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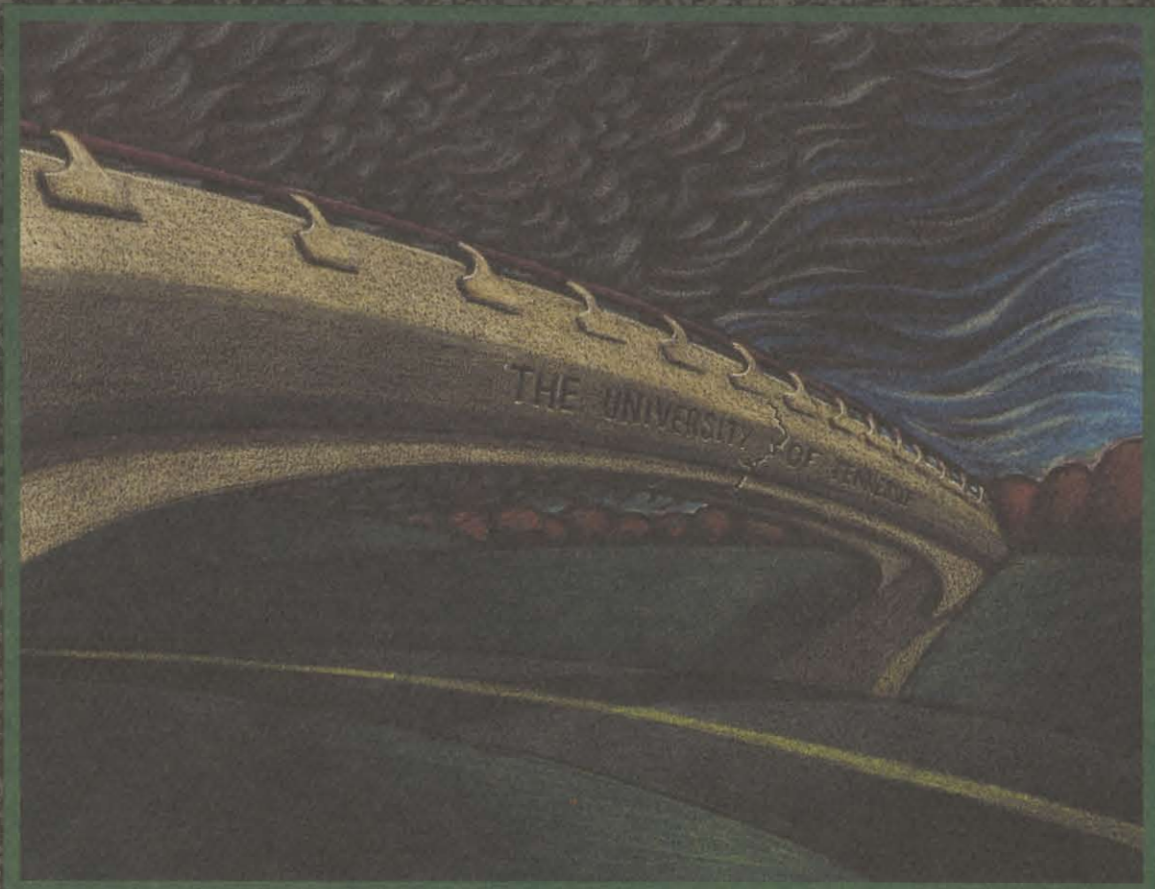


**Annual Report**  
of Dr. Joseph E. Johnson,  
President, to The Board  
of Trustees

June 17, 1999

P O I N T O F C R I S I S

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## p o i n t o f c r i s i s .

The cumulative effect of years of inadequate support from the state of Tennessee endangers the future of UT and all of Tennessee higher education.

The downhill slide in state operating appropriations that began in the early 1990s has eaten away at Tennessee's institutions of higher education and severely limited the University of Tennessee's ability to execute effectively its bedrock missions—teaching, research, and service. I have spoken about this for several years.

Without significant tax reform in the state of Tennessee, UT has little choice but to again raise fees and reduce further staff and faculty. Even those alternatives promise no long-term solution to the university's funding shortfall. Significant increases in state operating appropriations are essential to maintain and enhance the quality of the University of Tennessee.

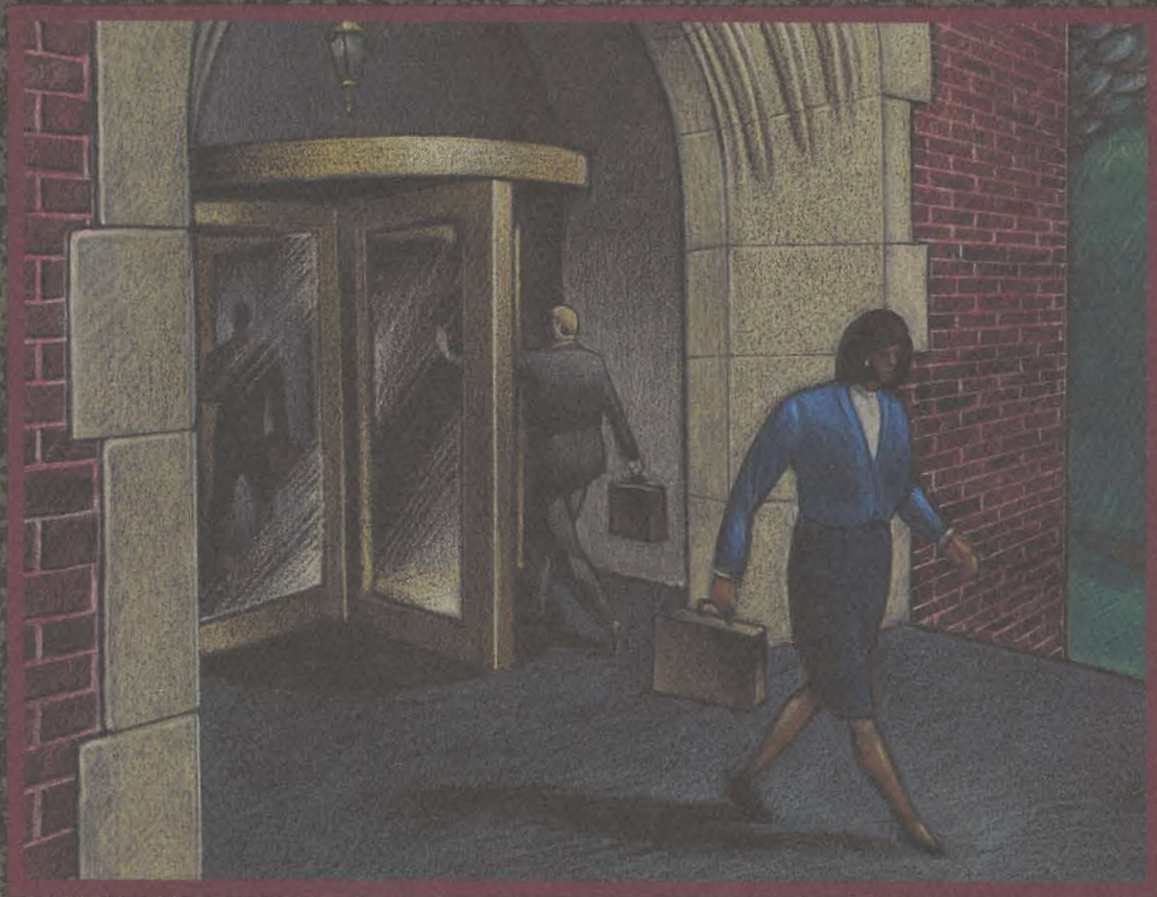
Later in this report I will talk about accomplishments during 1998-99. Only through the skill and hard work of dedicated faculty, staff, students, alumni, and friends has the university achieved significant successes. But hard work and dedication can only go so far. The pressure created by inadequate funding will exact such a toll that the university will fall further and further behind its peer institutions.

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Significant increases in state operating appropriations are essential to maintain and enhance the quality of the University of Tennessee.



Dr. Joseph E. Johnson



## Governor's Council Pinpoints Problems

As background to explain my concern about the inadequacy of state support, I would like to tell you about some of the recommendations of the Governor's Council on Excellence in Higher Education. I was pleased and excited to be asked to serve as a member of this group. It made some stellar recommendations, and I would like to emphasize some of them. The report said:

- "Tennessee has not made a sufficient financial commitment to public higher education.

"Tennessee is not keeping pace with its competitors.

In the last three years, state financial support has not kept pace with increases in comparison states such as Georgia, North Carolina, Virginia, and Wisconsin....In real dollars, with inflation stripped away, Tennessee's appropriations per student were less in 1997/98 than they were in 1990/91; in terms of institutions' purchasing power, state appropriations have moved backwards."

I have pointed out repeatedly that UT has not had any significant increase in state appropriations in this decade. The Tennessee Higher Education Commission each year recommends a reasonable appropriation, but that amount is always reduced. While we have worked harder to raise money from other sources and to save money by operating more efficiently, the continuing lack of any real increase in state appropriations has taken a heavy toll. Faculty and staff pay is not competitive with that in Georgia, Florida, North Carolina, and other states.

**Every year, some of UT's faculty "stars"—our brightest teacher/scholars—depart because they have been offered better salaries at other universities.**

- "Tennessee research professors are underpaid almost \$30,000 annually at the full professor level. Tennessee never can attain higher education prominence under these conditions. The Governor's Council has no higher priority than recommending that selective salary areas at the state's premier research and teaching institutions be made competitive with national institutions."

Every year, some of UT's faculty "stars"—our brightest teacher/scholars—depart because they have been offered better salaries at other universities. Not just

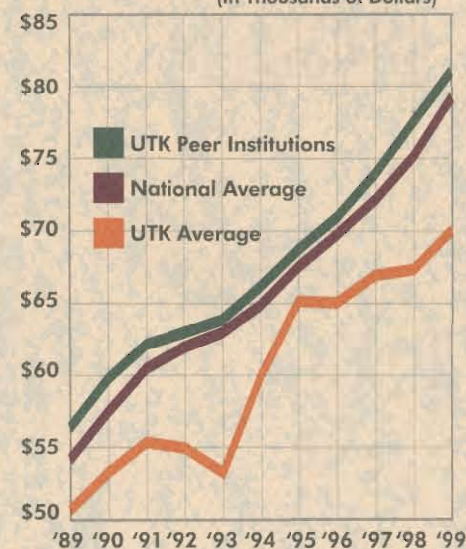
better salaries, significantly better salaries. This loss of promising young faculty and mid-career faculty is harmful to institutional morale, and it costs the taxpayers of Tennessee money. UT invests in these faculty, only to have them leave because we cannot pay them competitive salaries. The Governor's Council is right on target with this recommendation.

- The Council recommends increasing enrollment, increasing financial aid for low-income students, and retaining more of Tennessee's brightest students who now leave the state to attend college elsewhere.

I heartily agree. Having a better educated populace is undoubtedly the key to improving Tennessee's per capita income and overall economic prosperity. But these initiatives cost money, money the University of Tennessee does not have.

**UT has not had any significant increase in state appropriations in this decade.**

**UT Knoxville Average Salaries for the Rank of Professor**  
(In Thousands of Dollars)





## Where the Crisis Strikes

Three components of the university severely impacted by inadequate state support are our people, our equipment and facilities, and our programs.

1. **UT is not competitive in hiring and retaining faculty and staff.**
2. **Laboratories and instructional equipment are often outdated.**
3. **Programs are inadequately funded, resulting in diminished service to students and the public.**

We are losing good faculty and cannot hire comparably qualified replacements because of inadequate state dollars. Faculty are a university. They perform its most central functions of teaching, research, and outreach. UT is unable to recruit competitively for outstanding new faculty and staff. The problem is particularly acute at UT Knoxville, a

research institution that has to compete nationally for the best faculty. According to the report of the Governor's Council on Excellence in Higher Education, "...University of Tennessee and University of Memphis [also a research university] salaries are lower by far than institutions with which they must compete for talent." UT Knoxville faculty are, as I said earlier, underpaid almost \$30,000 annually at the full professor level.

Years of inadequate state funding have taken a serious toll on the equipment and facilities of the University of Tennessee. Concurrently we have experienced the growth of information technology, which has required a significant infusion of funds beyond the normal equipment and facility needs of the institution.

**Years of inadequate state funding have taken a serious toll on the equipment and facilities of the University of Tennessee.**

Without the student technology fee, which all the campuses adopted in some form to pay for infrastructure and computer hardware and software, the university probably would not have been able to provide the basic tools and services of the information age. But as we have incorporated this new technology, we have—because of lack of adequate state funds—fallen behind in acquiring other types of instructional equipment and in maintaining existing equipment.

During these years of meager state operating appropriations, university programs—as well as facilities—have suffered. Libraries have been particularly hard hit as the cost of materials has escalated at a far more rapid rate than other goods.

The university has had to forego programmatic initiatives for which there was student and public demand and has also eliminated programs.

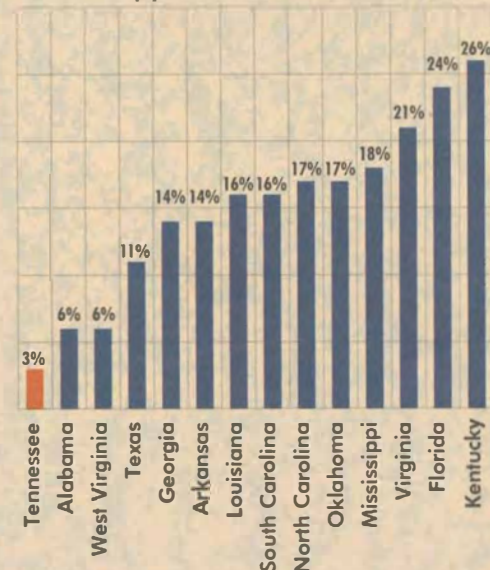
Understandably, lack of adequate state support for salaries, equipment and facilities, and programs has had a negative impact on faculty and staff morale. They perceive that their work is not important

to the state of Tennessee because they are not rewarded. Faculty and staff are frustrated by a system that provides either no raises or small across-the-board salary increases that reward equally good performance and poor performance. Very little money is available for professional development. The state must seriously consider the long-term effect of this demoralization of the faculty and staff of its higher education institutions, the very people whose responsibility it is to encourage, inspire, and educate our youth.

**Lack of adequate state support for salaries, equipment and facilities, and programs has had a negative impact on faculty and staff morale.**

### 2-Year Change in State Funding for Higher Education

From 1996-97 to 1998-99





## Shortchanging UT Shortchanges Tennessee

I am very worried about the downward trend in state support and the long-term effects on higher education in Tennessee. Nine years of inadequate increases in state operating appropriations have damaged the University of Tennessee. Tennesseans deserve an excellent higher education system that fuels economic growth and prosperity. The consequences of allowing Tennessee higher education to deteriorate will plague the state for decades and diminish its citizens' quality of life.

Tennessee's future depends on higher education. To fund inadequately this vital sector shortchanges Tennesseans.

## People Surmount Adversity To Achieve

The University of Tennessee is much better than it should be based on its level of state support. It has enthusiastic students, brilliant and dedicated faculty, and fantastically supportive alumni and friends. It also has hard working managers. These are the people who have made the university more efficient and entrepreneurial, who raise millions of dollars from private donations to maintain the quality of our programs, who negotiate beneficial partnerships with business and industry and find the most economical ways of purchasing goods and services. The combined strength of all these constituencies—students, faculty, staff, alumni, and friends—lifts the university above the levels to which it would otherwise be relegated by weak state support.

One of our proudest moments this year came when UT Knoxville was ranked 44th among *U.S. News & World Report's* top 50 public national universities. The ranking reflects the hard work of countless faculty and administrators who are determined to make UTK the best. It will not be

**The combined strength of students, faculty, staff, alumni, and friends lifts the university above the levels to which it would otherwise be relegated by weak state support.**

easy to maintain this ranking, but every effort will be made to do so.

Another significant event of the year is UT's decision to bid, with Battelle Memorial Institute as its partner, to manage Oak Ridge National Laboratory. This opportunity promises to lift the university to another level and to benefit greatly its programs of teaching, research, and service. Our long history of cooperative programs with ORNL puts us in an excellent position to know the institution well and to understand the needs of the laboratory and the region. The Department of Energy should choose the new management team by the end of this year.

The year also was made memorable by the Volunteers winning the 1998 national football championship. The team proved that hard work, excellent leadership, talent, and collective effort are an unbeatable combination. The national championship brings priceless recognition to the university and makes Tennesseans proud.

The consequences of allowing Tennessee higher education to deteriorate will plague the state for decades and diminish its citizens' quality of life.

Following are more accomplishments from the UT campuses and institutes. The list is long, but not as long as it would have been if we had included all the achievements worthy of mention.

## Knoxville

Several programs were ranked by *U.S. News & World Report*:

- Master of fine arts in printmaking, 13th in the nation
- Master of business administration, 50th in *U.S. News* "America's Best Graduate Schools"
- Master's in library and information science, 20th in *U.S. News* graduate programs ranking
- College of Law 47th, fifth consecutive year ranked in the top 50
- Human resource development program, ninth in vocational-technical education
- College of Education, 46th in graduate programs
- Entrepreneurship program in business, 21st among all universities and sixth among public universities.

The *Princeton Review* ranked the physician executive MBA program best distance education graduate program. *Public Accounting Report* ranked the master of accountancy program 12th and the undergraduate accounting program 16th. The marketing program was ranked sixth in the nation by *Time/Princeton Review*.

*Clothing and Textiles Research Journal* ranked the textiles, retail, and consumer sciences program number 1 out of 183 programs; the hotel and restaurant administration program was ranked number 1 in the Southeast and 11th nationally by the *Gourman Report*.

In a study published in the *Journal of Advertising*, UT faculty were ranked third in published articles in the three leading journals in advertising from 1989 to 1996. Two hundred forty-nine universities were included in the study.

Several College of Engineering programs attained national rankings. The *Gourman Report* ranked graduate chemical engineering 38th and the undergraduate program 40th out of the top 43 institutions, undergraduate civil and environmental engineering program 51st out of 226 programs, undergraduate materials science and engineering program 30th out of the top 32 institutions, graduate aerospace engineering 29th out of the top 30, undergraduate aerospace engineering, 27th out of the top 43, engineering science eighth out of the top 10, undergraduate nuclear engineering 16th out of the top 22.

Also in the College of Engineering, external research funding has risen considerably over the past five years. The college spent \$15.1 million on research in fiscal 1998, an increase of almost 80 percent over fiscal 1993's \$8.4 million.

Engineering students have achieved national recognition. Electrical engineering students took third place in the IEEE national robotics contest; nuclear engineering students placed first in a national technical writing contest; automotive engineering students placed first in three out of the last five national alternative fuel competitions.

The average score of College of Architecture and Design alumni taking the architectural licensing exam places UTK in the top 20 percent of all 100 architecture programs in the U.S.

Dr. Gerald Mahan was named chair of the National Academy of Sciences applied physical sciences section. Professor Jan Rosinski was the first person from UTK to become a fellow of the Institute of Mathematical Statistics. Professor Allen Wier of the English department received the Robert Penn Warren Award.

## Memphis

Students sustained their record for excellent scores on national tests. Fourth-year dental students ranked number one in the nation on part II of the National Board Dental Examination. One hundred percent of College of Pharmacy students passed their national boards, as they have done for

eight of the last 10 years (the national pass rate is 92 percent). Medical students in the College of Graduate Health Sciences maintained their above average performance on national exams, with more students placing in the upper percentiles than ever before.

*U.S. News & World Report* ranked the College of Pharmacy number seven among 81 colleges of pharmacy in the U.S.

The physical therapy program in the College of Allied Health Sciences won a national diversity award for recruitment and retention of minority students. The College of Graduate Health Sciences graduated its largest ever number of African-Americans.

The College of Dentistry's accreditation site visit resulted in all programs being fully accredited with no recommendations for improvement and 27 commendations for significant achievement.

## Chattanooga

UTC's Center for Community Career Education, along with 13 partnering agencies, established the Southern Appalachian Educational Opportunity Center. The project, which is funded by a \$950,000 grant from the U.S. Department of Education, targets 1,000 low-income residents in Marion, Hamilton, Dade, Walker, and Catoosa counties as potential first-generation college students. Grant funds have been received for five years, a distinction reserved for the top 10 percent of all applicants across the nation.

The university launched a series of public meetings to involve the community in a discussion of campus expansion plans. Constituencies agreed on locating student housing and recreational facilities in the expansion area. Efforts to involve the community resulted in the American Association of State Colleges and Universities choosing UTC as one of only eight U.S. colleges and universities illustrating "best practices" in one of four core areas: quality assurance, public engagement, access and inclusion, and communications and advocacy.

The Tennessee Higher Education Commission awarded Dr. Barbara Wofford, associate professor of education, and Isaac Connor, a graduate student and member of the Mocs basketball team, the Harold Love Outstanding Community Involvement Award. The award recognizes exemplary service to the community.

The UTC Office of Grants and Program Review reported more than \$7 million in grant funding for nearly 80 programs for academic year 1998-99. This represents a record year for grant funding on the campus.

A new Chair of Excellence was established, funded in part by the family of the late O.D. McKee, founder of McKee Foods Corporation Inc., maker of Little Debbie snack cakes. The holder of the O.D. McKee Chair of Excellence in Dyslexia and Associated Learning Differences will help teachers learn to deal with different learning styles.

## Martin

The campus energy-saving contract concluded with the university's saving \$1.5 million in utility costs over five years. The savings are being reallocated to other needs.

Christine Burks, a senior in elementary education from Dyersburg, Tennessee, and Roger Boane of the campus department of public safety received the 1998 Love Community Service awards sponsored by the Tennessee Higher Education Commission.

First Citizens National Bank of Dyersburg pledged \$100,000 to establish the UT Martin School of Business Administration faculty enhancement fund.

The UT Martin chapter of Alpha Gamma Rho fraternity was selected the outstanding chapter in the country.

The Skyhawk women's basketball team earned a share of the Ohio Valley Conference regular season championship.

The UTM chapter of the Student Affiliates of the American Chemical Society received an outstanding rating for the 20th time since 1971. Only 24 out of 900 chapters earned the rating.

## **Institute of Agriculture**

The state-of-the-art \$9 million Animal Research Building opened on the Cherokee farm in Knoxville.

The College of Veterinary Medicine provided care for more than 36,000 animal patients through the Veterinary Teaching Hospital.

The Agricultural Experiment Station attracted more than 10,000 participants to its field days and events at branch stations.

More than 170,000 youngsters in Tennessee participated in 4-H programs sponsored by UT's Agricultural Extension Service. More than 10,000 4-H volunteer leaders provided services valued at more than \$7 million to the 4-H program in 1998. Extension also garnered significant volunteer support from the Extension Family and Community Education clubs, which donated 90,000 hours to county and state Extension education programs at an estimated value of \$540,000, and the Extension Master Gardeners, who gave 26,000 hours of service worth \$260,000.

Grant and contract awards were up about 50 percent in the Agricultural Experiment Station.

The scholarship program in the College of Agricultural Sciences and Natural Resources has more than doubled the dollars it awards annually in the last five years.

## **Institute for Public Service and Statewide Continuing Education**

The Center for Telecommunications and Video produced two first-place awards for CD-ROM projects for academic departments. The 1999 Classic Telly Awards were for projects for the UTK math department and the animal science department.

The Municipal Technical Advisory Service completed a staffing study for the Chattanooga Police Department that, when implemented, will save approximately \$350,000 a year.

The Center for Industrial Services implemented a very successful ISO 9000 Quality program that has helped four companies pass a stringent ISO certification process. As a result, the companies remain competitive with the global marketplace.

The Office of Statewide Continuing Education is helping launch Bechtel University. A strategic plan was written with assistance of faculty and graduate students in the UTK College of Business Administration. Several UT units have received additional revenue for work on establishing this corporate university.

The Statewide Office of Continuing Education is taking the lead for UT in a public-private partnership to create the Tennessee Virtual University. UT, the Board of Regents institutions, and the Tennessee Higher Education Commission are working with the private Renaissance Center to eliminate barriers and bring education resources to Tennesseans through an online university.

UT's Distance Education Council developed a long-range plan for extending education to remote areas. Each UT campus and institute contributed information on resources currently extended to clients and plans for future extension. The statewide Office of Continuing Education serves as the central office of the council.

## **Space Institute**

Students Derek Gowanlock and Charles Matthewson won first-place graduate paper award at the American Institute of Aeronautics and Astronautics' southeastern student conference. This marked the second consecutive year that UTSI students had won the award.

Dr. Gary Flandro won the NASA exceptional achievement award for his work in plotting the trajectory for NASA's exploration of the outer planets in the solar system.

Drs. John Hopkins, Mary Helen McCay, T. Dwayne McCay, and Narendra Dahotre received the American Museum of Science and Energy award for technological achievement.

Funding from outside sources increased due to continued successes in research in the areas of laser applications and computational fluid mechanics.

## Development

Without the generous support of its friends, UT would suffer even more from the effects of inadequate state appropriations.

Supporters generously gave UT more than \$82 million in 1998-99—at a time when conventional wisdom forecasted less.

Generally, the year after a fund raising campaign ends, as UT's 21st Century Campaign did in 1997-98, gifts decline. But the university experienced a nearly \$13 million increase to \$82,259,995.

Deferred giving, such as gifts from estates, was up dramatically, from \$16.7 to \$29 million.

The gift totals are actual cash received. During the year, the university also received more than \$24 million in pledges that are not counted in the totals.

In the past 35 years, alumni and other friends, corporations, and foundations have given UT nearly \$800 million. Most gifts are designated for academic purposes such as scholarships, professorships, and library improvement.

University fund raising is greatly abetted by the energetic support of the members of the Development Council, chaired by John Thornton of Chattanooga.

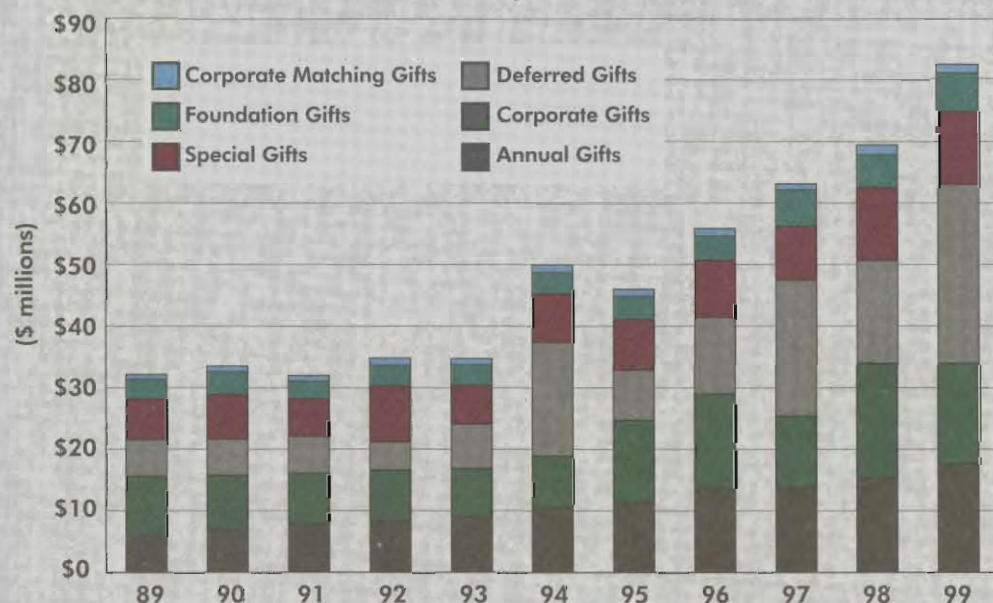
## National Alumni Association

More than 53,700 alumni and friends from all UT campuses contributed \$17.6 million (part of the \$82 million mentioned above). The figures represent an increase of 3,000 contributors and a \$2.3 million increase in dollars over the previous year.

Also, 107,800 individuals, up from about 89,700 the year before, attended events throughout the UT system, including alumni days, class reunions, and homecomings.

Hunter Wright of Kingsport, Tennessee, was 1998-99 president of the National Alumni Association. Gary Doble of Springfield, Tennessee, was the National Alumni Association's national chairman of annual giving.

Private Gifts to the University of Tennessee



## Financial Perspective

The University of Tennessee reported total revenues of \$1.3 billion for fiscal year 1998-99.

State appropriations were \$385.1 million or 29.5 percent of total university current fund revenues. While the state continues providing significant support to the University of Tennessee, that support as a percent of education and general expenses has declined almost 3 percent over the past five years. Inflation, albeit modest, results in a further deterioration of University operating funds purchasing power.

The \$22.1 million increase UT received in state appropriations covered mandated salary increases and employee benefits, restored some past cuts, and funded much-needed equipment purchases. There was no money for new programs.

Student fees revenues increased to \$157.6 million for fiscal year 1999. This \$11.8 million increase resulted from tuition and fee increases ranging from 5 to 8 percent at all campuses and helped address inflationary increases in operating costs, improvements in scholarships, and critical compensation issues. Student fees accounted for 12.1 percent of total university revenues.

Gifts, grants, and contracts received by UT to support research and training totaled \$233.2 million, \$11.8 million more than the previous year or about 18 percent of total revenues. Sales and services of educational activities and other sources contributed \$75.8 million or 5.8 percent of university revenues, an increase of \$6.9 million. Increased revenues from

conferences, indicia licensing due to the national football championship, and a new affinity card program accounted for the largest part of the increase.

Revenues from university housing, food services, bookstores, parking services, and athletics at UT Knoxville totaled \$116.3 million, an 8.1 percent increase over the previous year. The university operated two hospitals during the fiscal year, one in Knoxville and one in Memphis, which reported

revenues of \$318.4 million, a 2.9 percent increase from last year. During the year, the University received approval and proceeded with plans to spin off the hospital located in Knoxville in July 1999. Effective July 29, 1999, the University of Tennessee Memorial Research Center and Hospital was to be transferred to a separate 501c(3) organization that would operate the hospital. There will continue to be an affiliation between the hospital and the university to provide the

medical education needs of the UT Graduate School of Medicine.

University expenditures continued to be directed towards its primary missions of instruction, research, and public service, as these activities accounted for more than 72 percent of current fund expenditures. That fact along with a \$4.3 million increase in scholarship and fellowship expenditures evidences the university's commitment to provide quality affordable education and an improved standard of living for the people of Tennessee.

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The market value of the university's endowment and other funds invested to benefit UT grew to \$643 million in fiscal 1999, a \$75 million increase. This total comprises the university endowments, charitable trusts, Tennessee Chairs of Excellence Trust, and the University of Chattanooga Foundation.

The centerpiece of the university's endowment investment program is the Consolidated Investment Pool, which combines approximately 2,000 endowment funds for investment purposes. The pool's market value grew by \$41.4 million to \$364 million at June 30, 1999, with the increase about evenly split between new gifts of \$21.5 million and investment return of \$19.9 million. The pool's investment return was 10.6 percent with \$13.8 million distributed to benefit designated programs.

Endowment funds that must be invested separately due to donor restrictions or asset type were valued at \$14.1 million, and charitable remainder trusts administered by the university totaled \$54.8 million at June 30, 1999.

Two other major funds are invested to benefit UT.

#### **Tennessee Chairs of Excellence Trust**

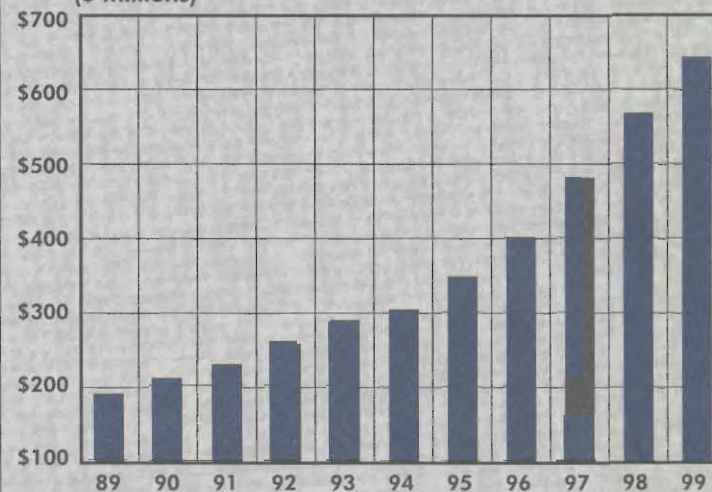
Beginning in 1984 and intermittently until 1990, the state legislature appropriated funds to UT to match dollar for dollar, creating a Chair of Excellence Trust. Income from the trust supports the University professorships called Chairs of

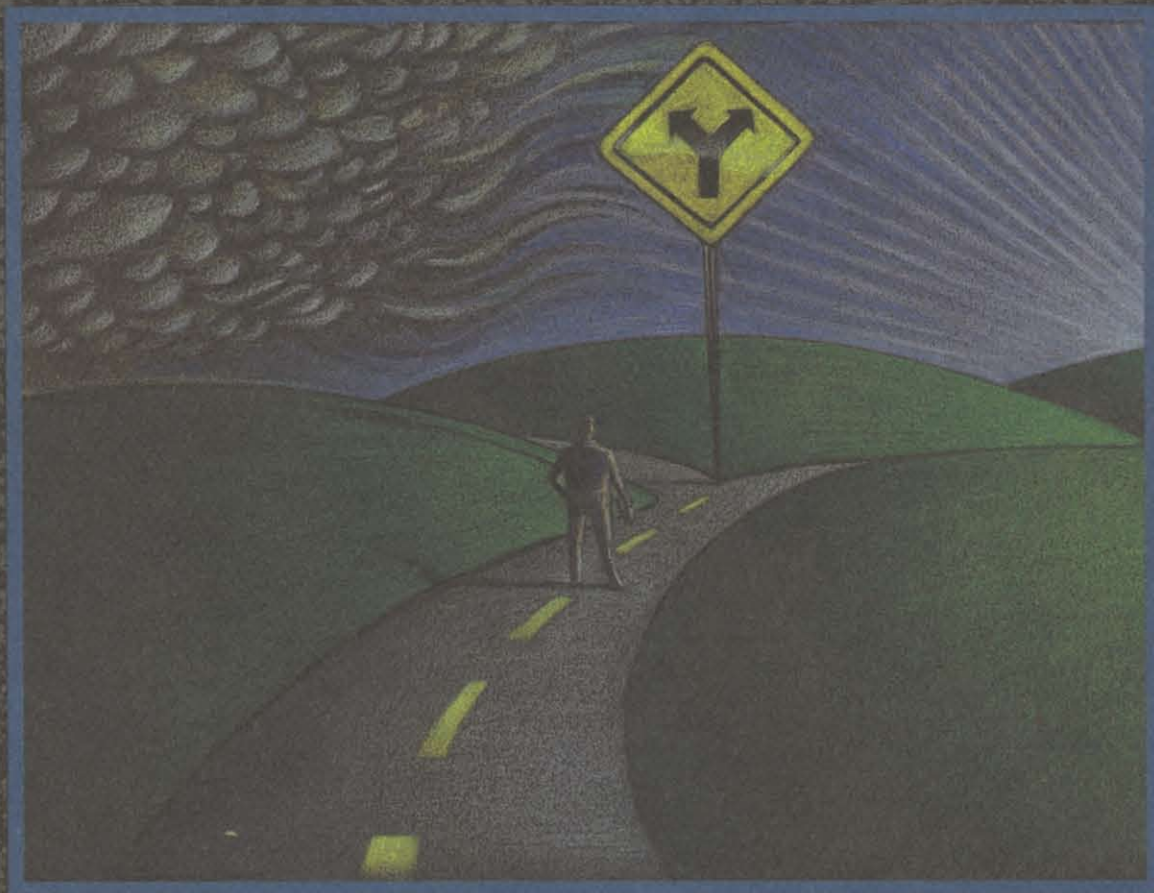
Excellence. There are 50 chairs of excellence at UT with a market value of \$108.3 million as of June 30, 1999. The Tennessee Chairs of Excellence Trust is held and managed by the state treasurer. Accordingly, the only financial data reported in UT financial statements is the income distributed annually, which totaled \$ 4.1 million during fiscal 1999.

#### **University of Chattanooga Foundation**

The UC Foundation was created when the University of Chattanooga and UT merged in 1969. The foundation assets are invested with income designated to benefit UT Chattanooga exclusively. Last year, the foundation distributed \$3.3 million for scholarships and programs. At June 30, foundation assets totaled \$102.4 million. UT financial statements do not include assets of the UC Foundation—only the annual income distributed.

**Total Funds Invested for the Benefit of UT**  
(\$ millions)





## In Conclusion

I have many thanks to say to groups who are integral to the university: to the Board of Trustees for its wise counsel; to the several governors, legislators, and state officials with whom I have worked in the cause of bettering Tennessee higher education; to UT's alumni and other friends, the National Alumni Association, the Development Council, and all the boards and councils of concerned, involved people who give their time and money to this university; to my staff for their hard work and loyalty to UT; to the faculty and staff at all the campuses and institutes who are the backbone of this university and who I am honored to call my friends; and to the students, who have been a joy to know and a constant reminder of the most important purpose of a university.

As you know, by the time this report is printed, I will have assumed the title of president emeritus this summer. I shall miss being an active part of this university that has been my career, and I stand ready if asked to do anything I can in its behalf. I extend best wishes and every hope for success to Dr. J. Wade Gilley, who will succeed me as president.

This is a great university deserving of extraordinary support from the state of Tennessee. I hope that support is forthcoming.



Joseph E. Johnson  
President  
The University of Tennessee

# The University of Tennessee Administration

From July 1, 1998, through June 30, 1999

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The University of Tennessee is governed by its Board of Trustees. The governor, who also serves as chairman, appoints board members. The board meets at least three times annually, and its sessions are open to the public.

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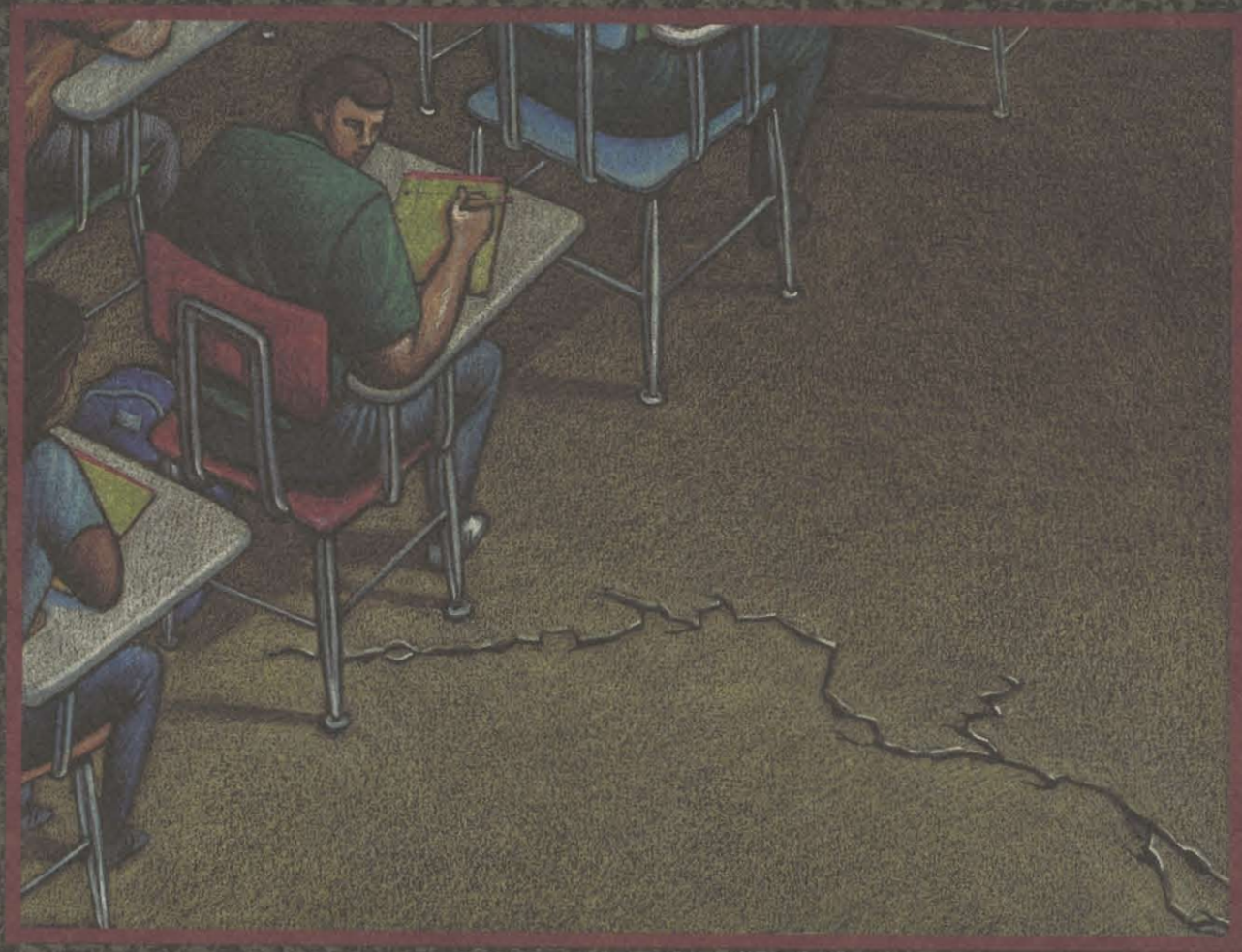
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