monitored at the outset.

Hiring Non-tenure-line Faculty (process)

The principles underlying the policies and procedures for employing tenure-line faculty are also in effect for hiring non-tenure-line faculty. Shared governance in the form of determination of competence by the tenured faculty within the unit is the basis for hiring non-tenure-track faculty as well. The difference is one of degree. The hiring of tenure-track instructional faculty, for example (lecturer, clinical, and professor of practice faculty), is usually delegated to an office within the hiring unit, typically the associate head or director of the program. In our Department of English, for example, which hires a large number of lecturers, the associate head chairs a lecturer hiring committee, which reviews applications, interviews applicants, and recommends appointment to the associate head. The on-boarding process is the same as for tenure-line faculty: appointment is contingent upon satisfactory completion of the background check and receipt of an official transcript from the institution that granted the terminal or last degree earned.

Hiring Non-tenure-line Faculty (qualifications)

The hiring unit determines the qualifications required for non-tenure-line faculty. In some units, for example where the lecturers are hired to teach introductory courses that are also taught by Graduate Teaching Associates, a master's degree is considered adequate. These faculty undergo the same supervision and evaluation as those with terminal degrees. In the case of non-tenure-track faculty, peer evaluation usually occurs in the first year of employment.

Graduate Teaching Associates

Graduate students who have completed 18 credit hours in the discipline may be appointed as instructors of record. This is a common practice, for example, in English, Math, Modern Foreign Languages and Literatures, and Philosophy. In these cases, a teaching appointment is considered an integral component of their graduate training. Each department has its own

process whereby graduate students are given teaching assignments. Typically, the department's graduate committee or graduate studies director oversees the process. Their thesis or dissertation supervisor, the coordinator of the program in which they teach, or a member of the department who has been delegated to review graduate student teaching may evaluate GTA's.

Teaching Assignments

Teaching assignments are made by the administration of the department that offers the courses. The provost delegates responsibility for determining qualifications to the department head, who may, in turn, further delegate such responsibility to an associate head or director of graduate studies. These administrators act on behalf of the department head and with the departmental faculty, as stipulated in the *Faculty Handbook*, [Sec. 1.4.2](#). Department heads monitor the quality of instruction and thus the effectiveness of the instructor through review of peer and student assessment of teaching. Department heads receive copies of mandatory student evaluations, which are required of all instructors and in all classes. Peer evaluation is required for promotion and tenure processes and in instances where the department head has received indication that the instructor has not performed in a manner so as to earn the confidence of the students, as reflected in their end-of-term assessment of instruction.

The process of making teaching assignments varies. In some units, especially those with multiple concentrations, the department head delegates the responsibility for making assignments to the members of the concentration, under the presumption that they are best qualified to know who is able to teach the subject and are most interested in assuring the quality of instruction in their concentration. Committee assignments are reviewed by the department head, who has the final say in the assignment.

Courses at the 600-level (PhD-level) are taught by faculty who have been approved by the colleges or by departments, where the colleges have delegated the responsibility of determining appropriateness to the departments. All departments/colleges are required to have a statement of criteria used in determining eligibility to teach at the 600-level ([example](#)).

The Office of the Provost sends out an email to all department heads and deans, prior to the fourteenth day of instruction, reminding them to review the official record of assignments in our student information system (Banner) to make sure that they are accurate. In this way, the dean and provost are able to monitor assignments in the event that concerns are raised by faculty within the departments or students.

Exceptions to the Above Teaching Assignment Procedures

Business Administration 100: *Approaches to the College of Business Administration* (1 credit hour): BUAD 100 focuses on introducing students into the College of Business Administration. It emphasizes academic and career planning, college success strategies, and professional development. Instructors are predominately College of Business Administration (CBA) academic advisors. Professional staff from the Career Services Office and the Programs Abroad Office, who work with CBA students in their regular duties, may also teach sections of BUAD. The Office of Undergraduate Programs in the CBA conduct training sessions for instructors to help ensure they understand the student learning outcomes for the course. The Director of Undergraduate Programs also reviews credentials to ensure the instructors have the appropriate experience and a master's degree.

First Year Studies 100, 101, and 129: The primary courses offered by First-Year Studies, FYS 100, FYS 101, and FYS 129, credential and train instructors through three different processes.

FYS 100: *The Volunteer Connection* (0 credit hours) is primarily an online course that serves as an extension of orientation and a curricular home for the first-year common reading program. Instructional content delivery and grading is overseen by the Director of First-Year Studies with support of the First-Year Studies staff. The final component of FYS 100 is an in-person discussion on the common reading book conducted by a UT Discussion Leader. All Discussion Leaders are full-time University of Tennessee faculty and staff. Each Discussion Leader attends a two-hour workshop on how to facilitate discussion on the selected book.

FYS 101: *The UT Experience* (1 credit hour) is an in-person course on student success taught by full-time UT staff or faculty. All FYS 101 instructors must have an earned master's degree from an accredited university. FYS 101 instructors must attend a half-day workshop on course curriculum and pedagogy.

FYS 129: *First-Year Seminar* (1 credit hour) is a topic-based, in-person course designed to engage students in learning in a small setting with a tenure-line faculty member. All FYS 129 instructors are tenured or tenure-track faculty. The Director of First-Year Studies chooses offerings after a review of proposals. Each proposal is required to present a description of the course content and design.

University Honors 101: *Chancellor's Honors First-Year Seminar* (1 credit hour): UNHO 101 is a fall course, typically limited to 22 students and required of all first-year participants in the Chancellor's Honors Program (CHP). Topics vary, and are chosen by instructors. Instructors are solicited through an open application process. Although most instructors are faculty, occasionally, full-time staff volunteer to teach UNHO sections. Staff members, if chosen, must demonstrate the appropriate educational and experiential background for the proposed topic. Faculty members volunteering for the first time submit an application that describes the proposed topic and a copy of their curriculum vitae. University Honors Staff review applications based on interesting and engaging topics that are focused enough for a 1-hour course yet broad enough for a general audience of first-year students. Faculty members who propose a topic unrelated to their academic disciplines may be asked to provide additional information regarding qualifications for teaching the proposed topic. Returning and new instructors are required to attend one training meeting during the spring or the summer, in order to review how to best meet the goals for this course and about what to expect from first-semester honors students in a 1-hour course. Follow-up during the semester includes a class visit by an honors staff person and surveys of students.

Thesis, Dissertation, and Use of Facilities Courses: The Graduate School and the Office of the University Registrar reserves course numbers 500, 502, and 600 for thesis, use of facilities, and dissertation, respectively. Department heads and directors of graduate studies have the responsibility to assign graduate students to faculty mentors for graduate studies. For approval to direct dissertations, the Graduate School requires faculty credentials be reviewed by a faculty committee of the Graduate Council. The procedure to obtain [approval to direct dissertations](#) is posted at the Graduate School and Graduate Council websites. There is an expectation that the faculty member has been actively involved with the supervision of research or creative activity and has an active program and record of scholarship. Only those nominations that are affirmed by the Credentials Committee are forwarded to the Graduate Council for approval. Once a faculty member reaches the rank of full professor, credential review occurs every 10 years.

Thesis (500) and Dissertation (600) hours are used when the student is actively completing the thesis or dissertation. When working on the research that will contribute to the thesis or dissertation, students may be enrolled in a course designated specifically to account for the time spent in conducting the research or other scholarly work. Use of facilities (502) is required for the student not otherwise registered during any semester when student uses university facilities and/or faculty time before degree is completed.

Roster

Faculty are credentialed primarily based on the highest degree earned in the appropriate discipline. The university also considers competence and experience, and additional coursework or degrees, in certain circumstances.

Certain courses have been excluded from the faculty roster listing:

- The courses listed above (BUAD100, FYS courses, UNHO101, thesis and dissertation) which are separately credentialed.
- Courses that fall into the categories of independent study, undergraduate research, internships, externships, field study, and co-ops involve one-on-one instruction, where a faculty member supervises a student based on the student's individual needs and the faculty member's disciplinary interests or qualifications. The instructor of record may be the faculty member or a staff member who enters grades on the instructors' behalf.
- In the College of Veterinary Medicine, most clinical and course rotations are taught by numerous qualified faculty or practitioners, each of whom submits a grade for their portion of the course. The final grade for the course is calculated and entered by an administrator.

Conclusion

The University of Tennessee, Knoxville has processes in place to ensure that persons hired to teach have the appropriate credentials as evidenced by the hiring process that ensures candidates have the appropriate terminal degrees or professional experience. Additionally, those faculty that direct doctoral dissertations undergo review by departmental faculty and the Graduate Council Credentials Committee.

Credentials

- [Faculty Roster Form](#)
 - o  Roster by Department
 - [Accounting & Information Management](#)
 - [Advertising & Public Relations](#)
 - [Africana Studies](#)
 - [Agricultural & Resource Economics](#)
 - [Agricultural Leadership, Education & Communications](#)
 - [Agricultural Sciences and Natural Resources](#)
 - [Air Force Aerospace Studies](#)
 - [Animal Science](#)

- Anthropology
- Architecture
- Art
- Aviation Systems Programs
- Biochemistry, Cellular & Molecular Biology
- Biology
- Biosystems Engineering & Soil Science
- Business Administration
- Chemical & Biomolecular Engineering
- Chemistry
- Child & Family Studies
- Civil & Environmental Engineering
- Classics
- College of Communication and Information
- College of Education, Health, and Human Sciences
- College of Engineering
- College of Law
- College of Nursing
- College of Social Work
- College of Veterinary Medicine
- Communication Studies
- Earth & Planetary Sciences
- Ecology & Evolutionary Biology
- Economics
- Educational Leadership & Policy Studies
- Educational Psychology & Counseling
- Electrical Engineering & Computer Science
- English
- Entomology & Plant Pathology
- Finance
- Food Science & Technology
- Forestry, Wildlife & Fisheries
- Geography
- History
- Industrial & Systems Engineering
- Information Sciences

- Interdisciplinary Programs
- Interior Design
- Journalism & Electronic Media
- Kinesiology, Recreation, & Sport Studies
- Management
- Marketing & Logistics
- Materials Science & Engineering
- Mathematics
- Mechanical, Aerospace & Biomedical Engineering
- Microbiology
- Military Science & Leadership
- Modern Foreign Languages & Literatures
- Music
- Nuclear Engineering
- Nutrition
- Philosophy
- Physics & Astronomy
- Plant Sciences
- Political Science
- Psychology
- Public Health
- Religious Studies
- Retail, Hospitality, & Tourism Management
- Sociology
- Statistics, Operations & Management Science
- Theatre
- Theory & Practice in Teacher Education

3.7.2 Faculty: Faculty evaluation

The institution regularly evaluates the effectiveness of each faculty member in accord with published criteria, regardless of contractual or tenured status.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Committed to academic excellence, the University of Tennessee, Knoxville (UT) evaluates the performance of all faculty annually, regardless of the type of appointment. The University of Tennessee System Board of Trustees' (UT System Board) document [Policies Governing Academic Freedom, Responsibility, and Tenure](#), requires that tenured and tenure-track faculty be evaluated annually in teaching, research or creative activity, and service. There is a unified faculty handbook that applies to the University of Tennessee, Knoxville (UT), that includes the University of Tennessee Space Institute (UTSI, a unit of UT Knoxville located in Tullahoma, Tenn.), and the University of Tennessee Institute of Agriculture (UTIA, a separate, non-accredited unit in the UT System with which the College of Agricultural Sciences and Natural Resources and the College of Veterinary Medicine are affiliated. The UTIA is headquartered in Knoxville, has statewide programming in AgResearch and UT Extension, and a separate Chancellor from that of the Knoxville campus; see Comprehensive Standard [3.13.4.b](#) for a description of the relationship between UT and UTIA). The *Faculty Handbook* provides for annual evaluation of non-tenure-track faculty ([Sec. 4.3](#)), even though Board Policy does not mandate such evaluation. Consistent with the mission of UT, evaluations are tailored to the different assignments of various faculty groups. And because of disciplinary differences, establishment of evaluation criteria is the purview of the faculty within the administrative unit (department, school, or college). Those criteria are required by the *Faculty Handbook* to be published in the bylaws of the units that are immediately responsible for performing the evaluations.

The various policies and procedures of the UT System Board, the University of Tennessee, Knoxville (including the University of Tennessee Space Institute) and the University of Tennessee Institute of Agriculture's College of Agricultural Sciences and Natural Resources and College of Veterinary Medicine demonstrate that faculty, regardless of contractual or tenured status, are evaluated on a regular basis.

Annual Performance Review of Tenured and Tenure-Track Faculty at UT: Tenured and tenure-track faculty at UT are evaluated annually by the head of the UT unit in which they hold their tenure. All faculty members at UTSI hold tenure in a UT department in Knoxville. The procedure for tenured faculty evaluation is described in the *Faculty Handbook* ([Sec. 3.8](#)), *Manual for Faculty Evaluation* ([Part II](#)), and college and department bylaws. The *Manual for Faculty Evaluation* lays out in detail the steps that faculty members and evaluators take in order to complete the evaluation. An [Online Calendar](#) provides due dates for UT reviews. All tenured faculty are required to upload an annual activity report to the Online Faculty Review System in order to facilitate the evaluation process and to ensure that all tenured and tenure-track faculty receive an evaluation. Tenured and tenure-track faculty evaluations are performed by the department head, and then reviewed by the dean of the college within which the department lies before being submitted to the provost or her proxy for final approval. Tenured and tenure-track faculty are evaluated in teaching, research / creative activity, service, and overall. For each of these categories, the faculty member is scored from 1 (unsatisfactory) to 5 (far exceeds expectations) as defined in [Sec.](#)

3.8.2 of the *Faculty Handbook*. The results of the evaluation are recorded on the [Faculty Annual Review Report](#). Although each faculty member is evaluated annually, our policies require a narrative evaluation once in three years. The department head writes a [narrative](#) and posts it to the Online Faculty Review System (Figure 3.7.2-1). The system tracks the last narrative evaluation so that the evaluator knows if a narrative is required. Faculty members have the right to respond to each step of the evaluation process.

Faculty members who score 1 (unsatisfactory) or 2 (needs improvement) are required to submit an improvement plan within thirty days of completion of the annual evaluation. The improvement plan becomes the basis for the following year's annual evaluation. Tenured faculty members whose performance is rated 1 for any two of five consecutive years or a combination of 2 or 1 for any three of five consecutive years are required to

undergo Cumulative Performance Review as provided in [Sec. 3.8.4](#) of the *Faculty Handbook*, a process that can result in termination of tenure (see *Manual for Faculty Evaluation*, [Appendix C](#)).

The Online Faculty Review System is the repository for all faculty annual evaluations; reviews provided are Tenured Annual [Review Report](#) (rating and signatures) and Annual [Review Narrative](#) (comments on performance); and Tenure-Track Annual [Review Report](#) and Annual [Review Narrative](#).

Annual Performance Review of Tenured Faculty at UTIA: Faculty in the College of Agricultural Sciences and Natural Resources are reviewed in the University of Tennessee Institute of Agriculture (UTIA) because most faculty hold joint appointments funded in part by the College of Agricultural Sciences and Natural Resources and UT AgResearch. Other faculty in the UTIA departments hold appointments in UT Extension or jointly between UT AgResearch and UT Extension. Such appointments are common in colleges of agriculture at public land-grant universities. All faculty in the College of Agricultural Sciences and Natural Resources, regardless of tenure-track or full-time status, are reviewed annually in accord with the *Faculty Handbook* and *Manual for Faculty Evaluation* as well as department and [UTIA Bylaws](#) regardless of tenure-track or full-time status. The College of Veterinary Medicine, which also resides within UTIA, follows the same procedures described above and their own [bylaws](#). A [calendar](#) posted to the UTIA website provides due dates for UTIA reviews. The annual reviews cover activities for the previous three years. All faculty members use a common [activity reporting form](#). Faculty members also submit a [list of their goals](#) for the forthcoming year. They upload their annual activities form and goals to a secure SharePoint site, where department heads, who provide an annual evaluation [narrative](#), then the dean, then the Chancellor of the UTIA review them. At each step of the review, faculty members have an opportunity to respond.

Annual Retention Review of Probationary (tenure-track) Faculty: In addition to an annual performance evaluation performed by the department head, probationary faculty members undergo an annual retention review. Procedures for the review are fully described

in the *Manual for Faculty Evaluation*, [Part I](#). The purpose of the annual retention review is to assist the tenure-track faculty member's professional development by providing both summative and formative feedback on performance with respect to departmental expectations for rank and criteria for promotion and tenure. Tenured faculty review the probationary member's progress, vote on retention, and submit the vote and a narrative report to the department head. The department head records the vote on the [Retention Review Report](#), recommends for or against retention, and forwards the report to the dean, who makes a recommendation and forwards it to the Provost for final action. A sample Tenure-Track [Retention Review](#) and [Retention Narrative](#) are included. An *enhanced retention review* occurs in the middle of the probationary period, usually in the third or fourth year of appointment. For the enhanced review, the probationary faculty member assembles a *pre-dossier*, a working version of the promotion and tenure dossier, which is made available to the tenured faculty on the Online Faculty Review System. A positive retention vote during the enhanced review indicates that, in the judgment of the tenured faculty, the probationary faculty member is satisfying expectations for rank and is making acceptable progress toward satisfying the criteria for promotion and tenure. Since 2012-13, retention reviews have been performed through the Online Faculty Review System.

Retention reviews at UTIA follow the same process as above, including the enhanced review in the third year of appointment.

Annual Performance Review of Lecturers: Non-tenure track faculty are also evaluated annually ([Sec. 4.3](#)). In 2011 the university established a career ladder for lecturers, the title that we give to our non-tenure-track instructional faculty. The guidelines for promotion, summary sheet, and faculty worksheet for lecturer promotion are attached. The career ladder for lecturers mirrors, to some extent, the career ladder for tenure-line faculty. Most non-tenure-track instructional faculty begin their employment at the rank of lecturer. After five years in rank, they are eligible to stand for promotion to senior lecturer. Having achieved that rank, within three to five years they may apply for promotion to distinguished lecturer. The promotion protocol for lecturers requires annual evaluation of lecturer performance. [Detailed instructions](#) for assembling a promotion dossier have been approved by the Faculty Senate and are awaiting Board approval. Upon Board approval, they will be inserted in the *Manual for Faculty Evaluation*. All promotion dossiers must include at least one peer evaluation of teaching. Written evaluations are kept in the departments and are assembled in the promotion dossier. Attached is a sample annual evaluation of a [non-tenure-track](#) lecturer.

Annual Performance Review of Other Non-Tenure-Track Faculty: At UT and UTIA, research faculty (except in unusual circumstances, research faculty do not provide instruction; they are evaluated by the laboratory supervisor), clinical faculty and faculty of practice also provide instruction in different formats. Ranks available to research faculty ([Sec. 4.2.2](#)), clinical faculty ([Sec. 4.2.3](#)) and faculty of practice ([Sec. 4.2.4](#)) are described in the *Faculty Handbook*. They are evaluated in the same manner as non-tenure-track lecturers. Promotion guidelines for research faculty, clinical faculty and faculty of practice are established by the colleges in which these faculty members hold their appointments.

Dissemination of Information about the Annual Evaluations: Because tenure-line faculty evaluations are processed through the Online Faculty Review System, tenure-line faculty are sent an email when the system opens at the beginning of the academic year reminding them that they are required to submit documentation for their annual evaluation. In addition, the Office of the Provost notifies deans and department heads each year that a new [Faculty Evaluation Calendar](#) has been posted online.

Evaluation of Teaching: All instructional faculty are required to administer to their classes the [Student Assessment of Instruction \(SAIS\)](#), which is managed through our Office of Institutional Research and Assessment. In addition, faculty who are standing for promotion are required to have peer evaluations of teaching in order to be considered at all. The Office of the Provost has collaborated with the Tennessee Teaching and Learning Center (TennTLC) to promote best practices in peer evaluation and the TennTLC hosts the UT [Peer Evaluation of Teaching Guide](#) for the Office of the Provost.

Link of Annual Evaluation to Financial Incentives: Merit increases are linked to the annual performance review. Faculty members who meet or exceed expectations are eligible for merit increases, when such are available. Faculty members who do not meet expectations are not eligible for merit increases, and faculty members whose performance has been judged to be unsatisfactory are ineligible for both merit increases and across-the-board raises approved for all state employees. Faculty members who are tenured and / or promoted receive an automatic 10% increase to their base salaries.

Conclusion

The various policies and procedures of the UT System Board, the University of Tennessee, Knoxville (including the University of Tennessee Space Institute) and the UTIA College of Agricultural Sciences and Natural Resources and College of Veterinary Medicine demonstrate that faculty, regardless of contractual or tenured status, are evaluated on a regular basis.

3.7.3 Faculty: Faculty development

The institution provides ongoing professional development of faculty as teachers, scholars, and practitioners.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Vice Provost for Faculty Affairs provides leadership in matters of faculty recruitment and retention, diversity and equity, faculty development and academic leadership development. The attention to faculty recruitment and retention is reflected directly in the Chancellor and Provost's Top 25/Vol Vision initiative. The University of Tennessee, Knoxville (UT) has a number of units dedicated to faculty development and these are described with their activities below. Evidence of "ongoing professional development" includes both policies and procedures for professional faculty development, as well as specific development activities for faculty in their teaching, research, and engagement endeavors. Through these activities, the UT demonstrates compliance.

Policies and Procedures for Faculty Development

Faculty Evaluation

Criteria for all Tenure and promotions decisions are spelled out in the *Manual for Faculty Evaluation* ([Part III, Sec. D](#)). This manual was developed with a collaborative effort that included the Faculty Senate Faculty Affairs Committee, the Office of the Provost, the Faculty Ombudsperson, the Council of Deans, and the Office of the General Counsel. It is meant to be read in conjunction with the *Faculty Handbook*. This manual applies to faculty at the University of Tennessee, Knoxville (that includes the University of Tennessee Space Institute) and the University of Tennessee Institute of Agriculture (UTIA) that is headquartered in Knoxville (see [CS 3.13.4.b](#) for a description of the relationship between UT and UTIA).

In addition, UT provides a non-tenure track process for promotion of rank. A lecturer is eligible for promotion to senior lecturer typically after a minimum of five years of regular (full-time) service at the rank of lecturer. A senior lecturer is eligible for promotion to distinguished lecturer typically after three to five years of regular (full-time) service at the rank of senior lecturer. Promotion in rank may also include the offer of a three or five-year term appointment. Expectations for each rank are noted in the [Lecturer Promotion Guidelines](#).

Faculty Development Leave (FDL)

Purpose: Granting of professional leave strengthens an institution's academic program by enhancing the faculty member's teaching effectiveness and scholarship. The major purpose is to provide regular opportunities for continued professional growth, reinvigorated intellectual achievement, and development of new skills and perspectives through study, research, writing, and training. A sound, well-administered professional leave policy is an important inducement in recruitment and retention of top quality faculty to major research universities.

A faculty member is awarded professional leave on the merits of a specific proposal for professional development. The award is an investment by the University in the expectation that the leave will enhance the faculty member's ability to contribute to the objectives of the University and to student development. The improvements sought during a professional leave should benefit the work of the faculty member, department, college, and the University. Only professional leave proposals that meet this criterion will be accepted and approved by the University. Information regarding eligibility, application, and related matters is posted to the Office of the Provost [website](#).

Eligibility: Full-time tenured faculty with a minimum of six years of campus service since the last leave.

Duration: Faculty members may elect one semester with full pay or a two semesters at half pay.

Notification of Opportunity: The Office of the Provost issues a call for applications at the beginning of fall semester. Information about the FDL program is posted on the website of the Office of the Provost.

Dissemination of Results: Faculty members granted an FDL are required to submit a report of activities undertaken during the leave.

Table [3.7.3-1](#) presents data on the number of faculty in each college who have participated in FDL over the past six academic years.

Professional Development Awards (PDA)

Purpose: PDAs provide grants of up to \$5,000 to purchase supplies needed for research, for travel to work in laboratories, libraries, or archives, or in a variety of other ways, so long as the outcome will be the professional development of the faculty member and the advancement of an identified research agenda. Except in rare instances, PDAs are not available for travel to conferences. Faculty seeking funds to support travel to present papers or make other presentations should consult their departmental and college offices and the Office of Research. PDAs may not be used for salary. Preference is given to faculty on nine-month appointments and/or without college support. Typically faculty in the Colleges of Agricultural Sciences and Natural Resources (CASNR) and Veterinary Medicine (CVM) are not eligible because they are on twelve-month appointments. Both have funds to support faculty development. Over the past five fiscal years, CASNR provided 19 faculty (approx. 110 faculty FTE) professional development awards.

Eligibility: Tenured and tenure-track faculty members at the rank of assistant professor or above. A faculty member may apply for a PDA at four times during the academic year: September 13, November 1, January 31, and April 4.

Notification of Opportunity: The Graduate School of the University of Tennessee awards PDAs. Each fall the Vice Provost and Dean of the Graduate School issues a [memo](#) to deans, directors, and department heads, announcing the availability of funds and the schedule for review of proposals. Information about PDAs is also posted on the [website](#) of the Graduate School.

See Table [3.7.3-2](#) for a breakdown by college and department for the number of faculty participating over the past five fiscal years.

Faculty Leadership Training

The University of Tennessee Leadership Program provides participants an opportunity to learn about best leadership practices and to better understand the various operational units on campus. The objectives of the program include building participants' self-awareness and strengthening their unique leadership capabilities; familiarizing them with the overall structure and function of higher education administration; and increasing the success rates of those who move into leadership roles at UTK.

The program begins with a 4 day retreat in May, where participants discuss developing an authentic leadership style, power and influence tactics, strategies for navigating change, building a personal brand, and maintaining work/life balance. Participants also complete a 360-degree appraisal of their leadership skills and learn about the history of UT and its structure. During the academic year, the group will meet once a month to practice negotiation and delegation skills, discuss leadership articles, review performance communication best practices, learn about the financial structure of UT, speak with campus administrators, and develop their leadership philosophy.

UT also participates in the Southeastern Conference (SEC) Academic Leadership Development Program. Each year four fellows are chosen to participate in this program. The fellows participate in workshops on their home campus and on the campuses of two SEC institutions. This program is intended to prepare faculty to take on leadership roles within their own or at other institutions.

Institutional Support of Faculty Development

Institutional support for faculty development is facilitated by several units on campus to include the Office of Research and Engagement, the Tennessee Teaching and Learning Center, the Office of Innovative Technology's Instructional Development Unit, the UT Libraries, Office of Human Resources, and the UT Humanities Center. These are described below in some detail. In addition, programs are also offered at the College and Unit levels. Examples of College programs are also described below. Communication to faculty regarding professional development opportunities occurs largely through targeted listservs, faculty development unit newsletters, event announcements, the campus e-newsletter, and through direct mail and print campaigns.

The **Office of Research and Engagement (ORE)** [Faculty Development Team](#) is a group of individuals that promote and develop faculty research and scholarly development at the University of Tennessee in support of its goal to become a Top 25 public research university. The team's approach is to be holistic and personalized, providing support in areas including but not limited to:

- grant-writing training particularly through the use of workshops
- individual grant proposal support, particularly in the area of proposal review
- foundation proposal training in the areas of creative arts, humanities, and social sciences
- strategic identification of funding availability and other research opportunities
- continued development and refinement of the UT research capacity catalog and other means of identifying faculty expertise
- management of limited submission grant programs
- identification and development of communities of scholarly collaborators
- intense focus on development and nominations of faculty for awards, fellowships, and society nominations for those used as a component in the ranking of universities by the Center for Measuring University Performance and the Association of American

Universities. Examples include NSF CAREER Awards, Presidential Early Career Awards, AAAS Fellows, Fulbright American Scholars, and Guggenheim Fellows. Other areas of interest include Sigma Xi and trans-disciplinary scholarship awards.

A detailed description is posted at the Office of Research and Engagement Faculty Development Team web page.

The **Tennessee Teaching and Learning Center** (TennTLC) offers a variety of professional development activities related to improvement of teaching and advancing knowledge of student learning. Please refer to the TennTLC [Annual Report](#). The cornerstone of faculty development is individual consultation with faculty. In 2013 the Tenn TLC provided over 300 hours of consultation service. The TennTLC also offers both unit based and university wide workshops (in total 53 workshops in 2013). These workshops are highly interactive to create peer-to-peer teaching and are often co-facilitated with faculty leaders. The Creative Teaching Grant Program provides oversight of 10 grants to faculty per year. These grants focus on action research and are cost-shared with the Colleges and the Office of Research and Engagement. The results of these grants are widely disseminated to other faculty through the TennTLC website, workshops, and other public media. Each year the TennTLC partners with OIT Instructional Services to offer the 3-week Summer Teaching Institute on Course Design. Twenty-five to 30 faculty members participate in this event annually over the past 3 years. The focus on this institute is on fully revising a course to include technology elements to include flipped, blended, and pure online delivery. Participants work in teams to also learn from others. UnCommon Teaching and Learning is an informal occasion for faculty to discuss their teaching research and practice with other interested faculty. For example, the spring semester of 2014 focused on service learning across disciplines. The program is sponsored by the TennTLC, The UT Libraries, and OIT's Instructional Support.

The TennTLC has a strong focus on new faculty and future faculty. In August of each year (past four years), the TennTLC offers a well-attended (n=50+) 3-day New Faculty Teaching Institute before the fall semester starts. This institute is available to both tenure and non-tenure track faculty members. In the 2013-2014 academic year, the TennTLC initiated a 3-semester Graduate Teaching Certificate Program focused on future faculty that will recruit 25 graduate students per semester; the first cohort has 26 graduate students.

The TennTLC also provides consultation services to units (e.g., program curriculum, program evaluation) as well as faculty federal and foundation grants.

The TennTLC provides an annual revision of the [Faculty Teaching Guide](#) intended for those new to university teaching and for those transitioning to UT from teaching positions elsewhere. Included in this guide is information regarding teaching and learning support centers, academic policies, advising information, classroom locations, and the evaluation of students.

The **Office of Information Technology** (OIT) offers a variety of [professional development activities](#) for faculty regarding the effective use of technology in teaching. A number of workshops are designed specifically to help faculty enhance teaching and strengthen instructional technology skills. Several annual grant programs are also available to all UT faculty. The Faculty First grant creates a long-term partnership between a faculty member and OIT staff members to develop online course components and online courses. This 3-year program adds 13 faculty members annually. Project RITE is an opportunity for UT faculty to design and conduct their own research to advance the assessment of technology-mediated student learning outcomes accommodating between two to five grants annually.

The OIT Faculty Assistance Program offers UT faculty help in the design and development of online instructional materials and course components. Approximately 125 faculty members take advantage of the Faculty Assistance program every year.

OIT also offers several ways for faculty to share their experiences in teaching with technologies. Throughout the year, OIT puts the spotlight on members of the UT teaching community to share innovative uses of technology in teaching. OIT also sponsors the OIT Faculty Fellow program, which assists in advancing exemplary teaching and enriching the experience of students by implementing projects that enhance the Fellow's departmental use of instructional technologies. Two are selected annually. OIT sponsors a monthly Community of Practice (CoP) brown-bag lunch where faculty are the presenters, sharing their experiences with technology in teaching. OIT also has a monthly electronic newsletter that promotes instructional technology and research activities to faculty. OIT Faculty Assistance program service offers UT instructors and teaching staff free assistance in the design and development of online instructional materials and course components. In the fall 2013, OIT offered at least 13 custom presentations and workshops for the faculty and GTAs of various departments including Center for Executive Education, Social Work, Nutrition, Modern Foreign Languages and Literatures, Communication Studies, Psychology, and others.

In 2011-2012 academic year, 112 individual faculty members and teaching staff received the OIT Instructional Development service -73 individuals contacted the HelpDesk and 44 used the Faculty Assistance request form. In the 2012-2013 academic year, 119 individuals received the OIT instructional development service 84 individuals contacted the HelpDesk and 58 used the Faculty Assistance request form. Data are not yet available for the 2013-2014 academic year. In addition, OIT offered training at the New Faculty Orientation, New Faculty Teaching Institute, the Graduate Teaching Assistant Institute, and the Summer Teaching Institute on Course Design.

The **UT Libraries** provides both identified funds and activities that support faculty development. The [New Faculty Funds](#) may be used to support teaching and research. They focus on strengthening library collections to support the specialized research areas of new faculty. Endowment funds are available for the first three years of their UT appointment. Subject librarians may be contacted to request one-time purchases.

The [Lindsay Young Endowment Fund](#) (research focused, but may support teaching) was established in 1989 by Lindsay Young *for special acquisitions in the humanities that will make a qualitative difference in the collection of the Libraries*. Nominations for the Lindsay Young Endowment Fund are gathered from humanities faculty and librarians each spring semester. Resources costing over \$1,000 are eligible; the endowment does not fund subscriptions. Selections for purchase are finalized in April from the nominations by a committee of humanities teaching faculty and librarians. To ensure balanced acquisitions, every humanities department / program is encouraged to submit nominations.

The [Open Publishing Support Fund](#) co-sponsored by the Libraries and the Office of Research and Engagement (research focused) is designed to improve access to research produced at the University of Tennessee and enables authors to retain their copyrights as well as accelerate the online availability of peer-reviewed scholarly journal articles generated by UT researchers. It also raises campus awareness about the benefits of open access and covers article processing charges (APCs) levied by peer-reviewed open access journals. The fund is a maximum of \$2500 per article.

The profession development activities offered by UT Libraries include extensive training and consultation to faculty in the uses of both [EndNote](#) and [Zotero](#) bibliographic management software. Librarians offer several regularly scheduled EndNote training sessions per semester as well as shorter, introductory sessions as requested, appended onto bibliographic sessions. UT faculty may also schedule course-specific EndNote training



sessions for their departments. The UT Libraries also provides one-on-one consultation in the use of EndNote and a variety of guides and documentation for users.

Each year, the UT Libraries offers or participates in sessions designed to inform faculty and instructors of opportunities and resources to support their teaching and research including: Best Practices in Teaching seminars, New Faculty Orientation, GTA Orientation, and more.

In 2012, as part of a collaboration of the UT Libraries, TennTLC, and Classroom Upgrade Committee, a Library classroom was renovated to serve as a test classroom for campus instructors wishing to teach in group and interactive technology settings. The classroom includes mobile furniture with NODE chairs, and equipment stack for media, an interactive SMART whiteboard as well as interactive classroom technologies that encourage blended and participatory learning. Well over 1000 UT instructors and professors have been trained in new pedagogies in that classroom.

While focused primarily on staff, the **Office of Human Resources'** classes and workshops are also open to faculty. A list of management and supervision courses offered is provided on their [webpage](#). The Office provides customized training to departments on these topics upon request.

Examples of College Support of Professional Development

The **College of Arts and Sciences** (A&S) offers numerous workshops for new faculty. They cover many aspects of faculty life, including procedural issues, interacting with the office or research, advising, etc. A&S also has an extensive series of workshops for new department heads that cover a wide variety of topics.

A&S, through the [University of Tennessee Humanities Center \(UTHC\)](#), offers a program of fellowships. UTHC provides full funding for release from all teaching duties for faculty fellows for one semester. In order to apply for a Humanities Center fellowship, a faculty member must first secure an additional one-semester leave, using any combination of already existing procedures, for the academic year of the fellowship. For successful applicants the Humanities Center itself will fund a second one-semester leave in order to create a two-semester fellowship.

To secure the prerequisite one-semester leave, faculty members may use or combine the following means: 1) faculty development leave; 2) banked courses, or 3) an already awarded chancellor's grant for faculty research. Detailed procedures for each of the three are available on the UTHC [website](#). Fellows are in residence at the UTHC and have weekly lunches at which they present their scholarship to the other scholars in residence. Research results are communicated through the usual venues of campus seminars, publication, and professional meetings.

The UTHC supports research seminars and workshops in order to foster interdisciplinary inquiry and exchange among the university's humanities Faculty. The research seminars meet several times each semester, and they are provided with a budget from which they can purchase scholarly texts and sponsor the visit of prominent scholars. Applications are taken in the spring of each year. Examples of current seminars include *Late Antiquity*, *Medieval Frontiers*, *Intellectual, Cultural, and Linguistic*; *Modern Germany and Central Europe*; *Nineteenth-Century British Studies*; *Religion in North America*; and *After Wars*.

In conjunction with the Office of Research, the UTHC supports an advisor that works one-on-one with humanities faculty who are applying for [external fellowships](#). The consultation between advisor and faculty member is intended to make grant applications more competitive. The advisor also helps faculty members identify appropriate funding opportunities. Research results are communicated through the usual venues of campus seminars, publication, and professional meetings.

The **College of Business Administration** (CBA) offers the annual Dean's Teaching and Learning Luncheon Series. This series includes topical panel discussions, faculty modeling their classroom techniques, external guest speakers, and topical conversations (four lunches annually). It is sponsored by the CBA Dean's Office.

The **College of Agricultural Sciences and Natural Resources** (CASNR) provides an annual full day workshop on teaching and learning as well as two creative teaching grants internally. This is funded by the CASNR Dean's Office and draws about 80 to 100 participants annually from across the UT campus.

The **College of Engineering** regularly sends interested faculty members to the American Society for Engineering Education (ASSE) to attend topical workshops on teaching and learning. This is funded through the Engineering Dean's office.

The **College of Communications and Information** (CCI) provides matching funds for faculty members to participate in the Office of Research and Engagement's Grant Writing Institute. This is funded through the CCI Dean's Office.

Conclusion

The above narrative and examples clearly demonstrate that it supports faculty development in many different ways and is in compliance with this standard.

3.7.4 Faculty: Academic freedom

The institution ensures adequate procedures for safeguarding and protecting academic freedom.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT), is the state's flagship, comprehensive land-grant research institution and is a member of the University of Tennessee System. The preamble to The University of Tennessee System Board of Trustees Policies Governing Academic Freedom, Responsibility and Tenure, adopted in March 2006, states, *The Board recognizes that freedom of inquiry and expression is indispensable for this purpose and believes that it and the administration and faculty should cooperate to that end. In The University's program of teaching, research and service, it is essential that the Board, administration and faculty cooperate voluntarily, each contributing freely, according to his or her qualifications, in a mutually beneficial exchange of information and ideas* (page 3). Furthermore, it contains the following provisions (pages 3 through 4):

1. The primary responsibility of a faculty member is to use the freedom of his or her office in an honest, courageous, and persistent effort to search out and communicate the truth that lies in the area of his or her competence.
2. A faculty member is entitled to full freedom in research and in publication of the results, subject to the adequate performance of his or her other academic duties, but research for pecuniary gain either within or beyond the scope of his or her employment must be based upon an understanding with The University administration, according to The University's policies (e.g., [Compensated Outside Services](#), [FI0125 Conflict of Interest](#)).
3. A faculty member should maintain a high level of personal integrity and professional competence, as demonstrated in teaching, research, and service. Academic freedom does not exempt a faculty member from an evaluation by colleagues and administration of his or her qualifications for continued membership in their society.
4. A faculty member is entitled to freedom in the classroom in discussing the subject, but the faculty member should use care in expressing personal views in the classroom and should be careful not to introduce controversial matters that have no relation to the subject taught, and especially matters in which he or she has no special competence or training and in which, therefore, the faculty member's views cannot claim the authority accorded his or her professional statements.
5. A faculty member should recognize that the right of academic freedom is enjoyed by all members of the academic community. He or she should be prepared at all times to support actively the right of the individual to freedom of research and communication as defined herein.
6. In addition to the normal responsibilities of a citizen of the state and nation, including the duty to uphold their Constitutions and obey their laws, a faculty member also should conduct himself or herself professionally with colleagues. He or she should strive to maintain the mutual respect and confidence of his or her colleagues. He or she should endeavor to understand the customs, traditions, and usages of the academic community.
7. When, as a citizen, a faculty member speaks outside the classroom or writes for publication, he or she should be free, as a citizen, to express his or her opinions.

Each faculty member should conduct himself or herself professionally, should be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make clear that he or she speaks for himself or herself and not for The University.

UT's policy on academic freedom is laid out in the Faculty Handbook, which applies to all faculty at the University of Tennessee, Knoxville, the University of Tennessee Institute of Agriculture, and the University of Tennessee Space Institute. This policy is articulated in Sec. 2.11 through 2.13 (page 13) of the Handbook, which stipulate in part:

2.11 Academic Freedom

Faculty members have the right to academic freedom and are expected to seek and to speak the truth as they perceive it on the basis of expertise and research in their discipline. Academic freedom is this right for faculty members to teach, research, create, and perform about their knowledge and understanding in their discipline. This freedom persists even when faculty members hold a minority view within their discipline and when others in and beyond the institution find these views contrary or objectionable. The right of academic freedom applies to all faculty members, including non-tenure track faculty members. A faculty member should recognize that the right of academic freedom is enjoyed by all members of the academic community. She or he should be prepared at all times to support actively the right of the individual to freedom of research and communication.

2.12 Tenure

Tenure is defined in board policy and protects academic freedom. ...

2.13 Freedom as a Citizen

When faculty members communicate as citizens on matters of public concern, they operate independently of the university. In this situation, faculty members have rights common to all citizens, including the rights to organize associations, join associations, participate in public meetings, run for and serve in government offices subject to applicable state and federal laws and university personnel policies, demonstrate, picket, and voice their opinions. To exercise their rights as citizens, faculty members must also respect the university by not claiming institutional support or involvement, and by not using institutional resources.

Tenure is defined in Board policy (page 5) as, *a principle that entitles a faculty member to continuation of his or her annual appointment until relinquishment or forfeiture of tenure or until termination of tenure for adequate cause, financial, exigency, or academic program discontinuance.*

Within the UT Faculty Senate, the function of protecting academic freedom is assigned primarily to the Appeals Committee, which addresses cases of administrative action taken against faculty members. The Senate Bylaws (Art. III, Sec. 2.B.) stipulate that, *The function of the Faculty Senate Appeals Committee is to gather evidence and make recommendations to the chief academic officer (or to other members of the campus administration, as described in the Faculty Handbook) for the disposition of cases within its jurisdiction.* The Faculty Senate Appeals Committee does not replace the role of faculty and administrators in making employment-related decisions. Instead, it is guided by the aim of maximizing the protection of the principles of academic freedom, due process, and fairness (see UT Faculty Handbook, Sec. 5.4).

The Bylaws also stipulate that at least one member of the committee must have legal expertise, that the committee shall have no *ex-officio* members, and that no member shall be an administrator at or above the level of department head. Details and procedures of the Faculty Senate appeals process are spelled out in [Section 5.4](#) of the Faculty Handbook.

Over the past 5 years the Faculty Senate Appeals Committee has heard several cases in which faculty have alleged violations of academic freedom. These allegations were secondary to claims of procedural violations. They usually had to do with faculty being pushed into courses or research areas to which they had objections. The Faculty Senate Appeals Committee did not support these claims, although it has supported claims of procedural violation and unfairness in the application of procedures.

UT also employs an ombudsperson, whose function is to mediate disputes involving faculty. The current faculty ombudsperson, Dr. Bill Nugent (Professor, College of Social Work, appointed in January 2010) reports no cases involving allegations concerning academic freedom during his tenure and is unaware of any cases in the recent past prior to his appointment.

Conclusion

The University of Tennessee, Knoxville has adequate procedures in place to safeguard and protect academic freedom and demonstrates compliance with this standard.

3.7.5 Faculty: Faculty role in governance

The institution publishes policies on the responsibility and authority of faculty in academic and governance matters.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Compliance is demonstrated by the public availability of: the [Faculty Handbook](#), the [bylaws](#) and records of the Faculty Senate and of the Graduate and Undergraduate Councils, the Chancellor's Advisory Groups [website](#), and the bylaws of the colleges and departments.

Responsibilities and authority of faculty in academic and governance matters are spelled out in the Faculty Handbook, which applies to all faculty at the University of Tennessee, Knoxville (UT), the University of Tennessee Institute of Agriculture (UTIA), and the University of Tennessee Space Institute (UTSI) (these faculties have oversight for the academic degrees awarded from the University of Tennessee, Knoxville). Its shared governance provisions are stated in [Sec. 1.5](#) that specifies shared governance from *in-depth conversation among faculty representatives and academic administrators that are in accordance with the following principles: communication..., faculty responsibility..., faculty representation in university decision-making..., timely consultation between faculty and administrators on academic matters; [and] peer nomination of faculty to serve on university committees.*

The UT Faculty Senate represents faculty at UT, the UTIA and the UTSI. The University of Tennessee System Board of Trustees has delegated to the UT Faculty Senate the authority, subject to the approval of the Chancellors of UT and UTIA, the UT System President, and the System Board itself, to determine general educational objectives and policies at UT and regulations related to those objectives, such as requirements for admission, retention, readmission, graduation, and honors for all degree and certificate programs. [Senators](#) are chosen by election by the faculty. The Senate's governing documents; membership; and reports, minutes and publications are all available online. A recent example of Faculty Senate lead shared governance are the changes to the *Faculty Handbook* that clearly state *faculty have the right to contribute to campus and university discourse...without fear of institutional discipline or restraint or other adverse employment action.* The following documents follow the resolution through Faculty Senate and UT System Board of Trustees approval. The new language will appear in the *2014-2015 Faculty Handbook*.

Faculty Senate Resolution, May 5, 2014, revisions to [Sec. 1.5 Shared Governance](#) and [Sec. 2.13 Freedom as a Citizen](#)

Faculty Senate Minutes, [May 5, 2014](#)

Academic Affairs and Student Success Committee of the Board of Trustees Agenda Item, [June 19, 2014](#)

UT System Board of Trustees Agenda Item, Consent Agenda, Item M, [June 19, 2014](#)

The UT Space Institute's [Faculty Assembly](#) provides a mechanism for carrying out the governance responsibilities of the Faculty Senate of The University of Tennessee, Knoxville, in the particular context of the Space Institute. Its committee memberships, bylaws, minutes are online.

The [UTIA](#) has a statewide mission with agriculture, natural resources, youth development/4-H, and faculty and consumer sciences outreach through UT Extension and research through UT AgResearch (Tennessee Agricultural Experiment Station), both federal and state partnerships established by the Hatch Act of 1897 and Smith-Lever Act of 1914. Because faculty have responsibilities in the College of Agricultural Sciences and Natural Resources and College of Veterinary Medicine, as well as UT Extension and AgResearch, and there are faculty and professional staff located across the State of Tennessee at research and education centers (RECs), the 95 county extension office, and three 4-H camps, the [UTIA Advisory Council](#) serves in a liaison role among faculty, staff, UT Faculty Senate representatives, UT Employee Relations Advisory Council representatives, and the Institute administration. The Council facilitates effective communication among the all parties at the Institute and makes recommendations to the Chancellor of the UT Institute of Agriculture. Faculty in the College of Agricultural Science and Natural Resources and College of Veterinary Medicine are presented on the UTIA Advisory Council, UT Faculty Senate, UT Undergraduate and Graduate Councils as affirmed in the [agreement](#) between the administration of the UTIA and UT. Membership, bylaws, minutes, reports, and other materials are available [online](#). The Chancellor for the UT Knoxville campus and the Chancellor for the UTIA meet on a regular basis.

The UT Graduate Council is a standing committee of the Faculty Senate, though its faculty members need not be Senators. Faculty members of the committee are elected by the faculty. It establishes standards for admission, retention, and graduation; assesses curricular revisions and new proposals for graduate programs; evaluates interdisciplinary, intercollegiate and international programs; approves individuals to direct doctoral dissertations; and considers new initiatives and other matters of policy pertaining to graduate programs. Its membership, bylaws and minutes are available online.

Like the Graduate Council, the UT Undergraduate Council is a standing committee of the Faculty Senate, whose faculty members, though not necessarily Senators, are elected by the faculty. It deals with standards for admission, retention, and graduation; with curricular matters in the undergraduate programs; with the development of interdisciplinary programs; with the approval of new programs and any other matters of educational policy pertaining to undergraduate programs. In addition the Council examines study abroad policies applicable to undergraduate students and serves as a liaison between faculty and campus offices that coordinate services designed to reach international education goals. It monitors policies for screening applicants for various awards and policies regarding receiving credit from programs abroad. Its membership, operating guidelines, and minutes are available online.

Chancellor's [Advisory Groups](#) are standing committees, composed of faculty, staff and students, that provide recommendations to the Chancellor on important campus issues. These are the Council for Diversity and Interculturalism; Committee on the Campus Environment; Commission for Blacks; Commission for Lesbian, Gay, Bisexual and Transgender People; Commission for Women; Student Life Council; Cultural Affairs Board; Recreation, Entertainment & Social Board; Student Publications Board; University Calendar Committee; Traffic, Parking and Transportation Committee; Technology Advisory Board; Residency Classification Committee; Scholarly Communications Committee; Academic Outreach Council; Master Plan Committee; and Space & Renovations Committee. The Chancellor's Advisory Groups webpage provides a brief description of each.

Each college has bylaws which stipulate college-specific policies on the responsibility and authority of faculty in academic and governance matters, and these are available online. College bylaws:

College of [Agricultural Sciences and Natural Resources](#)
College of [Architecture and Design](#)
College of [Arts and Sciences](#)
College of [Business Administration](#)
College of [Communication and Information](#)
College of [Education, Health and Human Sciences](#)
College of [Engineering](#)
College of [Law](#)
College of [Nursing](#)
College of [Social Work](#)
College of [Veterinary Medicine](#)
University [Libraries](#)

Similarly, each department also has bylaws which further stipulate department-specific policies on the responsibility and authority of faculty in academic and governance matters, and these, too, are available online or shared to faculty through departmental intranet. See, for example, the Bylaws of the Departments of [Biochemistry](#), [Cellular and Molecular Biology](#); [Civil and Environmental Engineering](#); and the [School of Art](#).

Conclusion

The University of Tennessee, Knoxville, Faculty Handbook publishes policies on the responsibility and authority of faculty in academic and governance matters. Through faculty participation, ensured through college and departmental bylaws, in Undergraduate and Graduate Councils and the Faculty Senate, UT demonstrates the faculty has direct responsibility and authority and thus, compliance with this standard.

3.8.1 Library and Other Learning Resources: Learning/information resources

The institution provides facilities and learning/information resources that are appropriate to support its teaching, research, and service mission.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) provides information and learning resources through innovative library services, rich collections, and expert library staff that support the campus [mission](#) to be *the preeminent research-based, land-grant university in the state and to embody the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement*. A system of libraries serves an educational community of approximately [27,000 undergraduate, graduate, and professional students](#), and [9800 faculty and staff](#), by providing state of the art facilities, digital and physical knowledge resources, virtual and in-person research service, liaison, and instruction, the latest in learning technologies, and a deep, rich collection that serves all disciplines and is accessible where ever our students, faculty and staff work. The University Libraries mission statement is *We empower BIG IDEAS*; their vision statement is *we are the campus main street and the crossroads for innovation, scholarship, and civility*" (see [Libraries Mission Statement](#)). The libraries strive through our facilities, online interfaces, and qualified staff to achieve our mission and vision statements on a daily basis.

Facilities

The UT Libraries administers four facilities on the Knoxville campus and one in Nashville: the [John C. Hodges \(Main\) Library](#), the [George F. Devine Music Library](#), the [Webster C. Pendergrass Agriculture Veterinary Medicine Library](#), and the James D. Hoskins Library (a closed, remote storage space) are on the main campus in Knoxville and the [Social Work Library](#) is in Nashville. Operating independently, with a separate administrative structure, are the [Joel A. Katz Law Library](#) in Knoxville ([autonomy memo](#)) and the [Helen and Arthur Mason Library](#) at the UT Space Institute in Tullahoma.

The **John C. Hodges (Main) Library** is a 350,000 square foot building opened in 1987 as a fully renovated expansion of the Hodges Undergraduate Library. In addition to housing general and specialized research collections and central user services, Hodges contains the Commons, Special Collections, Map Services, the Studio media production lab, One Stop Student Express Services (bursar, financial aid, and registration) and a variety of commercial operations (convenience store and coffee shop/café). The Hodges Library has 3668 seats configured in a variety of combinations that support technology, quiet study, collaborative group work, faculty and graduate study. Hodges has 40 group study rooms, six media classrooms, four instruction rooms, a 150-seat Auditorium, a practice-presentation room, four meeting rooms including a 50-seat conference room, three sound editing rooms, an adaptive equipment room, and two video production rooms. Each of the [seven floors](#) is zoned for quiet study or group study. There are 308 [graduate student carrels](#) and 196 enclosed [faculty studies](#) renewable on a yearly basis and with high occupancy rates. When classes are in session the Hodges Library is [open 24 hours continuously](#) from noon on Sunday through midnight on Friday and from 10:00 am to midnight on Saturday. The second floor of Hodges is the learning Commons, which has been developed in three

phases over the past nine years and is jointly operated by the University Libraries and the Office of Information Technology (OIT). Development of Phase 2 of the Commons included a \$1 million dollar renovation in 2007 and Phase 3 involved a \$2.8 million dollar renovation in 2012/13. It is the central point for library services, technology services, and academic support services. In the Commons, OIT operates

- [Lab Services](#) which provides over 250 desktop workstations throughout Hodges with access to a wide variety of network accessible software and printing in color and B&W.
- [Computer Support Services](#) and the Help Desk provide technical support for all students and faculty;
- [START](#) provides support for practice presentation rooms and video conferencing;
- [Digital Media Services](#) provides faculty a digitization service for instructional use.

All group rooms in the Commons are outfitted with monitors that connect to individual laptops, and the Commons has seven Media:scapes,[™] an innovative furniture/technology fixture that facilitates interactive group work. Library services in the learning Commons include

- research assistance in person, by text message, phone, chat, email, and appointment-based consultation (branded *AskUsNow*) delivered by Learning, Research, & Collections (LRC) Librarians and graduate students from the School of Information Sciences;
- information desk services that include public services such as media, circulation, reserves, interlibrary loan, and general customer assistance;
- the Studio, which offers equipment, software, and consultants to support digital media production.

Librarians and technical staff also provide scholar services, such as GIS, digital publishing, and data preservation and management. The library operates an equipment checkout service where students may borrow laptops, scanners, headphones, LCD projectors, digital cameras, digital recorders, and digital video cameras.

The Commons supports campus learning with classes on library research skills and media production skills. There are spaces provided for faculty, instructors, and graduate students to hold study sessions or meet with students for both formal and informal instruction. The University Libraries provides space to the Student Success Center (a support center that answers to the Office of the Provost), the Writing Lab (a unit within the Department of English, and typically staffed by graduate teaching assistants), the Math Tutoring Center (provided by the Department of Mathematics, and typically staffed by graduate teaching assistants), and the Stat Lab (provided by the Department of Business Analytics and Statistics, and typically staffed by graduate teaching assistants). Each offers tutoring services for limited hours in The Commons, in addition to the times they are opened in their home departments. These other services are discussed in [Comprehensive Standard 3.3.1.3](#).

For more information on instructional spaces in the UT Libraries see [Comprehensive Standard 3.8.2](#).

Special Collections and the Modern Political Archives: Rare books and frequently used manuscript materials are stored in Hodges Library on the first and third floors. Manuscript collections and University Archives materials are housed in compact shelving in the James D. Hoskins Library. Special Collections materials are processed in a secure designated

processing area on the first floor and in a conservation lab on the third floor. All of these collections are serviced through the Special Collections reading room located on the first floor of Hodges Library and open to all interested researchers Monday through Friday, 9:00 am to 5:30 pm. Special Collections also oversees the Modern Political Archives (MPA), which is housed on the second floor of the Howard H. Baker Center for Public Policy. It is open for research on Thursday afternoons, 1:00 to 5:00 pm, and by appointment. The MPA space consists of the reading room, collection storage area with compact shelving, and processing areas.

All Special Collections areas are equipped with magnetic locks and motion activated cameras. Access is restricted to authorized-library personnel only. Researchers visiting the reading room are permitted to bring laptops, scanners, and digital cameras. Equipment available in the reading room with Special Collections material includes a digital camera, camera stand, two desktop computers, two photocopiers, assorted book cradles, audio-cassette player, LP player, and VHS player. Students can also check out equipment from the Commons to use in the reading room. EAD (encoded archival description) - finding aids containing descriptions and inventories of manuscripts and University Archives collections are available. Many primary documents in Special Collections have been digitized and can be read on-line. Finding aids and digitized items are available through SCOUT (Special Collections Online at UT). Research assistance is provided in person and through a departmental email account. Additional online resources include subject-specific research guides and web tutorials. Instruction utilizing primary resources is provided at the request of instructors and in collaboration with LRC Librarians.

Map Services: [Map library services](#) were located on the ground floor of the Hodges Library and are in the process of relocating to Hoskins Library. Map Services provides research assistance and instruction for cartographic and geography related studies, and its collections and services are open to UT staff and students, as well as the general public. Map Services also provides resources needed to facilitate GIS use in teaching and research and is responsible for developing geospatial data collections (both commercial and public domain) needed by our primary clientele. Services are provided Monday through Friday 8:00 am to 6:00 pm, with the room remaining open for general study until midnight every evening. Desktop workstations and a variety of scanning, printing, and copying options for large maps is available.

James D. Hoskins Library: Built in 1931 the Hoskins Library formerly operated as the campus main library until the move in 1987 to the renovated John C. Hodges Library. The Libraries depend on Hoskins as a closed remote storage location for low use book, map, document, and microform collections and for our manuscript collections. The Libraries operates a Storage Reading Room in Hoskins that provides library patrons scheduled and walk-in access to storage materials. It is designed for on-site use when it is necessary to use a number of volumes of a print series, reels of microfilm or large sheets maps that are in the storage collection. The Storage Reading room is open Monday through Friday from noon to 4:00 pm or by appointment and also provides delivery, pick-up, and email scans of storage materials at no charge.

Webster C. Pendergrass Agriculture & Veterinary Medicine Library: [Pendergrass Library](#) occupies 16,000 square feet of the north wing of the College of Veterinary Medicine Teaching Hospital. This one-story building (constructed in 1974) features compact shelving for greater collection storage. The library is on the Agriculture Campus and provides tables and study carrel seating for 230 patrons. The "Alcove" provides flexible meeting and study space and includes a presentation area. Pendergrass also has five study rooms with tables and seating and fully equipped with computers, glass dry erase boards, paper pad easels,

and TV/VCRs, that may be reserved for group study. One group study room is equipped with a SmartBoard.

The Pendergrass Library houses most of the University Libraries' collections serving the University of Tennessee Institute of Agriculture (UTIA), which includes the College of Agricultural Sciences and Natural Resources, the College of Veterinary Medicine, UT AgResearch and UT Extension. The library offers onsite and virtual use of its resources through an active program of outreach, client services, and current technology. Pendergrass parallels most Hodges library services, including providing technology assistance, a practice presentation room, studio and commons computers and equipment, statistical consulting, Writing Center tutors, library reserve materials, research assistance and instruction. When classes are in session, the Pendergrass Library is open Monday through Thursday 7:30 to 12:00 am, Saturday 10:00 am to 6:00 pm , and Sunday 1:00 pm to 12:00 am.

George F. Devine Music Library: In August 2013, the George F. DeVine [Music Library](#) reopened in the recently completed Natalie L. Haslam Music Center. This 2,865 square foot branch library has new furnishings, compact shelving, 18 computers for student use, and seating for 34 users and is designed for study and research. Users may access and use musical materials in various print, audio, and video formats as well as the archival collection of UT School of Music recitals. When classes are in session the Music Library is open, 8:00 am to 10:00 pm Monday through Thursday, 8:00 am to 5:00 pm on Friday, and 2:00 pm to 10:00 pm on Sunday.

Social Work Library: The UT College of [Social Work Library](#) is located at the graduate school of the same name in Nashville. It serves roughly 200 students who come to the campus and a growing number of distance education students in a 2,800 sq. ft. facility. The students have access to six computers, a printer and a scanner. In addition to three large tables (four chairs to each table), the library has 18 carrels, as well as a lounging section for casual browsing. There is also a microfiche reader. We have added two virtual services over the past couple of years: writing assistance (via email) and a scan-on-demand service. When classes are in session the Social Work Library is open 8:00 am to 8:00pm Monday through Wednesday, 8:00 am to 4:30 pm Thursday and Friday, 11:00 am to 1 pm Saturday, and closed on Sunday.

UT Space Institute Library: The UT Space Institute (UTSI) is a graduate education and research institution located in Middle Tennessee adjacent to the U. S. Air Force Arnold Engineering Development Center in Tullahoma. UTSI was established in 1964 as part of The University of Tennessee and has become an internationally recognized institution for graduate study and research. The Helen and Arthur [Mason Library](#) provides support for UTSI's instructional mission, supporting study and research in engineering, physics, mathematics, and aviation systems. The Library moved to its present location in the early 1980's when the construction of the new wing was completed. The UTSI Library is staffed Monday through Friday from 8:00 am. to 5:00 pm, but the library doors remain open 24 hours a day for the convenience of library users.

Joel A. Katz Law Library: The Joel A. Katz [Law Library](#) has been under the administration of the College of Law since 1979 when it became autonomous from the University Library System (see [autonomy memo](#)). The current facility was occupied in 1997 when a major renovation and addition to the College of Law building was completed. The Law Library occupies 43,505 square feet on five floors in the new addition. There are 25 study rooms, in varying sizes to accommodate groups of two, four, or six, located on the first four floors of the law library. The 14 study rooms located on the third floor are reserved for [faculty and moot court teams](#). During exam periods, unreserved rooms on this floor are opened for the

use of the students. The study rooms on the ground and second floor can be reserved for limited times by law students. When not reserved, these study rooms are available for use by all students. There are 126 unreserved study carrels spread out on all five floors. Additional workspace and seating are available throughout the law library in various configurations—large and small tables and easy chairs. The law library has shelving for approximately 475,000 book volumes (400,000 in open stacks and 75,000 in compact shelving). In the summer of 2013, 10 of the 25 study rooms were renovated to better accommodate group study. TV monitors were installed in 12 study rooms and recording/monitor equipment was installed in five study rooms. The law library is accessible 24 hours a day by law students and law faculty. The Law Library is open to everyone 96 hours a week during the regular schedule and 83 hours a week on the abbreviated schedule. When classes are in session the library's regular schedule is 7:30 to 11:00 pm Monday through Thursday, 7:30 am to 8:00 pm Friday, 10:00 am to 6:00 pm Saturday, and 10:00 am - 11:00 pm Sunday.

Information Resources

The UT Libraries is a member of the Association of Research Libraries. According to the most recent data available in their annual publication, *2011-2012 ARL Statistics*, UT Libraries holds approximately [3,363,874 volumes](#) in its collections (2,331,789 titles). As [reported in the 2013-2014 UT Fact Book](#), the collections include 65,367 serial titles (print and electronic), 40,813 audio materials, 396,031 cartographic materials, 39,336 film/video materials, 3,262 CD/computer files, 13,343 graphics, and 2,673,491 microform items. The Libraries' had \$12,876,113 in total expenditures for library materials, ranking twentieth out of 69 ARL U.S. Public Universities and had \$11,059,805 in expenditures for ongoing resource purchases (e.g. subscriptions, annual license fees, etc.), ranking ninth out of ARL U.S. Public Universities and twenty-second overall (out of 113). Government publications are collected at federal and state levels through partnerships in the Federal Depository Library Program (1907) and the Tennessee Depository Program (1917). In addition, Map Services houses a collection of atlases, cartographic and geospatial related books, and over 300,000 sheet maps. The [collection development policy](#) for the Libraries of the UT defines the scope of existing collections, serves as a planning tool for future collection development, and provides a benchmark for measuring progress in the collection development and management program. The UT Libraries supports a robust local digitization initiative with digital collections that include materials of regional and global importance, such as the Great Smoky Mountains Regional Collections, Civil War collections, and the Children's Defense Fund records.

Special Collections includes approximately 60,000 rare books, 6,000 linear feet of manuscript collections, 4,000 linear feet of Modern Political Archives collections, 3,000 linear feet of University Archives collections and 3,200 University Archives volumes. The majority of the rare books date from the nineteenth century but include titles from as early as the fifteenth century. Manuscript collections include private papers, literary manuscripts, business records, political files, broadsides, photographs, film, sound recordings, digital files, maps, prints and ephemera primarily relating to Tennessee and the Southeast. The Modern Political Archives contains archival material representing the careers and legacies of select Tennessean members of the U.S. Congress, the federal judiciary, and presidential cabinets. The University Archives maintains the institutional legacy of the University and serves as the official repository for UT, with materials deposited on a voluntary basis.

The Pendergrass Agriculture and Veterinary Medicine [collection](#) includes over 160,000 books, journals, CD/DVDs, microforms, and data sets designed to support the needs of the UT Institute of Agriculture. Pendergrass Library is the state depository for agriculture publications through 1989 and has followed Government Printing Office guidelines to keep

publications of historical significance that were published prior to this date. The library emphasizes government documents collections relating to the U.S. Department of Agriculture and state Extension publications. Pendergrass has an extensive collection of soil surveys.

The DeVine Music Library [collection](#) is approximately 94,000 volumes, encompassing all formats of materials--books, scores, audio and visual recordings, periodicals, microforms--that support the instructional, research, and informational needs of scholars in the field of music. Many electronic resources and web-based databases specific to music are also available to members of the UT community. All curricular offerings and degree programs are considered in the Music Library [Collection Policy](#). Curriculum support material, such as school music texts and recordings, are collected. As new programs or courses have developed, emphasis has been directed to building the collection to support these areas.

The College of [Social Work Library](#) in Nashville holds a collection of roughly 20,000 books, over 150 DVDs and videotapes, a reserve collection and a reference collection. Additionally, the Social Work Library is increasing its e-book holdings. The collection emphasis is on social work, psychology and management. Nashville Social Work faculty and students also have access to the electronic journals, databases and other information resources of the UT Libraries in Knoxville.

The UT Space Institute [Mason Library](#) collection includes approximately 25,000 bound volumes, and 50,000 government and industry hard copy reports (with an additional 214,000 in microform). UTSI's faculty and students also have access to the electronic journals, databases and other information resources of the UT Libraries in Knoxville along with support from the Learning, Research, and Collections librarian for engineering, who acts as their subject liaison librarian and facilitates access to information resources.

UT employs a robust and well-supported interlibrary services operation to provide access to materials not readily available in our libraries' collections. UT uses state of the art interlibrary loan (ILL) networks and technologies to manage the service. These include ILLiad, OCLC (Online Computer Library Center) WorldShare, Docline/National Library of Medicine, and Rapid ILL to efficiently tap into research collections all across the globe. UT also uses Odyssey and BScan ILL (interlibrary loan) to efficiently send and receive electronic copies of articles. Our students and researchers benefit from the less than 1-day turn-around time they receive from our Rapid ILL lending partners. UT also [partners with library groups and research centers](#) to provide ready ILL access to primary and published research materials. For example, UT is a member of the Association of Southeastern Research Libraries, Center for Research Libraries, OCLC SHARES, and the Global Interlibrary Loan Framework (North American and Japan) giving us access to research collections at little or no additional cost. When we seek services beyond our regular partners, UT uses OCLC IFM (interlibrary loan fee management), invoicing, and procurement cards to purchase document delivery services from around the globe. UT purchases services from national libraries, foreign universities, and international publishers. UT interlibrary services also include a 'purchase on demand' service where UT will buy print and electronic books instead of borrowing. These materials are then added to the permanent collection. All services are provided at no charge to all UT faculty, students, and staff regardless of their physical location. In service to the state, UT provides no-cost loans and copies to all not-for-profit libraries in the state. For-profit institutions may purchase our services. UT also provides no cost interlibrary loans to Knox County public schools and to UT Institute of Agriculture field agents all across the state. UT is a [net lender](#) to all libraries in Tennessee.

The Joel A. Katz Law Library's [highest priority](#) is *to deliver outstanding innovative collections and services relevant to the law school curriculum and to the scholarship and service of the law faculty and law students. As a publicly supported institution, the law library strives, to the extent that resources permit, to meet the legal information needs of the university, the bench and bar, and the public.* The Law Library is a selective federal document depository. The collection is approximately 598,371 volumes including microform equivalents according to the [2013-2014 UT Factbook](#). According to [statistics](#) reported to the ABA for fiscal year 2013, the law library spent \$431,816 on print serials, \$41,533 on print monographs, and \$406,240 on electronic databases. The Law Library's [Collection Development Policy](#) defines the areas and formats that are collected. Electronic databases, when possible, are made available campus-wide. The Law Library and University Libraries have jointly purchased several databases to better serve our user bases.

Technology Services

The Libraries in partnership with the Office of Information Technology offers a technology-rich environment. All library facilities in the UT Libraries system furnish public workstations and networked printing (both wired and wireless) for students, faculty, and staff. A ubiquitous campus-wide wireless system provides access throughout all libraries for UT affiliates and visitors. All campus libraries provide laptops and other equipment for checkout. The UT Libraries offers both 3-D scanning in the Hodges Studio and 3-D printing in the Pendergrass Library.

Located in the Hodges Library Commons, the Studio provides assets to enable students to create a wide range of media projects. Editing workstations provide resources for video, design, audio, image manipulation, and app development, including software such as Adobe Creative Cloud, Final Cut Pro, ProTools, Logic, Camtasia, XCode, and more. These computer workstations are configured to allow students to input a wide range of mediums, furnished with large and small flatbed scanners, a 3D scanner, digital video decks, and analog converters for many video and audio mediums. Three sound studios provide space for recording with audio interfaces, microphones, and keyboards. Our video studio allows students to shoot or take pictures with lights, DSLR and video cameras, microphones, and backdrops. Circulating equipment enables students to create and capture media in remote locations. Students can check out DSLR cameras, digital video and still cameras, digital audio recorders, light kits, tripods, dollies, and GoPro waterproof sports cameras with head straps mount, chest harness mount, and suction mount. In addition to consultation services, the Studio's reference collection of tutorials, how-to books, and software manuals allow students to expand their skills on their own and provide a reference when questions arise while editing.

The Libraries works closely with OIT's Engineering Services to record and/or do live streaming of events and lectures from the Auditorium. In addition the libraries has a growing educational streaming video collection providing access to over 35,000 titles, licensed from two large and over 13 smaller vendors, searchable in the library's catalog or independently in vendors' databases. The majority of the content is in the Humanities and Social Science but it does cover all disciplines, most having captioning and/or scrolling transcripts. The files are either streamed from vendors' servers or the library's own Wowza server using JW Player (which requires no user download), files being both provided by the vendors or created in-house. Faculty and students on and off campus may view streaming video using the University's authentication system on any computer or on several different kinds of mobile devices. Instructors may also put the videos URL links or embed the videos into the Blackboard course management system for their class.

In addition to general computing services and access to campus-wide software, the Libraries offers specialized technology services for scholars and researchers. Our work supports campus scholarship through digital publishing, digitization of unique local content, and the creation and preservation of digital collections to support research and teaching. We create unique and durable access to digital content through the establishment of best practices and a standard. Examples of services are the open access digital repository called TRACE (Tennessee Research and Creative Exchange), where researchers may upload publications and their data preservation plans; geospatial information services; data management services; and digital production services that support both teaching and research. The Libraries offers digital publishing services through TRACE and Newfound Press, a digital imprint of the UT Libraries. A data services librarian collaborates with OIT Research Support unit to provide support for the research utilizing and creating data.

The Hodges Main library uses StackMap software, a service available to mobile devices and personal computers to help find collection items in the stacks. The program displays a map along with book information and location when someone searches for a book in the library's catalog. The map pinpoints not only the floor, but also the specific shelf range where a book is located.

The University of Tennessee Libraries is committed to providing equal access to services and technologies for all users. The Libraries has a librarian designated as the disabilities coordinator who collaborates with the campus Disability Services office to provide user assistance, adaptive furniture, hardware, and software for individuals with mobility issues and with hearing and vision impairments.

Technology services in the Law School and Law Library are under the direction of the Associate Dean for Library and Information Technology. The Technical Support Team provides technical assistance for all computers, peripherals, network servers, and software owned by the College of Law. The library offers and provides setup of an assortment of audio-visual equipment for classroom use. Examples of some of the items available include LCD projectors, laptop computers, video cameras (analog and digital), digital cameras, televisions, DVD and VHS players, ELMO's/document cameras, overhead projectors, and audio equipment. Equipment setup for video recording of mock negotiation sessions and client counseling can also be arranged. MediaSite and Video Conferencing equipment are located in the Library Conference Room which can be reserved by students to record their classroom or moot court presentations or participate in online seminars. TV monitors are installed in 12 of the study rooms and recording/monitor equipment is installed in 5 study rooms. These study rooms are available for student use. The Law Library uses the VolCard system and allots 1500 print copies to each student per academic year. Wireless and remote printing is available. A departmental computer lab is located on the ground floor beside a smaller training lab. New all-in-one copier/scanners/printers were installed in the library providing students and all patrons the ability to email or scan to a flash drive. ScanPro microform reader/scanner is available to provide accessibility to the Law Library's extensive microfiche collection.

Virtual Services

The UT Libraries offers a robust set of virtual services. Patrons can access most libraries services and digital collections from anywhere in the world. The Libraries provides virtual access to books, journals, databases and digital library collections through their UT-issued net ID and password on campus and by using it through a proxy server when off campus. [Electronic use statistics from 2011-2012 shows](#)

- the number of database log-ins at 2,711, 811,
- full text downloads of electronic journal articles at 6,792,092,
- virtual visits to the libraries' website at 4,434,377,
- the number of visits to the library catalog at 566,944, and
- the digital collections were accessed 2,776,117 times.

Students, faculty and staff also have access to e-resources offered through the statewide Tennessee Electronic Library (TEL), which is open to all residents of Tennessee. The UT Libraries is a federal digital depository library (FDLP) for US government documents, offering access to all digital publications and data that is part of the FDLP program.

Research assistance is provided online through *AskUsNow* a virtual reference service that provides communication through online chat, text messaging and email. Outreach and instructional services are available online through tutorials, LibGuides, chat, Centra, Blackboard, Skype, and video conferencing. The Libraries employ various social media outlets such as You Tube, Facebook, Twitter, Pinterest, blogs, RSS feeds, Instagram and iTunesU. Document delivery is offered online through interlibrary loan, Library Express, and Scan on demand. In addition to providing access to virtual services on the libraries website, there is a Library app on the campus mobile site.

Distance Education: The University Libraries provide document delivery services to remote UT students, faculty and staff as well as UT Institute of Agriculture agricultural extension agents and research faculty located off-campus. To qualify for distance education services, students must live 40 or more miles from Knoxville. Currently enrolled distance education students can access online resources and use virtual library services. Whenever possible, journal articles are scanned and delivered electronically through the Libraries Interlibrary Loan ILLiad system. Books and other materials are sent via FedEx at no charge. Librarians provide academic support for distance education faculty, students, and staff by finding information and recommending strategies for using the libraries' resources. Assistance and instruction is delivered via phone, e-mail, and online chat. Subject librarians assist with in-depth research questions through online consultation.

The Law Library offers virtual services through the library's website. These include virtual access to the library's collection of monographs, serials, and databases on campus and off campus via a proxy server. The Law Library uses the Innovative Interfaces automation system. In order to provide similar information to others, the Law Library subscribes to numerous legal databases available campus-wide. The Law Library uses the same virtual reference service, *AskUsNow*, as the Universities Libraries. The library is a selective digital depository for US government documents. Information monitors are located in the library and throughout the law school and include library information. The Law School has Facebook and Twitter accounts and the library posts information on these accounts. An app called Airpac is available for download from the library's website which provides library information and access to the catalog from mobile devices. Topical research guides, LibGuides, compiled by the reference librarians are also located on the website. Past exams, course syllabus, and course related pdf's are available on electronic course reserve by course name or professor. Materials may also be renewed online.

Assessment

[Assessment](#) of libraries services, spaces, and collections is key to the libraries strategic planning and goal of continuous improvement. We employ a variety of methods. For over a decade the UT Libraries has utilized the standardized library evaluation survey instrument

developed by the Association of Research Libraries called [LibQual](#). The survey was most recently administered in 2013.

On a rotational basis the UT Libraries conducts [library user surveys](#) and [usability testing](#) as additional means of evaluation. Formal faculty and student advisory groups (Deans Student Advisory group, Faculty Senate IT and Library Committee, Library Faculty reps group) are organized each year to provide feedback to the library administration. [Spontaneous informal meetings](#) over lunch are conducted with students and faculty to discuss ideas for library improvements. Suggestion boxes both physical and virtual collect user comments, questions, and suggestions. The UT Libraries is also a partner on the [LibValue, Return on Investment](#) grant with the UT Center for Information Studies in the School of Information Sciences. Valuable data regarding the relationship of the learning commons and library instruction to student success has been documented through this IMLS (Institute for Museum and Library Services) grant-funded project.

Among the improvements that have resulted from assessment activities include additional wireless printing stations, increased number of collaborative spaces for group work, quick print stations, quiet zones, additional laptops for check out, increased publicity on services, more food and drink options, more informal learning spaces, and specific resource acquisition, including digital and unique special collections. Survey data has been key in obtaining central funding for the learning Commons, facility improvements, and information resources.

For more information on UT Libraries Assessment see [Core Requirement 2.9](#) and [Comprehensive Standard 3.8.2](#).

The Law Library has utilized [various tools](#) for assessment and planning. The library faculty are currently revising the library's strategic plan that was last updated in 2010. Major policy changes and new initiatives are brought to the [Law School's Library Advisory Committee](#) for their input and guidance. Second and third-year students participated in an online survey in 2011 regarding their use of the Law Library and other information sources, their legal research skills, and legal research education. In 2010, [a Task Force](#), chaired by the Head of Public Services and composed of law students and staff, investigated the pros and cons of 24-hour access in the library. Based on their recommendation, a successful trial period was held in the spring of 2011 and the library went to 24-hour access for law students in November 2011. In 2012, the entering law school students were surveyed about the specific devices they bring to law school and their use of technology in academic settings. This survey will assist the staff in supporting, as well as planning for the support of, the technological needs of the students over the next three years.

Conclusion

The University of Tennessee, Knoxville, provides facilities and learning/information resources that are appropriate to support our teaching, research, and service mission. We provide collections of materials located at the John C. Hodges (Main) Library, Pendergrass Agriculture Veterinary Medicine Library, the Devine Music Library, and Hoskins Library in Knoxville, and the College of Social Work Library in Nashville. The University Libraries collaborate with the Katz Law Library located in Knoxville and the Mason Library located in Tullahoma at the UT Space Institute. Through electronic resources, interlibrary loan, and document delivery to students at a distance, library staff serve the needs of faculty, staff, and students wherever they are located. UT clearly demonstrates compliance with this standard.

3.8.2 Library and Other Learning Resources: Instruction of library use

The institution ensures that users have access to regular and timely instruction in the use of the library and other learning/information resources.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) Libraries consists of the John C. Hodges (Main) Library, the Webster C. Pendergrass Agricultural and Veterinary Medicine Library, the George F. DeVine Music Library, the James D. Hoskins Library, and the Social Work Library in Nashville, TN. Administered independently are the Joel A. Katz Law Library in Knoxville and the Helen and Arthur Mason Library at the UT Space Institute (UTSI) in Tullahoma. The UT Libraries ensures that users have regular and timely instruction in the use of library and other learning resources ranging from point-of-need assistance to formal classroom instruction. Detailed examples are described below.

The first line of library user instruction is point-of-need. The UT Libraries, including all branches, is open throughout the year with [subject librarians](#) and [library staff](#) providing assistance and instruction in the use of library and other information and technology resources. Instruction is provided via [AskUsNow](#): in-person consultation, classroom instruction, phone, email, [chat](#), online consultation, and texting services. The chat service is accessible from all Library web pages as well as on database pages from major vendors. Frequently asked questions (FAQ) [pages](#), tailored to user groups, are available from the UT Libraries website to answer common questions. Online guides and [tutorials](#) on the use of library materials, resources, and spaces are available via the Libraries' website, iTunesU, the Libraries' youtube channel, and [research guides](#). Online research guides, created by subject librarians, contain links to essential research databases and information sources along with instructions for making the best use of those resources. These guides contain discipline-specific instruction as well as course-specific content. Tutorials and guides may be accessed from desktop computers as well as mobile devices from our mobile site. Individual guides and tutorials may be placed in the Blackboard course management system by instructors for use by their students ([screenshot](#) of Library tutorial embedded in Blackboard).

The UT Libraries offers [formal instruction](#), at all user levels, to support teaching, research, and learning at the University of Tennessee and to expand the classroom experience. Subject liaisons provide expert consultation for students and researchers by walk-up and appointment. Classroom sessions ranging from basic information literacy, for first year students, to training in the tools of research, for faculty, are available by request via an [instruction form](#), by contacting a subject librarian, and through [open workshops](#). Orientations and tours are available by request as well as by campus-scheduled venues.

Instructional Services and Programming

The UT Libraries provided instruction and research consultation to over 66,325 people in the use of library and other learning resources in 2012 through classroom sessions and consultations. This number includes 52,617 consultations and 13,708 students participating in classroom instruction, with lower division undergraduates accounting for more than half

of the in-class participation. The number does not include orientation sessions for new students in which basic information about the UT Libraries is given to students and parents. Consultations are usually one-on-one or small group sessions focused on specific research projects. Library instruction sessions are typically tied to a specific academic course or curriculum and are prepared in consultation with course instructors. Types of sessions generally fall into the following categories:

- Orientation sessions and tours of the UT Libraries
- General Education sessions, typically to First Year Studies, English Composition I and II, and Communications Studies that teach information literacy concepts targeting academic integrity, how to avoid plagiarism, and the critical and evaluative use of information
- Media-based instruction including media literacy concepts, guidance on copyright, and hands-on software training serving all disciplines but with heavy use by the Art, English, and Journalism and Electronic Media Departments
- Advanced sessions on library research by discipline for upper division and graduate students
- The use of primary source materials including how to verify sources and locate evidence
- Specialized instruction in the use of bibliographic management tools and geospatial resources aimed at graduate students and faculty

Librarians carefully tailor classroom instruction in consultation with teaching faculty to ensure that content is appropriate to support the institutional teaching, research, and service mission of the UT ([Vol Vision](#)). General education sessions are crafted to support the University's [strategic goals](#) of addressing retention rates and years to graduation by teaching students skills that improve students' chances of success such as information and technology literacies.

Examples

First-Year Studies library instruction (FYS101) aims to acculturate students to resources and services available in the UT Libraries and the Learning Commons. [Learning outcomes](#) focus on getting help, locating services, and beginning a research project. These sessions are [assessed](#) via post-session surveys and instructor feedback.

Library instruction for First Year Composition (English 101 and 102) teaches students skills for historical, qualitative, primary, and secondary source research. For these sessions, [student learning outcomes](#) include: distinguishing between primary and secondary sources, creating effective searches for finding primary source materials, and conducting background research on topics. Sessions are tailored to specific topics chosen by the instructor and generally include hands-on work with Special Collections materials. Sessions are [assessed](#) via post-session surveys and instructor feedback.

Communications Studies Public Speaking (CMST 210) sections have an integrated library component with pre-, during, and post-session [student learning outcomes](#). The outcomes are part of the Communications Studies curriculum and include: conducting effective catalog and database searches; demonstrated methods for narrowing and broadening a search; identifying criteria for evaluating information sources; evaluating credible and scholarly sources. These sessions are [assessed](#) via pre-session assignments, in class polls, and a library session test administered in Blackboard, the course management system.

Library instruction in upper-division and graduate, discipline-based courses has been a mainstay of UT Libraries instructional offerings. Librarians work closely with instructors to tailor sessions to the needs of course-specific upper-division, graduate, and professional curricula. These courses teach students to use advanced research techniques to conduct literature reviews, citation analysis, and the practical application of research in their fields.

Examples

Librarians from the Agriculture and Veterinary Medicine campus teach third and fourth year Food Science students to use library resources to create plans for developing and marketing food products. Students use library resources and data to conduct research and develop their own documentation.

A business session for MBA students teaches students to conduct industry research based on case studies. Our Business librarian takes students through the entire process of approach, investigation, and reporting to create a marketing and business plan for their assignment.

A graduate English class combines research instruction with lessons on rare books and archival materials. Drawing heavily upon an Antiquarian Bible collection, our English Literature librarian discusses procedures for navigating Special Collections and handling rare and fragile materials. The librarian offers details about provenance, and contextualizes the books in terms of print culture and the book trade of the period. The students are shown appropriate digital collections and offered resources for secondary research.

For faculty, graduate students, and student researchers, the UT Libraries provides extensive training and consultation in the use of EndNote and Zotero bibliographic management software. Librarians offer several regularly scheduled EndNote training sessions per semester as well as shorter, introductory sessions as requested, appended onto bibliographic sessions. Students, staff, and faculty may also schedule course-specific EndNote training sessions for their departments. UT Librarians also provide one-on-one consultation in the use of EndNote and a variety of guides and documentation for users.

In support of the University's retention efforts, the Libraries collaborates with special campus programs to offer facilitated learning experiences encouraging at risk as well as honors students to take a more active role in their own learning. The University of Tennessee-Pellissippi State Community College (UT-PSCC) Bridge Program is a unique living and learning community designed to give students a seamless transition from the freshman year at PSCC to the sophomore year at UT. The Libraries provides a series of three classes integrated into the Bridge Curriculum that match learning outcomes of the Bridge Program and instructors. The classes are designed to acclimate students to the university by giving them the tools of scholarship: research skills, technology skills, and academic support. The classes have pre- and post-tests to assess learning.

The Haslam Scholars Program is an honors enrichment program in which top students learn as part of a community of student leaders through a series of integrated, interdisciplinary seminars and extracurricular experiences. The UT Libraries offers a two-part series of classes designed to teach advanced research skills to support thesis writing and innovative projects. Students are given online portfolios in the Trace: Tennessee Research and Creative Exchange institutional repository for showcasing their projects.

The UT Libraries has developed relationships with the Center for International Education and English Language Institute, reaching students who vary widely in class rank and English skills. The UT Libraries offers incoming students a tour of the library, followed by a short class session. This introduction to the library serves to acquaint international students to Library resources and to discuss differences in Libraries and ideas about scholarship in different countries. A second session is dedicated to building research skills using Library databases. One-on-one consultations with the students are offered as needed. Student and instructor feedback has been so positive that we have assigned significant liaison responsibilities for these areas to one of our subject librarians.

Online instruction at the UT Libraries supports blended courses, [distance education](#), point-of-need instruction, and continuing education. Tutorials on how to use the Libraries' catalog and databases are available alongside the resources themselves using a platform called [Guide on the Side](#). This same format is used to guide upper-division and graduate students through research tutorials in disciplines such as [Architecture](#) and [Engineering](#). A wide range of library tutorials on topics ranging from citing sources to conducting research in the health sciences are available via the Libraries' website, iTunesU, the Libraries' youtube channel, and research guides. The *Citing Sources* tutorial was integrated into the *First Year Studies 100: The Volunteer Connection* course taken by all entering freshmen at the University prior to arriving on campus for the fall semester. In two years, it has been viewed 10,451 times. Online consultation and instruction is offered for distance students, particularly in professional programs. Selected in-person instruction sessions are streamed and recorded for later playback.

UT is also committed to nurturing informal learning environments and activities that enhance the classroom experience. The Libraries offers co-curricular programs that teach students how to make the best use of library resources to be successful at the University. The [Free Range Video Contest](#) offers students the opportunity to create videos on a topic of importance to the University such as sustainability or civility. Faculty, staff, and student judges, from across the university, vote on best videos at a public screening in the Library auditorium. Other events include: [Writers in the Library](#); various [film series](#) that include The Film Movement Series, International Film Series, and Documentaries in the Library; the Common Ground Book Club; and various other events aimed at bringing students and faculty together to discuss learning outside the classroom.

Instructional Spaces

The UT Libraries provides specialized classrooms and learning spaces for instruction in library and other learning resources. There are three dedicated Library classrooms for the delivery of information, technology, and media literacy instruction as well as sessions on advanced research skills. Clickers are available in the classrooms to provide interactivity and quick assessment options. The rooms are equipped to accommodate multiple modes of learning and include:

1. a room with mobile furniture (NODE chairs) to support group work along with projection, laptops for each student, an instructor Sympodium, and multiple media inputs;
2. a room with wired tables, front projection, laptops for each student, an instructor Sympodium, and multiple media inputs;
3. a flexible classroom that accommodates traditional lecture-style instruction as well as mobile, interactive instruction containing a Sympodium, front projection, monitors around the room to facilitate group work, Tidebreak ClassSpot software, laptops for each student, document camera, and multiple media inputs.

The UT Libraries supports instructor use of Library materials for teaching by offering six viewing classrooms that provide space for instructors using media or other library resources as part of their class sessions. Viewing rooms are equipped with an instructor's podium, front projection, wireless access, all-region DVD players and standard VHS players. A variety of room capacities and equipment configurations support media viewing as well as group work. One such room was renovated as part of a collaboration of the UT Libraries, Tennessee Teaching and Learning Center (Tenn TLC), and Classroom Upgrade Committee to serve as a [test classroom](#) for campus instructors wishing to teach in group and interactive technology settings. The classroom includes mobile furniture with NODE chairs, an equipment stack for media, an interactive SMART whiteboard as well as interactive classroom technologies that encourage blended and participatory learning. Well over 1000 UT instructors and professors have been trained in new pedagogies in that classroom.

The Hodges Library's Lindsay Young Auditorium seats approximately 180 and provides large screen front projection, a variety of microphone options for events and presentations, an HD projector, full sound system, multiple media playback options, and a MediaSite tracking camera system for recording and streaming events and classes. In addition to films and events, the auditorium is used as a place to record and conduct online instructional sessions for streaming or for use in tutorials.

The Practice Presentation Room (220-E, Commons North) provides students, with a place to practice presentations and conduct video conferences using a variety of presentation technologies. When not reserved for training or practice, this room is available on a first-come-first-served basis.

The UT Libraries provides UT students, staff, and faculty with spaces and services designed to facilitate teaching, learning, and research. There are group and individual study spaces including floors designated as quiet and group spaces. The Commons, a partnership between the UT Libraries and the Office of Information Technology (OIT), provides informal learning spaces on a twenty-four hour basis and is well used by students and instructors alike. In collaboration with the Office of Information Technology, the Libraries provides around 200 desktop computers in addition to 75 laptops and other devices available for checkout. Students and researchers have access to a wide range of print and online materials. Scanning and printing options are also available including large format and 3D scanning as well as color, black and white, and wireless printing.

The Studio, located in Hodges Library, is a media production lab. Open to UT students, staff, and faculty, the Studio provides computers, software and staff to assist users in the creation of media-enhanced educational projects.

Assessment and Evaluation of Instructional Activities and Spaces

Instructional and engagement activities are evaluated using a variety of formal, informal, and statistical methods. All first year students taking the *Citing Sources* tutorial through *First Year Studies 100: The Volunteer Connection* must complete a test on the tutorial, integrated into the Blackboard course management system, to receive credit. In support of the University's mission and strategic plan, Library instruction for General Education courses is evaluated using mixed methods: statistical data, instructor feedback, polls and quizzes to provide formative feedback, and assessment of student learning outcomes.

Several programs of library instruction aimed at improving retention at the University have pre- and post-tests to assess student learning outcomes specified for the sessions. The Program for Excellence and Equity in Research (PEER), funded by the National Institutes of Health, works to increase the number of underrepresented minority students pursuing PhDs

in STEM (science, technology, engineering, and mathematics) fields. The UT Libraries provides a two-part workshop series designed to acclimate these students to conducting research in the sciences using UT Libraries resources and to manage their citations using bibliographic management software. Pre and post tests assess student learning outcomes and inform changes to the curriculum from year to year.

The UT-Pellissippi State Community College (PSCC) Bridge Program is designed to give a selected group of promising prospective UT students a seamless transition from their freshman year at Pellissippi State Community College to their sophomore year at UT. The UT Libraries collaborates with University Housing, the School of Information Science, and instructors from the University of Tennessee and Pellissippi State Community College to deliver an intensive 3-session instruction program to orient and acclimate students to the scholarly community at the University of Tennessee. The course program teaches skills for conducting research using both proprietary information resources and freely available informational materials on the web. Pre- and post-tests are used to assess the attainment of student learning outcomes.

Assessment for discipline-specific and other specialized upper-division instruction is evaluated by a combination of student and instructor feedback coupled with vetting sessions and assignments between instructors and librarians. This is due to the tailoring of the material to the needs of the individual research projects.

Assessment of libraries services, spaces, and collections is key to the libraries strategic planning and goal of continuous improvement and for this we employ a variety of methods. For over a decade the UT Libraries has utilized the standardized library evaluation survey instrument developed by the Association of Research Libraries called [LibQual](#). The survey was most recently administered in 2013. On a rotational basis the UT Libraries conducts [library user surveys](#) and [usability testing](#) as additional means of evaluation. Formal faculty and [student advisory groups](#) (Deans Student Advisory group, Faculty Senate IT and Library committee, Library Faculty reps group) are organized each year to provide feedback to the library administration. Spontaneous informal meetings over lunch are conducted with students and faculty to discuss ideas for library improvements. Suggestion boxes, both physical and virtual, collect user comments, questions, and suggestions. The UT Libraries is also a partner on the LibVal, Return on Investment grant with the UT Center for Information Studies in the School of Information Sciences. [Valuable data](#) regarding the relationship of the learning commons and library instruction to student success has been documented through this Institute of Museum and Library Services (IMLS) grant-funded project.

Some of the improvements in the delivery of instruction that have resulted from assessment activities include: a greater focus on acculturation to the scholarly community at the University as well as familiarity and competency with the resources of scholarship available in the Commons environment. The Commons/Student Success portion of the [LibVal](#) study showed linkages between higher student GPAs with knowledge and command of resources available in the Commons environment. Other assessments, such as the Communications Studies library session test, revealed that students were not comprehending the use of Boolean operators in searching databases. These results led us to revamp our in-person sessions to incorporate more hands on, in-class activities into that section of the course.

Survey data has been key in obtaining central funding for the learning Commons, facility improvements, and information resources.

Collaborative Efforts and Instructional Initiatives

The Commons, in Hodges Library, hosts a variety of campus partners offering academic support to students including: Research Assistance, the Office of Information Technology, the Writing Center (a unit in the Department of English), The StatLab, Math Tutorial Center (a unit in the Department of Mathematics) and the Student Success Center (offering tutoring in all disciplines and referral services for students).

The *Writer's Block Party*, a partnership between the English Department's First Year Composition Program and the UT Libraries, provides first year English students the opportunity to create and exhibit poster presentations to communicate their research theses as they would at professional conferences. Posters are judged on criteria such as: information presented clearly supports thesis; information cited appropriately.

The [National Day on Writing](#) event is an interactive street fair event hosted by the UT Libraries, English Department, and Writing Center. Students from all disciplines participate in activities geared toward formal and informal written expression.

Library Take Out is a program of outreach to learning communities and the residence halls in which librarians provide interactive and engaging programming, in the dorms and other student spaces. The programs focus on teaching students lifelong learning and coping skills and includes office hours in the dorms during finals. The programs are evaluated with a five-question survey gauging relevance and student satisfaction.

In partnership with the University of Tennessee's Director of Service Learning, the UT Libraries are engaged in a new initiative to provide peer-mentoring opportunities in the Libraries to students enrolled in Service Learning designated courses at the University. The program is designed to provide a valuable service to new students seeking guidance about the Libraries and the University. It will also provide faculty offering service learning courses, a low-risk structured environment for their students to participate in service activities.

The UT Libraries provides outreach to the University community through a variety of academic fairs, orientations, and browse sessions.

- Taste of Tennessee
- Transfer Orientation
- Graduate student open house
- Collaboration on campus tours
- Pre-college orientations
- International Student orientations
- Exhibits and engagement activities / programming
- Serving on university-wide committees

The UT Libraries Outreach program provides instruction and information to schools in Tennessee and the community. The UT Libraries works with teachers and media specialists, in the Tennessee school system to meet their classroom research project needs. Students receive personalized instruction and access to scholarly resources.

The Joel A. Katz Law Library is administered separately from the University of Tennessee Libraries. The Reference Librarians and the Associate Dean for Library and Information Technology teach all the Legal Research classes in the College of Law. This includes Legal Research I and II taught to first year students and Advanced Legal Research which is offered to upper division students usually in the spring. They provide or set-up training

sessions on the use of Westlaw, Lexis, and Bloomberg Law, the major law databases. The Reference Librarians are also available to provide specialized instruction in various subject areas to law school classes as requested by law faculty members. They are available to work with faculty members to integrate legal research education into the content of their courses and to train faculty research assistants in effective research methods. Assistance is also available to law students in the use of CALI: the Center for Computer-assisted Legal Instruction. Upon special request, the Reference Librarians also serve the greater University faculty by guest lecturing for undergraduate courses and providing tours of the Law Library. In addition to in-person reference services, reference services are provided by phone, email, and the [AskUsNow](#) chat service.

Distance Education

The UT Libraries is committed to providing access to online and physical materials as well as instructional services to [distance students](#) and researchers. We provide document delivery services to remote UT students, faculty and staff as well as UT agricultural extension agents and research personnel located across the state. Librarians provide academic support for faculty, students, and staff by finding information and recommending strategies for using the libraries' resources. Assistance is provided via [AskUSNow](#) services including: phone, e-mail, and online chat. Individual and group consultation sessions are available online for distance library users in all disciplines by contacting their [subject librarian](#). There are multiple mechanisms for requesting assistance in locating and using materials as well as feedback mechanisms for communicating questions and concerns.

Extended Campuses

UT's extended campuses consist of the UT Space Institute (UTSI) and The College of Social Work in Nashville. In addition, the University has a limited number of distance education programs. These programs are supported by subject librarians who are available for consultation and online instruction. Subject librarians create and maintain research guides to support conducting research in disciplines and specific courses.

International Programs

UT students studying abroad have access to UT Libraries online resources including: digital collections, e-books, databases by discipline, and full text articles. Subject liaisons from the UT Libraries provide assistance and instruction in the use of library and information resources via email, phone, [AskUsNow](#) chat service, and online consultation services. Students enrolled in classes abroad have access to the resources of the particular university according to the specific policies of that institution.

Conclusion

The University of Tennessee, Knoxville, demonstrates that the university ensures that users have access to regular and timely instruction in the use of the library and other learning/information resources. The University Libraries partners with various offices on campus that support learning and information resources such as the Student Success Center, the Writing Lab, the Math Tutoring Center, and the Office of Information Technology to deliver services in person or via technology (i.e., online chat, online tutorials) or interlibrary loan.

3.8.3 Library and Other Learning Resources: Qualified staff

The institution provides a sufficient number of qualified staff - with appropriate education or experiences in library and/or other learning/information resources - to accomplish the mission of the institution.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) Libraries consists of the John C. Hodges (Main) Library, the Webster C. Pendergrass Agricultural and Veterinary Medicine Library, the George F. DeVine Music Library, the James D. Hoskins Library, and the Social Work Library in Nashville, TN. Administered independently are the Joel A. Katz Law Library in Knoxville and the Helen and Arthur Mason Library at the UT Space Institute (UTSI) in Tullahoma.

All faculty and staff members employed by the UT Libraries are highly qualified individuals who meet clearly specified job requirements included in positions descriptions. The faculty and staff of the all libraries successfully strive to accomplish the [mission](#) of the University. At the start of academic year 2014 the UT Libraries [employed](#) 48 faculty members, 100 exempt and non-exempt staff members, and six graduate assistants. The breakdown by location is as follows: the John C. Hodges Library (and those assigned to storage management in Hoskins) has 44 faculty, 93 staff, and five graduate assistants; Webster C. Pendergrass Agricultural and Veterinary Medicine has two faculty, four staff and one GA; the George F. DeVine Music Library has two faculty and two staff; and Social Work has one staff member. The student library employee allocation is approximately \$500,000 per fiscal year (figure does not include law and UTSI) and supports a varying number of student employees in Hodges, Pendergrass, DeVine, and Social Work libraries. The Association of Research Libraries (ARL) annual statistics survey demonstrates that we are slightly below average in comparison to our peers staffing for a US public research library (ARL Statistics 2011-12, pages [59-61](#)). Additional information regarding the organizational structure in the UT Knoxville Libraries can be accessed through the [organizational chart](#).

The Joel A. Katz College of Law Library employs nine library faculty, two exempt staff, and 12 non-exempt staff. The Law Library maintains 3.39 student workers FTE and has a faculty/staff ratio of 19:1.

The UTSI Library employs one full time staff member. For research and instructional services UTSI faculty and students rely on the UT Libraries in Knoxville specifically through support from the Learning, Research, and Collections librarian for engineering, who acts as their subject liaison librarian and facilitates access to information resources.

All libraries described above utilize a thorough process for hiring and retaining qualified faculty and staff that includes diverse search committees for librarians and exempt staff. Personnel with relevant education and work experiences are vetted through the Dean of Libraries, the Dean of the Law College and the Law Library Director, and other senior administrative personnel at appropriate locations. All the libraries employees are hired under policies determined by UT Human Resources. Librarians in tenure-track faculty positions are hired through Academic Affairs in the Provost Office. All hiring follows the [UT Search Procedures](#) as issued by the Office of Equity and Diversity.

Hiring and Retaining Qualified Faculty/Staff

All UT libraries employ strict guidelines in order to ensure faculty and staff are qualified upon employment and in performing their duties in an adequate and efficient manner. Rigor and due diligence through search procedures ensures all faculty and staff hired have appropriate educational and work backgrounds. UT Libraries administration in coordination with UT Human Resources recruits qualified individuals to perform job duties successfully. All vacant and new staff positions for exempt and non-exempt staff are vetted through UT Human Resources. PDQs (Position Description Questionnaires) are written for each exempt and non-exempt staff position to ensure qualified candidates are being interviewed and hired by the UT Libraries. ([Access Manager, Exempt](#); [IT Administrator, Exempt](#); [Circulation, Non-Exempt](#); and [Library Supervisor 1, Non-Exempt](#)). All non-exempt and exempt staff PDQs are reviewed annually during the [employee's evaluation](#) and adjustments made in line with the expertise and requirements of the position.

All UT Libraries faculty and those at the Katz Law Library are required to hold a Masters in Library Science (MLS or equivalent; see sample [position description](#) provided) degree from an American Library Association accredited institution. Additional required and preferred qualifications are developed based on the specific expertise required for the position. The qualifications are determined by the supervisor and faculty colleagues on the search committees and approved by the Dean of Libraries or other appropriate senior administrators, the Provost's office, and the Office of Equity and Diversity. Faculty hiring follows guidelines outlined in the [UT Libraries faculty bylaws](#), and are in keeping with the [UT Faculty Handbook](#) and the [guidelines](#) for conducting academic and staff-exempt searches at UT issued by the Office of Equity and Diversity.

All faculty and staff members are required to be evaluated annually ([HR Performance Evaluation](#)), at which time the opportunity is taken to review each exempt and non-exempt position description questionnaire (PDQ), ([Access Manager, Exempt](#); [IT Administrator, Exempt](#); [Circulation, Non-Exempt](#); and [Library Supervisor 1, Non-Exempt](#)) and each faculty [position description](#), to ensure the employee's job duties are appropriately documented and all goals and responsibilities are being met. As part of the evaluation process faculty and staff members have the ability to respond to the evaluations. At the annual performance evaluation all faculty and staff review progress toward the previous year's goals and set new goals for the coming year in collaboration with their supervisor. Faculty do this on an academic year basis and staff on a calendar year basis. Performance ratings are assigned by supervisors and approved by the Libraries Administration each year for all employees. Annual raises are often merit based when the university makes funds available.

Faculty hiring and retention decisions by all UT affiliated libraries are vetted through the Provost Office and the Office of Equity and Diversity and follow established [search guidelines](#). All successful faculty candidates are hired with the expectation that the process of tenure and promotion is attainable by the individual. Tenure track faculty are hired within a probationary time frame that culminates with a decision regarding tenure. All non-tenured faculty must select a faculty mentor and undergo a yearly retention review. Retention reviews and the promotion and tenure process follow the guidelines set in the [UT Libraries faculty bylaws](#), the [UTK Manual Faculty Evaluation 2012](#) and the [UT Faculty Handbook](#).

Faculty and Staff Professional Development

UT Libraries faculty and staff are encouraged to participate in personal and professional development opportunities tied to specific job expectations. During FY2013, 71 faculty and staff members participated in a total of 208 professional development or training experiences including conferences, seminars, workshops, webinars, and UT training classes.

Faculty are provided support as appropriate to travel throughout the state, region, nation, and around the world to conduct and present original research. Faculty and staff members are encouraged and supported in providing instruction and community service on and off campus.

Additionally, all UT exempt and non-exempt staff members are encouraged to participate in [HR0128](#); the policy that strongly encourages UT employees to complete a minimum of 32 hours of job- and career-related training per calendar year. HR0128 applies to exempt and non-exempt employees, regular, full, and part time.

Presentation of scholarship, continuing education and professional development are an expectation for all library faculty and is considered in their annual evaluation. Training and continuing education is an expectation for non-exempt and exempt staff and is taken into consideration when evaluating their performance annually.

Demonstration of Quality Service Achievement and Mission Accomplishment

Assessment and evaluation to ensure campus needs from the UT libraries are being met is on-going and ever-changing as a reflection of fluctuating needs. The standardized LibQual survey is conducted every three to four years to measure and document user satisfaction, and in-house surveys are conducted at a minimum of once a year to gauge library effectiveness and map needs for future changes. ([2013 LibQUAL+ Survey Report](#)) Although the UT Libraries administration recognizes the majority of users include the campus community at large, the libraries also acknowledges a need to serve users throughout the state of Tennessee. Since the majority of users of the UT Libraries are the student body population, the Dean of Libraries relies on the advice and support of a student advisory group, which is comprised of representatives from each college in the university.

Information collected through assessment informs the libraries of areas where staff may need additional customer service training. Consideration of assessment findings feeds into the development of hiring priorities for new positions or revised qualifications for existing positions.

For a list of University Libraries faculty and professional staff and their credentials, please see [Appendix 3.8.3-A](#). For more information on UT Libraries assessment activities see [Core Requirements 2.9](#).

Conclusion

The University of Tennessee, Knoxville, demonstrates compliance in that there is a sufficient number of qualified staff, with appropriate education and experiences in library and other learning/ information resources, to support the work of the other faculty, staff and students in achieving the mission of the university.

3.9.1 Student Affairs and Services: Student rights

The institution publishes a clear and appropriate statement of student rights and responsibilities and disseminates the statement to the campus community.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville publishes a clear and appropriate statement of student rights and responsibilities and disseminates the statement to the campus community. The university makes the information available in the student handbook, the graduate and undergraduate catalogs, and various locations on its website.

Hill Topics Student Handbook provides the most comprehensive information regarding student rights and responsibilities. The handbook specifically addresses [standards of conduct](#), [honor statement](#), [disciplinary penalties](#), [hearing boards](#) and [appeals processes](#), [residence hall administrative procedures](#), [student employee terminations](#), [termination of financial assistance](#), [academic appeals](#), as well as general campus policies and procedures. Policies and procedures described in the handbook help to ensure the rights and privileges of all students as well as all members of the University community by communicating expectations of the community to its members. The handbook covers undergraduate, graduate and professional students as well as those enrolled in online programs (distance education). Of the 26 online programs offered by UT, one is at the baccalaureate level, the remainder are graduate certificate, specialist in education, master's, and doctoral programs. These students are advised about the handbook and have access to personnel by using a variety of technologies.

The [Office of Student Conduct and Community Standards](#) is the administrative office responsible for addressing alleged violations of the Standards of Conduct by undergraduate, graduate and professional students, on-campus and online programs. These violations are managed through the judicial process and during this time the Statement of Student Rights and Responsibilities is given to students. Students are informed of their Rights and Responsibilities during New Student [Orientation](#) where the Dean of Students and/or Associate Deans discuss their rights and responsibilities. During this presentation students are informed about *Hill Topics* and how to retrieve the information online. During this presentation students are informed about *Hill Topics* and FERPA as well as how to retrieve the information online.

The *Undergraduate Catalog* is the official source of the university's academic programs, courses, policies and procedures. The catalog includes a section on [Student Rights and Responsibilities](#) and informs students that it is their responsibility for being aware of the content within the university catalog and handbook, as well as adhering to the universities policies and procedures.

The *Graduate Catalog* provides course offerings and requirements for graduate and professional students in all colleges including the Colleges of Law and Veterinary Medicine, and the graduate students located at the UT Space Institute at Tullahoma, Tenn., and the College of Social Work in Nashville. The catalog also includes an Academic Policies and Requirements section which includes information about [appeals](#), [Federal and state laws and university policies](#), and [plagiarism](#). Additionally, the catalog includes the Policy for the

Administration of Graduate Assistantships which informs graduate assistants of their [rights and responsibilities as it relates to their assistantship](#). When students are admitted to the Graduate School they are advised in the [admission letter](#) to review the Graduate Catalog of Graduate School policies. The Graduate School makes available on their website the [Graduate Appeal Procedure](#) and links to the Office of Equity and Diversity information on [discrimination complaint procedure](#) and [sexual harassment](#).

During New Student Orientation, Graduate Student Orientation, and New Faculty Orientation students and faculty are informed of *Hill Topics*, the *Undergraduate Catalog* and *Graduate Catalog* respectively and how to access them online. Students enrolled in online programs are held to the same level of responsible conduct and are informed of their rights through the Office of Online Programs and through the various program orientations.

The academic departments work in conjunction with the Office of Student Conduct and Community Standards to manage the academic honesty process. The University Honor Statement is published in the student handbook and the undergraduate and graduate catalogs. The process for addressing [academic dishonesty](#) is outlined in the student handbook *Hill Topics*. Also, faculty are provided the [Campus Syllabus](#) in an effort to provide students with easy access to information that is common across courses at UT, such as the University civility statement, academic integrity statement, statement of the student's role in the learning environment, and key resources available to students.

Undergraduate academic advising is conducted in each college where advisors assist students to develop academic plans, help students to become connected to campus resources and assists with the development of educational, career and personal goals. Each college has developed a [Majors Guide](#) to provide further guidance and to inform students of expectations in each major; these are all posted to the web with links to college advising centers.

The Office of the University Registrar informs students of their right to request student data and informs them of their rights involving educational records that are protected under the Family Educational Rights and Privacy Act of 1974 (FERPA). Students may access FERPA information on the Registrar's website under the [FERPA and Student Privacy page](#).

The Office of Equity and Diversity publishes and informs students and the campus community of the Non-Discrimination EEO/AA Statement and informs them on how to file a [discrimination complaint](#). Student complaint and appeals procedures across the campus are noted in [Federal Requirement 4.5](#). The Student Health Center publishes the [Student Privacy Policy and Patient Rights](#) and Responsibilities on their website. The [Office of Disability Services](#) provides information on how to receive accommodations to students with disabilities.

Conclusion

The University of Tennessee, Knoxville, has clear and appropriate statements of student rights and responsibilities and disseminates these to the campus community through the undergraduate and graduate catalogs, the student handbook, and appropriate websites; thus demonstrating compliance with this regulation.

3.9.2 Student Affairs and Services: Student records

The institution protects the security, confidentiality, and integrity of student records and maintains security measures to protect and back up data.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) protects the security, confidentiality, and integrity of all records containing personally identifiable information (including student records) and maintains special security measures to protect and back up data as described in detail below. UT is one of the campuses within the University of Tennessee System (UT System), which provides policy, guidance and support with regards to maintaining the security, confidentiality, and integrity of student records. UT adheres to UT System policies and applicable federal and state laws. UT has been fortunate in not having had a data breach.

Student Records Defined

For this purpose, UT defines student records to mean all educational records within the scope of the Family Educational Rights and Privacy Act (FERPA). UT broadly defines a student record to mean any record that directly relates to a student and is maintained by the University or a party acting on behalf of the University.

Educational records do not include:

- Sole possession records - records kept in the sole possession of the maker, used as a personal memory aid and not revealed to others, for example, an instructor's notes
- Law enforcement records
- Employment records
- Treatment records, including medical, psychological, and counseling
- Post-attendance records, records created or received by the University after an individual is no longer a student and not directly related to the individual's attendance as a student
- Peer-reviewed or graded papers before they are collected and recorded by faculty

Educational records do include:

- Biographical information such as date and place of birth, gender, nationality, race/ethnicity, identification photographs
- Academic history that includes courses taken, grades earned, exam and test scores such as ACT, SAT, CLEP, Proficiency Exams, papers, evaluations, academic specializations/activities, degree and audit reports, and individual grades in courses such as lab reports, exams, tests and homework assignments
- Registration information, such as class schedules, class rosters, communications regarding the academic process
- Advising notes; internship program records; disciplinary records
- Financial records
- Student information displayed on computer screens

Compliance with All Applicable Laws Concerning Student Records

The University of Tennessee, Knoxville, complies with Federal and state laws concerning student records; these include the following.

Federal

- Family Educational Rights and Privacy Act (FERPA)
- Health Insurance Portability and Accountability Act (HIPAA)
- Electronic Communications Privacy Act of 1986
- Fair and Accurate Credit Transactions Act (FACTA - Red Flag Rule)
- Gramm-Leach-Bliley Act (protection of non-public personal information)

State

- Tennessee Public Records Act ([TCA-10-7-503](#), Records open to public inspection)
- Tennessee [Data Breach Notification Law](#) (amends TCA Titles 39, 47 and 48)
- Tennessee Law on Dissemination of Social Security Numbers ([TCA-4-4-125](#), Dissemination of Social Security Numbers)

Compliance with Policies of the University of Tennessee System

As a member institution of the UT System, University policies and procedures are in compliance with the information security and records management standards set by the UT System in addition to applicable federal and state laws. These include:

- *Information and Computer System Classification* ([IT0115](#)). This policy established that the University will categorize information and information systems in accordance with Federal Information Processing Standard 199 (FIPS 199) as the University of Tennessee's information categorization model. Categorization will be made according to risk level by adhering to the guidelines found in FIPS 199 and National Institute of Standards and Technology (NIST) Special Publication (SP) 800-60 Volumes I and II.
- *Information Security Plan Creation and Data Breach Notification Procedures* ([IT0121](#)). This procedure established that each campus and institute is responsible for creating, approving, maintaining, and implementing an information security plan based on the National Institute of Standards and Technology (NIST) Risk Management Framework. The security plan must detail who is responsible for accepting risk at each campus and institute. It must also include a data breach notification policy specific to their local campus. The data breach notification policies must comply with state and federal laws and regulations as well as industry security standards such as the Payment Card Industry-Data Security Standard (PCI-DSS.)
- *Secure Network Infrastructure* ([IT0120](#)). This policy provides the definitions for creation and maintenance of a secure systems infrastructure, including both wired and wireless technologies. These definitions include technical, administrative, maintenance, computer systems refresh, and operations solutions for information technology network infrastructure security.
- *Acceptable Use of Information Technology Resources* ([IT0110](#)). This is a broad policy which was designed to govern the use of the University's information technology resources and protect the confidentiality and integrity of electronic information and the privacy of its users. It establishes minimum compliance standard where university units (campuses, institutes, department, colleges, and divisions) must follow these rules while connected to university IT resources. It covers user privacy and University's rights, copyrights and licenses, personal use, misuse of IT resources, and sanctions for violations. User responsibilities include abiding by the

password protection best practices for each IT resource, using only authorized accounts.

- *Records Management* ([FI0120](#)). This is a broad policy which provides guidelines and governs the storage, retention, and disposal of university records. Paper records may be maintained by various departments and eventually consolidated for long-term storage in a secure off-campus location which houses the Records Management Office. An electronic version of these records is stored on servers which are located behind secure fire walls, backed-up, and have built redundancy. University employees are trained in handling these records and educated on how to disseminate information from these records and to whom such information can be conveyed.
- *Receiving and Processing Money*, including Accepting Credit and Debit Cards ([FI0310](#)). This policy addresses protection against the exposure to and possible theft of account and personal cardholder information and the compliance with credit card company requirements for card information that is stored, processed, or transmitted on the university's information technology resources. The referenced credit card company requirements are known as the Payment Card Industry Data Security Standards (PCI DSS). Compliance with the PCI DSS and this policy is mandatory for all University departments, merchants and entities processing credit, debit or e-commerce payments directly or indirectly. Further, this policy provides the requirements and guidelines for all credit card processing activities at the University of Tennessee.

University of Tennessee, Knoxville Policies

Compliance with law and UT System Board of Trustee policies is accomplished through education of the University community, inventory of University assets covered by the policies, adoption of unit level procedures designed to meet the unique needs of the unit, and regular review of units to verify compliance.

As electronic records have increasingly become the norm, practices have added the additional focus of information security related to records management. UT maintains a number of policies and procedures, each designed to address the security, confidentiality, and integrity of electronic data (including student records).

[UT Data Standards Manual](#) provides data standard requirements for the protection, access, maintenance, and use of University data that is electronically maintained on the Ellucian Banner system and other associated systems. This manual defines the responsibilities of users who input and access that data. Divisions/departments may have individual requirements that supplement, but do not replace or supersede the requirements outlined in this manual. This manual defines the student information systems, data confidentiality, information custodians, information managers, types of access, user responsibilities, access termination, and security processes.

[Electronic Mail Policy](#), included in *Hill Topics*, the UT Student Handbook, states the intended use for university supplied student email accounts, examples of official communication, and the responsibilities by the student for such privileges.

Office of Information Technology

- Minimum Security Standards Policy (UT defers to System [IT0120](#)). A wide variety of devices may be used to access the wired and wireless networks of the University. This policy establishes standards for the uses of these devices to access the network.

- University Password Policy (UT defers to System [IT0110](#)). This policy establishes strong standards for establishing passwords and using passwords designed to access University information systems.
- Guidelines for Trusted Computing (UT defers to System [IT0115](#)). When information is classified as sensitive, these guidelines provide standards for managing the systems storing that data. These include electronic and physical security.
- Guidelines are also established for the disposal and transfer of equipment containing sensitive data (UT defers to System [FI0610](#), sections 8 and 9).
- UT Information [Security Plan](#) lists and details efforts to protect users and data on the UT network. This plan outlines the scope of responsibility for systems, networks, users and data, as well as the parties responsible for them. This plan makes the campus compliant with UT System Policy [IT0121](#).

FERPA Policy and Procedures

The University Registrar serves as the FERPA Compliance Officer for UT and is responsible for the security, confidentiality, and integrity of student academic records and the maintenance of special procedures to protect student. The Office of the University Registrar maintains a series of internal procedures to assure that the security, confidentiality, and integrity of student records is protected. These include:

- Access to the University's student systems is strictly limited to staff whose job duties require access as defined by FERPA. Faculty and staff must sign and submit, along with Dean, Director, or Department Head approval, a [Banner System Account Request form](#) to gain access to information in the student information system (Banner).
 - Included as part of that form is the [Banner Security Statement](#) detailing the requirement to maintain confidentiality and the confidentiality of educational records.
- All staff and faculty are required to complete an online [FERPA tutorial](#) during the Fall Semester of every year.
- Training is regularly offered by the Office of the University Registrar on how to navigate Banner.
- Faculty members are required to read and agree to the [Confidentiality of Education Records](#) statement each term when he/she enters grades for the term.

Electronic images of student records stored in the NOLIJ document management system are backed up using IBM's TSM (Tivoli Storage Manager) to an IBM 3584 tape library, with a 365 day retention period, and a copy stored offsite in a secure location. Electronic student records stored within the official system of record database for student information, Ellucian Banner are backed up using IBM's TSM to an IBM 3584 tape library, with a 28 day retention period, and a copy stored offsite in a secure location.

Student Consent to Release Educational Records

The release of FERPA protected information to third-parties, including parents, requires adherence to one of the following:

- An exception in the FERPA law or UT FERPA policy or
- A fully-executed consent to release form filed (hard copy or completed online at MyUTK portal that provides a student with access to their academic and financial records and course management system) by the student with the following information:
 - Name of student

- o Type of record to be disclosed
- o Person to whom the information can be disclosed
- o The relationship between the person and the student
- o A 'secret word' for authentication, and
- o The student's signature and date.

All releases to third-parties are in effect for one (1) year from the date filed except for releases related to financial records. UT has set the expiration date on consent to release forms for financial information to ten (10) years. The student can, at any time, provide written revocation of the consent to release form thereby canceling the release and restricting access to the student's information.

Academic Release: In general, release of academic information shall be handled in the Office of the Provost, the Student Success Center, the Office of the University Registrar, the college advising office or the academic department office. An academic consent to release shall expire within one (1) year of its execution or by an expiration date listed in the consent instructions. Students can grant access to parents or guardians online by going through the MyUTK portal (<https://myutk.utk.edu/>) and choosing the [FERPA Academic Record Release form](#) located in the Academic Links box on the main page. Completing the form will provide access to the student's academic records for a period of one (1) year or until revoked by the student. The form requires the name of the person(s) to whom consent is given and a "secret word" to verify that person's identity.

Financial Release: In general, release of financial information shall be handled by the Office of the Bursar or the Office of Financial Aid and Scholarships. Consent to release for financial information is in force for the life of the record or until the student files a written revocation of the release with the Office of the Bursar. A student may authorize a [Financial Information Release](#) through the MyUTK portal (<https://myutk.utk.edu/>). Within MyUTK, students select *Authorize Users* to give consent to an individual to view the student's account information and make payments on the student's behalf. Adding an authorized user is the student's written consent to give others the ability to access his/her account information.

Disciplinary Release: Release of student conduct or disciplinary records is handled by the Office of Student Conduct and Community Standards. That office requires a signing of a FERPA waiver to discuss details of all incidents with anyone other than the student involved in the incident, including parents and attorneys. The waiver is completed by the student and requires the student provide a common password that is both know by the student and the third-party. A completed FERPA waiver shall expire within one (1) year of its execution or by an expiration date listed in the consent instructions. The original waiver is kept in the student's file in the Office of Student Conduct and Community Standards and is documented in Maxient.

In adherence with State of Tennessee law that requires public institutions of higher education to notify the parent or legal guardian of students under twenty-one years of age that are found to have violated the alcohol or drug policies of the institution, the Office of Student Conduct and Community Standards mails written notification on letterhead to the parent/guardian address listed with the Office of the University Registrar. This state law is pursuant to an exception in the Family Educational Rights and Privacy Act (FERPA) that allows, but does not require, colleges and universities to notify parents of this information.

Athletic Release: To ensure compliance with NCAA guidelines and eligibility standards, in addition to adherence with federal law and campus-wide FERPA protocols, the Athletic Department coordinates obtaining consent to release information from each athlete. The

two forms utilized are [Permission to Release Information to Transfer Schools](#) and [Thornton Center FERPA Form](#). Any particular consent to release should expire in one (1) year of its execution or by an expiration date listed in the consent instructions.

Student Information Release for Sponsored Projects: Departments are to ensure FERPA policy is followed to protect the privacy of students. The process will require department payroll administrators or those who process payroll to request all students complete a [Student Information Release Form for Sponsored Projects](#). Departments will maintain a copy of the form for the student as long as the individual is a student. If the student was used on an awarded project, the department will retain the document for three years after the final audit of the sponsored project.

Other Release: Other records maintained by UT may, from time to time, require release with the consent of the student. In general, release of these records shall be coordinated with the University office responsible for maintaining the records in conjunction with the Office of the Chancellor, the Office of the Provost, or the Office of the Vice Chancellor for Student Life or their designee as appropriate. All consent to release forms shall expire within one (1) year of its execution or by an expiration date listed in the consent instructions.

Student Privacy Procedures

A [Directory Exclusion Request](#) form (also called a “non-disclosure” or “privacy” form) is available on the University Registrar and institutional FERPA websites. When a directory exclusion request is filed, University Registrar personnel will flag the student’s record in the student information system to prevent the student’s directory information from being included in the creation of any directory based on data in the Student Information System, whether the directory is to be created by UT or an allowed outside entity. The University must continue to honor a Directory Exclusion Request after an individual no longer attends the University if the [Directory Exclusion Request](#) was made while the individual was in attendance at the University and the request has not been rescinded.

The Directory Exclusion does not prevent the student from being confirmed as a student at the UT. It only keeps the student’s directory information from being included in the online directory.

A student’s Social Security Number may not be used either alone or in combination with other data to identify a student when disclosing or confirming directory information, unless the student has provided written consent. Instead, other directory information should be used to identify students. When a person submits a student’s Social Security Number along with a request for directory information, the person should be informed that the University has not used the Social Security Number to locate the student’s records and that the University’s response does not confirm the accuracy of the Social Security Number supplied with the request for directory information.

Students who wish more stringent measures of privacy (such as a request that no information be released about the student) may meet with personnel in the Office of the University Registrar to discuss their needs. Students who have requested directory exclusion or more stringent privacy measures will still have their identities appear on class rolls, printed and otherwise. Additionally, if the student has filed a consent to release form for any type of record, the release will override the privacy request for the type of information indicated and for the party named in the release.

Reporting a FERPA Violation

To report a FERPA violation, a written summary of the possible violation is sent to the University Registrar. The report should include the names of the people, the dates of the alleged violation, the email address and phone number of the individual making the report, and any other relevant information or documents. The summary may be submitted by mail, email or fax to the Associate Dean and University Registrar (address, telephone, fax number, and email are available on the Office of the University Registrar website).

The University Registrar conducts an investigation and consults with UT legal counsel. If appropriate, procedures are put in place to avoid a future violation. If warranted, faculty and staff may be required to complete the [FERPA tutorial](#) or additional training.

Representative Examples of Policies and Practices of other University Units

The unique functions of the UT's many support and academic units, necessitates many of the units to adopt procedures and practices to implement the previously identified institutional policies in a manner designed to fit the exact role of that unit. The following examples are representative of the manner in which federal and state laws, UT System policies, and institutional procedures are applied at the unit level. These units are representative because they are large units that handle sensitive data and serve all students.

Office of Financial Aid & Scholarships maintains strict internal procedures as outlined by the UT System guidelines to assure security, confidentiality, and integrity of student records. It has implemented the Noli Imaging System to protect and back up data. The internal procedures include:

- Limit access to student records to those staff who need access to perform their job duties.
- Assure that staff are oriented and trained about procedures concerning security/confidentiality of student records through the University's online [FERPA training](#) module.
- Release information to third parties only upon execution of a written authorization form or in accordance with law.
- Retain and dispose of student records in accordance with the standards of federal and state laws and the UT System policies ([Records Management](#)).

Student Health Center (SHC): Due to the highly sensitive nature of the data received in the course of its daily operations, the Student Health Center maintains and enforces a comprehensive set of policies, procedures, and guidelines to assure the security, confidentiality, and integrity of all sensitive data (including student records) as well as special security measures to protect and back up that data. These policies, procedures, and guidelines assure appropriate access to data, assure release only in appropriate circumstances, assure security of the data, and assure compliance with applicable federal and state laws, University System and campus policies.

Additionally, the SHC has contracted with Mediat, a nationally known electronic medical records system, specializing in college health needs. This system provides a secure, IPAA compliant process of medical records management with secure access, storage and retrieval along with the provision of encrypted email messaging. Patient medical records and related medical information can only be accessed by designated personnel who must follow specific guidelines and provide personal passwords. Submission of a patient signed [UT SHC Designed Release of Information form](#) is required before protected health information (PHI)

can be released. Out of date Medical records and all unneeded paper products containing PHI are securely collected, stored, and destroyed by cross sectional shredding. All SHC computers are required to have security access to open and are professionally cleaned before disposal.

Student Counseling Center (SCC): The UT Student Counseling Center maintains all clients records in a widely used electronic medical records (EMR) system developed specifically for counseling centers called Titanium Schedule. This EMR is compliant with The Health Insurance Portability and Accountability Act of 1996 (HIPAA) Rules. The EMR includes collection, processing, maintenance, storage, retrieval, distribution, and safeguarding of clinical and other counseling records.

Titanium Schedule is installed in what is called configuration 1 which is the preferred model. The data resides on a HIPAA level SQL server located in the secure server area of the campus IT department. This SQL Server is hosted by the OIT computer support staff in a secure area with emergency power, unattended backups, and behind firewalls. At UT only HIPAA level material is on a HIPAA server and Titanium Schedule is the sole data stored there. The Titanium Schedule application files are located on the Student Counseling Center's secured area of the Student Life Division's server. The link between the SQL server and the Titanium Schedule software is encrypted. The personal computers that staff utilize, have installed the files which allow access to the Titanium Schedule application files. The user only has access to the client data through this installation of Titanium Schedule. This access is password protected. Only data requests from specified computers in the Student Counseling Center are permitted access to the Titanium Schedule data.

All computers in the Student Counseling Center are secured and require login by designated individuals. This requires unique person specific complex passwords for access which are required to be changed in accordance with policies promulgated by OIT. The Student Counseling Center follows the Tennessee law and professional ethics guidelines for retention of active records, retention and destruction of inactive records, release of information contained in records, and informed consent. Necessary information is shared between counseling staff and health service staff (both staffs are housed in the new UT Student Health Center opened in 2012) to assure continuity of care and to protect the health and safety of the client involved. Appropriate releases of records are required before information may be otherwise released.

Public Dissemination of Information about Student Records

Detailed information about student rights concerning their education records is widely disseminated to students. A sampling of sources and venues affirming UT's commitment to adhering to FERPA include:

- The 2013-2014 [Undergraduate](#) Catalog
- The 2013-2014 [Graduate](#) Catalog
- [Hill Topics](#), the UT Student Handbook, is available to all students on-line and hard copies are available in offices and residence halls on campus. In this document, the definition of a [student record and data/FERPA](#) is provided as well as examples of records covered. Also listed are the offices that control academic and disciplinary records.
- FERPA Website maintained by the Office of the Registrar <http://ferpa.utk.edu/>
- During New and Transfer Student Orientation, students are informed about their FERPA rights, the FERPA website and procedures for authorizing a third party to have access to their education records.

- Annual Email Notice: Via email each fall semester, every student receives a [communication](#) regarding their rights related to education records under FERPA. Each fall semester, faculty and staff, who may have access to FERPA-protected student records, are asked, via [email](#), to complete the online [FERPA tutorial](#).
- [Consumer Information and Student Right to Know](#): Published in *Hill Topics*, the UT Student Handbook, is the University's statement of commitment to various institution, state and federal policies of consumer information for prospective and current students.

In addition to these University-wide sources, individual University units provide detailed information about security, confidentiality, and integrity of student records. Representative examples include:

Bursar's Office: The Bursar's Office maintains strict internal procedures as outlined by the UT System guidelines to assure security, confidentiality, and integrity of student records. It has implemented the Noli Imaging System to protect and back up data. The internal procedures included:

- Limit access to student records to those staff who need access to perform their job duties.
- Assure that staff are oriented and trained about procedures concerning security/confidentiality of student records through the University's online FERPA training module.
- Release information to third parties only upon execution of a written authorization form or in accordance with law.
- Retain and dispose of student records in accordance with the standards of federal and state laws and the UT System. ([Records Management](#))

Office of Student Conduct and Community Standards: The University provides in part for the security of its students' education records through its partnership with Maxient, a trusted third-party vendor that offers services that include the secure hosting and management of student conduct records. Maxient exceeds industry standards for ensuring the security and integrity of the data with which it is entrusted, including the encryption of data both in transit and at rest; and data storage in two state-of-the-art, U.S.-based hosting facilities, geographically separated to further promote the continuity of the University's data against foreseeable challenges or potential disasters, natural, man-made, or otherwise.

Office of Disability Services (ODS): ODS periodically receives requests from students to send information, particularly documentation from their file to another institution. ODS will provide such information directly to the student upon receipt of written request and waiver confirmation, but does not forward any information from a student file to another entity. The only exceptions to this practice are when either a legal request for information is received that has been first vetted through the Office of the General Counsel or when expressly authorized under FERPA guidelines.

Center for International Education (CIE): There are two internal systems used by CIE staff for records management. The CIE's Office of International Student and Scholar Services (ISSS), maintains a large majority of international student records in a widely used database management system called FSA Atlas developed by Ellucian. FSA Atlas is specifically designed for international offices that handle SEVIS compliance and reporting responsibilities. FSA Atlas includes collection, processing, maintenance, storage and retrieval of student immigration information. Access to FSA Atlas is via individually assigned

logins. Appropriate releases of records are required before information may be released. By contractual agreement with Ellucian, UT hosts this data on an internal server behind a firewall.

There are still some paper files maintained within ISSS. These files are secured in locked cabinets. The ISSS follows university protocols for paper file storage and destruction. In addition to adhering to university policies/procedures on record keeping, ISSS also must comply with federal immigration regulations on record keeping and reporting requirements. Information collected under this regulation is exempt from normal FERPA rules if a Department of Homeland Security Officer makes a request on "any or all of the data on any individual student or class of students upon notice."

Conclusion

The University of Tennessee, Knoxville, has demonstrated compliance with the security, confidentiality, and integrity of student records and maintains security measures to protect and back up data.

3.9.3 Student Affairs and Services: Qualified staff

The institution provides a sufficient number of qualified staff - with appropriate education or experience in the student affairs area - to accomplish the mission of the institution.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville's (UT) [Division](#) of Student Life employs a sufficient number of qualified personnel. The staff has appropriate education and experience to administer initiatives and programs that support and advance the university's mission. The Division encompasses sixteen departments and employs approximately 122 Exempt administrative and professional staff, 233 Non-exempt staff, 57 graduate assistants, and approximately 1,125 part-time student employees.

The Division's mission *to foster the intellectual, cultural, social, and emotional development of students by providing a climate conducive to learning and personal growth, enabling them to become fully productive members of a global community*, is consistent with the University's mission of *... enriching and elevating the citizens of the State of Tennessee, the nation and the world...* The staff is committed to providing quality programs and services to support all UT students. A description of the Divisions' programs and services are described in [Core Requirement 2.10](#).

Staff Selection

A thorough process for hiring qualified staff with appropriate credentials and work experience is followed using UT Human Resources hiring and search guidelines. [Position descriptions and job descriptions](#) for Student Life personnel define required qualifications. Administrative and professional positions are advertised locally, regionally and nationally in different media outlets, and [professional association websites](#). See [Comprehensive Standard 3.2.9 Personnel Appointment](#) for more information about the UT search and on-boarding process.

Qualified Staff Electronic Verification

Student Life provides a Qualified Staff Credential Form, developed by Career Services, to give a brief summary of education, employment history, position responsibilities, and relevant accolades of Senior Management and Department Directors in the Division of Student Life (there are currently three vacancies with active searches underway). These forms may be found in the chart below.

Vice Chancellor for Student Life	Dr. Vincent Carrilli
Associate Vice Chancellor for Student Life & Dean of Students	Dr. Melissa Shivers
Assistant Vice Chancellor for Student Life & Exec. Director of Univ. Housing	Dr. Frank Cuevas
Assistant Vice Chancellor for Student Life	Dr. Maxine Davis
Assistant Vice Chancellor for Student Life	Mark Alexander
Associate Dean of Students	Vacant
Associate Dean of Students	Tashika Griffith

Director, Career Services	Vacant
Director, Center for Leadership & Service	Sally Parish
Director, Center for Student Engagement	Ashleigh Moyer
Director, New Student & Family Programs	Emily Parker
Director, Sorority & Fraternity Life	Lindi Smedberg
Director, Student Media	Rachel McClelland
Director, Center for Health Education & Wellness	Ashley Blamey
Director, Disability Services	Annazette Houston
Director, Student Conduct & Community Standards	Tim Burkhalter
Director, Student Counseling Center	Vacant
Administrator, Student Health Center	Jim Boyle
Director, RecSports	Rex Pringle
Director, University Center	Jim Dittrich

Professional Development and Involvement

To enhance skills and knowledge as well as to promote continued growth and development the leadership within Student Life provides a variety of professional development opportunities for staff. In-house [professional development](#) activities such as retreats, staff meetings, professional development breakfasts, and coffee houses are offered regularly. Staff members also take advantage of training opportunities sponsored by Human Resources. Special programs are offered to special staff populations such as the Women's Leadership Program. UT's undergraduate and graduate degree programs are also available to interested personnel as a staff benefit. Individual staff may take courses totaling up to 9 credit hours with a [tuition fee waiver](#).

Staff members within the Division maintain active memberships in their state, regional, and national organizations and attend state, regional, and national conferences regularly, and occasionally international meetings. Conferences attended by staff included National Association of Student Personnel Administrators (NASPA), American College Personnel Association (ACPA), National Association of Campus Activities (NACA), and National Orientation Directors Association (NODA) and others. Attendance at these professional meetings was supported by departmental budgets.

Division professionals teach courses, pursue additional degrees, write for publication in professional journals, conduct research, and give presentations at conferences. They also serve in leadership roles within their professional associations and receive recognitions and awards.

Staff Evaluation

Division of Student Life employees are evaluated annually as required by UT Policy HR0129, [Performance Review](#). The policy specifies that all regular University employees and their supervisors discuss job performance, set goals for professional development, establish goals and objectives to achieve the departments' mission, and discuss expectations and accomplishments.

Division of Student Life Departmental Program Review Process

To assure high quality services within the Division of Student Life, departments conduct a [Departmental Program Review](#), generally every five years. Each department conducts a self-study and invites external and internal reviewers to assess appropriateness of programs and

services, quality of programs, staff, budget, management, communication, professional development, interdepartmental relationships, awareness and reputation, customer satisfaction, technology, progressive/innovation, and assessment. The review helps to determine if the department has adequate staffing in terms of size, background and qualifications. Additionally, the reviewers determine if staff members are encouraged and supported to develop professionally. Upon completion of the review process the external reviewers submit a report that provides an assessment of the programs and services within the department along with recommendations.

Conclusion

The University of Tennessee, Knoxville, is organized to deliver appropriate services to students and employs an adequate number of qualified staff within the Division of Student Life demonstrating compliance with this standard.

3.10.1 Financial Resources: Financial stability

The institution's recent financial history demonstrates financial stability.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) includes the University of Tennessee Space Institute (UTSI) and the College of Veterinary Medicine (CVM) but are separate budget entities or divisions of the University of Tennessee System (System), the legal entity with fiduciary responsibility. Refer to [CS 3.13.4b](#) for an organizational chart and explanation of the relationship between the campuses and the System.

UT's recent financial history demonstrates financial stability. The institution has sufficient financial resources to support UT's mission, the scope of its programs, and its student enrollment. Administrators who manage and sustain the university's financial stability are fully qualified to serve in the positions they hold. UT provides the following primary evidence:

- Financial and compliance audits of the University of Tennessee, System (System) with management letters prepared by the Division of State Audit for [FY 2010-2011](#), [FY 2011-2012](#) and [FY 2012-2013](#)
- Statements of Net Position for UT prepared by the System Controller's Office for [FY 2010-2011](#), [FY 2011-2012](#) and [FY 2012-2013](#)
- Statements of Revenues, Expenses, and Changes in Net Position for UT prepared by the System Controller's Office for [FY 2010-2011](#), [FY 2011-2012](#) and [FY 2012-2013](#)

Revenues

The Statements of Revenues, Expenses, and Changes in Net Position for FY 2011 through FY 2013 demonstrate the University of Tennessee's financial stability. The statements present a consolidated total which includes the University of Tennessee, Knoxville (UT), the University of Tennessee Space Institute (UTSI) and the College of Veterinary Medicine (CVM).

Total Net Position has increased by \$306.6M or 23.3% to \$1.62B from FYE 6/30/2010 to FYE 6/30/2013. Operating and non-operating revenues increased by \$113.6M (14%) in FY 2013 to \$932.5M. Operating and non-operating revenues are used in this analysis because under Government Accounting Standards Board (GASB) standards state appropriations and gifts are reported as non-operating revenue.

A review of fiscal years 2011 through 2013 (Table 3.10.1-1) shows fluctuation in total revenue but strong growth from FY 2012 to FY 2013. This increase is primarily the result of increases in investment income (+\$71.5M), tuition and fees (+\$11.3M), appropriations (+\$9.4M), and non-capital gifts (\$8.5M). Investments yielded income in FY 13 versus a loss in FY 12. Tuition and fees have risen due to maintenance fee and tuition increases, the implementation of a new [15/4 tuition model](#), (a change from full fees being equivalent to 12 credit hours, to full fees charged at the rate of 15 credit hours once a student registered for more than 12 credit hours for the semester to encourage degree completion in four years) and to the implementation of differential tuition for three colleges with high instructional

costs. Appropriations increased due to increased funding for employee raises and to positive outcomes of UT's metrics used in a performance based funding model recently implemented by the State of Tennessee.

FY 2011 revenue is inflated due to \$77.4M in one-time stimulus related revenue (\$53.9M in FY 2011 appropriations and \$23.5M in FY 2010 end of year appropriations not received until FY 2011).

Table 3.10.1-1: Distribution of Operating and Nonoperating Revenue by Source (in millions)

Source of Revenue	FYE 6/30/2013	FYE 6/30/2012	FYE 6/30/2011
Tuition and fees	226.1	214.8	192.8
Federal appropriations	0.0	0.0	0.0
State and local appropriations	191.3	181.9	240.3
Grants and contracts	253.4	246.5	270.1
Sales and Services	21.3	20.3	20.5
Auxiliary enterprises	166.3	163.7	170.3
Noncapital gifts	13.2	4.7	1.4
Investment income	47.9	-23.7	81.7
Other Sources	13.1	10.7	10.3
TOTAL	932.5	818.9	987.3

Expenses

A review of fiscal years 2011 through 2013 (Table 3.10.1-2) indicates that expenses have been stable. Expenses only increased by \$13M (1.5%) from FY 2012 to FY 2013 and only by \$52.5M (6.2%) since FY 2011. The increase from FY 2012 to FY 2013 is primarily due to employee raises given in FY12 and FY13 (funded by state appropriations and tuition and fees) and an increase in the number of faculty and staff primarily added to help propel the university to the goal of becoming a Top 25 public research university. Increased benefits expense is primarily due to increases in required state retirement contributions and rising health insurance premiums. These increases are offset by a decrease in utilities, supplies and other services. This category was inflated in FY 2012 due to maintenance and repairs funded by one-time stimulus funds. \$28M of FY 2011 stimulus funds were specifically allocated to renewal and replacement projects, many of which were completed in FY 2012.

Table 3.10.1-2: Distribution of Operating and Nonoperating Expense by Natural Classification (in millions)

Source of Revenue	FYE 6/30/2013	FYE 6/30/2012	FYE 6/30/2011
Salaries and wages	428.2	397.5	381.6
Fringe benefits	154.6	147.3	144.8
Utilities, supplies, and other services	190.1	217.5	199.5
Scholarships and fellowships	35.4	38.9	41.4

Source of Revenue	FYE 6/30/2013	FYE 6/30/2012	FYE 6/30/2011
Depreciation and amortization expense	68.0	65.3	59.8
Interest on capital asset - related debt	17.3	13.7	14.4
Other nonoperating expenses	1.8	2.3	1.5
Total Expenses	895.4	882.4	842.9
Income (loss) before other revenues, expenses, gains, or losses	37.1	-63.5	144.5

Ratio Analysis

Analysis of five core ratios (Table 3.10.1-3) widely used in higher education was performed using information from the Statements of Net Position and Statements of Revenues, Expenses, and Changes in Net Position for the University of Tennessee.

Table 3.10.1-3 The University of Tennessee, Knoxville Key Ratios FY 2011 through FY 2013

Ratio	FYE 6/30/2013	FYE 6/30/2012	FYE 6/30/2011	Average
Current Ratio	1.57	1.44	1.51	1.51
Primary Reserve Ratio	0.49	0.49	0.58	0.52
Net Operating Revenues	4.0%	-7.8%	14.6%	3.6%
Return on Net Assets	6.2%	0.2%	15.8%	7.4%
Viability Ratio	1.01	10.9	1.35	1.15

The Current Ratio determines the ability of an institution to cover current liabilities using current assets. UT's FY 2013 ratio of 1.57 and three year average of 1.51 indicate that current assets are more than sufficient to cover current liabilities.

The Primary Reserve ratio helps to discern if the resources of the institution are sufficient and flexible enough to support the mission. A ratio of .40 or better is considered necessary for financial flexibility. The FY 2013 and three year average ratio indicate that UT can cover approximately six months of expenses using its expendable reserves.

The Net Operating Revenues Ratio helps to evaluate whether the institution is living within its available resources. The ratio should be between 2 to 4 percent over an extended period. UT's three year average is a healthy 3.6%.

The Return on Net Assets Ratio analyzes whether the asset performance and management support the institution's strategic direction. This ratio should be between 6 and 7 percent. UT's FY 2013 ratio is 6.2% and the three year average is 7.4%.

The Viability Ratio shows whether the financial resources (including debt) are managed strategically to advance the mission. A ratio of 1.00 indicates that an institution has sufficient expendable net assets to satisfy debt obligations at the Statement of Net Position date. UT has sufficient expendable net assets with a FY 2013 ratio of 1.01 and a three year average of 1.15.

Qualified Staff

The University of Tennessee, Knoxville (UT) places financial stability as a high priority and has a position at a [vice chancellor](#) level with that responsibility reporting directly to the Chancellor ([view organizational chart](#)). The division of the Vice Chancellor for Finance and Administration employs qualified staff members for the fiduciary and leadership responsibility of the Knoxville campus in three primary areas of accountability: fiscal, physical and auxiliary. The division's mission statement includes:

- The division goal is to provide quality support in the institution's pursuit of excellence through effective stewardship and enhancement of UT's resources.
- The strategies to achieve the goal of quality support of the instruction, research and public service functions include implementation of best operations practices; recommendation of efficient and cost effective policies and procedures; ensuring compliance with laws and regulations; focusing on internal and external customer needs; provision of a safe and productive physical environment.
- Core values include integrity; professionalism; compassion; fairness; and diversity.

The division is committed to a respective, safe and satisfying work environment. Each year the Vice Chancellor holds quarterly meetings with exempt staff, approximately 40, from each unit to inform staff of new initiatives, meet new staff, and have open communication. Weekly meetings are held with the vice chancellor and his direct reports to stay abreast of issues as well as bi-weekly staff meetings to enhance cross over communication. A [quarterly newsletter](#) is distributed to each staff member to further communication and share events within the division.

Division staff members are encouraged to advance their professional development through opportunities beyond what the University offers. These professionals teach [courses](#) both on- and off-campus, pursue additional degrees, and serve in leadership roles for various professional organizations such as the local UT Federal Credit Union.

Attendance at professional conferences such as National Association of College and University Business Officers (NACUBO) is supported and encouraged not only to further one's education and knowledge, but also to support a staff member who holds a leadership position in a professional organization that requires attendance, and/or when a staff member is presenting a professional paper at a state, regional, or national conference.

Annual written evaluations for each employee are a requirement. This gives each employee an opportunity to meet and discuss goals with their supervisor and receive timely feedback of their value and achievements from the past year. A Position Description Questionnaire (PDQ) is kept for each employee which details his/her particular job functions. As requirements change, an employee's PDQ will be updated and the PDQ may be reviewed to adjust compensation to be congruent with the job effort being attained by the employee. [Comprehensive Standard 3.2.9](#) provides detailed information about annual performance evaluation conducted at UT.

In order to insure effective performance and communication, all of the direct reports to the Vice Chancellor of Finance and Administration undergo annual performance evaluations and at least bi-annually have a 360-degree review where peers and their staff rate their performance.

All management and supervisory staff undergo periodic mandatory supervisor training to insure all are aware of any new policies, abreast of new leadership techniques, and assure consistent scoring on performance evaluations.

Fiscal Support of Campus

This division supports the fiscal aspect of the campus as it oversees the entire Knoxville campus budget of \$715.4M and the \$10.4M UTSI budget for FY 2014. This oversight includes monitoring expenditures, reconciliations, and adherence to budget allocated amounts. This compliance piece aids campus departments and divisions in staying within their budget guidelines. This unit dispenses personnel to perform "pre-audit" surveys of departments and their compliance to UT and System policies relating to ledgers, budgets, and handling of monies. Dollars are also monitored from this division to make certain they are spent within the scope of fiscal policies. All contracts entered into by UT must be approved by contract review which also reports to this division. Another unit within this division that supports the fiscal goals of UT is the Bursar where all student accounts are billed, balanced, and managed. A large sum of dollars comes to campus via grants and these are administered by the office of Sponsored Projects Accounting which tracks the expenditure of all grant monies received to insure compliance to UT and System Policies as well as individual grant restrictions.

Supporting the Campus through Auxiliary Services

The auxiliary departments reporting to the Division of Finance and Administration touch and enhance the college life of all students. From the University Police Department which keeps our community safe to University Dining which nourishes our patrons with over 35 eateries and 12,000 active patron meal plans to Parking Services which maintains and assigns over 16,000 parking spaces in over 170 lots on campus, this Division finds a way to make life better, more comfortable, and strives to keep these services affordable by being a good steward with the monies. The ID Office (VolCard) also maintains over 60,000 funded SVC (Stored Value Credit) plans for patrons to allow them to deposit funds into accounts and make purchases, enjoy vending, and do laundry with their cards and promote a cashless community. The Records Management office also is part of the Division of Finance and Administration and houses more than 22,000 boxes and over 47,000 x-rays of both short term and long term records for many of the departments on campus, thus assuring compliance with mandatory retention of records, both academic and financial. Arena Management which oversees the operations of the on campus Thompson-Boling Arena reports to Finance and Administration and hosts many events each year which enhance the quality of life for our student population as well as the enjoyment of thousands of non-campus affiliated patrons while bringing in a great deal of revenue for the campus. The on-campus bookstore serves the student population well by providing a much needed service and assisting the students to make sure they actually get the proper books required for each of their classes.

Conclusion

The University of Tennessee, Knoxville, demonstrated a stable financial history and is compliant with this standard.

3.10.2 Financial Resources: Financial aid audits

The institution audits financial aid programs as required by federal and state regulations.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville is in compliance by having all financial aid programs administered by the Office of Financial Aid and Scholarships audited. The Office provides services to the University of Tennessee, Knoxville as well as for the University of Tennessee Space Institute and the College of Veterinary Medicine. These services include a comprehensive set of programs including federal, state, institutional and external financial aid programs. Some of these programs include Pell Grants, Supplemental Educational Opportunity Grants (SEOG), Perkins Loans, Direct Loans, Work Study, Scholarships, State Grants, Teacher Loans, and external financial support.

The Office of Financial Aid and Scholarships is included in the annual system-wide audit of the University of Tennessee System by the State of Tennessee's Division of State Audit (the Division of State Audit completes the audit on a UT System-wide basis as the UT System holds fiduciary responsibility for all campuses and institutes within the UT System). The audits for FY 2011, FY 2012, and FY 2013 are completed in accordance with generally accepted auditing standards, test for compliance with federal and state laws and review internal controls used in administering federal financial aid programs as directed by the Single Audit Act Amendments of 1996 and the Office of Management and Budget (OMB) Circular A-133. Each campus is reviewed and findings are clearly identified by campus.

FY 2011: [Finding #4](#): Director of Financial Aid did not properly perform Direct Load reconciliation

FY 2012: [Finding #2](#): The Registrar's Office in Knoxville did not properly report enrollment data, increasing the risk of not initiating the student loan repayment process

FY 2013: [Finding #1](#): As reported in the previous audit, the Registrar's Office in Knoxville did not properly report enrollment data, increasing the risk of not initiating the student loan repayment process

The Office of Financial Aid and Scholarships participates in the Institutional Quality Assurance Program designed by the U.S. Department of Education to improve the process and procedures in awarding of public and private funds and assures accuracy in the administration of federal financial aid. This program requires routine reporting of data between the Office of Financial Aid and Scholarships and the U.S. Department of Education. The University of Tennessee also prepares a yearly Fiscal Operations Report and Application to Participate, (FISAP) [2011](#), [2012](#), [2013](#), [2014](#) which details how the Federal Title IV funds were spent during the previous year and submits it to the federal government.

Conclusion

The University of Tennessee, Knoxville has not had any correspondence from the U.S. Department of Education for the past three years regarding the Financial Aid program. The audits and FISAP applications demonstrate compliance in that UT regularly audits financial aid programs and takes any appropriate action needed based on the audit findings.

3.10.3 Financial Resources: Control of finances

The institution exercises appropriate control over all its financial resources.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) exercises appropriate control over all its financial resources as described in detail below.

The Office of the Vice Chancellor for Finance and Administration (VCFA) has fiduciary responsibility for the fiscal integrity of the University and accountability for budgets, expenditures, and funds management to the University Chancellor, the President of the University of Tennessee System (UT System), the UT System Board of Trustees, the Federal government, the State of Tennessee, other program sponsors and University constituents, faculty, staff, students, and the general public.

UT has in place, in concert with the UT System, significant policies and procedures to address appropriate control over financial resources. Currently there are [60 fiscal policies](#) for the UT System. In addition UT has developed [policies and procedures](#) that are supplemental to the UT System fiscal policies.

Examples of Expenditure Controls:

[Entertainment](#) spending: if the cost per person is more than \$100 or the use of the UT procurement card for entertainment purchases exceeds \$1000 but less than \$5000: a prior approval is required before incurring the expense

[Purchases](#) over \$5,000: must go through a formal bidding process unless exempt

[International travel](#) and export control tied to international travel: International travel is reviewed prior to the trip by the Office of Research and Engagement to help researchers comply with federal regulations prohibiting the unlicensed export of certain commodities and information.

Travel to countries on the [U.S. Department of State warning list](#) is reviewed individually with additional approvals required to travel to one of these countries.

The above types of transactions must be reviewed by the VCFA or a designee.

Communications with Campus Units

UT has in place, in concert with the UT System, a policy specifically for [receiving and depositing money](#) which addresses the safeguarding of University cash and other negotiable documents. [Training](#) is conducted routinely for units on how to prepare deposits and safeguard the University's assets.

Personnel within the Division of Finance and Administration work with personnel across campus with unit fiscal responsibility. For example, 1) the Office of Budget and Finance has a forum of campus budget directors and business managers who meet quarterly to discuss fiscal and administrative issues of importance, including appropriate control over financial

resources, new initiatives and policy enhancements; and 2) The VCFA, with primary responsibility for the establishment and communication of fiscal policies and procedures for UT, has communicated with the chief fiscal officers of the campus major units and the colleges on pertinent fiscal and administrative policy changes or changes brought about for example due to the Affordable Care Act.

Monitoring Financial Stability

The Associate Vice Chancellor for Finance and Administration (AVFA) and support staff monitor the financial stability of UT and is provided annual, quarterly and monthly reports to review UT's financial position. These reports include numerous expenditure and revenue analysis by business area and include but not limited to, year to year comparisons, facilities and administrative recovery analysis, gift balances and spending, scholarship budget and actuals, and utility expenditures analysis.

Fraud, Risk Assessment, and Monitoring

UT, in concert with the UT System, maintains a fraud policy ([FI0130](#)) and also participates in the division of Audit and Consulting Services in providing phone lines to report fraud and the publication of a hotline which provides any person with a mechanism to report misuse of funds to the State of Tennessee.

Each year, the Office of Budget and Finance performs a [risk assessment](#) of significant business processes and internal controls to comply with the Tennessee Financial Integrity Act of 1983. This assessment is submitted to the System, Office of Audit and Consulting Services. This office reports directly to the System Board of Trustees and is a University Of Tennessee System function and not a University of Tennessee, Knoxville office. The assessment identifies relevant risks associated with financial reporting objectives, which enables management to formulate a method for determining how the risks should be managed.

The VCFA has the responsibility for the review and accountability of the [conflict of interest](#) policy. All permanent employees are required to submit an annual disclosure and for fiscal year 2013, UT was 100% compliant.

Compliance

The VCFA's division employs 4 compliance officers with one added to the area of research post award compliance, as of May 1, 2014. These compliance officers are responsible for reviewing and ensuring the University is in compliance with Federal, State and University policies. Also, this division has employed a financial specialist to perform reviews of departments to ensure the reconciliation of university ledgers is performed. The University places high importance on the reconciliation of ledgers which provides oversight of transactions and protection of University assets. A fiscal policy ([FI0115](#)) is devoted to this process. In addition, the UT campus has designed a web site to give campus personnel instructions on [how to reconcile ledgers](#).

The division of the VCFA values the funds donated to UT and has commissioned one of the compliance officers to specifically review gift agreements to ensure dollars donated are being used as the donor intended. Some agreements are restrictive; requiring the University to follow the agreement to be in compliance.

Support units within the division of the VCFA conduct [training classes](#) on instructions or guidance such as how to:

- Manage a departmental budget
- Reconcile ledgers
- Report effort certification for research projects
- Prepare a deposit
- Stay PCI (Payment Card Industry) compliant
- Produce financial reports

These classes are open to any university personnel for registration and attendance.

Fiscal Year Closure Practices

The Office of Budget and Finance is responsible to the campus for setting [fiscal year-end deadlines](#) and reviewing units throughout the process to ensure responsible closing of the fiscal year. Reconciliation of accounts receivables, deposit accounts, agency funds (funds held for other entities) are reviewed and questioned when appropriate. Write-offs of uncollectable debt are reviewed as well as establishments of payables in the appropriate year. Over-expenditures by unit are captured and reviewed with the VCFA and eventually the Chancellor to make a determination of a reimbursement plan should a unit over extends its budget. Each unit is held accountable for the effective and efficient management of its resources.

Conclusion

The University exercises appropriate control over its financial resources. Through its organizational structure, qualified personnel, policies, processes, and procedures, the university is in compliance with this standard.

3.10.4 Financial Resources: Control of sponsored research/ external funds

The institution maintains financial control over externally funded or sponsored research and programs.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

There are two units with oversight of compliance monitoring for sponsored research – the Vice Chancellor of Research and Engagement and the Vice Chancellor of Finance and Administration. The Vice Chancellor of Research and Engagements is primarily responsible for compliance oversight geared towards the non-financial compliance aspects of sponsored research, such as Biosafety; Conflict of Interest; Export Control; IRB/Human Subjects; Institutional Animal care and Use Committee; Radiation Safety; and Responsible Conduct in Research. The Vice Chancellor for Finance and Administration is responsible for the financial monitoring of compliance for sponsored research and external funds through Sponsored Projects Accounting (SPA). This entails compliance oversight with university fiscal policies, federal regulations and all sponsors' terms and conditions. The University of Tennessee, Knoxville, is part of the University of Tennessee System and adheres to all of the fiscal policies of the System. Those policies that relate to externally funded or sponsored research include:

- [FI0125](#) Conflicts of Interests
- [FI0205](#) Sponsored Grants and Contracts
- [FI0210](#) Cost Sharing
- [FI0215](#) Effort Certification
- [FI0220](#) Cost Transfers
- [FI0230](#) Subcontract Monitoring
- [FI0235](#) Program Income
- [FI0420](#) Contracts
- [FI0605](#) Equipment

For each sponsored project, an account is created to capture research expenditures. The university departments are responsible for ensuring all expenditures are appropriately charged and timely in accordance with the university's related fiscal policies. SPA is responsible for the reporting and collection of these sponsored project funds with progress noted in the [Account Receivables Report](#) as of December 31, 2013, and certifies that the financial reports/invoices are in accordance with the sponsors' contractual terms and conditions, federal regulations, and university fiscal policies upon review of the financial activity.

In addition to the UT System Fiscal Policies, the UT campus distributes F&A to the colleges adhering to the [Research Incentive Fund Distribution Procedure](#). The [F&A rates](#) differ for the Knoxville campus, the University of Tennessee Space Institute in Tullahoma, and the College of Veterinary Medicine (rates were last negotiated in [January 2012](#)).

SPA communicates compliance updates, changes to federal regulations and university fiscal policies in various manners. A series of ten training modules geared to the financial management and education of federal regulations and UT fiscal policies for sponsored research is offered through the Employee and Organizational Development office. SPA, in

conjunction with the Office of Sponsored Programs, host a monthly [Research Administrative OutReach](#) (RAOR) forum which is geared toward departmental administrative staff to discuss related financial and procedural issues ranging from proposal submission and financial closeout of sponsored projects. Periodic newsletters as well as mass emails are utilized to notify the campus of issues and updates of relating to the financial compliance of sponsored research.

As further evidence of compliance, UT is audited annually by the State of Tennessee, Comptroller of the Treasury. These reports are available on the State of Tennessee, Office of the Treasurer, [Division of State Audit](#) website. This annual audit ensures that UT is compliant with Office of Budget and Management, Circular A-133. See the Report of the Treasurer for FY's [2011](#), [2012](#), and [2013](#), and the State of Tennessee audits for FY's [2011](#), [2012](#), and [2013](#).

Conclusion

The University of Tennessee, Knoxville maintains fiscal control over externally funded or sponsored research and programs through the oversight by the Vice Chancellor for Finance and Administration and the Vice Chancellor for Research and Engagement and is compliant with this standard.

3.11.1 Physical Resources: Control of physical resources

The institution exercises appropriate control over all its physical resources.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville, (UT) obtains and maintains both its owned and leased properties across the state. In accordance with state laws, the University of Tennessee System has policies in place to manage its properties and other physical resources. UT adheres to all System-level policies with regards to the management of properties and other physical resources.

Real Property

UT owns and leases several properties predominately in Knoxville (Knox County) as well as in surrounding communities of Oak Ridge (Anderson County), Gatlinburg (Sevier County), and Nashville (Davidson County). These locations are predominately for research purposes with the exception of the College of Social Work, located in Nashville, using [leased space](#) on Polk Street as an off-campus site for instructional purposes. This facility is leased by the System and utilized by the University of Tennessee Institute for Public Service, as well.

The University of Tennessee Science Institute (UTSI) is an additional off-campus site located in Tullahoma, Tenn. UTSI has become an internationally recognized institution for graduate study and research in engineering, physics, mathematics, and aviation systems. See [Owned and Leased Properties](#)-University of Tennessee Space Institute for the building inventory.

Deferred Maintenance

Overall Deferred Maintenance Scope and Analysis: The 2011 Deferred Maintenance Task Force closely examined each item and category and narrowed the overall deferred maintenance scope. Deferred Maintenance was prioritized based on the age of the building, the criticality of that building's function and other issues related to the Long Range Master Plan and the Top 25 Initiatives. For more information, see [Deferred Maintenance Task Force Initial Report](#).

For the Phase Two Deferred Maintenance Plan only those deferred maintenance needs that should be addressed prior to planned capital renovations have been estimated. The Campus Master Plan was used as a guide to the approximate timing of these renovations.

The twenty-one buildings contained in the attached spreadsheet, [New or Recently Constructed Buildings](#), were not included in the estimate due to being built or renovated since 2007. Also deducted from consideration were the [buildings scheduled to be demolished](#) in the near-term according to the master plan.

The buildings included for renovation in the near term by the Master Plan were only estimated for those repairs required for proper operation until they can be renovated. Please see the [Buildings in Mid- and Long-Term Master Plan](#).

All estimates were based on known deficiencies defined during the investigation. Additional costs could be incurred by unforeseen defects or, more likely, by deficiencies developing over the next few years.

The attached graphs are a visual representation of the fact that a majority (55%) of academic and support buildings at UT are between 42 and 120 plus years old without ever having undergone capital renovations. This is approximately 3.75 million square feet, of which over 1.5 million square feet exceed sixty years in age. See [Building Area by Date of Construction](#) or [Renovation and Building Area by Decade of Construction or Major Renovation](#).

Overall Deferred Maintenance Estimate: The Overall Deferred Maintenance scope of academic, research and support building and infrastructure deferred maintenance deficiencies are estimated to be over \$165,000,000. As for the Total Deferred Maintenance estimate, this amount does not include planned renovations, building demolitions or new space and new buildings recommended in the Long Range Master Plan (see [Buildings not Addressed in the Master Plan](#) for the list of buildings included in the Deferred Maintenance schedule). The breakdown of this estimate is as follows:

Utilities/Infrastructure Deferred Maintenance	\$67 million
Buildings Deferred Maintenance	\$83.3 million
Contingency including Design and Engineering Studies	\$15 million
Revised Overall Deferred Maintenance - Phase 2	\$165.3 million

In order to address this large backlog, ensure safety, prevent major issues and allow full usage of UT facilities the campus anticipates the need for a minimum of \$12 million annually to be budgeted to address the deferred maintenance repairs over the next 15 years.

Property Control

Physical Inventory: Annual Space Verification Surveys are conducted each year to account for all physical inventories and their costs. Cost centers are divided amongst Technical Services and Facilities Services Administration. Surveys are separated into a four step process. This process includes:

- Select space inventory
- Verify/change details related to each room on the inventory list
- Allocate work being conducted in each room to appropriate cost centers
- Provide required identification of all personnel that use offices for any function or space where research related activities take place

To ensure the accuracy of documentation on surveys, training courses are offered to those gathering the survey information.

UT keeps up-to-date records of its physical inventory of leased and owned properties for both the main UT campus and University of Tennessee Space Institute.

- Knoxville: [Knoxville Facilities Inventory](#) and [Knoxville Facilities Inventory Summary](#)
- Space Institute: [UTSI Facilities Inventory](#) and [UTSI Facilities Inventory Summary](#)

Space Inventory: Building and rooms data must be properly maintained and managed to ensure the accuracy of data provided to the University administration, the State of Tennessee, and various Federal Agencies in support of funding requests. The goal is to ensure the integrity of the information regarding space in campus buildings. The State and the Federal Government use building, room, equipment, maintenance, and operations data to calculate facilities and administrative costs. More information about F&A rates can be found in Comprehensive Standard [3.10.4](#).

Master Plan: UT recently revised the campus master plan. Near and long-term options for the campus are identified that are intended to support the campus strategic plan. The [full master plan](#) is attached to this report. and a discussion is contained in Core Requirement [2.11.2](#).

Fiscal Policies Relating to Management of Physical Resources

Fiscal Policies are developed, revised, and issued in response to changes in internal policy as well as state and federal laws and regulations. The Office of the Chief Financial Officer and Treasurer of the University of Tennessee System is responsible for revising and maintaining policy. The UT campus adheres to the policies as set forth by the System and implements them in a manner that is appropriate for the campus as mandated:

[FI0410 Purchasing and Bidding Requirements](#) provides general bidding policies and requirements for the purchase of supplies, equipment, and services from outside vendors.

[FI0110 Budgets](#) provides the policies by which the System and its campuses and institutes prepare its annual budget, including capital maintenance and outlay. The University's budget is a formal plan for financing the academic and support programs for the fiscal year beginning July 1 of each year. It is prepared prior to the beginning of each fiscal year and is approved by Board of Trustees prior to this implementation.

The capital budgeting process is used for non-maintenance projects exceeding \$100,000 in estimated costs. Three categories of projects follow the capital budgeting process once the funding source(s) have been identified; these include capital outlay, capital maintenance, and capital projects.

Capital Outlay is often associated with larger state funded projects such as new buildings.

Capital Maintenance is often associated with state funded projects for repairs, replacement, or upgrades to campus buildings or systems; this can vary from roofing to heating, ventilation, and air conditioning systems, to utility distribution systems.

Capital projects from school bonds and other sources are projects that require no state funding. These projects can range from small maintenance activities to major buildings that are funded via campus funds such as grants, auxiliaries, or other institutional funds like student fees.

Once a project is identified, the scope and estimated costs are developed, and the campus then determines the priority order for funding. For Capital Outlay and Capital Maintenance projects where state funding is being requested, the lists from the UT Knoxville campuses are combined and individual projects are sorted into a priority order for the university system as a whole. This list is submitted for approval by the Board of Trustees. Once the list receives Board approval, it is submitted to the State for possible inclusion in the Governor's budget request, which is then submitted to the State Legislature for approval. If approved by the Legislature, the projects that receive approval are available for submission to the

State Building Commission. Once the State Building Commission approves a project the university is able to begin the process for implementing the project.

Revenue funded projects follow a similar process. However, the approval through the Governor's budget and Legislative process is not a request for funds. Instead, it is a disclosure of intent. Once through the Legislative process, the project is submitted to the State Building Commission.

FI0131 Cash Shortages and Property Losses provides reporting requirements for cash shortages, losses of equipment, or other university property when employee involvement is not suspected.

FI0605 Equipment provides guidance for those with responsibility for *movable equipment* (including capital equipment and sensitive minor equipment) or *equipment* (including fixed equipment) for which UT has ownership or custody, including equipment purchased with funds from grants or contracts (unless the grant agreement or contract specifies otherwise).

FI0625 Lease of Real Property provides guidelines to university officials who are involved in the lease of real property by or to the university. Topics include general policies, required approvals, lease agreements when the University is the lessor and when the University is the lessee, and needed procedures.

FI0405 Purchasing - General Policies dictates that all purchases must be for official university use or benefit only. All goods and services purchased by UT must be in support of the instruction, research, public service, and supporting activities associated with the university's mission. Departments may not requisition materials, supplies, equipment, or services unless funds have been appropriated and are available for these purchases. The requisitioning department is responsible for determining that all items to be purchased are necessary.

FI0120 Records Management provides policies and guidelines on the storage, retention, and disposal of university records and includes information relating to the definitions of types of records, storage of paper and electronic records, storage of records and reports in departments, central storage, disposal of records, and minimum retention periods along with appropriate procedures, forms, and related policies.

FI0230 Subcontract Monitoring. A subcontract is a legal document by which the university procures the services of another entity in support of a project for which the university has secured external funding. Throughout this policy, terms subcontract, subcontracting, and subcontractor are used in a general sense to refer to any possible type of contracting vehicle to a lower entity, including subcontracts, sub grants, cooperative agreements, and others. This policy does not apply to professional services contracts or other purchasing contracts where the university is buying goods and services from a vendor.

FI0610 Surplus Property defines surplus property as movable equipment or supplies (opposed to real property such as land or buildings) a department determines to be obsolete, unusable, or property for which future needs do not justify the cost of maintenance and/or storage and provides information on proper removal from inventory and disposal.

Risk Management

UT manages risk as it relates to physical resources by sharing that risk through contract, agreement, or insurance. The university participates in the State Risk Management Fund. All

State-owned buildings and contents are provided all-risk, replacement cost coverage through a comprehensive program consisting of an internal service fund, called the Risk Management Fund and the procurement of commercial insurance policies from private insurance companies. For more information please see the Report of the Treasurer 2013, [Note 14](#) (System report).

Conclusion

The University of Tennessee, Knoxville, demonstrates compliance in that it exercises appropriate control over all its physical resources through implementation of its master plan and policies.

3.11.2 Physical Resources: Institutional environment

The institution takes reasonable steps to provide a healthy, safe, and secure environment for all members of the campus community.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville takes steps to provide a healthy, safe, and secure environment for all members of the campus community. This is accomplished through the work of the University of Tennessee Police Department (UTPD), Office of Emergency Management (OEM), and the Department of Environmental Health and Safety. These offices have oversight for all University of Tennessee System properties in the Knoxville area which includes the University of Tennessee Institute of Agriculture (UTIA), located adjacent to the UT campus. These offices and other groups work collaboratively to provide safety and security for all members of the campus community.

University of Tennessee Police Department

The mission of UTPD is to *provide professional police services, while working with faculty, staff, and students to reduce criminal opportunity and community anxiety*. The department *is committed to treating all people fairly while supporting an environment where diverse social, cultural, and academic values are allowed to develop*. The department *embraces the values of professionalism, respect, integrity, dedication, and excellence*.

UTPD provides basic police services to UTK. The department's main objective is to provide a safe campus for students, staff, faculty, and visitors. UT Police Officers perform a variety of tasks that include investigation of criminal activity, apprehension of criminals, accident and fire response, traffic enforcement, training and education, and security for special events. Information about UTPD and its programs is included in the [2013 Taking Precautions: General Information on Security](#) guidebook (herein, referred as the Security Guide).

Prevention

Through the Community Relations Unit (CRU), the police department offers services such as property engraving and educational programs to ensure the safety of members of the UT community and their belongings. To accomplish this goal, the UTPD and CRU offers posters, brochures, seminars on a variety of topics, statistical information, and many other services. Please see the [Community Relations \(CRU\) section](#) in the Security Guide.

UTPD offers a self-defense class, Rape Aggression Defense (RAD), throughout the academic year. Additionally, UTPD offers Operation ID, where students can have their valuables (laptops, iPods, bicycles, cellphones, etc.) engraved and cataloged with an ID number. Among other preventative measures, several classes and events are held for the university community which include:

- Alcohol Awareness Classes
- Community Response to Active Shooters
- Domestic Violence Prevention
- Spring Break Safety
- UTPD 101
- Social Event Safety

- Sexual Assault Awareness
- S.A.F.E. Classes (females-only Self-defense, Awareness and Familiarization Exchange)

Please see [Sexual Offenses: Policy and Educational Programs](#) in the Security Guide for a complete list of programs.

Surveillance

UT has more than 500 security cameras throughout the campus, including residence halls and non-commuter garages. Several cameras are in place for large venue locations such as Neyland Stadium and Thompson Boling Arena. These cameras are beneficial to law enforcement on game days and to the entire campus throughout the year. University Housing has upgraded the existing video surveillance systems in North Carrick, South Carrick, Clement, Humes, Massey, Laurel, Reese, and Volunteer Residence Halls from analog tape storage to digital hard drive storage with enhanced capabilities. Plans are currently underway to complete installation of security cameras at the Apartment Residence Hall, Hess Hall and Morrill Hall facilities during spring semester of 2014. Please see the [Security Cameras](#) section in the Security Guide.

UT Alert

Parties who are connected to the campus can choose to receive emails and text messages, called UT Alerts. The messages inform UT Alert members of criminal acts, natural disasters, and other emergency events that take place on campus and the surrounding areas. Please see [UT Alert](#) Emergency Response Notifications and Other Security Communication in the Security Guide.

Reporting

UTPD utilizes Comparative Statistics (Compstat) to continually monitor and analyze crime trends in the campus community. Compstat allows UTPD to forecast future crime patterns based on previous occurrences and develop strategies for targeting specific trends. This process also allows UTPD to allocate department staff or reallocate staff as concerns are addressed.

To comply with state and federal laws, UTPD collects and maintains statistics concerning crime on campus and in surrounding areas. UTPD sends monthly reports regarding on-campus crime to the Tennessee Bureau of Investigation (TBI) via the Tennessee-Incident Based Reporting System (TIBRS). These statistics are then reported by TBI to the Federal Bureau of Investigation. To comply with the Jeanne Clery Act, UTPD also sends reports to the U.S. Department of Education.

Security Handbooks are produced in October of each year by the university. These handbooks contain [statistics](#) for the past three years, not including year of production. [Crime Logs](#) are made available to the public. Both can be found online at the UTPD website.

Officers and Training

Police Officers receive 420 hours of basic police training through a Tennessee Peace Officer Standards and Training-certified (POST) training academy within their first six months of employment. Upon completion of the basic academy, officers are assigned to field training officers and must complete 320 hours of additional field training. In addition, UT Police officers are required to complete a minimum of 80 hours of in-service training each year.

Community Service Officers (CSO). UTPD employs non-sworn officers who serve as additional patrol units. These officers perform vehicle unlocks and jump starts for students,

faculty, and staff. They also assist with traffic control, building unlocks, and other duties as assigned.

Campus Protection Specialists (CPS). UTPD also employs a supplemental staff of non-sworn officers who serve as additional protection during special events such as sporting events and concerts, as well as around construction areas.

Certification and Recognition

In 2009, and in July 2012, UTPD was awarded re-accreditation through The Commission on Accreditation for Law Enforcement Agencies (CALEA). In January 2010, UTPD also was accredited through the International Association of Campus Law Enforcement Administrators (IACLEA) becoming one of only fifteen agencies dually accredited through CALEA and IACLEA, and at the time, the only campus law enforcement agency in Tennessee to have both accreditations. As of 2012, UTPD is one of two university police agencies in the state to hold national accreditation (the other is Vanderbilt University). These accreditations demonstrate that UTPD promotes student safety and accountability through programming, information sharing, and cooperation; it also highlights UTPD's commitment to excellence and professionalism.

Emergency Plans

The UTPD operates on a 24-hour basis and a police dispatcher is always available to take information. Students, faculty, and staff are encouraged to report all crimes committed against them, or any crimes they might witness, to the UTPD. This may be done by telephone or in person, and may also be done anonymously through Tip411. Tip411 is an internet based tool that enables the public to text message an anonymous tip to police, and lets the police respond back creating a two way anonymous "chat." Individuals may report crime anonymously through Tip411 by texting the keyword UTPD and their message to 847411 (tip411).

The University operates a telephone system that provides expanded emergency service to the campus community. On-campus emergency calls may be placed directly through 911 or UTPD's emergency line. Over 100 Blue Light Emergency Telephones are located across campus and in the Fort Sanders neighborhood. The Fort Sanders neighborhood, adjacent to the campus, is an area with several buildings owned by the university. The phones not only provide direct access to the emergency dispatch center and broadcast UT Alerts, but also allow callers to connect with T:Link. The T:Link is a para-transit service that takes students, faculty, and staff to specific destinations on campus when they are in need of a ride.

Department of Environmental Health and Safety

The mission of the Department of Environmental Health & Safety (EHS) is *to coordinate a comprehensive and continuing accident prevention and health maintenance effort compatible with the functions of the university*. The program is designed to create a healthy and safe atmosphere for study, research, service, and employment to promote good health and safety practices by the student body, faculty, staff and visitors. EHS currently administers programs fire safety, general safety and industrial hygiene, and hazardous materials environmental compliance.

The [Safety Manual](#) provides policies, procedures, plans and guides related to general safety, fire safety, environmental compliance, and hazardous materials management; it is available online at the EHS [web site](#) (not available in hard copy or pdf).

Office of Emergency Management

The [Office of Emergency Management's](#) (OEM) primary function is to provide campus level planning, training, and emergency management program coordination and implementation. Coordination includes ensuring proper integration of local, state, and federal prevention, preparedness, response, recovery, and mitigation efforts.

The OEM is also responsible for providing support, coordination, and guidance to all University of Tennessee System units located in the Knoxville area (including UTIA, UT System, University of Tennessee Institute for Public Service). This includes establishing the framework that allows for an integrated approach to prevention, preparedness, response, recovery, and mitigation by UT units. This is primarily accomplished by providing guidance in the Campus Emergency Management Plan and close coordination with key university response units.

The OEM is represented with the following entities:

- UT System alternate Emergency Services Coordinator to Tennessee Emergency Management Agency
- Local Emergency Planning Committee
- Tennessee State Emergency Communications Committee
- Executive Committee of the Southeastern Conference Police Chief and Emergency Managers Association
- Steering Committee for the 2013 Oak Ridge Emergency Management Forum
- Board of the Knoxville Volunteer Emergency Rescue Squad
- Governor's Veterans Education Task Force
- Member of the Emergency Manager's Association of Tennessee and the International Emergency Manger's Association

The OEM is represented in the following internal entities:

- Emergency Management Steering Committee
- Emergency Management Executive Committee
- Campus Safety Committee
- Stadium Security and Operations Planning Team
- Campus Notification Committee
- Surveillance Oversight Committee
- UTK Veteran's Task Force

The Institution disseminates emergency procedures and other health and safety related procedures through OEM's variety of outreach and communication efforts. Data Tracking, the means by which training and simulated exercises are executed and tracked, is an example of this. For complete examples and details see [OEM Data Tracking](#).

The [Emergency Management Plan](#) (EMP) is intended to establish policies, procedures and organizational structure for response to emergencies that are of a magnitude to cause a significant disruption of the functioning of all or portions of the University of Tennessee, Knoxville. This plan describes the roles and responsibilities of colleges, departments, units and personnel during emergency situations. The basic emergency procedures are designed to protect lives and property through effective use of university and community resources. Since an emergency may be sudden and without warning, these procedures are designed to be flexible in order to accommodate contingencies of various types and magnitudes.

Multi-Hazard Mitigation Plan

UT has assembled this Multi-Hazard Mitigation Disaster Resistant University Plan to meet the requirements of the Disaster Mitigation Act of 2000. This plan documents the process of identifying hazards and risks associated with UT; creating a hazard mitigation strategy specific to UT will lessen the campus' vulnerability, make it more resistant to disaster, and more sustainable.

Campus Evacuation Plan

The Campus Evacuation Plan (CEP), part of the Emergency Management Plan, was created to provide for the orderly and coordinated evacuation of all or any part of the population of UT if it is determined that such action is the most effective means available for protecting the population from the effects of an emergency situation. Evacuations of individual buildings and large venues have specific evacuation plans that are not included in the CEP.

UT Emergency Call Center

The Emergency Call Center is a resource which will be activated in emergency situations that cause call volume to exceed the campus information line capacity. Emergency Call Center workers will answer phones and redirect calls to the appropriate places, answer questions, and provide accurate information to callers.

Emergency Notifications

UT Alert is used for various situations including fires, tornado warning, campus closures and delays (winter storm), utilities outages (power, network), active shooter, evacuations, and criminal activity. The University employs a variety of methods to notify the campus community of dangerous situations and major interruptions in campus operations. The goal is to inform a community by every communication means available; the campus community is asked to spread UT Alerts to others and take protective actions for safety. Methods to employed include

- Emergency Blue Phones and Neyland speakers– outdoor voice messages all over campus.
- UT Alert email – sent in conjunction with the text with tips of how to protect yourself for the type of emergency. There are no text limitations to the email so it allows for more detail than can be sent via text. Emails are delivered by internal servers and normally arrive faster than text messages.
- UT Alert text – a general message notifying of a situation which requires immediate attention.<
- Social Media – UT Alert text messages will be reposted on Twitter (@UTKnoxville).
- Web – As updates and details are available, they are posted on the campus homepage at utk.edu.

Inclement Weather Policy

UT will remain open except in the most severe weather conditions. The Chancellor (or appointed representative) may officially close or suspend selected activities of the University because of extreme weather conditions. When a decision to close is reached, campus and local radio and television stations will be notified. The notice will also be posted on the University's homepage.

If the University is officially closed, certain essential activities such as Dining Services, Facilities Services, UT Police, and Information Technology will continue to operate. Some facilities such as Hodges Library and the University Center will, if possible, continue to function as a service to students and faculty.

In the event of a delayed opening, the Chancellor (or appointed representative) will determine a specific time of opening and that information will be distributed to the campus community.

Storm Ready

The National Weather Service has recognized UT, Knoxville for improving the timeliness and effectiveness of hazardous weather warnings for the campus and increasing communication and preparedness by renewing our [Storm Ready designation](#). This designation is a validation of the efforts to improve awareness and plans to quickly disseminate information to the campus community. Emergency Operations Plans, training, and local weather and water monitoring capability are also evaluated as part of the Storm Ready program.

Planning Tools for UT Units

Building Emergency Action Plan

A Building Emergency Action Plan (BEAP) is required by OSHA for each university building. The BEAP addresses life safety issues specific to the building it is written for. It focuses on building specific communication, evacuation, and sheltering procedures. This often must be completed with input from multiple departments utilizing the same building. Environmental Health and Safety can advise university units to assist in BEAP preparation.

[Building Emergency Preparedness Coordinators](#)

The Emergency Preparedness Coordinator Program is an effort to connect the campus emergency planning and response with the campus community. The goal is to train the people who know the building and occupants in basic emergency response action. Therefore, these people can act as a resource and liaison to the students, faculty, and staff who frequent that facility. See [zone-maps](#) for a map of all of the emergency management zones and the coordinator that corresponds with that zone; this is also available [online](#).

University of Tennessee Space Institute (UTSI)

UTSI is a graduate education and research institution located in Tullahoma, Tennessee (south-central Tennessee not far off Interstate 24). The Space Institute has become an internationally recognized institution for graduate study and research in engineering, physics, mathematics, and aviation systems and has made remarkable contributions at the local, state, national, and global levels. There are 112 full-time graduate students located at UTSI and an additional 30 students who split their time between UTSI and UT. There are 21 full-time faculty fully funded by UTSI and an additional 15 with split appointments between the UTSI and UT campuses (joint funding of salaries).

UTSI supports the Air Force Arnold Engineering Development Center (AEDC) in maintaining state-of-the-art expertise in both technical and managerial ranks. About 500 AEDC employees have earned graduate degrees at the institute, including 40 doctorates. In addition, thousands have participated in the continuing education programs offered by UTSI. The faculty and students have worked on a variety of research and technology development projects with AEDC personnel. It has been acknowledged often by the leadership at AEDC that the educational support of UTSI is critical to AEDC in fulfilling its national mission for the Department of Defense, NASA, and the aerospace industry.

The UTSI campus has a main academic building, several research laboratory buildings, a student center with dormitory facility, and a physical facilities building. The Facilities Director manages operations, maintenance, shipping and receiving, mail service, office supplies, telephone system, physical security, keys, and the waste water plant. UTSI Safety Office is responsible for encompasses occupational safety, Emergency Management and Chemical Hygiene; provides safety training; laser safety training; maintains Automatic

External Defibrillators (AED's) for public use; conducts annual CPR and first aid training; and utilizes a UTSI Alert system (text messaging and email) for emergency communication. The UTSI facility is also serviced by the Franklin County Sheriff Department and the Estill Springs Fire Department.

UT College of Social Work-Nashville

The UT College of Social Work has a unit located at the Polk Center (rented space managed by the UT System) in southeast Nashville, TN. The Polk Center houses facilities of the College of Social Work, University Libraries, the University of Tennessee Institute for Public Service (an arm in the UT System), Social Work Office of Research and Public Service (a unit in the College of Social Work), and the College of Pharmacy (a college in the University of Tennessee Health Science Center). Being located in the largest metropolitan area in Tennessee, it is serviced by Nashville police, fire protection, and EMS services.

University of Tennessee Institute of Agriculture (UTIA) Safety Office

The UTIA has four administrative units under the leadership of Chancellor Larry Arrington: AgResearch (formerly call the Tennessee Agricultural Experiment Station), UT Extension, the College of Veterinary Medicine, and the College of Agricultural Sciences and Natural Resources. AgResearch and UT Extension jointly operate numerous Research and Education Centers across the state to address the needs of the agriculture and natural resource research and outreach programs, and youth development programs. UT Extension also has offices in each of the 95 counties and three 4-H camps in Columbia, Crossville, and Greeneville, Tenn. Those sites outside of Knoxville fall under the administration of local law enforcement agencies and county or municipal governments and are not included in this accreditation report as Chancellor Jimmy G. Cheek, of the University of Tennessee, Knoxville, does not provide oversight for these operations. However, the UTIA does have a Safety Officer who works closely with staff at the research and education centers and 4-H campus to ensure they are providing a safe and healthy environment. The Safety Officer also works closely with the UTPD, OEM, and Department of Environmental Health and Safety. For a full description of the relationship of the UT System (headquartered in Knoxville), UT, and UTIA, refer to [Comprehensive Standard 3.13.4.b](#) Description of System.

The [Safety Officer](#) promotes a safe and healthful work and academic environment at the various facilities of the Institute of Agriculture. The program was developed in accordance with Tennessee Occupational Safety and Health Act (TOSHA), the Tennessee Department of Environment and Conservation (TDEC), and other standards and codes promoting occupational health, safety and environmental stewardship. UTIA Safety Officer services include:

- Annual safety, occupational health, and environmental protection inspections of all UTIA facilities
- Annual fume hood testing
- Hazardous waste disposal and waste management consultation
- Training
- Assistance in developing policies, procedures and written plans in compliance with local, state, and federal agencies
- Facilitation of AED/CPR video-based training

Conclusion

The University of Tennessee, Knoxville, demonstrates compliance of providing a healthy, safe and secure environment for all members of the community. This is accomplished through the University of Tennessee Police Department, the Office of Emergency

Management, and the Department of Environmental Health and Safety taking the lead in working with the university community on many different aspects of safety, health, and security.

3.11.3 Physical Resources: Physical facilities

The institution operates and maintains physical facilities, both on and off campus, that appropriately serve the needs of the institution's educational programs, support services, and other mission-related activities.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee (UT), Knoxville's capital improvement plan, facilities services guides, classroom upgrade reports, general and specialty library collections, instructional facilities, extension offices, research and education centers establish compliance. These resources allow UT to meet its mission -

Our primary mission is to move forward the frontiers of human knowledge and enrich and elevate the citizens of the state of Tennessee, the nation, and the world. As the preeminent research-based, land-grant university in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions.

The master plan takes into account the need to continually improve facilities to meet the demands of today's and tomorrow's faculty, staff, and students as they teach and learn, conduct research, engage in creative activity, and outreach programming.

Master Plan

In December 2009, Chancellor Jimmy G. Cheek established the nineteen-member [Master Plan Advisory Committee](#) to lead the [process](#) of updating the campus plan. The committee worked closely with Bullock Smith & Partners, a Knoxville firm, which developed the original plan in 1994 and guided the 2001 updates. In addition to the Advisory Committee, seven subcommittees worked on specific elements of the plan. They were chaired by Advisory Committee members who are faculty or administrators with expertise in the areas of academics, research, facilities, design and historic preservation, energy and environment, student housing and engagement, and parking and transit services. After stakeholder meetings and public input, a final draft was [submitted](#) to the UT Board of Trustees, who approved it in June 2011. The Tennessee State Building Commission approved and adopted it in September 2011.

The [Master Plan](#) defines current and future building needs in Knoxville, including renovations and campus expansion, in light of UT's goals to enhance research, information technology and academic quality. A key element of the Vol Vision Top 25 Strategic Plan is to move UT from a Top 50 public research university to the ranks of the Top 25 involves having the resources to improve and supplement the campus facilities to support first-rate academic and research programs, along with student housing and services.

UT currently has 17 near term projects. Eight of those projects are funded by the state, and nine projects are being completed with other funds. The UT Agricultural Campus (headquartered adjacent to the UT Knoxville campus) currently has eight near-term projects. One project is funded by the state and seven are being completed with other funds. For a complete list of projects in the near-term phase see the [Master Plan, Near-term Projects](#).

Green Space

Over time, the Master Plan moves vehicular traffic and parking to the edges of campus so pedestrians and bicycles can move throughout the campus more easily; campus bicyclists will be able to easily connect to the city's well-established greenways.

As buildings are renovated and constructed and land is repurposed, the plan gradually turns UT's grid-style campus layout into a pedestrian-centered layout. Enhancing the green spaces and improving navigation, along with improving its facilities, will provide the campus a more traditional atmosphere and be more like other flagship research universities of our size and stature.

The plan recommends enhancing the campus's open spaces on the Hill, Circle Park, Morgan Hall, and the plot and pasture land on the Agriculture campus. Small "pocket parks" will be added along Melrose Avenue and east of Hoskins Library. In the long term, the Agriculture campus would become itself a full trial garden, displaying various types of landscaping throughout its acreage.

For more information about campus green space see the [People and Bikes](#) section of Master Plan Recommendations.

Employee Satisfaction Survey

The purpose of the Facilities Services Department Employee Satisfaction Survey is to evaluate the perspectives and opinions of the department's more than 600 employees regarding the conditions surrounding their daily work experience. In addition to helping Facilities Services as a department acknowledge and address interdepartmental successes and problems, data generated by the survey results will be utilized to respond to the 2013 Association of Physical Plant Administration (APPA) Facilities Performance Indicators (FPI) Survey.

The 2013 employee survey produced a larger response rate than 2012. There were 183 survey responses submitted in 2013, in comparison to 172 submitted responses in 2012. The survey answers were ranked from 1-5 with 1 equaling "strongly disagree" and 5 equaling "strongly agree." Overall, the average response to 25 of the 46 questions increased positively. The average of the increase from 2012 was +0.106. Questions related to employee/supervisor and employee/direct supervisor relationship satisfaction showed the greatest increases, ranging from 0.22-0.17 in positive differences. Of the 46 questions, one received the same average response for both the 2012 year and the 2013 year. Receiving adequate training needed to perform one's job efficiently had an average score of 3.42.

Research and Service Functions

As the state's primary comprehensive research institution, the university's research space includes agricultural, biomedical and biological sciences, engineering, physical and social sciences and humanities research facilities located across the campus and the state.

The [University of Tennessee Space Institute](#) (UTSI) is a graduate education and research institution located in Tullahoma, Tenn., adjacent to the U.S. Air Force Arnold Engineering Development Center. UTSI was established in 1964 as part of the University of Tennessee and has become an internationally recognized institution for graduate study and research in engineering, physics, mathematics, and aviation systems and has made remarkable contributions at the local, state, national, and global levels.

In accordance with its mission, UTSI supports the Arnold Engineering Development Center (AEDC) in maintaining state of the art expertise in both technical and managerial ranks. About 500 AEDC employees have earned graduate degrees at the Institute, including 40 doctorates. In addition, thousands have participated in the continuing education programs offered by UTSI. The faculty and students have worked on a variety of research and technology development projects with AEDC personnel. It has been acknowledged often by the leadership at AEDC that the educational support of UTSI is critical to AEDC in fulfilling its national mission for the Department of Defense, NASA, and the aerospace industry.

The [campus](#) has a main academic building, several research laboratory buildings, a student center with dormitory facility, and a physical facilities building. The Facilities Director manages operations, maintenance, shipping and receiving, mail service, office supplies, telephone system, physical security, keys, and the waste water plant.

The **Howard H. Baker, Jr. Center for Public Policy** is an education and research facility located on the campus of UT Knoxville. The building also houses the Chancellor's Honors program, the Modern Political Archives, and research rooms. Designed to Leadership in Energy and Environmental Design (LEED) Silver Certification, the center is a 51,527-square-foot, three-level structure clad in brick and Tennessee Marble. The archives research rooms are free and open to the public. A [list of facilities](#) is included.

The University of Tennessee System manages, with the assistance of the University of Tennessee, Knoxville, and operates Oak Ridge National Laboratory (ORNL) through UT-Battelle (the managing contractor for ORNL) with substantial support from the state of Tennessee. The research enterprise consists of \$3 billion in research facilities, equipment and expertise in East Tennessee. Most of the research facilities are located at ORNL. However, UT received \$87 million in capital investment and research incentives for site improvements at the [Cherokee Farm Innovation Campus](#) (formerly land occupied by the UTIA Dairy across Fort Loudon Lake from the Knoxville campus) and construction of the Joint Institute for Advanced Materials (JIAM), one of five joint institutes created by UT-Battelle and UT.

Tenants of the Cherokee Farm Innovation Campus will have preferred access to this facility, which offers materials science research capabilities available at only a handful of facilities worldwide. Additionally, JIAM is a multidisciplinary facility, joining its capabilities with those of other research facilities at both the adjacent UT main campus and at ORNL. This \$47 million, 142,634 square-foot facility is slated for completion in 2015 and is projected to achieve LEED Silver status from the U.S. Green Building Council.

University Libraries

Among the primary assets are the university's general and specialty library collections across Tennessee, with 3.3 million volumes total, according to the most recent Association of Research Libraries (ARL) report. The University Libraries and the facilities located at the UT Space Institute and the College of Social Work-Nashville, are discussed in [Comprehensive Standard 3.8.1](#).

Maintenance and Services

Facilities Services Department operates and maintains 260 buildings (15.85 million gross square feet) on 780 acres. The Facilities Services Department is responsible for the basic building operation and continuous maintenance of the physical facilities of the UT Main and Agricultural campuses located in Knoxville, along with grounds management of the landscapes. Facilities Services does not support the UTIA with their off-campus sites as

UTIA personnel located at the research and education centers, operated jointly by AgResearch and UT Extension, and the 4-H campus, operated by UT Extension, have that responsibility. County Extension offices are maintained by county governments.

The [Knoxville](#) (includes all properties in the Knoxville area including the main and agriculture campuses and ORNL facilities owned/leased by the University) and [UTSI](#) building inventories are attached.

Reorganization of Facilities Services

Facilities Services, under the leadership of the Associate Vice Chancellor for Facilities Services (started October 2011), was reorganized and structured to:

- Provide additional Funding for Custodial In-Sourcing
- Put in place new Facilities IT/Communications System
- Provide additional Funding for Facilities IT Support
- Provide additional Funding for Facilities Training
- Provide better employment opportunities for Facilities Service employees through a new form of in-sourcing

The transition to in-house custodial services has ended agreements with outside cleaning contractors and resulted in the hiring of approximately 120 new employees. By executing this plan, benefits such as better cleaning and more responsiveness to the needs of the university have taken place. The transition has also given room for the implementation of the *total cleaning* concept. This effort will keep restrooms and common areas cleaner and provide deeper level of cleaning services.

Additionally, in an effort that is open, transparent, and comprehensive, all Facilities Services employees are informed of every position that becomes open and available. The new process also provides a better opportunity and easier process for employees to apply for these positions, with interviews for all who applied for a given position. This equal opportunity initiative makes in-sourcing more efficient, open, and fair.

As part of the reorganization, two new units or teams were organized: the Special Team to Assist Research (S.T.A.R. Team) and the Rapid Response Team. The S.T.A.R. Team reports to Zone Maintenance and performs basic functions that support key Vol Vision-Top 25 goals, the Governor's Chairs with *concierge service* providing pre-award to construction to maintenance, and elevator maintenance. The Rapid Response Team reports directly to Facilities Operations and has responsibilities for Facilities Quality Control (*eyes and ears* for Facility Services), special projects, customer initiatives, crisis and emergencies, and transfer and moving.

The reorganization plan was presented to the campus leadership at the annual Academic Leadership Retreat (see Facilities Services Reorganization Presentation, pages [6 through 9](#)).

The Steam Plant

The Steam Plant Division of the Facilities Services Department is responsible for the maintenance and operation of the central steam plant which serves both the Main and Agricultural campuses; 153 buildings, containing over 7 million square feet of space, are served by the Steam Plant. Steam is used for heating and domestic hot water in these facilities, as well as to operate sterilizers, autoclaves, and similar machinery. Eleven miles of underground steam pipe and return lines crisscross the Main and Agricultural campuses.

The Steam Plant is currently executing a Conversion Plan from burning coal to natural gas and will ultimately make UT more environmentally friendly. Conversion to natural gas provides a reduction in emissions, eliminating the need to install coal emissions controls. This is a three year project (across four fiscal years) and will cost an estimated \$25 million. The projected cash outlays for Fiscal Year 2013-2016 are as follows:

Fiscal Year 2013 = \$1,730,000
Fiscal Year 2014 = \$8,230,000
Fiscal Year 2015 = \$10,940,000
Fiscal Year 2016 = \$4,410,000

The Steam Plant Conversion Plan will eliminate three coal-fired boilers, install three high-efficiency natural gas fuel oil boilers, replace and relocate the water treatment system and air compressors, increase fuel storage from 40,000 to 240,000 gallons, will maintain capability for three weeks backup (thus decreasing emissions by 39,000 MTCDE, a 43% reduction), add rail delivery capability for fuel oil (this adds a second delivery choice, thus increasing reliability), and may provide opportunities for cost savings for delivery.

Classroom Support

All students on the Knoxville campus pay a facilities fee and a technology fee. The Classroom Upgrades Committee was formed in fall semester 2000 after the adoption of the facilities and technology fees. The original committee was formed to create and implement a plan for classroom renovation given the opportunity proved by this annual revenue source to improve instructional conditions on the UT campus. Over the first 10 years of the program, \$15.67 million has been allocated to classroom renovations with \$14.17 million in student fees and \$1.5 million in Federal Stimulus Funds in Fiscal Year 2010.

Deferred Maintenance

Overall Deferred Maintenance Scope and Analysis

The [2011 Deferred Maintenance Task Force](#) closely examined each item and category and narrowed the overall deferred maintenance scope. Deferred Maintenance was prioritized based on the age of the building, the criticality of that building's function and other issues related to the Long Range Master Plan and the Top 25 Initiatives. For more information, see Deferred Maintenance Task Force Initial Report.

For the Phase Two Deferred Maintenance Plan only those deferred maintenance needs that should be addressed prior to planned capital renovations have been estimated. The Campus Master Plan was used as a guide to the approximate timing of these renovations.

The twenty-one buildings contained in the attached spreadsheet, [New or Recently Constructed Buildings](#), were not included in the estimate due to being built or renovated since 2007. Also deducted from consideration were the buildings scheduled to be demolished in the near-term according to the master plan.

The buildings included for renovation in the near term by the Master Plan were only estimated for those repairs required for proper operation until they can be renovated. Please see the [Buildings in Mid- and Long-Term Master Plan](#).

All estimates were based on known deficiencies defined during the investigation. Additional costs could be incurred by unforeseen defects or, more likely, by deficiencies developing over the next few years.

The attached graphs are a visual representation of the fact that a majority (55%) of academic and support buildings at UT are between 42 and 120 plus years old without ever having undergone capital renovations. This is approximately 3.75 million square feet, of which over 1.5 million square feet exceed sixty years in age. See [Building Area by Date of Construction](#) or [Renovation and Building Area by Decade of Construction or Major Renovation](#).

Overall Deferred Maintenance Estimate

The Overall Deferred Maintenance scope of academic, research and support building and infrastructure deferred maintenance deficiencies are estimated to be over \$165,000,000. As for the Total Deferred Maintenance estimate, this amount does not include planned renovations, building demolitions or new space and new buildings recommended in the Long Range Master Plan (see [Buildings not Addressed in the Master Plan](#)). The breakdown of this estimate is as follows:

Utilities/Infrastructure Deferred Maintenance	\$67 million
Buildings Deferred Maintenance	\$83.3 million
Contingency, including Design and Engineering Studies	\$15 million
Revised Overall Deferred Maintenance - Phase 2	\$165.3 million

In order to address this large backlog, ensure safety, prevent major issues and allow full usage of UT facilities the campus anticipates the need for a minimum of \$12 million annually to deferred maintenance repairs.

Capital Projects

There are currently over \$1 billion in approved projects at various stages and 80 projects in new phases or undergoing construction of which 68 are Revenue Funded, eight are funded through Capital Maintenance, and 4 are Capital Outlay. In the [Quarterly Contract Report](#) released January 1, 2014 for the Fiscal Year 2013/2014 there are currently 35 Budgeted Projects, 25 Approved Projects, and 10 Projects On-Hold. Projects for the Knoxville campus are highlighted in the attached quarterly report.

Sustainability Efforts

In an effort to reduce waste and become more efficient, UT has instituted a number of initiatives to become more sustainable, this includes improved recycling and waste reduction, and to reduce the carbon footprint of the university. These efforts are described here as they have an impact on the facilities and environment in which the members of the university community works and lives.

UT Recycling and Waste Reduction was founded as an operational entity within Buildings Services in 1993. It currently has four full time operations employees, one full time outreach coordinator, and more than ten student interns. UT Recycling provides quality services to all campus buildings and makes continuing strides to minimize all forms of waste produced on, and removed from campus. UT Recycling functional areas include:

- Providing recycling collection services at all campus buildings
- Providing compost collection services at most campus dining facilities
- Promoting simple living and the Zero Waste lifestyle
- Engaging UT community through volunteer opportunities & educational programs
- Contributing to the development of sustainable practices and planning

[UT Recycling](#) handles many different types of materials including aluminum, plastics, paper, cardboard, steel cans, food waste, green waste, batteries and other e-waste, printer and toner cartridges, fluorescent and CFL lights, ballasts, pallets, and scrap metal. UT Recycling offers multiple disposal points conveniently located around the entire campus, including desk side bins, classrooms and common areas, near building entrances, residence halls common areas, and other areas on campus. UT Recycling creates, executes, and participates in several projects designed to promote awareness and provide the tools needed to keep the UT community environmentally friendly and safe. These programs include:

- [Recycle Mania](#)- a nationwide competition and benchmark tool for college and university recycling programs to promote waste reduction activities to their campus communities.
- [Game Day Recycling](#)- UT Recycling works in partnership with UT Athletics and Good Sports Always Recycle to eliminate all waste associated with athletic events.

The [Office of Sustainability](#) is housed in Facilities Services, part of the Finance & Administration Division. It was formed by the creation of a full-time sustainability manager position in 2007. Since that time, the Office of Sustainability team has grown to include a full-time sustainability outreach coordinator and several part-time sustainability interns. The Office of Sustainability supports environmental sustainability initiatives that:

- Reduce air, water, and land pollution from campus operations
- Reduce greenhouse gas emissions and the use of nonrenewable resources
- Promote recycling and conservation practices among the UT community
- Protect and enhance the beauty of campus grounds and facilities
- Demonstrate the university's commitment to environmental stewardship

Both UT Recycling and Waste Reduction and UT Sustainability work together to promote environmental stewardship at UT, by strategically bridging the gap between campus operations, teaching, research, and outreach. The most effective collaborative initiative is Make Orange Green. UT has made great progress at reducing the environmental impact of campus operations. The university has been widely recognized as a leader in resource conservation and environmental stewardship.

The Student Facilities Fee provides funds for improving classrooms and expanding technology in the classroom, making the campus more attractive and sustainable. In fall of 2005 the student facilities fee was increased to establish funding for green power and campus sustainability initiatives. The Student Environmental Initiatives Fee (unofficially known as the [Student Green Fee](#)) is administered by the Student Environmental Initiatives Committee as a representative body of students, faculty, and staff. The mission of the committee is to identify, research, and recommend uses of funds supporting environmental stewardship and sustainability, as well as clean and renewable energy technologies. The committee's [charter](#) and [guidelines](#) were approved and adopted in April 2012.

In fall 2009, the UT Board of Trustees increased funding for Student Environmental Initiatives from \$5 for in-state students/\$30 for out-of-state students, to its current \$10 for in-state students/\$35 per semester out-of-state students, respectively. This enables the Knoxville campus to accelerate work on projects. Projects completed in fiscal year 2012-2013 through allocated funding are:

- Melrose Avenue streetscape project

- Lake Loudoun Blvd. streetscape project
- Campus entrance ways at Neyland Drive and Kingston Pike
- Renovation of the Humanities and Social Sciences Building

See [Facilities Fee Breakdown](#).

The **Student Environmental Initiatives Budget Summary** from Fiscal Year 2009-2010 to Fiscal Year 2013-2014 provides a list of projects funded through the fee and demonstrate fiscal responsibility:

[FY 2009-2010](#) (page 5)
[FY 2010-2011](#) (page 6)
[FY 2011-2012](#) (page 7)
[FY 2012-2013](#) (page 8)
[FY 2013-2014](#) (page 9)

UT has maintained and budgeted funds sufficiently over the past years by adequately dispersing funds to specific areas that benefit most from environmental efforts. [Student Environmental Initiatives Fee Project List](#) provides a description of various expenditures for FY 2013-2014 and for future fiscal years 2014-2015 to 2017-2018, along with the Student Environmental Initiatives Budget Summary, demonstrate the university's commitment to creating a more environmentally friendly and safe campus as time progresses.

Facilities Fee Environmental Initiative Cost Summaries are given for each of the past five fiscal years.

[FY 2009-2010](#)
[FY 2010-2011](#)
[FY 2011-2012](#)
[FY 2012-2013](#)
[FY 2013-2014](#)

Conclusion

The University of Tennessee, Knoxville, operates and maintains physical facilities, both on and off campus, that appropriately serve the needs of the education, research, and outreach programs. The Department of Facilities Services provides the leadership for campus building and facility operations for the Knoxville-area including the UTIA Agriculture campus buildings. The UTSI has their own Facilities Services personnel to maintain that campus. The College of Social Work-Nashville is located in a rented facility that is maintained and operated by the University of Tennessee System. All facilities are maintained, there is a plan in place to deal with deferred maintenance, and a master plan in place that guides future construction (new or renovations) to meet the needs of the strategic plan. Therefore, the University is compliant with this standard.

3.12 Substantive change

The institution notifies the Commission of changes in accordance with the Commission's substantive change policy and, when required, seeks approval prior to the initiation of changes. (See *Commission policy "Substantive Change for Accredited Institutions."*)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville, has an Associate Vice Provost (AVP) who serves as the SACSCOC Liaison and is a direct report to the Provost and Senior Vice Chancellor. The AVP reviews all agendas for the University Undergraduate and Graduate Councils to be able to identify any potential substantial changes and consults with the appropriate unit to make a determination. All substantive change reports must go through the AVP.

At the time of The University of Tennessee's previous reaffirmation in 2005, the University was composed of multiple sites with multiple campus chancellors and institute vice presidents with the University of Tennessee System President serving as the CEO of the accredited institution called The University of Tennessee with the following units: University of Tennessee, Knoxville (UT, Chancellor), University of Tennessee Health Science Center (UTHSC, Chancellor), the Institute for Public Service (IPS, Vice President), the Institute of Agriculture (UTIA, Vice President renamed to Chancellor in [June 2010](#)), and the Space Institute (UTSI, Vice President renamed to Executive Director reporting line changed from the System President to the UT Chancellor in [June 2010](#)). University of Tennessee at Chattanooga (UTC, Chancellor) and University of Tennessee at Martin (UTM, Chancellor) maintain independent accreditation from The University of Tennessee.

After the submission of the Fifth-Year Interim Report, Dr. Steve Sheeley, SACSCOC Vice President, met with the leadership of the University on November 21, 2011 and initiated conversation suggesting separating entities for purposes of accreditation (information is provided in [CS 3.13.5.b](#), Policy Compliance, Separate Accreditation for Units of a Member Institution). As a consequence of this meeting and upon the advice of SACSCOC, a substantive change was submitted to SACSCOC proposing a reorganization of the University of Tennessee. The result was:

- removal of the University of Tennessee System administration (UT System);
- removal of the Institute for Public Service (UTIPS, a non-academic degree unit with state-wide programming targeting local governments);
- removal of the Institute of Agriculture (UTIA, a multi-function entity with state-wide responsibility for federally supported agriculture research and Extension programming; College of Agricultural Sciences and Natural Resources and College of Veterinary Medicine are administratively housed in the UTIA with the deans also reporting to the Provost and the Vice Chancellor for Student Life for academic and student life responsibilities);
- the University of Tennessee Health Science Center (UTHSC) applying for accreditation as a separate institution;
- the University of Tennessee, Knoxville (UT) maintaining the larger organization's accreditation and stays on cycle for full reaffirmation in 2015; and enters into a collaborative academic arrangement with UTIA for delivery academic programs in agricultural sciences, natural resources, and veterinary medicine.

SACSCOC President accepted the notification on [April 26, 2012](#).

A second meeting held on [September 5, 2012](#) established a timetable and target date for the UTHSC application for separate accreditation submission. Since then, modifications to the timeline have been made. A full application was filed and approved by the SACSCOC Board of Trustees at the [June 19, 2014](#) meeting. This reaffirmation report does not include the UTHSC since they are now an applicant institution and will have an independent on-site visit scheduled during the spring 2015 to coincide during a similar time-frame as the on-site visit for the University of Tennessee, Knoxville.

Prior to September 2012, substantive changes were processed by the Vice President for Academic Affairs and Student Success. With the reorganization of the University of Tennessee, an associate vice chancellor was reassigned and became associate vice provost for accreditation and assumed the role as the SACSCOC Liaison for the University of Tennessee, Knoxville campus. At the same time, an associate vice chancellor for academic affairs was appointed at the University of Tennessee Health Science Center to assume the responsibility for reporting their substantive changes. These two individuals have worked closely to ensure substantive changes for both campuses were submitted per the substantive change policy.

The University of Tennessee, Knoxville (UT), the state's flagship, comprehensive land-grant research institution, developed a [substantive change policy and procedures](#) for academic and other administrative units to facilitate reporting of substantive changes to SACSCOC. The SACSCOC Liaison presented the substantive change policy and procedures to the Council of Deans and the Undergraduate and Graduate Councils and answered questions. Additionally, the SACSCOC Liaison attends regularly the Curriculum Committee meetings of Undergraduate Council and Graduate Council to stay abreast of any potential substantive changes. Information relating to substantive changes and curriculum is incorporated in the [Curricular Submission Guidelines for Undergraduate Council](#) and [Curricular Submission Guidelines for the Graduate Council](#).

For all other substantive changes, the [UTK Substantive Change Policy](#) provides information for all offices to follow and is available online at the institutional SACSCOC web page (Figure 3.12-1).

List of reported substantive changes are given in Table 3.12.-1. All documentation is provided with this report.

Table 3.12.-1 Substantive changes submitted to SACSCOC

Year	Substantive change	Notification date	SACSCOC response date
2011 ^a	Change reporting line Men's and Women's Athletics Programs	May 6, 2011	August 1, 2011
2011	Change reporting line for the University of Tennessee Space Institute	May 6, 2011	August 1, 2011
2011	Realignment of the PhD Program in Audiology and Speech Pathology	May 6, 2011	August 1, 2011

Year	Substantive change	Notification date	SACSCOC response date
2011	Closing of the MSW course offerings in Memphis, Tenn.	May 6, 2011 Follow-up dated August 11, 2011	Request for supplemental information August 1, 2011 Final approval August 29, 2011
2011	Title change of head of Institute of Agriculture	May 6, 2011	August 1, 2011
2012	Reorganization of the University of Tennessee making University of Tennessee, Knoxville and University of Tennessee Health Science Center separate entities	March 27, 2012	April 26, 2012
2012	Dual degree program, PhD in Education between the University of Tennessee and the University of Padua, Italy	April 13, 2012 Follow-up November 5, 2012	Follow-up email May 30, 2012 January 7, 2013
2012	Future at the University of Tennessee Utilizing Resources for Employment (FUTURE) Certificate - notification for access to federal financial aid	June 13, 2012	October 2, 2012
2013	Consolidating multiple foreign language and literature undergraduate majors into a unified major	January 14, 2013	July 10, 2013
2013	Bachelor of Science in Audiology and Speech Pathology, joint degree between the University of Tennessee, Knoxville and the University of Tennessee Health Science Center	February 28, 2013	August 5, 2013
2013	Closure of the Industrial and Organizational Psychology Doctoral Program	April 2, 2013	August 13, 2013
2014	Closure of the Computational Fluid Dynamics Graduate Certificate Program	January 31, 2014	February 17, 2014
2014	Closure of the Aviation Systems, Master of Science (consolidated under the Aerospace Engineering, Master of Science)	January 31, 2014	February 17, 2014
2014	Closure of the Land Surveying Graduate Certificate Program	February 10, 2014	May 22, 2014

^a The Vice President for Academic Affairs and Student Success served as the SACSCOC Liaison since the 2000 institutional reorganization and substantive change review. Dr. Robert Levy served from that time until his retirement; Dr. Bonnie Yegeedis served for two academic years (2008-2010); Dr. Katherine N. High began in fall 2010 upon Dr. Yegeedis' departure. At that time, Dr. High determined several changes had not been submitted. Multiple changes were reported in May 2011 with acceptance being received in August

2011. As of September 2012, Dr. Mary L. Albrecht assumed the responsibilities for SACSCOC Liaison for UT.

With the reorganization of the University and the SACSCOC Liaison now residing on the campus and responsible to the Provost as opposed to being the Vice President for Academic Affairs and Student Success at the UT System level, substantive changes are being identified and reported in a timely manner to SACSCOC staff.

Conclusion

The University of Tennessee, Knoxville has placed the position of SACSCOC Liaison in the Office of the Provost and is reporting substantive changes to SACSCOC, making it compliant with this standard.

3.13.1 Policy Compliance: Accrediting Decisions of Other Agencies

Applicable Policy Statement. Any institution seeking or holding accreditation from more than one U.S. Department of Education recognized accrediting body must describe itself in identical terms to each recognized accrediting body with regard to purpose, governance, programs, degrees, diplomas, certificates, personnel, finances, and constituencies, and must keep each institutional accrediting body apprised of any change in its status with one or another accrediting body.

Documentation: The institution should (1) list federally recognized agencies that currently accredit the institution or any of its programs, (2) provide the date of the most recent review by each agency and indicate if negative action was taken by the agency and the reason for such action, (3) provide copies of statements used to describe itself for each of the accrediting bodies, (4) indicate any agency that has terminated accreditation, the date, and the reason for termination, and (5) indicate the date and reason for the institution voluntarily withdrawing accreditation with any of the agencies.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

(1) List federally recognized agencies that currently accredit the institution or any of its programs

SACSCOC is the regional accreditor for the University of Tennessee, Knoxville (UT). We do not hold accreditation for the *purposes of the Higher Education Action of 1965, as amended (HEA), or for other Federal purposes* from any other regional or national accreditors that are federally recognized as given on the list of accreditation agencies provided by the US Department of Education [website](#).

Accrediting agencies, as identified on the list of accreditation agencies provided by the US Department of Education, that have a relationship with programs at UT are the

- Academy of Nutrition and Dietetics (formerly the American Dietetic Association), Accreditation Council for Education in Nutrition and Dietetics (formerly American Commission on Education in Nutrition and Dietetics Education);
- American Bar Association, Council of the Section of Legal Education and Admissions to the Bar;
- Council on Accreditation of Nurse Anesthesia Educational Programs;
- National Association of Schools of Art and Design, Commission on Accreditation; and
- National Association of Schools of Music, Commission on Accreditation

However, the programs accredited by these five agencies do not use their accreditation to establish eligibility to participate in Title IV programs. They rely upon UT regional accreditation to establish eligibility.

(2) Provide the date of the most recent review by each agency and indicate if negative action was taken by the agency and the reason for such action

Numerous programs at the University of Tennessee, Knoxville (UT) are accredited by programmatic accreditors (Table 3.13.1-1). None of these serve as UT's accreditor for the purposes of the HEA or other Federal purposes.

(3) Provide copies of statements used to describe itself for each of the accrediting bodies

For the aforementioned accreditors of programs at UT which are recognized by the US Department of Education, Table 3.13.1-2 provides the language used in the most recent accreditation self-study documents prepared by the program staff.

(4) Indicate any agency that has terminated accreditation, the date, and the reason for termination

No programmatic accreditations have been terminated at the University of Tennessee, Knoxville by the accreditors. No sanctions have been applied. There was one negative action taken leading to [limited accreditation](#) of the College of Veterinary Medicine (CVM), Doctor of Veterinary Medicine due to inadequacy of physical facilities. The American Veterinary Medicine Association (AVMA) Council on Education provided extensions in [2009](#), [2011](#), and [2012](#) that provided time for the CVM to come into compliance. The time was needed for renovations and expansion of the University of Tennessee Veterinary Medical Center. Video evidence of improvements made to the hospital [was submitted](#). The College of Veterinary Medicine received word that the Council of Education of the American Veterinary Medicine Associated voted to remove Limited Accreditation for Standard 3 Physical Facilities and Equipment and to grant continued Full Accreditation ([letter dated May 31, 2013](#)).

(5) Indicate the date and reason for the institution voluntarily withdrawing accreditation with any of the agencies

Two programs at the University of Tennessee, Knoxville, have voluntarily withdrawn accreditation because the programs no longer aligned with the disciplinary accreditation.

[Communications, MS](#)

Accreditor: Accrediting Council on Education in Journalism and Mass Communications (ACEJMC)

Date: February 15, 2011

Reason: Voluntarily withdrew accreditation due to changing nature of the program away from a professional communications degree

[Public Administration, MPA](#)

Accreditor: National Association of Schools of Public Affairs and Administration (NASPAA)
Date: 2010

Reason: Program is changing from Public Administration, MPA, to Public Policy and Administration, MPPA; will reapply when NASPAA allows new application

Conclusion

The University of Tennessee, Knoxville, clearly demonstrates compliance with this standard as evidenced by the supplied documentation.

3.13.2 Policy Compliance: Collaborative Academic Arrangements: Policy and Procedures

Applicable Policy Statement. Member institutions are responsible for notifying and providing SACSCOC with signed final copies of agreements governing their collaborative academic arrangements (as defined in this policy). These arrangements must address the requirements set forth in the collaborative academic arrangements policy and procedures. For all such arrangements, SACSCOC-accredited institutions assume responsibility for (1) the integrity of the collaborative academic arrangements, (2) the quality of credits recorded on their transcripts, and (3) compliance with accreditation requirements.

Documentation: The institution should provide evidence that it has reported to the Commission all collaborative academic arrangements (as defined in this policy) that included signed final copies of the agreements. In addition, the institution should integrate into the Compliance Certification a discussion and determination of compliance with all standards applicable to the provisions of the agreements.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is compliant based upon a determination that UT ensures the quality of its consortial relationships and contractual agreements, its ongoing compliance with the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) Principles, and its periodic evaluation of these relationships and agreements against the University mission. UT has in place a [Substantive Change Policy](#) that specifies that consortial agreements are reviewed for submission to SACSCOC prior to full implementation, as dictated in SACSCOC policy. In addition, UT notifies SACSCOC about these collaborative academic relationships as required and provides a signed copy of the agreement. Comprehensive Standard [3.4.7](#) Consortial relationships/contractual agreements lists the collaborative agreements and the signed documentation supporting those agreements. The Provost appointed a committee chaired by the Dean of the Graduate School to review all collaborative agreements prior to signature to ensure compliance with accreditation standards, quality of the programs and course work that would be transcribed, and that the faculty are qualified.

UT assumes responsibility for the quality of the credits recorded on the University transcript as well as compliance with any accrediting requirements. Finally, [Table 3.12-1](#) in Comprehensive Standard 3.12 (Substantive change) provides specifics about when SACSCOC was notified about these agreements and includes the approval received from SACSCOC.

Comprehensive Standard [3.15.5.b](#) Separate Accreditation for Units of a Member Institution discusses the reorganization of The University of Tennessee and the removal of the University of Tennessee System President as CEO of the accredited institution, the removal of the UT Institute of Public Service (a non-degree granting unit answerable only to the System President), the removal of the UT Institute of Agriculture (a unit with a Chancellor with state-wide programming in agricultural, natural resources, and youth development research and outreach missions), and the University of Tennessee Health Science Center, which is an applicant institution for its own accreditation. This reorganization was prompted

by the Fifth-Year Interim Report of 2010. Upon the advice of SACSCOC personnel, the University of Tennessee, Knoxville (UT) and the UT Institute of Agriculture (UTIA) entered into a collaborative agreement for the delivery of agricultural, natural resources, and veterinary medicine educational degree-granting programs. The arrangement is discussed in the [UT-UTIA Collaborative Academic Arrangement](#). All degree programs in the College of Agricultural Sciences and Natural Resources (CASNR) and College of Veterinary Medicine (CVM) fall under the jurisdiction of UT's Undergraduate and Graduate Councils, Graduate School, and Division of Student Life, and thus, are part of the reaffirmation of UT.

Also, with the separation of the UTHSC from UT, the two campuses have entered into a collaborative arrangement for the delivery of the [Bachelor of Science in Audiology and Speech Pathology](#). This undergraduate major previously was administered by the Department of Audiology and Speech Pathology in the College of Arts and Sciences at UT. The department was aligned with the UTHSC College of Allied Health with faculty remaining on the Knoxville campus and undergraduate coursework still being offered. A formal agreement was signed between the two campuses in anticipation of the UTHSC being successful in obtaining separate accreditation created a joint degree program between the two campuses.

The University of Tennessee, Knoxville and the University Health Systems, Inc. (dba University of Tennessee Medical Center) has an *academic affiliation agreement* for the Clinical Laboratory Science (CLS, recently renamed the Medical Laboratory Science, MLS) program. The program has been in existence for 50 years with an advisory committee and predates the 1999 Tennessee Legislature action to *spin-off* the UTHSC from the University of Tennessee System. The University Health System, Inc., is a 501 c(3) and operates as a Tennessee not-for-profit corporation as the UTHSC. Assessment of students is ongoing and employs the results from the American Society for Clinical Pathology (ASCP) Board examination. They have an advisory board with representation from both UT and UTHSC which meets annually in May to discuss such things as student success, financial arrangements, and to review and renew the agreement. Attached are the minutes from the [2013](#) and [2014](#) meetings and the [2009-2010 Academic Affiliation Agreement](#) (the agreement is being amended to reflect the change in the name change from Clinical Laboratory Science to Medical Laboratory Science).

UT has two agreements with domestic institutions, both within the state of Tennessee: [Fisk University](#) (Nashville) and [Maryville College](#) (Maryville). In both cases, they are designed to accept students from Fisk and Maryville into the UT College of Engineering as degree completion programs. The Maryville College agreement is currently under review for renewal. The Fisk agreement is still within the initial five-year window and will be reviewed in the 2015-2016 academic year for consideration for renewal. There have never been more than one or two students annually taking advantage of the agreements. The University Registrar evaluates the transcripts of the students and applies the same criteria to accepting the transfer credits as discussed in Comprehensive Standard [3.4.4](#) Acceptance of academic credit.

Conclusion

The University of Tennessee, Knoxville ensures the integrity of collaborative academic arrangements, the quality of the credits recorded on transcripts, and maintains compliance with accreditation requirements.

3.13.3 Policy Compliance: Complaint Procedures Against the Commission or Its Accredited Institutions

Applicable Policy Statement. Each institution is required to have in place student complaint policies and procedures that are reasonable, fairly administered, and well-publicized. (See FR 4.5). The Commission also requires, in accord with federal regulations, that each institution maintains a record of complaints received by the institution. This record is made available to the Commission upon request. This record will be reviewed and evaluated by the Commission as part of the institution's decennial evaluation.

Documentation: When addressing Federal Requirement 4.5, the institution should provide a copy of its student complaint policy or policies and, for each policy, an example of how the institution follows it through resolution of the complaint. (An institution may have several policies adapted to student services, academics, etc.)

When addressing this policy statement, the institution should provide information to the Commission describing how the institution maintains its record and also include the following: (1) individuals/offices responsible for the maintenance of the record(s), (2) elements of a complaint review that are included in the record, and (3) where the record(s) is located (centralized or decentralized). The record itself will be reviewed during the on-site evaluation of the institution.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) has established policies and procedures it adheres to in response to student complaints and appeals. These policies and procedures address a variety of issues such as academic appeals, tuition and fees, student conduct, sexual harassment, parking citations, discrimination, disability complaints and other issues. The institution's response to Federal Requirement 4.5 explains how these policies and procedures are administered. Records of complaints are located in various offices where the complaints originated. The various complaint procedures are publicized on departmental websites, *Hill Topics Student Handbook 2013-2014*, *2013-2014 Undergraduate Catalog*, *2013-2014 Graduate Catalog* and addressed during New Student Orientations for both undergraduate and graduate students.

Student Complaint Policies and Procedures

General Complaints

The Office of the Provost and the Office of the Dean of Students are resources for UT students who need assistance resolving complaints. The Vice Provosts for Academic Affairs, Faculty Affairs and Dean of the Graduate School assist students with issues in their respective areas. The Dean of Students and Associate Deans serve as ombudspersons who address student concerns by providing and clarifying information, assisting students in identifying and evaluating options, and communicating with other University departments or representatives when appropriate, to respond to and resolve student complaints.

Students may also access a [Student Feedback/Complaints Form](#) electronically on all Division of Student Life Department websites. Information regarding the complaint process is found in *Hilltopics*.

The *2013-2014 Hilltopics Student Handbook* describes general policies and procedures for addressing complaints from students who are experiencing problems related to a violation of the [University Standards of Conduct](#). These students are advised to file the complaint with the Office of Student Conduct and Community Standards. Resources for student questions and concerns regarding various academic course work and campus life are also listed in the handbook.

Departments in the Finance and Administration Division address complaint procedures regarding dining services, facilities, and parking citation appeals.

Student complaints regarding UT that are not resolved at the campus level may be directed to the Vice President for Academic Affairs and Student Success with the University of Tennessee System. Complaints about distance education at the system level may also be reported to this office as well.

Complaints Regarding Academic and Grade Appeals

The University Grade Appeal Policy for undergraduate students is located in the [Undergraduate Catalog](#) and also in *Hilltopics*. Students are advised to resolve grade or other academic complaints at the instructor level first, and if an agreement cannot be reached, the student may appeal to the department head. The next level of appeal is with the dean of the college in which the department is located. If the student wishes to pursue the appeal further, an appeal may be made in writing to the Undergraduate Council.

The Grade Appeal process for graduate students is located in the [Graduate Catalog](#) and the departmental program handbooks. If a student cannot resolve the appeal at the departmental and college level, the [Graduate Council Appeals Committee](#) will address the grievance. It has a set of [procedures](#) and provides a [cover sheet](#) to begin a formal appeal.

Students may challenge the accuracy of their educational records under the Family Educational Rights and Privacy Act (FERPA). Details regarding the request to amend a student's education record are published on the FERPA and Student Privacy website. Information [informing students about FERPA](#) is also included in *Hilltopics*.

Complaints Regarding Discrimination, Sexual Harassment, and Disability

The Office of Equity and Diversity assists students who wish to file any form of discrimination complaint, including complaints regarding sexual harassment and personal disability. The process for filing complaints is found in *Hilltopics* and on the [Office of Equity and Diversity's website](#).

Record Maintenance

The following offices have been identified as areas having significant dealings with student complaints and appeals. Records of complaints are maintained in these individual offices as appropriate.

Office of the Provost (Student Complaints)

- Registrar's Office (Residency Appeals, FERPA)

- The Graduate School Dean's Office (Student Complaints and Appeals)
- Student Success Center (Dismissal, Readmission, Retroactive, and Grade Appeals)
- College Deans Offices (Student Complaints)
- Office of Financial Aid and Scholarships (Budget Increase, Dependency Status, Satisfactory Academic Progress Appeals)
- On-Line Programs

Office of the Vice Chancellor for Diversity (Student Complaints)

- Office of Equity and Diversity (Title IX, Sexual Harassment, Discrimination, Disability Complaints)

Division of Student Life, Office of the Vice Chancellor (Student Complaints)

- University Housing (Housing Appeals)
- Office of the Dean of Students (Student Complaints, Bias Complaints)
- Office of Disability Services (Student Complaints)
- Office of Student Judicial Affairs (Student Conduct Appeals, Academic Dishonesty)

Division of Finance and Administration, Office of the Vice Chancellor (Student Complaints)

- Bursar's Office (Tuition and Fees Appeals)
- Dining Services (Student Complaints)
- Facilities Services (Student Complaints)
- Parking and Transit Services (Parking Citation Appeals)
- UT Police Department (Student Complaints, CLERY)

UT System Office of the Vice President for Academic Affairs and Student Success (Student Complaints)

- General complaints as submitted via online form; reviewed and distributed to appropriate campus office.

Conclusion

The University of Tennessee, Knoxville, has policies relating to written complaints and appeals which are published in *Hill Topics Student Handbook*, the Undergraduate and Graduate Handbooks, and on various websites to which students are referred when wanting to file a complaint or appeal. Additionally, those offices responsible for handling the complaints/ appeals maintain the records of said complaints/ appeals. Therefore, UT is compliant with this standard.

3.13.4.a Policy Compliance: Reaffirmation of Accreditation and Subsequent Reports

Applicable Policy Statements

An institution includes a review of its distance learning programs in the Compliance Certification.

Documentation: In order to be in compliance with this policy, the institution must have incorporated an assessment of its compliance with standards that apply to its distance and correspondence education programs and courses.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

For educational programs at the University of Tennessee, Knoxville (UT), there is no distinction in quality, academic expectations, student learning outcomes, or academic accountability based on instructional mode of delivery. UT does not offer programs via correspondence and uses Internet technologies for the delivery of its online programs, in both synchronous and asynchronous mode. The program approval process for all programs follows the same rigorous review regardless of delivery mode. Online programs have been incorporated in the appropriate core requirements, comprehensive standards, and federal requirements throughout the Compliance Report.

Examples

Core Requirement 2.7.1 (Program length) indicates that the online programs conform to the minimum credit hour requirements of 120 hours at the baccalaureate level and 30 at the master's, 60 for the specialist in education level, and 24 (beyond the master's) or 48 (beyond the bachelor's) for doctoral degrees.

Core Requirement 2.7.2 (Program content) indicates that online programs undergo the same review process to ensure that content is the same as on-campus programs.

Core Requirement 2.9 (Learning resources and services) discusses the various services the University Libraries provide online to on-campus and online students, including live chat, email, *Guide on the Side*, interlibrary loan and delivery services.

Core Requirement 2.10 (Student support services) provides information about the various services provide to online students by their faculty and the Director for Online Programs.

Comprehensive Standard 3.3.1.1 (IE, educational programs) provides examples of assessing online student learning, for example the Information Sciences Master of Science program, Nursing Bachelor of Science, the Master of Science in Social Work program. Assessments have shown that there is no difference between traditional and online delivery methods in student learning.

Comprehensive Standard 3.4.11 (Academic program coordination) states that the Director for Online Programs works closely with faculty and departments with the development of online courses and/or full programs.

Comprehensive Standard 3.4.12 (Technology use) provides extensive information of the support the Office of Information Technology provides to students, faculty, and staff involved with blended or totally online instruction, the course management system, and HelpDesk (phone, email, or online submission) support.

Comprehensive Standard 3.5.4 (Undergraduate: Terminal degrees of faculty) clearly states that the four of the five faculty involved with the online RN to BSN program have the appropriate terminal and teach 96% of the credit hours.

Comprehensive Standard 3.7.3 (Faculty development) covers information relating to services of the Tennessee Teaching and Learning Center and the Office of Information Technology in providing faculty workshops to learn pedagogy appropriate to online learning and to move courses and/or programs to blended or online delivery.

Comprehensive Standard 3.8.2 (Instruction of library use) discusses the various tools available to students, faculty and staff on library use including consultations that are person-to-person, utilize online tools (chat, email), and tutorials.

Comprehensive Standard 3.9.1 (Student rights) discusses how online students learn about their rights and how to access services.

Federal Requirement 4.8 (Distance and correspondence education) discusses the use of university-issued network identifier and student-selected password for logging into the various systems, including UT e-mail, MyUTK (student services portal), Online@UT (Blackboard learn, the adopted course management system) and other UT maintained online portals.

Conclusion

Distance learning is primarily delivered through online tools. Distance learning is integrated into the curricular approval processes; is a focus of the University Libraries, Office of Information Technology, and the Tennessee Teaching and Learning Center; faculty are supported in development of online courses and programs through these offices; and the Director of Online Programs serves as the point of coordination of services for students and faculty. Based on the evidence provided throughout the Compliance Report, the university is compliant with this standard.

3.13.4.b Policy Compliance: Reaffirmation of Accreditation and Subsequent Reports

Applicable Policy Statements

If an institution is part of a system or corporate structure, a description of the system operation (or corporate structure) is submitted as part of the Compliance Certification for the decennial review. The description should be designed to help members of the peer review committees understand the mission, governance, and operating procedures of the system and the individual institution's role within that system.

Documentation: The institution should provide a description of the system operation and structure or the corporate structure if this applies.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Mission: Distinction between System, Other Campuses, and the University of Tennessee, Knoxville

The University of Tennessee System recently adopted clarifying mission statements to distinguish between the mission of the System and the mission of the System Administrators (how the President and cabinet function in support of the System that is composed of independently managed campuses and institutes). The mission statements are separate from the mission of the University of Tennessee, Knoxville (see Core Requirement 2.4 and Comprehensive Standard 3.1.1 for more information on the institution's mission statement).

The [mission statement](#) of the University of Tennessee System (UT System) is:

The University of Tennessee System, through its multiple campuses and institutes, serves the people of Tennessee and beyond through the discovery, communication and application of knowledge. The System is committed to providing undergraduate, graduate and professional education programs in a diverse learning environment that prepares students to be leaders in a global society. The UT System's delivery of education, discovery, outreach and public service contributes to the economic, social and environmental well-being of all Tennesseans.

The [mission](#) of the UT System Administration is:

The mission of the University of Tennessee System Administration is to advance the educational, discovery, creative and outreach programs of the campuses and institutes through leadership that removes obstacles, understands needs, provides advocacy, secures resources, promotes accountability, fosters diversity, promotes innovation, coordinates campus efforts, and delivers efficient and effective central service.

The [mission](#) of the University of Tennessee, Knoxville (UT, [Carnegie Classification RU/VH](#)) is:

The primary mission of UT is to move forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world. As the preeminent research-based, land-grant University in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions.

The UT System makes a distinction between the mission of the UT System, as an educational institution, and the mission of the System Administration, those with oversight for leading and managing the system. The UT System Administration Mission focuses the work of the President and Vice Presidents on supporting the campuses and institutes where the research, teaching and outreach occur. Furthermore, the UT System Administration Mission ensures an understanding that UT System Administrators are not leaders of the individual units that make up the System, but facilitate the work of the campus and institute faculties. The institution's mission guides the work of the UT Knoxville's chancellor, other administrators, faculty and staff and directly influences the education and lives of its students.

The University of Tennessee, Knoxville (UT), is the largest campus within the UT System and is the state's flagship, comprehensive land-grant research institution. This is reflected in the mission statement and distinguishes UT from the other campuses and institutes in the System.

- UT offers the greatest breadth of academic programs in eleven colleges (many of which are nationally ranked including various programs in the Colleges of Business Administration, Engineering, and Social Work) offering undergraduate, graduate and professional degrees in disciplines typically found at a flag-ship campus, except for those typically associated with a health science center.
- UT has a dynamic research program from the arts through fundamental scientific inquiry and partners with Oak Ridge National Labs through the UT-Battelle managing partnership.
- Since June 2010, the UT Space Institute (UTSI) is no longer a free-standing institute within the UT System. The Executive Director of the UTSI now reports directly to the Chancellor of UT. UTSI focuses its research and graduate programs in select engineering disciplines and related sciences.
- UT has outreach programs in the Knoxville area, across the state of Tennessee, and internationally such as the College of Nursing's [Vine School Health Center](#), a full service pediatric clinic located in the Vine Middle Magnet School, Knox County Schools; various [clinics](#) supported by the College of Law; and [Center for Sport, Peace, and Society](#) in the College of Education, Health and Human Science.

The mission statements for the other units in the University of Tennessee System follow.

University of Tennessee at [Chattanooga](#) ([Carnegie Classification Master's L](#), UTC)

"...an engaged, metropolitan university committed to excellence in teaching, research, and service, and dedicated to meeting the diverse needs of the region through strategic partnerships and community involvement"

University of Tennessee at [Martin](#) ([Carnegie Classification Master's M](#), UTM)

"...to provide a quality undergraduate education in a traditional collegiate atmosphere characterized at all levels by close collaboration among students, faculty and staff. In

addition, the university is dedicated to meeting lifelong educational needs by providing graduate programs, distance-learning opportunities and other creative endeavors. Furthermore, the university is committed to advancing the regional and global community through scholarly activities, research and public service.

University of Tennessee [Health Science Center](#) (UTHSC)

"...to bring the benefits of the health sciences to the achievement and maintenance of human health, with a focus on the citizens of Tennessee and the region, by pursuing an integrated program of education, research, clinical care, and public service."

University of Tennessee [Institute of Agriculture](#) (UTIA)

"...improving the quality of lives and enhancing the agricultural, economic, environmental and social well-being of Tennessee. Our clientele include students, families, farmers, 4-Hers, agribusiness and the general public."

University of Tennessee [Institute for Public Service](#) (IPS)

"...connecting people and solutions to improve efficiency and performance of government and businesses and increase the prosperity and competitiveness of Tennessee."

Organization, Governance and Operating Procedures of the University of Tennessee System

The University of Tennessee, Knoxville (UT) is part of the University of Tennessee System (UT System). The UT System is composed of campuses in Knoxville (UT), Chattanooga (UTC), Martin (UTM), and Memphis (UTHSC), and institutes located in Knoxville (UTIA, IPS) and Tullahoma (UTSI). Each campus with tenured and tenure-track faculty has a chancellor; the UTIA also is led by a chancellor, the IPS is led by a vice president, and functional areas have vice presidents. There is one Board of Trustees for the UT System; there are no sub-boards for the campuses. The composition and operation of the UT System Board is detailed in three documents that support one another.

- Tennessee Code Annotated, Title 49 Education, Chapter 9 University of Tennessee, Part 2 Board of Trustees ([TCA-49-9-201-210 Board of Trustees](#))
- University of Tennessee System Board of Trustees [Charter Provisions](#)
- University of Tennessee System Board of Trustees Bylaws (pdf files of Articles [I](#), [II](#), [III](#), [IV](#), [V](#), and [VI](#))

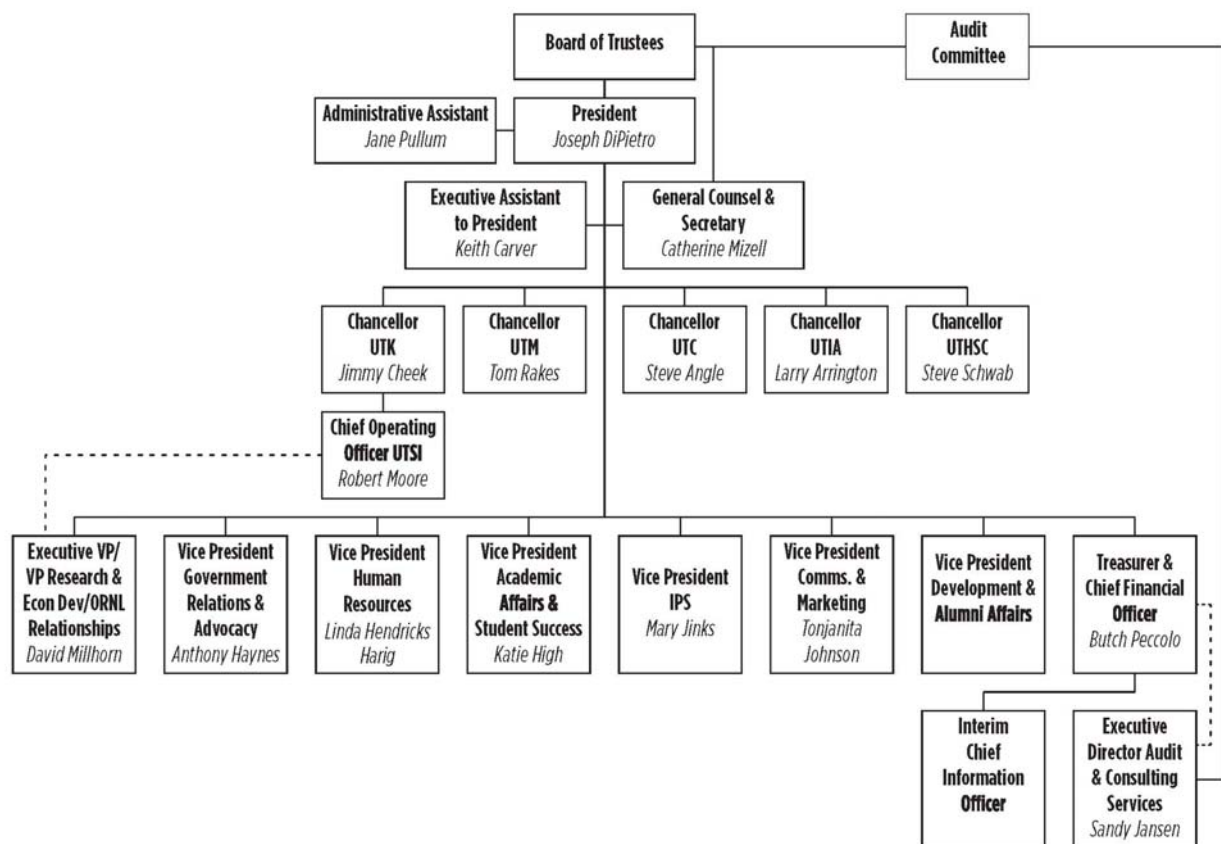


Figure 3.13.4.b-1 Organizational chart for the University of Tennessee System, July 2014

All business from the campuses is taken to the Board through the appropriate standing committee of the Board:

- [Academic Affairs and Student Success Committee](#)

...oversight includes consideration of the needs of the faculty and administration in creating and sustaining the university's academic environment and consideration of the interest of students in the central curricular and co-curricular life of the university. The committee attends to faculty members' concerns about matters such as faculty evaluation and compensation, library and other learning resources, and currency of academic structures. The committee attends to students' concerns about matters such as tuition and fees; admissions, retention, and graduation requirements; campus facilities; faculty teaching and advisement; student life; student conduct and housing rules; and staff support and services.

- [Advancement and Public Affairs Committee](#)

...oversight of university programs related to private gifts to the institution, alumni programs and support, public relations and communications efforts and governmental relations at the local, state and national levels.

- [Audit Committee](#)

...oversight responsibilities for the following activities: the integrity of the university's annual financial statement; compliance with legal and regulatory requirements; direction of the internal auditing function, any external auditors whom the committee may employ, and engagements with the state auditors; internal control structure and management practices; knowledge of audit activities, informing the full Board and making recommendations when necessary, and other duties as directed by the Board; monitoring of compliance with university policies and procedures.

- [Executive and Compensation Committee](#)

...ensures that the Board fulfills its responsibilities ... by overseeing the work of other standing committees, the university's planning process, and the President's performance, welfare, and compensation.

- [Finance and Administration Committee](#)

...oversight for the university's finances, business, and facilitates activities; advises the Board on the state of the university's financial operations, budgetary allocations, student fees, personnel policies, investment performance strategy and returns, and facilities; ensures the university operates within available resources and application federal, state, and university policies in a manner supportive of the university's strategic plan.

- [Health Affairs Committee](#)

...oversight of the clinical activities of the Health Science Center.

- [Research, Outreach and Economic Development Committee](#)

...general responsibilities shall be to monitor the effectiveness of the university's research, outreach, and economic development programs.

- [Trusteeship Committee](#)

...(1) to stay informed about governance issues; (2) to propose implementation of governance best practices; and (3) to organize the working processes of the Board.

Each of the aforementioned committees also has charters (click on name of committee to see the charter for the committee) that outline purpose, powers and responsibilities, composition, and meetings and are posted on the Board's [webpage](#). Board policies are available to the university community and public on the Universities [policies webpage](#) (includes links to Board, Fiscal, Human Resources, Information Technology, and Safety Policies) and two-years of agendas and minutes are also made available through the Board's [webpage](#).

Announcement of all committee meetings and full Board meetings are made to the public through press releases and email to the university community. The UT System Board calendar is also made available on their [webpage](#).

Distinction of the role of the UT System President and the campuses' Chancellors is made in the Bylaws ([Article I, Section 3\(c\)](#)). Chancellors have full responsibility for academic affairs, fiscal and human resources, intercollegiate athletics, physical plants, and fundraising for their respective campuses; and, are responsible for maintaining open lines of communication with the UT System President, his cabinet, and the Board.

Furthermore, each campus in the UT System has faculty and student handbooks, curricular approval processes, enrollment services (registrar, admissions, and financial aid), faculty hiring, staff hiring (managed through the UT System online human resources recruitment enterprise software which then uploads personnel information into the UT System human resources enterprise software), tenure and promotion processes, grant and contract processes, calendars, and other processes that are independent from each other campus. All must conform to UT board UT System Board policy and when policy dictates, revisions undergo UT System Board review. All campuses are required to adhere to the fiscal, information technology, human resource, and safety policies of the UT System Board through the creation of campus procedures to implement policy. Human resources and financial enterprise software and universal email system are used across campuses and managed at the System-level. Student email, student information, course management, and admissions software systems are managed on the campuses.

Relationship between the University of Tennessee, Knoxville and the University of Tennessee Institute of Agriculture

The University of Tennessee, Knoxville (UT) and the University of Tennessee Institute of Agriculture (UTIA) are both headquartered in Knoxville, Tennessee and are adjacent to each other. Prior to the creation of the University of Tennessee System, the dean of College of Agriculture also served as director of both the Tennessee Agricultural Experiment Station and the Tennessee Cooperative Extension Service and reported to the Vice Chancellor for Academic Affairs of the University of Tennessee, Knoxville.

In 1968, the Institute of Agriculture was created and the dean became a Vice Chancellor for Agriculture until 1970 when the position was changed to Vice President for Agriculture and answered directly to the President of the newly created University of Tennessee System. At this time, the three units (Agricultural Experiment Station, Extension Service, and College of Agriculture) were led by deans, with the dean for the College of Agriculture maintaining a reporting line to the Vice Chancellor for Academic Affairs of the Knoxville campus. Today, the College of Agricultural Sciences and Natural Resources (CASNR, the renamed College of Agriculture) dean retains a reporting line for academic and fiscal responsibility to the Provost and Senior Vice Chancellor for Academic Affairs and to the Vice Chancellor of Student Life for matters relating to student conduct and student life. The CASNR budget is allocated by the Office of the Provost.

The College of Veterinary Medicine (CVM) was established as the fourth unit of the Institute of Agriculture in 1974; the first students were admitted for fall semester, 1976. The CVM dean is a direct report, both fiscally and administratively, to the Chancellor of the UTIA and has a reporting line to the Provost and the Dean of the Graduate School for matters relating to graduate and professional student academics and curriculum, and to the Vice Chancellor of Student Life for matters relating to student conduct and student life. The CVM budget

was established as a separate budget entity in UTIA. CVM budget requests do not go through the Office of the Provost.

The Chancellors of the two units (UT and UTIA) entered into a [Collaborative Academic Arrangement](#), University of Tennessee, Knoxville and University of Tennessee Institute of Agriculture, Academic Programs in Agricultural Sciences, Natural Resources, and Veterinary Medicine upon advice from SACS COC at the time of the Fifth-Year Interim Review in 2010.

Relationship between the University of Tennessee, Knoxville and University of Tennessee Health Science Center

At the current time, UT and UTHSC are one accredited institution. As a result of the Fifth-Year Interim Report of 2010, the UTHSC submitted an application for accreditation. At the June 19, 2014 meeting of the SACSCOC Board of Trustees, the application was approved and an accreditation committee was approved. Upon advice from SACSCOC, the UTHSC is not included in this compliance report. Their accreditation review is synchronous with this compliance report. The relationship and actions subsequent to the Fifth-Year Interim Report are discussed in detail in Comprehensive Standard [3.13.5.b](#) Separate accreditation for units of a member institution.

University of Tennessee, Knoxville, Role in the UT System

As previously stated, UT is the flagship, comprehensive land-grant research institution in the UT System. UT offers more undergraduate, graduate, and professional programs than the other campuses, has the largest enrollment and awards more degrees, and has the most comprehensive research program. The Complete College Tennessee Act of 2010 ([Tennessee Code Annotated, 49-9-15](#)) further distinguishes UT as an engine for economic development by

...significantly increasing the number of science, technology, engineering and mathematics doctoral students produced...and expand the number of...graduate students conducting their graduate research and education at the Oak Ridge National Laboratory working with Laboratory scientific staff and using the unique facilities of the Laboratory; and

Accelerate the State's economic and workforce development efforts in the field of energy sciences and engineering; and

Support the continued development of clean energy technologies and jobs in Tennessee

3.13.5.a Policy Compliance: Separate Accreditation for Units of a Member Institution

Applicable Policy Statement.

All branch campuses related to the parent campus through corporate or administrative control (1) include the name of the parent campus and make it clear that its accreditation is dependent on the continued accreditation of the parent campus and (2) are evaluated during reviews for institutions seeking candidacy, initial membership, or reaffirmation of accreditation. All other extended units under the accreditation of the parent campus are also evaluated during such reviews.

Documentation: For institutions with branch campuses: (1) The name of each branch campus must include the name of the parent campus—the SACSCOC accredited entity. The institution should provide evidence of this for each of its branch campuses. (2) The institution should incorporate the review of its branch campuses, as well as other extended units under the parent campus, into its comprehensive self-assessment and its determination of compliance with the standards, and indicate the procedure for doing so.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Tennessee System (System). Both entities are headquartered in the City of Knoxville, Knox County, Tennessee. UT does not operate any branch campuses. There are two off-campus sites which support educational, research and outreach programs:

University of Tennessee Space Institute [UTSI, 411 B. H. Goethert Parkway, Tullahoma, TN 37388, voice (931) 393-7213]. UTSI is a graduate education and research institution located in Tullahoma, Tenn., adjacent to the U.S. Air Force Arnold Engineering Development Center. UTSI was established in 1964 as part of the University of Tennessee and has become an internationally recognized institution for graduate study and research in engineering, physics, mathematics, and aviation systems and has made remarkable contributions at the local, state, national, and global levels. Degree programs are delivered through a combination of online and on-campus courses. Those available at UTSI are:

- MS and PhD in Industrial and Systems Engineering, the concentration of Engineering Management through the Department of Industrial and Systems Engineering
- MS in Engineering Science, the concentration of Flight Test Engineering (an interdepartmental program in Engineering Science)
- MS and PhD in Mechanical Engineering, Aerospace Engineering, Biomedical Engineering or Engineering Science majors through the Department of Mechanical, Aerospace and Biomedical Engineering
- MS and PhD in Physics

The MS in Aviation Systems was only available at UTSI. This program is now closed effective with the 2014-2015 academic year.

The UTSI is managed by an Executive Director who reports directly to Chancellor Jimmy G. Cheek, UT. The Executive Director has an indirect reporting line to the System Vice President for Research. The budget is separate from the Knoxville campus budget, but that

is an historical artifact from when it was a separate institute within the System. It is included for IPEDS reporting purposes. The faculty are tenured in respective departments in Knoxville, however, they do have separate seats on the Graduate Council and Faculty Senate to facilitate communication among the faculty.

College of Social Work in Nashville [193 Polk Ave, Suite E, Nashville, TN 37210, voice (615) 256-1885, fax (615) 248-8823]. This is a leased site that is managed by the System and houses other offices affiliated with the System. Only the Master of Science, Social Work (MSSW) is available to students at the Nashville location and is conducted by faculty based in Nashville and Knoxville through a combination of online and on-campus courses. The Nashville site is part of the College of Social Work (CSW) headquartered in Knoxville and is administered by the Dean of the College and an Associate Dean located in Nashville. The budget for Nashville personnel and operations is included in the CSW budget; the Associate Dean does not have separate budgetary authority from the CSW Dean. The faculty are considered tenure or non-tenure track faculty of CSW in Knoxville.

Students enrolled at UTSI and in Nashville are all considered Knoxville graduate students and are included in the assessment of student learning outcomes along with all graduate students in the programs.

3.13.5.b Policy Compliance: Separate Accreditation for Units of a Member Institution

Applicable Policy Statement.

If the Commission on Colleges determines that an extended unit is autonomous to the extent that the control over that unit by the parent or its board is significantly impaired, the Commission may direct that the extended unit seek to become a separately accredited institution. A unit which seeks separate accreditation should bear a different name from that of the parent. A unit which is located in a state or country outside the geographic jurisdiction of the Southern Association of Colleges and Schools and which the Commission determines should be separately accredited or the institution requests to be separately accredited, applies for separate accreditation from the regional accrediting association that accredits colleges in that state or country.

Implementation: If, during its review of the institution, the Commission determines that an extended unit is sufficiently autonomous to the extent that the parent campus has little or no control, the Commission will use this policy to recommend separate accreditation of the extended unit. **No response required by the institution.**

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

As a result of the Fifth-Year Interim Report Review, on November 21, 2011, Dr. Steve Sheeley, Vice President, SACSCOC, met with various University of Tennessee administrators representing the University of Tennessee System Office (President Joseph DiPietro, Vice President Katie High), Knoxville (Chancellor Jimmy G. Cheek, Provost Susan D. Martin, Associate Vice Provost Mary Albrecht) and Memphis (Chancellor Steve Schwab, Vice Chancellor Cheryl Scheid) campuses, and Institutes for Agriculture (Chancellor Larry Arrington) and Public Service (Vice President Mary Jinks) to discuss separate accreditation for the University of Tennessee, Knoxville, and the University of Tennessee Health Science Center and reorganization of the institution to include

- removing the University of Tennessee System President as the chief academic officer and the President's Cabinet from the reorganized institution,
- removing the Institute of Public Service from the accredited institution since the Vice President does not report to the Chancellor of UT Knoxville and the Institute does not offer any degree programs,
- removing the Institute of Agriculture from the accredited institution and required a Collaborative Academic Agreement between the UTIA and UT Knoxville explaining the relationship between the entities for the delivery of undergraduate, graduate and professional programs in agricultural sciences, natural resources, and veterinary medicine,
- maintaining the Chief Operating Officer of the Space Institute as a direct report to the Chancellor of the University of Tennessee, Knoxville and an indirect report to the Executive Vice President / Vice President of Research and Economic Development
- requiring the University of Tennessee Health Science Center (UTHSC) to apply for separate accreditation (the application was approved by the SACSCOC Board of Trustees at the [June 19, 2014](#) meeting.)

After this meeting, a [substantive change letter](#) describing the reorganization was submitted and [SACSCOC accepted](#) the notification. Therefore, the UTHSC applied for separate accreditation (approved June 19, 2014) and the 2015 reaffirmation compliance report for the University of Tennessee was prepared solely for the University of Tennessee, Knoxville campus (excludes UTHSC and the AgResearch and UT Extension units within the UTIA) and including the off-site locations of the Space Institute in Tullahoma, Tennessee, and a College of Social Work facility located in Nashville, Tennessee per instructions from SACSCOC (see letter of [July 24, 2014](#)). The UTHSC has submitted a separate compliance report to SACSCOC.

Conclusion

While there is no response needed by the institution, the University of Tennessee, Knoxville and the University of Tennessee Health Science Center are in the process of separating per the advice received from SACSCOC as a finding of the Fifth Year Interim Report.

3.14 Representation of status with the Commission: Publication of accreditation status

A member or candidate institution represents its accredited status accurately and publishes the name, address, and telephone number of the Commission in accordance with Commission requirements and federal policy.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville, has been continuously accredited by the Southern Association of Colleges and Schools Commission on Colleges since 1897. The university accurately presents this information on a variety of websites and publications targeting a variety of audiences.

In all instances cited below, the notification appears as:

Since 1897, the University of Tennessee, Knoxville, has been continuously accredited by the Southern Association of Colleges and Schools Commission on Colleges to award baccalaureate, master's, and doctoral degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4500 for questions about the accreditation of the University of Tennessee, Knoxville.

The notification is provided on the [About UT webpage](#) of the university top-level website. Links to the "About UT" page appear on all pages that are a part of the top-level site. The "About UT" page also provides a link to the SACSCOC Accreditation site.

The notification is also provided on the homepage of the [SACSCOC Accreditation Website](#), which also contains more detailed information about our accreditation process.

The university no longer publishes a printed catalog. However, the notification appears on the website of the electronic versions of both the [undergraduate](#) and [graduate](#) catalogs.

In addition, the notification appears in *Torchbearer*, the university's alumni magazine, which is published twice a year with a print run of approximately 200,000 copies. ([Torchbearer Alumni Magazine Spring 2014](#))

Finally, the notification appears in the [Hill Topics Student Handbook](#) in both its printed and electronic versions.

Conclusion

The University of Tennessee, Knoxville, demonstrates compliance with this standard by the display of its accreditation status with the Southern Association of Colleges and Schools Commission on Colleges in prominent locations on the website (About UT and SACSCOC Accreditation webpages), in major publications of the University (Undergraduate and Graduate electronic catalogs, Hill Topics Student Handbook), and in the alumni magazine (Torchbearer).

4.1 Student achievement

The institution evaluates success with respect to student achievement consistent with its mission. Criteria may include enrollment data; retention, graduation, course completion, and job placement rates; state licensing examinations; student portfolios; or other means of demonstrating achievement of goals.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The primary [mission](#) of the University of Tennessee, Knoxville (UT) is *to move forward the frontiers of human knowledge and enrich and elevate the citizens of the state of Tennessee, the nation, and the world*. Student achievement represents a key component in moving the frontiers of human knowledge forward; therefore, UT employs a variety of means to assess and evaluate student achievement with respect to its mission. These methods include retention and graduation reports, licensing exams, job placement rates, grade distributions, performance indicators on standardized General Education and Major Field Exams, as well as student engagement and satisfaction surveys. The following demonstrates that UT evaluates student achievement consistent with its mission.

Retention and Graduation

The Office of Institutional Research and Assessment (OIRA) routinely reports the retention and graduation rates to University administrators for purposes of planning and decision-making. These reports are also made publicly available through the annual Fact Book which is produced by OIRA. UT through focused initiatives relating to advising, course enrollment and wait list analysis, and tutoring and other academic support services, has made improvement in year-to-year retention and graduation rates.

- Beginning with the Fall 2002 Cohort, the four-year, five-year and six-year graduation rates have steadily increased. Through the Fall 2009 Cohort the 4-year rate has increased from 30.0% to 42.8%, through the Fall 2008 Cohort the five-year rate has increased from 54.7% to 64.7%, and through the Fall 2006 Cohort the six-year rate has increased from 59.8% to 67.5% (Source: [2013-2014 Fact Book](#))
- The retention rate for first-time full-time freshmen has trended upward between the Fall 2003 Cohort (78.0%) to the Fall 2012 Cohort (85.6%) (Source: [2013-2014 Fact Book](#))

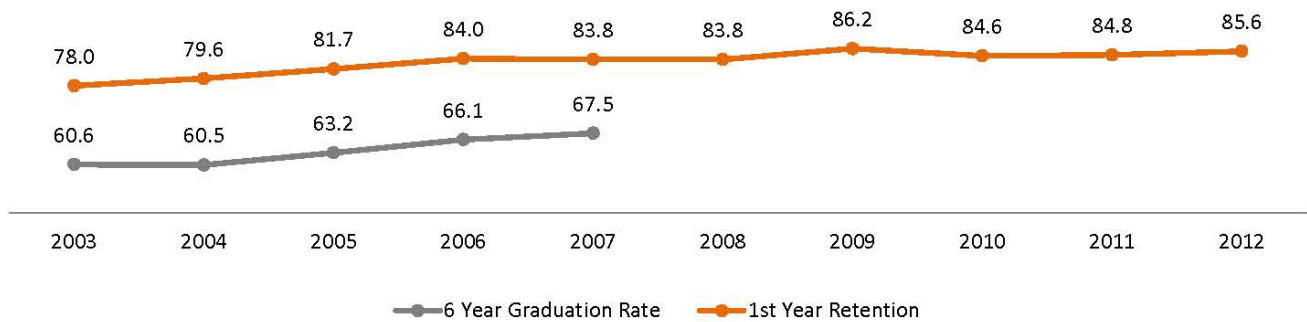


Figure 4.1-1 Retention and Graduation Rates for First-Time Full-Time Freshman, Fall Cohorts 2003-2012 (Source: 2013-2014 Fact Book)

Licensing Exams

The University of Tennessee routinely tracks and reports on the national licensing exams for several programs. These results are also incorporated into the assessment plans of these programs where appropriate and are additionally used in UT's annual performance funding report to the Tennessee Higher Education Commission (THEC). UT continually strives to surpass the statewide scores and, when available, to meet or exceed the national averages.

For the **Nursing** program, the National Council Licensure Examination (NCLEX) pass rates are based on a calendar year. For the 2012 calendar year (the most recently available data), UT posted a 95.8% pass rate compared to 93.54% for the State of Tennessee and 90.34% nationally (Table 4.1-1).

Table 4.1-1 Pass rate comparison for National Council Licensure Examination (NCLEX)

	2008	2009	2010	2011	2012
UT	95.83%	99.6%	95.79%	96.59%	95.8%
Tennessee	90.96%	90.96%	90.53%	92.03%	93.54%
National	86.73%	86.73%	84.88%	87.90%	90.34%

For **College of Law**, the comparison is made between UT and the State of Tennessee on the American Bar Exam and is also based on a calendar year. In 2012 (the most recently available data), the UT pass rate for Law was 97% while the pass rate for the State of Tennessee was 85% (Table 4.1-2).

Table 4.1-2 Pass rate comparison for American Bar Association

	2008	2009	2010	2011	2012
UT	90%	92%	88.46%	89.76%	97%
Tennessee	83%	77%	82.44%	84.24%	85%

The College of **Veterinary Medicine** reports their results on an academic year for the North American Veterinary Licensing Examination (NAVLE). These results are compared to national norms. For the 2012-13 academic year, the national pass rate was 92.0% while the pass rate for UT was 97.4%. In fact, UT consistently surpasses the national levels on the NAVLE (Table 4.1-3).

Table 4.1-3 Pass rate comparison for North American Veterinary Licensing Examination (NAVLE)

	2008-09	2009-10	2010-11	2011-12	2012-13
UT	96.7%	98.4%	95.4%	95.8%	97.4%
National	93.1%	95.9%	94.7%	92.1%	92.0%

The **College of Engineering** uses the Fundamentals of Engineering Exam (FE) for their licensing exam. Their results are posted on an academic year and are compared to the national pass rates. Not all engineering areas require the FE and not all students participate which tends to make the results less stable or consistent from year to year. Out of the 11 engineering programs at least 7 programs each years performed at or higher than the national levels. Additionally, Civil, Computer, Electrical, Mechanical and Nuclear Engineering all met or exceeded the national rates for the past five years (Table 4.1-4).

Table 4.1-4 Pass rate comparison for Fundamentals of Engineering Exam

	2008-09		2009-10		2010-11		2011-12		2012-13	
Program	UT	Nat'l	UT	Nat'l	UT	Nat'l	UT	Nat'l	UT	Nat'l
Aerospace	78%	81%	83%	83%	94%	83%	100%	86%	80%	88%
Biomedical	100%	82%	100%	82%	60%	75%	93%	82%	100%	80%
Biosystems	67%	78%	100%	84%	55%	76%	75%	75%	70%	81%
Chemical	74%	84%	73%	87%	86%	87%	83%	85%	78%	86%
Civil	92%	73%	92%	75%	89%	74%	95%	73%	95%	74%
Computer	63%	63%	60%	52%	92%	74%	75%	72%	86%	70%
Electrical	91%	71%	86%	72%	76%	69%	87%	75%	82%	68%
Industrial	100%	78%	50%	72%	75%	72%	80%	75%	100%	76%
Materials Science	86%	81%	100%	80%	100%	83%	100%	80%	50%	76%
Mechanical	88%	83%	88%	84%	86%	81%	96%	84%	88%	82%
Nuclear	82%	81%	94%	82%	100%	86%	90%	86%	92%	84%

Job Placement Rates

The Career Services Office at UT provides annual reports showcasing job placement rates, undergraduate salaries, and top employers for UT students/graduates. The charts and

tables below provide a summary of some of the information available in these reports. Table 4.1-5 presents data for those 2012-2013 UT graduates who participated in the Graduate Placement Survey in August of 2013 and their subsequent situations. Of the students registered with Career Services, 85% participated in the survey. A breakout by college and major can be found in the 2013 Annual Career Services Report, [Placement](#).

Table 4.1-5 Results from 2013 Graduate Placement Survey

	Total	Reg.	Known	Employed Full Time		Grad School		Internship		Out of Job Market		Still Seeking		Unknown
	(no.)	(no.)	(no.)	(no.)	%	(no.)	%	(no.)	%	(no.)	%	(no.)	%	(no.)
Bachelors	4260	1668	1371	825	60%	291	21%	125	9%	3	0%	127	9%	297
Masters	1161	174	154	88	57%	39	25%	4	3%	0	0%	23	15%	20
Doctorate	207	27	59	56	95%	2	3%	0	0%	0	0%	1	2%	***
Total	5628	1869	1584	969	61%	332	21%	129	8%	3	0%	151	10%	285

Reg. = number of students registered with Hire-A-Vol (profile complete, resume uploaded)

Known = number of students who participated in the Graduate Placement Survey

Unknown = number of registered students who did not participate in the Graduate Placement Survey

***Some who were not registered reported placement data

Student registrations with Career Services in 2013 showed excellent participation across the University. Data for the past three years (2010-2011, 2011-2012, and 2012-2013) indicate a decline in the number of students registering with Career Services, however, the percentage of graduates who were registered with Career Services indicate improved job placement and a decline in the number of registrants still seeking employment within approx. three months of graduation (data collected through August 12, 2013). Data are presented in the 2013 Annual Career Services Report, [Participation](#).

Salaries of UT undergraduates showed a significant improvement in most areas in 2013. Table 4.1-6 provides data of undergraduate salaries by college. A complete list of salaries by academic program is provided in the 2013 Annual Career Services Report, [Full-Time Salaries](#).

Table 4.1-6 Full time mean salaries accepted by 2012-2013 baccalaureate graduates (Data collection August 12, 2013)

College	2012-2013	2011-2012	2010-2011
Agricultural Sciences and Natural Resources	\$40,627	\$31,108	\$34,965
Architecture	\$39,040	\$39,214	\$36,622
Arts and Sciences	\$38,266	\$34,758	\$26,765
Business Administration	\$46,213	\$45,901	\$43,742
Communications and Information	\$34,212	\$31,042	\$26,202
Education, Health and Human Sciences	\$38,338	\$33,012	\$32,323

College	2012-2013	2011-2012	2010-2011
Engineering	\$58,104	\$57,534	\$56,225
Nursing	NA	NA	NA
Social Work	\$28,000	NA	NA

Table 4.1-7 presents the top area employers who hired UT graduates in 2013. A complete listing of employers who hire UT graduates can be found in the 2013 Annual Career Services Report, [Top Recruiters](#).

Table 4.1-7 Top area employers who hire UT graduates

Company	Full Time	Interns	Total
21st Mortgage	31		31
PhysAssist Scribes	19	5	24
Amazon	19		19
Clayton Homes / Vanderbilt Mortgage and Finance	13	5	18
Oak Ridge National Labs(ORNL) / UT Battelle	8	10	18
International Paper	17		17
Enterprise Holdings	11	5	16
Schneider Electric	16		16
UT Knoxville	14	1	15
Y-12 National Security Complex	11	4	15
Deloitte, LLP	2	10	12
Georgia Pacific LLC	10	2	12
Wyndham Vacation Ownership	4	7	11
Eastman Chemical	9	1	10
Manhattan Associates, Inc.	10		10
Tennessee Department of Transportation	10		10

Other Performance Criteria

In addition to the criteria mentioned above, the University also participates in several other initiatives which also evaluate student success. Because on-time graduation is important to our students, the University and the State, UT created The Universal Tracking System ([uTrack](#)). uTrack is an academic monitoring system that began in Fall 2013 with first-time, first-year, full-time, degree-seeking students. The uTrack system lays out a road map for each undergraduate major at UT so that students can see which academic courses they must successfully complete in a major and when they must complete them in order to graduate in four years. Each major has milestones or minimum requirements, which include successfully completing a minimum number of credit hours or specific courses within the appropriate semester, to meet the degree plan. Tracking audits are used during the fall and spring semesters to identify milestone progress. These audits are used to notify students and their advisors if degree progress is on or off track. After one semester off track, a plan is created jointly by the student and the advisor to get back on track. After two consecutive

semesters off track, students are prompted to change major to one that better aligns with their academic progress.

The Office of Institutional Research and Assessment routinely provides a report to the Student Success Center indicating completion rates by course. This report is done by academic year and includes the rate of successful completion (that is, a grade of C or better) for each course. The results are reviewed longitudinally for historically challenging courses as well as for new Supplemental Instruction options based on pass rates.

Additionally, the Office of Institutional Research and Assessment administers the National Survey of Student Engagement (NSSE) and the Beginning College Survey of Student Engagement (BCSSE), the California Critical Thinking Skills Test (CCTST), as well as an [Alumni Survey](#) and a [Survey of Employers](#). Data and results from these instruments are reported to the Tennessee Higher Education Commission for performance funding purposes and are also circulated to key decision makers on campus.

Conclusion

The University of Tennessee, Knoxville employs various methods to evaluate success with respect to student achievement that is consistent with the mission and is compliant with this standard.

4.2 Program curriculum

The institution's curriculum is directly related and appropriate to the mission and goals of the institution and the diplomas, certificates, or degrees awarded.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

Programs and curricula of the University of Tennessee, Knoxville (UT) represent its mission and fulfills its responsibilities as a comprehensive research-based, land-grant university. As provided and reviewed in responses to [Core Requirement 2.4](#) and [Comprehensive Standard 3.1.1](#), and as articulated in the [Vol Vision](#), the mission of UT is *to move forward the frontiers of human knowledge and enrich and elevate the citizens of the State of Tennessee, the nation, and the world. As the preeminent research-based, land-grant University in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions*

Consistent with this mission, UT offers baccalaureate, masters, doctoral, and professional degrees as well as graduate certificates in a wide range of areas. UT does not offer associate's degrees, as prohibited by state statute, nor any medical degrees typically offered by a health science center (within the UT System, the full array of medical degrees is offered by the University of Tennessee Health Sciences Center headquartered in Memphis, Tenn.). UT degree programs are organized within 11 colleges that represent the breadth of disciplines expected at a comprehensive research-based, land-grant university and consistent with its strategic plan, *VolVision-Journey to the Top 25*. A full list of academic majors is provided in the institutional summary form and in the [2013-2014 Undergraduate Catalog](#) and the [2013-2014 Graduate Catalog](#).

Table 4.2-1: List of colleges and whether they offer undergraduate and graduate /professional levels

College	Undergraduate Degrees ^a	Graduate and Professional Degrees and /or Certificates ^b
Agricultural Sciences and Natural Resources	Yes	Yes
Architecture and Design	Yes	Yes
Arts and Sciences	Yes	Yes
Business Administration	Yes	Yes
Communication and Information	Yes	Yes
Education, Health and Human Sciences	Yes	Yes
Engineering	Yes	Yes
Law	No	Yes
Nursing	Yes	Yes
Social Work	Yes	Yes
Veterinary Medicine	No	Yes

^a Bachelor of Architecture, Bachelor of Arts, Bachelor of Fine Arts, Bachelor of Music, Bachelor of Science, etc.

^b Doctor of Nursing Practice, Doctor of Philosophy, Doctor of Social Work, Doctor of Veterinary Medicine, Education Specialist, Juris Doctor, Master of Accountancy, Master of Architecture, Master of Arts, Master of Business Administration, Master of Fine Arts, Master of Landscape Architecture, Master of Mathematics, Master of Music, Master of Public Health, Master of Public Policy and Administration, Master of Science, Master of Science in Nursing, Master of Science Social Work

The Tennessee Higher Education Commission (THEC) maintains a searchable, comprehensive academic program inventory for UT and all other institutions of higher education in the State of Tennessee and is available to the public on their [website](#). The curriculum appropriate to each of these academic programs is developed by faculty with expertise in the disciplines, vetted through faculty governance and described in the [Curricular Submission Guidelines for the Undergraduate Council](#) and the [Curricular Submission Guidelines for the Graduate Council](#) (see Comprehensive Standard 3.4.1 for details of the approval process that starts in the departments with college faculty approval, undergraduate and graduate councils review and approval, and Faculty Senate review and approval; and Comprehensive Standard 3.4.10 Responsibility for Programs).

The UT Undergraduate Catalog provides detailed information about undergraduate degree programs offered, course descriptions, and specific requirements for all undergraduate programs. Consistent with the mission of UT, undergraduate students are required to complete general education requirements ([2013-2014 Undergraduate Catalog](#)) as well as courses in their major field(s) of study (see response to Comprehensive Standard 3.5.1 and Comprehensive Standard 3.5.3). Learning outcomes are assessed, and objectives reviewed by faculty committee for all major fields of study and general education on an ongoing basis.

At the graduate level, individual departments along with the Graduate School develop relevant courses and ancillary requirements (see response to Comprehensive Standard 3.6.2).

The UT Graduate Catalog provides specific information about graduate degree programs. In keeping with our mission, we offer a limited number of graduate programs in alternative formats such as MBA programs for executives, and [online programs](#), predominantly in engineering, nursing, and social work.

THEC has a new academic program policy for approval of all new programs to ensure consistency with the mission of UT and to ensure the quality of the curriculum (see response to [Comprehensive Standard 3.4.1](#)). As detailed in responses to [Core Requirement 2.7.2](#) and [Comprehensive Standard 3.4.10](#), ongoing faculty review of the contents of program curricula, ensures that the academic program embodies an appropriate, timely, and coherent program of study, consistent with the UT mission.

In addition to approval of new programs by University of Tennessee System Board of Trustees and THEC, and ongoing faculty monitoring and review of established academic programs, periodic academic program reviews are conducted by THEC to ensure consistency with the university's mission. One of the main goals of the academic program review process is to ensure that the programs are maintaining quality and are of sufficient rigor for the level of education. Review teams include external and internal reviewers; reviews occur on a five year cycle (previously it was a 10-year cycle with a 3-year "mid-cycle" review).

Several professional programs at UT are reviewed and accredited by specialized professional associations that review program curriculum on a periodic basis. These outside accrediting bodies help ensure that the programs at UT are consistent with the university's mission. A [complete list](#) of accredited programs and their review cycles is provided at the UT SACSCOC website.

Conclusion

The University of Tennessee, Knoxville, has curricula that directly relate and are appropriate to the mission and goals, and are appropriate for the baccalaureate and graduate degrees awarded; and therefore, is compliant with this federal requirement.

4.3 Publication of policies

The institution makes available to students and the public current academic calendars, grading policies, and refund policies.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution. The university offers bachelor, master, and doctoral level programs as well as graduate certificates; UT does not offer associate degrees. The university publishes all policies related to student services and academic activities on various websites, within various catalogs, advising manuals, and course syllabi.

Academic Calendars

The Chancellor's University Calendar [Committee](#) sets key academic and other major university dates and deadlines. The committee includes a broad spectrum of students and campus representatives from Academic Affairs, Finance and Administration, Student Life, Athletics, the Graduate School, and Faculty Affairs.

The University of Tennessee's academic calendar can be found in the [2013-14 Undergraduate Catalog](#), in the [Hill Topics](#) Student Handbook, in various advising manuals (example: [College of Business Administration](#)), on the Office of the University Registrar [website](#), on the One Stop Express Student Services [website](#), on the Graduate School [website](#), and various college and departmental websites. The Tennessee Teaching and Learning Center also advise faculty to include important dates from the academic calendar in their [syllabi](#).

In addition to the academic calendar, the Office of the University Registrar [website](#) includes a timetable/financial deadlines calendar, a key dates calendar (Title IV, grade entry and processing, graduation), and exam schedules for multiple years or terms. A recent feature provides instructions on how to download any of the calendars into your own personal Outlook calendar.

Grading Policies

UT's grading policies can be found in the [2013-14 Undergraduate](#) and [Graduate Catalogs](#) and on the One Stop Express Student Services [website](#). In addition to the policies, a number of tools are available to assist students with GPA questions, such as [GPA calculators](#), nonstandard grading explanations, and information on [academic second opportunity](#). Faculty are also encouraged to include grading policies in their [syllabi](#). Any revisions to grading policies must be approved via the faculty governance process. The changes are documented in the Undergraduate and Graduate Council minutes on their websites.

Refund Policies

UT's refund policies for maintenance and tuition, facility, transportation, housing, and technology fees can be found in the [2013-14 Undergraduate](#) and [Graduate Catalogs](#) and on the One Stop Express Student Services [website](#). [Vol Shop](#) (the UT Bookstore), the

[University Center](#), the [Athletics](#) department and similar units post their refund policies on their respective websites.

Conclusion

The University of Tennessee, Knoxville, makes available to students and the public current academic calendars, grading policies, and refund policies through the various webpages of the university including the Office of the University Registrar, the online Undergraduate and Graduate Catalogs, the online Hill Topics Student Handbook, and other pertinent webpages.

4.4 Program length

Program length is appropriate for each of the institution's educational programs.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) is the state's flagship, comprehensive land-grant research institution. The university offers bachelor, master, and doctoral level programs as well as graduate certificates; UT does not offer associate degrees. The oversight responsibility for program length falls to the [Undergraduate](#) and [Graduate](#) Councils to ensure that curricula meet professional standards and practices of higher education.

UT has determined appropriate program lengths for each educational program based on policies established by the Tennessee Higher Education Commission (THEC) which state, *The curriculum should be adequately structured to meet the stated objectives of the program, and reflect breadth, depth, theory, and practice appropriate to the discipline and the level of the degree* (THEC Policy [A1.1, Sec. 1.1.20B](#)). For undergraduate academic programs, the Commission recommends the programs *not be substantially more than 120 hours for baccalaureate degrees or 60 hours for associate degrees without justification* (THEC Policy [A1.0, Sec. 1.0.60A](#)). In addition, academic program review teams normally address the issue of appropriate length (breadth and depth of the curriculum) in assessment of program strengths and weaknesses. The [2013-2014 Academic Program Review Manual](#) includes the process for review and procedures for the self-study used in the review and contains the THEC-required forms for assessing the quality of programs.

UT offers more than 170 undergraduate degree programs, concentrations, and specializations across nine colleges (see the [2013-2014 UT Knoxville Academic Program Inventory](#) for a complete list). All of the four-year bachelor degrees require a minimum of 120 semester credit hours. Requirements for the degrees are published in the *2013-14 Undergraduate Catalog* and are also included in the [degree audits](#) students use to evaluate their progress toward graduation. Some Colleges have additional stipulations, such as a minimum of 42 semester credit hours of upper-division course work in the [College of Arts and Sciences](#).

Certain professional organizations may require more than 120 semester credit hours. For example, ABET has a 124-hour minimum; all undergraduate degree programs in the College of Engineering are ABET-accredited. Another is the National Architectural Accrediting Board (NAAB) which requires a minimum of 150 semester credit hours. UT's architecture program is a NAAB-accredited, five-year program.

UT also offers 3 plus 1 programs via partnerships with the College of Veterinary Medicine and the University of Tennessee Health Science Center in Memphis. Students complete three years at the Knoxville campus (approximately 90 semester credit hours) and are awarded the bachelor's degree after completion of the first year of professional school. If students are not admitted to the professional school, they can finish the bachelor's degree at the Knoxville campus. Majors with 3 plus 1 options include [Animal Science](#), [Food Science and Technology](#), and [Pre-Professional](#) Programs (pre-dental, pre-medical, pre-pharmacy, and pre-veterinary medicine). Audiology and Speech Pathology is a joint degree program

between UTHSC and UT where students complete the first three years on the Knoxville campus and then complete the fourth year of their studies at the UTHSC to earn a Bachelor of Science in Audiology and Speech Pathology.

Graduate programs are also guided by the criteria outlined in THEC's New Academic Programs policy (i.e. adherence to role and scope of institution's mission; clearly stated academic standards for admission, retention and graduation; adequate faculty, library, and other resources to support high quality program; sufficient student and employer demand; commitment to diversity) since *these criteria are informed by the principles supported by the Tennessee Council of Graduate Schools and best practices in the disciplines* (THEC Policy [A1.1, Sec. 1.1.20N](#)).

While individual graduate programs vary considerably in the number of required hours, the minimum requirement is explicitly stated in the *2013-14 Graduate Catalog* as 30 or more graduate semester credit hours for master's degrees, 60 graduate semester credit hours beyond the bachelor's degree for the specialist in education degree, and 24 or more graduate semester credit hours beyond the master's or 48 graduate semester credit hours beyond the bachelor's for doctoral degrees (*2013-2014 Graduate Catalog*, [Degree Program Requirements](#)). All graduate programs meet this requirement ([2013-2014 UT Knoxville Academic Program Inventory](#)).

In addition to the aforementioned policies, the UT faculty review program length for each new and revised program through the faculty governance process. The Undergraduate and the Graduate Councils, standing committees of the Faculty Senate, oversee standards for admission, retention, and graduation; curricular matters; and any other matters of educational policy pertaining to undergraduate and graduate programs. Each Council is further subdivided into committees, one of which is devoted to curriculum.

Curricular proposals originate in the department, school or college (depending upon how each is organized) with responsibility for the program (see the [graduate](#) and [undergraduate](#) curricular flowcharts for an outline of the process at UT). Each college has a Curriculum Committee that reviews proposals coming from departments (College of Arts and Sciences [Curriculum Change Guide](#) is attached as an example). If approved by college faculty, proposals are then forwarded to the appropriate Council's Curriculum Committee. If approved by the Curriculum Committee, the proposal is forwarded to the corresponding Undergraduate or Graduate Council for review and approval and later the Faculty Senate for final approval. Minutes for all Undergraduate Council, Graduate Council, and Faculty Senate meetings are available online and distributed to a variety of campus offices via an email listserv. The full process is detailed in Comprehensive Standard [3.4.1 Academic Program Approval](#).

New academic degree programs require additional approvals from UT administration, the UT Board of Trustees, and THEC in accordance with established academic policies and procedures. For example, the Master of Fine Arts with a major in Creative Writing, which was split from the Master of Arts with a major in English with a concentration in Creative Writing. The new MFA went through the campus curriculum approval process of review by the College of Arts and Science, Graduate Curriculum Committee, Graduate Council, and Faculty Senate. Finally it was presented to the UT System Board of Trustees on [June 20, 2013](#) for approval and then sent to THEC for final authorization on [July 30, 2013](#), with first admissions for fall semester 2014.

Conclusion

The University of Tennessee, Knoxville, has processes in place to ensure that all degree programs are an appropriate length of a minimum of 120 semester credit hours for baccalaureate degrees, 30 semester credit hours for a master's degree, 60 semester credit hours for a specialist in education degree, and 24 or 48 semester credit hours beyond the master's or baccalaureate degree to earn a doctorate. The institution is compliant with this standard.

4.5 Student complaints

The institution has adequate procedures for addressing written student complaints and is responsible for demonstrating that it follows those procedures when resolving student complaints. (See the Commission policy “Complaint Procedures against the Commission or its Accredited Institutions.”)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) has adequate procedures for addressing various written student complaints, appeals and concerns related to academic grades, academic dismissals, student conduct, and other concerns. The University follows these procedures when resolving student complaints as described below.

Policies and Procedures for Addressing Written Student Complaints

The complaint and appeals processes are provided on various departmental websites and are widely disseminated via the *Hill Topics Student Handbook*, undergraduate and graduate catalogs, as well as New Student Orientations for both undergraduate and graduate students. Students enrolled in online programs are also informed by the Director of Online Programs of the complaint policies and procedures as given in the aforementioned documents. Students are offered multiple entry points for initiating written complaints and are encouraged to submit complaints directly to the department that manages their concern.

General Complaints and Appeals

The newly formed One Stop Express Student Services Office streamlines common enrollment, registration, financial aid and payment services at one location to help students take care of their business and address concerns in these areas in one convenient location. The One Stop website has forms for financial aid appeals, Residency Classification appeals, Hope Scholarship appeals, and FERPA releases. One Stop Express Student Services Office has a convenient physical location on the ground floor of Hodges Library that is centrally located on campus and between the residence halls and academic buildings and on the pedestrian mall.

The Student Success Center provides academic support to students and coordinates the University’s academic appeals processes. Procedures for Grade Appeals and Dismissal Appeals are found on the Student Success Center’s [website](#). A description of the University Grade Appeal Policy and procedures is located in the Undergraduate Catalog and in *Hill Topics Student Handbook*. Students dismissed at the end of Fall, Spring, or Summer terms have the option of appealing the dismissal through the use of the Dismissal Appeal Application. These appeals are coordinated by the Student Success Center and reviewed by the Undergraduate Council’s Appeals Committee. Additionally, undergraduate students seeking readmission following more than one academic dismissal must meet in person with the Undergraduate Appeals Committee. Students seeking retroactive withdrawal from a course in which they earned a grade of F, I, or NR apply through the Student Success Center, using the Retroactive Withdrawal application.

A new office has been charged with coordinating on-line student academic support and social needs, the Office of On-Line Programs. Prior to the establishment of the on-line office, on-line student complaints go to the instructor teaching the course and follows the normal administration procedures.

Graduate Student Complaints and Appeals

The online Graduate Catalog and the departmental graduate program handbooks inform graduate students about the policies and procedures for graduate student complaints and appeals. The Graduate School requires every graduate program to annually submit a copy of their graduate handbook to the Graduate School for review for consistency in presenting university policy and inclusion of standard information. Departments have access to a standard template posted to the Graduate School website.

Graduate student appeals concerning the interpretation of and adherence to university, college, and department policies and procedures and appeals concerning grades are addressed by the Graduate Council Appeals Committee after they have been duly processed, without resolution, through appropriate appeals procedures at the department and college levels. The online Graduate [Catalog](#) and the Graduate Council website have a link to the Graduate Council Appeal Committee procedure and mandatory cover page for written appeals. Records of graduate student appeals are kept by the Assistant Dean of the Graduate School and posted to a secure website accessible for access by Graduate Council Appeals Committee members.

Graduate student grievances related to race, gender, religion, national origin, age, or handicap are directed to the Office of Equity and Diversity.

Procedures for graduate student assistants with complaints about any aspects of carrying out their assignments are explained in the Graduate Catalog. Procedures for appeals regarding violations of academic standards are explained in *Hill Topics Student Handbook* and are handled by the Office of Student Conduct and Community Standards. All policies and procedures addressed in the Graduate Catalog and the student handbook also apply to the University of Tennessee Space Institute (UTSI) and University of Tennessee Institute of Agriculture (UTIA) graduate and professional students.

Other Complaints and Appeals

A student may report an incident related to a violation of a University Standard of Conduct by contacting the Office of Student Conduct and Community Standards or by accessing the Incident Report Form on the Office of Student Conduct and Community Standards website; the process is outlined in *Hill Topics the Student Handbook*. Students accused of a violation of a University Standard of Conduct have the right to appeal to a higher board as outlined in the student handbook as well as on the Student Conduct and Community Standards website. As indicated in the student handbook the Student Life Council is the hearing board for appealing decisions of the Student Tribunal, Academic Review Boards, and for appeals filed by the Vice Chancellor for Student Life.

The Division of Student Life has a Student Complaints and Comments system online. Each department within the Division has a link on its webpage that allows students and others to offer complaints or feedback. The complaint form may be accessed from the Divisions webpage or from webpages of the following departments: Career Services, Dean of Students, Center for Leadership and Service, Disability Services, RecSports, Sorority and Fraternity Life, Student Activities, Student Publications, New Student and Family Programs,

Student Counseling Center, Student Health Center, Student Judicial Affairs, Safety Environment Education Center, University Center, and University Housing.

Students may report incidents of bias by using the Bias Incident Reporting Form online. The Office of the Dean of Students in conjunction with the Office of Equity and Diversity and the Bias Response Team addresses the complaint and reports findings related to incidents of bias on campus.

The Office of Equity and Diversity investigates complaints of discrimination and serves as the campus Title VI, Title IX, and ADA Coordinators. Information on how to file Title IX complaints based on sexual harassment, sexual misconduct, discrimination, and disability complaints can be accessed on the Office of Equity and Diversity's website. Students may also gain access to a Discrimination and Harassment Complaint Form. Information for filing a Title IX complaint against a student or an employee, as well as what to do if a student has been the victim of sexual misconduct is found in *Hill Topics Student Handbook*.

Office of the Vice President for Academic Affairs and Student Success, University of Tennessee System

The UT System Vice President for Academic Affairs and Student Success serves as the central point for anyone to file a complaint against any of the member campuses of the UT System. Procedures for handling complaints are found on the Office of the Vice President for Academic Affairs and Student Success [website](#), as well as in *Hill Topics*. When screened in the UT System Office, if deemed significant in nature, the information is shared with the appropriate campus office.

Appropriate Sections in *Hill Topics Student Handbook*

[Appeals Process](#)

[Grade Appeals](#) (including acceptable grounds for appeal)

[Standards of Conduct](#)

[Hearing Boards](#)

Sample Complaints and Appeals

Dismissal Appeal, [Denied](#)

Dismissal Appeal, [Granted](#)

Feedback Complaint, [RecSports](#)

Feedback Complaint, [Student Health Services](#)

Feedback Complaint, [Student Health Services 2](#)

Feedback Complaint, [University Housing](#)

Retroactive Withdrawal Appeal, [Denied](#)

Retroactive Withdrawal Appeal, [Granted](#)

Conclusion

The University of Tennessee, Knoxville has procedures for addressing written student complaints and follows its procedures in resolving the complaint. Procedures are in *Hill Topics Student Handbook* and the Undergraduate and Graduate Catalogs direct students to refer to the student handbook, which is available in hardcopy and on the web. The Dean of Students, Student Success Center, One Stop Express Student Services are the touch points for assisting students with complaints; therefore, UT demonstrates compliance with this standard.

4.6 Recruitment materials

Recruitment materials and presentations accurately represent the institution's practices and policies.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) demonstrates compliance through its various webpages, Undergraduate Admissions Viewbook, and the University Undergraduate and Graduate Catalogs. The Office of Undergraduate Admissions and the Office of Graduate Admissions each coordinate publication of materials to assure accuracy. College of Law and College of Veterinary Medicine handle their admissions and work closely with the Office of Graduate Admissions to ensure they provide accurate information that conforms with UT practices and policies.

Primary recruiting tools include information posted on the University's webpages and, for undergraduates, the Viewbook and assorted specialized brochures such as [Meet the University of Tennessee](#), [Quick Guide for Transfer Students](#), and [Honors Programs](#). UT's Viewbook discusses a variety of topics including 1) [admission requirements and deadlines](#); 2) [completing the FAFSA](#); 3) [academic programs](#); 4) [Beyond the Classroom](#) (off-campus study and research opportunities), and 5) [clubs and organizations](#).

UT's Undergraduate Admissions website provides essential information concerning 1) [application and admission requirements](#); 2) [Afford \(costs, financial aid, scholarships information\)](#); 3) [Live \(student life\)](#), 4) academic support, and other services; 5) recruitment programming to promote campus diversity; and special programs such as [Scholars Invitational](#) (high-ability students) and [Open House](#) (general information session about campus). Undergraduate Admissions Counselors and Regional Counselors are all professional staff and are assigned specific territories within Tennessee and other states.

The Graduate Admissions site provides [application and admission requirements](#), [academic programs](#), [cost and financial aid](#), and links to support programs, including UT Libraries, Office of the University Registrar, [housing](#), UT Police Department, and [disability services](#). The Graduate School application is through by CollegeNet ApplyWeb®. Departments handle much of the recruitment for graduate students through traditional methods (i.e., disciplinary conferences) or through their departmental or individual faculty websites. The [College of Law](#) and the [College of Veterinary Medicine](#) provide similar information and information specific to their admissions process as they use a national common application through the Law School Admission Council and Veterinary Medical College Application Service, respectively.

Distance Education

The Office for Online Programs currently does not have recruitment website or brochures. Most recruitment for online programs is done by the departments offering the programs as 25 of the 26 are graduate programs. UT also participates in the Southern Regional Education Board's [Electronic Campus](#). The University of Tennessee System's Vice President for Academic Affairs and Student Success coordinates among the UT System's campuses the [UT Online](#) portal.

Conclusion

The University of Tennessee, Knoxville, accurately represents the institution's practices and policies in recruitment materials and presentations that inform prospective students and their families about UT and demonstrates compliance with this principle.

4.7 Title IV program responsibilities

The institution is in compliance with its program responsibilities under Title IV of the most recent Higher Education Act as amended. (In reviewing the institution's compliance with these program responsibilities, the Commission relies on documentation forwarded to it by the U. S. Department of Education.)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The Office of Financial Aid and Scholarships at the University of Tennessee, Knoxville, is in compliance with its program responsibilities under Title IV of the Higher Education Act of 1965 with Amendments through 2008. This is evident in the [Transmittal letter](#) from the U.S. Department of Education dated November 3, 2009 which states, "... the institution meets the minimum requirements of institutional eligibility, administrative capability, and financial responsibility as set forth in 34 CFR Pars 600 and 668." The letter certifies participation in Title IV, HEA programs until September 30, 2015. [Additional correspondence](#) from the U.S. Department of Education includes information on Eligibility and the Federal Direct Loan Program. As referenced in [Comprehensive Standard 3.10.2](#), UT completes yearly Fiscal Operations Report and Application to Participate (FISAP) and also participates in the Institutional Quality Assurance Program communicating data directly with the U.S. Department of Education. The Cohort Default Rate as calculated by the Department of Education was 6.4% in 2010 and 4% in 2011.

Conclusion

The University of Tennessee, Knoxville has demonstrated compliance with this standard per the correspondence from the U.S. Department of Education.

4.8.1 Verification of Student Identity in Distance or Correspondence Education

An institution that offers distance or correspondence education demonstrates that the student who registers in a distance or correspondence education course or program is the same student who participates in and completed the course or program and receives the credit by verifying the identity of a student who participates in class or coursework by using, at the option of the institution, methods such as (a) a secure login and pass code, (b) proctored examinations, or (c) new or other technologies and practices that are effective in verifying student identification.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) complies with federal requirements regarding distance education courses and programs, including those related to student authentication. UT no longer offers correspondence education courses or programs.

New students receive their network identifier ([NetID](#)) when they are admitted to the university. The NetID is the username associated with all accounts at UT. This secure login permits student access to various systems, including [UT e-mail](#), [MyUTK](#), [Online@UT](#) (Blackboard Learn, the adopted course management system), the computer labs on campus, and other UT maintained online portals.

MyUTK provides a central location for students, staff, and faculty to connect with UTK's online systems. Students can access registration, course schedules, weekly schedules, academic links, account balances, and more. Staff members can access advising links and other resources. Faculty members have access to grades, class details, [Online@UT](#) (Blackboard Learn), advising, and additional services.

The NetID is required to access those course delivery services associated with distance course delivery. [Online@UT](#), powered by Blackboard Learn, is the university's online and distance learning management system that provides tools for document distribution, communication, assessment, and student engagement. Faculty also utilize [Online@UT](#) for traditional and hybrid courses not part of online and distance education programs.

[NetID passwords](#) are required to be changed every 180 days. Users are able to change their password either in person at the Office of Information Technology (OIT) HelpDesk or online. UT has specific password complexity requirements in effect for all users when establishing and/or changing their NetID password (guidance on NetID Password Management is provided online).

Complexity Requirements:

- Be a minimum length of 8 characters
- Contain some combination of at least three of the following:
 - o Uppercase letters
 - o Lowercase letters
 - o Numbers

- o Punctuation
- May not contain a significant portion of your username or display name
- May not reuse last 10 passwords

Change Password	
NetID: New Password: Verify Password: Note: If you are changing your password while logged into your UT email account, lab/library computer, or other application that uses NetID/Active Directory authentication, you must log off immediately after changing your password and authenticate using your new password.	Password Complexity Requirements ■ Be a minimum length of 8 characters ■ Contain some combination of at least three of the following: ■ Uppercase letters ■ Lowercase letters ■ Numbers ■ Punctuation ■ May not contain a significant portion of your username or displayname ■ May not reuse last 10 passwords For additional information please visit the OIT HelpDesk site.

Figure 4.8.1-1 Password Complexity Requirements

It is a violation of university policy to share one's NetID password. This information is communicated at orientation sessions and students must agree to abide by the University of Tennessee System (UT System) [IT0110](#) Acceptable Use of Information Technology Resources Policy when managing their NetID password.

Currently, UT does not have a central facility for proctoring exams nor does it charge a proctoring exam fee. Faculty members in individual departments determine if an online exam should be proctored. The faculty member is then responsible for identifying and contacting an appropriate proctor, who agrees to comply with all UT policies and procedures including the following: requiring the student to present a picture identification; preventing the student from making copies or having loose papers, study guides or cell phones nearby; and carefully observing the student during paper-based and online exams. Proctors must provide information to the course faculty member regarding his or her credentials, place of employment, proctoring experience and details regarding access to the appropriate technologies. Proctors may not be relatives, friends, spouses or coworkers of the examinee. Completed tests are returned to the faculty member who then grades the exams.

Some departments, including the Department of Modern Foreign Languages and Literatures, have labs that can be used for proctored testing in online courses. Computers in these labs

have the Respondus LockDownBrowser™ software installed. This software prevents students from printing, copying, going to another website or accessing other applications during an assessment. UT is working to expand the resources available for proctored testing, including the development of a central testing facility.

The university continues to research and examine the need for enhanced identity management services, such as Acxiom™ and Proctor U™, as new technologies evolve and become cost effective.

Conclusion

The University of Tennessee, Knoxville, currently uses a password-protected login for email; student, faculty, and staff portal; Online@UT course management system; and continues to monitor technologies for cost and effectiveness for securing access to learning systems to ensure the identity of the students enrolled in distance learning courses. Therefore, the institution demonstrates compliance with this standard.

4.8.2 Written Procedure for Distance and Correspondence Education Student's Privacy

An institution that offers distance or correspondence education has a written procedure for protecting the privacy of students enrolled in distance and correspondence education courses or programs.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) follows the same policies and procedures for protecting online programs students' privacy as it does for traditional, on-campus students.

UT defines student records to mean all educational records within the scope of the Family Educational Rights and Privacy Act (FERPA). The University of Tennessee broadly defines a student record to mean any record that directly relates to a student and is maintained by the university or a party acting on behalf of the university.

Educational records include:

- Biographical information such as date and place of birth, gender, nationality, race/ethnicity, identification photographs
- Academic history, such as courses taken, grades earned, exam and test scores, papers, evaluations, academic specializations/activities, degree and audit reports
- Registration information, such as class schedules, class rosters, communications regarding the academic process
- Advising notes; internship program records; disciplinary records
- Financial records
- Student information displayed on computer screens

Educational records do not include:

- Sole possession records: records kept in the sole possession of the maker, used as a personal memory aid and not revealed to others (e.g. an instructor's class notes).
- Law enforcement records
- Employment records
- Treatment records, including medical, psychological, and counseling
- Post-attendance records: records created or received by the university after an individual is no longer a student and not directly related to the individual's attendance as a student
- Peer graded papers before they are collected and recorded by faculty

The university has adopted procedures designed to comply with federal and state laws and regulations, and University of Tennessee System policies protecting personally identifiable information that include:

Federal Laws

Family Educational Rights and Privacy Act (FERPA)

Health Insurance Portability and Accountability Act (HIPAA)
Electronic Communications Privacy Act of 1986
Fair and Accurate Credit Transactions Act (Red Flag Rule)
Gramm-Leach-Bliley Act (disclosure of non-public personal information)
Digital Millennium Copyright Act

State Laws

Tennessee Public Records Act ([TCA 10-7-503](#), records open to public inspection)
Tennessee Data Breach Notification Law ([TCA 47-18-2107](#), release of personal consumer information)
Tennessee Law on Disclosure of Social Security Numbers ([TCA 4-4-125](#), dissemination of social security numbers)

UT System Policies

Information and Computer System Classification ([IT0115](#))
Information Security Plan Creation and Data Breach Notification Procedures ([IT0121](#))
Secure Network Infrastructure ([IT0120](#))
Acceptable Use of Information Technology Resources ([IT0110](#))
Records Management ([FI0120](#))

Federal Education Rights and Privacy Act (FERPA) Compliance

UT has policies and procedures in place to protect the privacy of students and their educational records; these are shared to the university community, parents, and the public through the [FERPA webpage](#) on the Office of the Registrar website.. The University Registrar serves as the UT Knoxville FERPA compliance officer and is responsible for the security, confidentiality, and integrity of student academic records and the maintenance of special procedures to protect student data. The office maintains a series of internal procedures to assure students' rights are protected:

- FERPA information is disseminated in the [2013-2014 Undergraduate Catalog](#), the [2013-2014 Graduate Catalog](#), the [2013-2014 Hill Topics Student Handbook](#), the Office of the University Registrar's [FERPA website](#), and numerous departmental websites such as the [Parents Association](#). Students are informed of their FERPA rights and the FERPA website during orientation and in annual emails from university administration.
- Access to the university's student systems is strictly limited to faculty and staff whose job duties require access as defined by FERPA. Faculty and staff must sign and submit, along with Dean, Director, or Department Head approval, a [Banner System Account Request form](#) and/or an [Argos Account Request form](#) to gain access to information in the student information system. Included as part of that form is the Banner Security Statement detailing the requirement to maintain confidentiality and the confidentiality of educational records.
- All faculty and staff are required to complete an online FERPA tutorial every fall semester. All are notified via [email](#) about the need to complete the online tutorial. The Office of the University Registrar can monitor completion.
- Faculty members are required to read and agree to the [Confidentiality of Education Records statement](#) each term when he/she is entering grades for the term.
- In 2009, in combination with the Office of Undergraduate Admissions and the Office of Student Financial Aid, the Office of the registrar began implementation of the Noli Imaging System for storage of student academic records by the registrar. The Registrar is now in the process of converting all student academic records to

electronic form. Pending completion of that conversion, all paper copies of student academic records are stored in locked file cabinets within locked rooms.

Directory Information

Directory information is information about a student that is not generally considered harmful if disclosed. Directory information may be disclosed unless the student has invoked the FERPA right to limit disclosure of that information. Directory information includes:

- Name
- Semester (local) address
- Permanent address
- NetID
- Email address (university-supplied)
- Telephone number
- Classification
- Most recent previous educational institution attended
- Graduate or Undergraduate level
- Full-time or Part-time status
- College
- Major
- Dates of Attendance
- Degrees and Awards
- Participation in school activities and sports
- Weight and height

Directory Exclusion Request

Students seeking limited disclosure may submit the [directory exclusion form](#) found on the FERPA website. University Registrar personnel will suppress the requestor's directory information from visibility on the web directory. Students who wish more stringent measures of privacy may contact the Office of the University Registrar to discuss their needs.

Student Consent to Release Educational Records

The release of FERPA protected information to third-parties, including parents, requires adherence to one of the following:

- An exception in the FERPA law or UT FERPA policy or
- A fully-executed consent to release form filed by the student with the following information:
 - o Name of student
 - o Type of record to be disclosed
 - o Person to whom the information can be disclosed
 - o Relationship between the person and the student
 - o 'Secret word' for authentication, and
 - o Student's signature and date.

All releases to third-parties are in effect for one (1) year from the date filed except for releases related to financial records. UT has set the expiration date on consent to release forms for financial information to ten (10) years. The student can, at any time, provide

written revocation of the consent to release form thereby canceling the release and restricting access to the student's information.

Types of Releases

Academic: Release of academic information is handled in the Office of the Provost, the Student Success Center, the Office of the University Registrar, the college advising office or the academic department office. An academic consent to release expires within one (1) year of its execution or by an expiration date listed in the consent instructions. Students can grant access to parents or guardians online by going through the MyUTK portal and choosing the [FERPA Academic Record Release form](#). Completing the form provides access to the student's academic records for a period of one (1) year or until revoked by the student. The form requires the name of the person(s) to whom consent is given and a secret word to verify that person's identity. This information is entered into the student's record in the Banner student information system so anyone accessing the student's record will know whether or not a FERPA release was filed by the student.

Financial: In general, release of financial information is handled by the Office of the Bursar or the Office of Financial Aid and Scholarships. Consent to release for financial information is in force for the life of the record or until the student files a written revocation of the release with the Office of the Bursar. A student may release financial information through the MyUTK portal. Students choose "View/Pay Fees" and then the tab labeled "Authorize Users" to give consent to an individual to view the student's account information and make payments on the student's behalf. Adding an authorized user is the student's written consent to give others the ability to access his/her account information.

Disciplinary: Release of student conduct or disciplinary records is handled in the Office of the Dean of Students or the Office of the Vice Chancellor for Student Life. A disciplinary consent to release expires within one (1) year of its execution or by an expiration date listed in the consent instructions. Consent forms are available for the student to complete and sign. The original form is maintained (1) in the office where it was filed, (2) entered into the Banner electronic tracking system; or (3) if the form is used for a single-day release, it is not entered into Banner, but the consent form is kept in the student's file for the life of the record.

Athletic: Release of information regarding student-athletes is coordinated by the Athletic Department. Any particular consent to release expires in one (1) year of its execution or by an expiration date listed in the consent instructions.

Sponsored Projects: Departments are to ensure FERPA policy is followed to protect the privacy of students. The process requires department payroll administrators or those who process payroll to request all students complete a Student Information Release Form for Sponsored Projects. Departments will maintain a copy of the form for the student as long as the individual is a student. If the student was used on an awarded project, the department retains the document for three (3) years after the final audit of the sponsored project.

Other: Other records maintained by UT may, from time to time, require release with the consent of the student. In general, release of these records is coordinated with the university office responsible for maintaining the records in conjunction with the Office of the Chancellor, the Office of the Provost, or the Office of the Vice Chancellor for Student Life or their designee as appropriate. All consent to release forms expire within one (1) year of its execution or by an expiration date listed in the consent instructions.

FERPA Violations

Suspected FERPA violations are sent to the University Registrar. The report requests inclusion of the names of the people, the dates of the alleged violation, the email address and phone number of the individual making the report, and any other relevant information or documents. The University Registrar conducts an investigation and consults with UT legal counsel. If appropriate, procedures are put in place to avoid future violations. If warranted, faculty and staff may be required to complete the FERPA tutorial or additional training.

NetID and Log-In Security

While the NetID itself is a known value, access to systems which authenticate using the NetID and to private information in our directories is password protected. Passwords are one-way encrypted and not accessible to users. Our LDAP directory uses SSHA2 for encryption. Active Directory uses a Microsoft proprietary algorithm. Off-campus access to our directory systems is controlled at our border routers. Authentication and search requests on ports 389 and 636 are blocked for non-whitelisted IP addresses. Further, we control connections from off-campus systems at the LDAP server level as well using built-in access control mechanisms.

Conclusion

The University of Tennessee, Knoxville, respects the privacy of all students, regardless of enrollment status as a distance education or on-campus student. Faculty and staff are required to undergo training regarding confidentiality of student records. They are held accountable for violations. Fortunately, UT has not experienced a breach of data or a breach of confidentiality within this reporting period. The university demonstrates compliance.

4.8.3 Written Procedure for Projected Additional Student Charges

An institution that offers distance or correspondence education has a written procedure distributed at the time of registration or enrollment that notifies students of any projected additional student charges associated with verification of student identity.

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville, (UT) provides detailed information to all students regarding fees through the One Stop Express Student Services website. UT does assess a distance education fee to support online delivery of distance education courses; it is not related to verification of student identity. Students are informed in advance of these charges associated with distance learning courses at the time of registration. All tuition and fee schedules are publicly available on the One Stop Express Student Services website (Your Money>What are my tuition and fees?>[Tuition & Fees](#) where they can download a [PDF file](#) with a detailed breakdown of tuition and fee calculations for the current semester; scrolling down this page they can learn about the [Distance Education Fee](#) and get detailed information about all fees).

Distance Education students are assessed a per hour rate of the following: Maintenance Fee, Tuition (if out-of-state), and Library Fee at the same rate as students taking on-campus classes. In addition, they are also assessed a Distance Education fee of \$46 per credit hour, used for on-going support of the technology needed to deliver online courses to distance education students as well as, the creation of new courses and course material for current and future programs. UT does not charge a proctoring fee.

No mandatory fees are assessed with verification of student identity. Students who log into UT web services are required to use a secure user name (issued by the university) and password (default issued by the university which the student can then change and maintain; information is provided about the NetID and password on the [One Stop Express Student Services](#) webpage). Web services include Online@UT powered by Blackboard Learn (the course management system), University Registrar services (online registration, drop/add, grade retrieval), Financial Aid and Bursar services.

Conclusion

The University of Tennessee, Knoxville clearly identifies the distance education fee on the One Stop Express Student Services webpage where all students are directed to learn about all fees charged each semester. Therefore, UT demonstrates compliance with this regulation.

4.9 Definition of Credit Hours

The institution has policies and procedures for determining the credit hours awarded for courses and programs that conform to commonly accepted practices in higher education and to Commission policy. (See *Commission policy "Credit Hours."*)

Judgment

☒ Compliance ☐ Partial Compliance ☐ Non-Compliance ☐ Not Applicable

Narrative

The University of Tennessee, Knoxville (UT) has a definition for *credit hour* that was jointly approved by the Undergraduate and Graduate Councils. It is given in both the [2013-2014 Undergraduate](#) and [Graduate](#) Catalogs and the Guidelines for Submission of Curricular Material for the [Undergraduate](#) and [Graduate](#) Councils, and states

The unit of credit is the semester credit hour. One semester credit hour represents an amount of instruction that reasonably approximates both 50 minutes per week of classroom-based direct instruction and a minimum of two hours per week of student work outside the classroom over a fall or spring semester. Normally, each semester credit hour represents an amount of instruction that is equivalent to 700 minutes of classroom-based direct instruction. The amount of time that is required to earn one semester credit hour in a laboratory, fieldwork, studio, or seminar-based course varies with the nature of the subject and the aims of the course; typically, a minimum of two or three hours of work in a laboratory, field, studio, or seminar-based setting is considered the equivalent of 50 minutes of classroom-based direct instruction. Semester credit hours earned in courses such as internships, research, theses, dissertation, etc. are based on outcome expectations established by the academic program.

The fall and spring semesters are 14 weeks of instruction and one week allowed for final exams for a total of 15 weeks per semester. Summer semester is 10 weeks long without a final exam period scheduled. There are also two 5-week terms during the summer, without a final exam period scheduled. Final examinations, if used, are given during the last class period of the term during the first, second, and full terms of the summer semester. Mini-term lasts for 3 weeks in May after the end of the spring semester and before the start of summer semester in June (some schools refer to this time as *May-mester*). The Office of the University Registrar provides [guidance on scheduling](#) courses on their webpage, stating that courses should meet for a minimum of 700 minutes per credit hour.

The [2013-2014 Graduate Catalog](#) also includes minimum requirements for courses taught in a nonstandard scheduling format (i.e. those courses in which the instruction is not distributed evenly or proportionally across the semester/term schedule). Academic units must submit a [form](#) to the Graduate Curriculum Committee for any courses that are intended to be taught in nonstandard format. The form requires the following information: proposed credit hours, total contact hours, projected dates for session, course format description, rationale for nonstandard format, attendance policy, course assignments, evaluation methods, and a complete syllabus. Further, courses proposed for [nonstandard format](#) must meet the following minimum criteria:

- The number of contact hours should never be fewer than the equivalent of one hour per week during the term for each hour of credit awarded, i.e., 15 hours per semester hour.
- For every contact hour, there should be at least two hours of student preparation.
- For each hour of graduate credit under the semester system, there should be a minimum elapsed time of one week.

The workload in a short course of several weeks' duration does not have to be distributed evenly. However, substantive and meaningful interaction between the faculty member and student are to be maintained throughout.

Alternative Delivery Methods

While the UT credit hour definition is broad in scope to encompass a variety of instructional settings, it does not mean that alternative delivery methods are held to less rigorous standards of evaluation. For example, credit earned through study abroad programs sponsored by other institutions is carefully reviewed for suitability of transfer. To obtain credit for such programs, students must complete a [request for international transfer credit](#) form before departing. Students must provide a specific list of the courses to be taken at the host institution (subject code, course number, and title) as well as the specific requirements those courses are intended to fulfill. The student, the student's advisor, and the Programs Abroad Office must approve and sign the completed form. The Programs Abroad Office also maintains a [transfer credit database](#) that contains a list of study abroad courses that have been previously reviewed and approved for use toward UT degree requirements. The [Programs Abroad Handbook](#) provides detailed information regarding transfer credit.

The Office of the University Registrar, with assistance from the academic departments and the Programs Abroad Office, is charged with evaluating international transfer credit and determining appropriate credit hours. UT transcript evaluators follow best practices in evaluating international credit as outlined in the American Association of Collegiate Registrars and Admissions Officers' (AACRAO) [International Guide: A Resource for International Education Professionals](#) and World Education Services' (WES) [credit conversion guide](#). One specific example is UT's policy for handling European Transfer Credit System (ECTS) hours, the most widely used academic credit system in Europe. Like most institutions, UT rounds up ECTS hours that would otherwise come in as fractional credit. The Undergraduate Council approved the [ECTS transfer policy](#) in January 29, 2013.

Although distance education, independent study, and similar courses do not always meet in a classroom on the typical semester schedule, the credit awarded for these courses is determined by university faculty. The courses follow the same approval process as courses taught in the classroom and are prior to approval determined to be the equivalent of on-campus courses in content and rigor. The credit awarded for distance education and similar courses is based on student learning outcomes and consistent with the credit hours awarded for the equivalent in-class course.

As described in a [March 18, 2011 memo](#) from the Office of Postsecondary Education, the federal credit hour definition *does not emphasize the concept of 'seat time' (time in class) as the primary metric*. At UT, it is only one of several factors evaluated during the extensive review process for new courses and programs and is evident in the student learning outcomes established by each program.

Approval Process

All curricular proposals, regardless of format or mode of delivery, must be vetted and approved as each College's bylaws dictate before being submitted to the appropriate Undergraduate or Graduate Curriculum Committee. The Curriculum Committees carefully examine the number of semester hours proposed and required student content, assignments, and evaluation methods when reviewing new course proposals and new degree proposals. If a proposal is approved by the Curriculum Committee, it is forwarded to the corresponding Undergraduate or Graduate Council for review and approval and later the Faculty Senate for final approval. Minutes for all Undergraduate Council, Graduate Council, and Faculty Senate meetings are available online and distributed to a variety of campus offices via an email listserv. The curriculum approval process for both undergraduate and graduate curricula and courses is fully discussed in [Comprehensive Standard 3.4.1](#).

Conclusion

The University of Tennessee, Knoxville, has demonstrated that it has a definition for *credit hour* that is consistently used in undergraduate and graduate programs and for traditional, nonstandard format, and distance education courses, and therefore is compliant with this standard.



September 2014

SACS COC Compliance Certification