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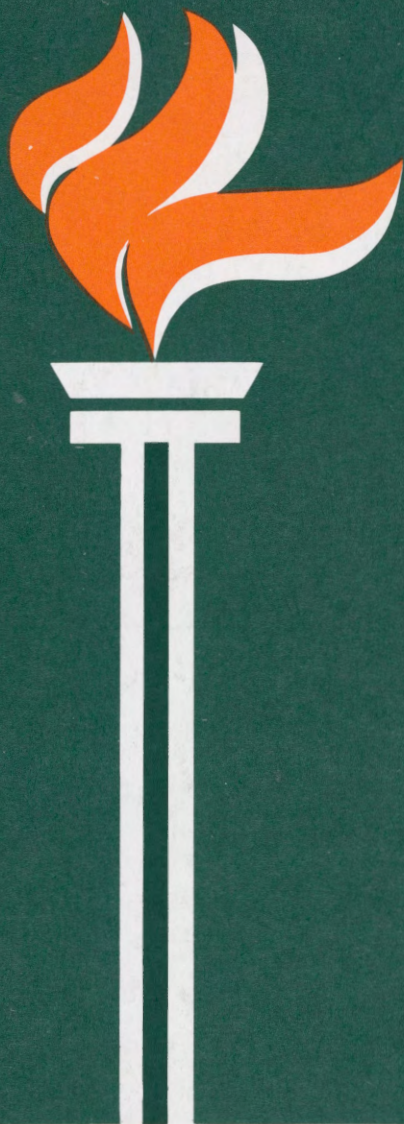
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THE UNIVERSITY OF TENNESSEE, KNOXVILLE

FACULTY HANDBOOK



THE UNIVERSITY OF TENNESSEE, KNOXVILLE

FACULTY HANDBOOK



January, 1987

Office of the Provost

The University of Tennessee, Knoxville does not discriminate on the basis of race, sex, color, religion, national origin, age, handicap, or veteran status in provision of educational opportunities or employment opportunities and benefits.

UTK does not discriminate on the basis of sex or handicap in the education programs and activities which it operates, pursuant to the requirements of Title IX of the Education Amendments of 1972, Public Law 92-318, and Section 504 of the Rehabilitation Act of 1973, Public Law 93-112, respectively. This policy extends both to employment by and admission to the University. Inquiries concerning Title IX and Section 504 should be directed to the Office of the Director of Affirmative Action, 405-E Andy Holt Tower, (615) 974-2498. Charges of violation of the above policy should also be directed to the Office of the Director of Affirmative Action.

Produced by the Office of the Provost,
The University of Tennessee, Knoxville
Jack E. Reese, Chancellor
George Wheeler, Provost

Ralph Norman, Editor and Vice Provost

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FOREWORD

FOREWORD

A good faculty handbook has many uses—to render the University's sense of itself, the sense of expectations rightly directed to the faculty, and the sense of expectations directed by the faculty to the University and its officers. There ought to be a clear and reasonable description of the principles we employ in judgment and of the means by which we bring these principles into force. And the handbook will serve as a guide to the many rules, services, resources, and conditions that affect the common life of the University. It is not that we want necessarily to live "by the book" or by the numbers, only that we aim to do all things decently and in good order, owning up to our manifest fallibility and still professing a desire to be corrected where possible by reason and good sense.

This edition of the *Handbook* reflects the work and thought of many persons—the Faculty Senate and its committees, the officers of the University at many levels, and the supporting staff whose ample services are described at many points. A university-wide section of the *Handbook* may be included in subsequent editions. The faculty is invited to continue its careful inspection of the provisions laid out here and to take part in improvement of the *Handbook* as this is required.

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

The Faculty Handbook is revised from time to time to reflect changes in official University policies and procedures, in facilities, and in faculty opportunities and working arrangements. When official policies affecting provisions of this handbook are changed by action of the Board of Trustees, or other duly constituted authority, such changes become effective on the date designated at the time of their adoption and supersede any provision of the *Handbook* to the contrary without need for further notice. However, the University does regularly give notification of changes in policies covered herein in official memoranda to departmental and college offices and (on some topics) to individual faculty members. The most recent versions of Fiscal Policies and Procedures, etc., should be available in each departmental office for inspection by faculty members.

1 ORGANIZATION & GOVERNANCE

NATURE AND PURPOSE

The University of Tennessee is a state-supported, comprehensive university with a land-grant tradition. It aims on its several campuses to provide to a wide and varied constituency programs of high quality in instruction, research, and public service.

There are four primary campuses—at Knoxville, Chattanooga, Martin, and Memphis. In addition there are the statewide divisions represented by the Institute for Agriculture, the Institute for Public Service, and the Division of Continuing Education.

Instruction is offered in the traditional disciplines and in many new areas that go beyond tradition to encompass older disciplines in different ways. Students of all ages, from teenagers to retired persons, come to the University to learn. Sometimes the University comes to them, in off-campus locations, through correspondence, and by radio and television.

For many this learning is basic and formative; for others it represents the renewal or continuation of studies long since begun, the refurbishing and deepening of professional skill and knowledge, or simply a widening of personal enjoyments and horizons.

Research is the foundation and key to the learning that the University provides. Research is learning at the most advanced, creative, and systematic edges of knowledge, where discovery and imagination constantly recast the relation of the known and the unknown. University research makes application of existing knowledge to important practical problems, and it also achieves in pure or theoretical form a basic knowledge that may eventually have application in surprising new ways.

Public service is rendered to individuals, professions, businesses, labor, government, and other groups or institutions, in the application of the University's resources to the solution of problems and the improvement of the common life.

GOVERNANCE

All legal authority for the governance of The University of Tennessee is vested in a Board of Trustees. The Board consists of the following persons:

1. ex officio
the Governor

the Commissioner of Agriculture
the Commissioner of Education
the Executive Director of the Tennessee Higher Education Commission
(non-voting)
the President of the University

2. appointed

one person representing each of the nine Congressional Districts as the State was formerly apportioned
two persons representing Knox County
two persons representing Shelby County
one person representing Davidson County
one person representing Anderson, Bedford, Coffee, Franklin, Lincoln, Moore, and Warren Counties
one person representing Weakley County
one person representing Hamilton County
one student (rotating one-year appointment)

At least one member of the Board must be a woman. At least one-third of the appointed members must be members of the principal minority political party. At least one-third of the appointed members must be alumnae.

The Board establishes policies governing the scope of the University's educational programs; has full authority to determine and control activities and policies of all organizations that bear or are carried under the name of the University; and controls the election, appointment, and removal of all officers, faculty, and employees of the University, and the fixing of their compensation.

The Board has delegated administrative authority to the President, who exercises this authority through delegation to, and in consultation with, a staff of Vice Presidents and Chancellors. The Board has delegated to the UTK Faculty Senate authority, subject to the approval of the Chancellor, the President, and the Board itself, to determine general educational objectives and policies at UTK and regulations related to those objectives, such as requirements for admission, retention, readmission, graduation, and honors for all degree and certificate programs (see Chapter 2).

The Board, finally, has a number of standing committees appointed by the Board upon nomination of the President: Executive; Academic Affairs; Finance and Business; Buildings and Grounds; Agriculture; Athletics; Development, Alumni Affairs, and Public Relations; Health Affairs; Student Affairs; Public Service and Continuing Education; and Faculty and Staff Affairs. Selected faculty, students, and administrative officers serve with Board members on some of these committees.

In such appointments the President normally consults with the campus Chancellors. At UTK the Chancellor in turn normally consults with members of the Faculty Senate.

STATEWIDE ADMINISTRATION

The statewide administration, headed by the President, enunciates the

general mission of the University, its practical and philosophical bases, and coordinates comprehensive, long-range plans, growth, and development of the campuses and statewide operating divisions. The statewide administration ensures that the University functions with coherence and seeks to take advantage of the size and diversity of its campuses and programs.

Other vital functions of the statewide administration are:

1. coordination of charges for tuition, fees, and auxiliary services;
2. development of facilities;
3. liaison with federal and state agencies, corporations, foundations, and agencies, for sources of support;
4. representation of the University to the Legislature, the Higher Education Commission (THEC), and the Governor;
5. provision to the campuses of certain administrative and technical services more efficiently and economically furnished on a state-wide basis;
6. liaison with educational boards, councils, organizations, consortia, associations, and conferences at all levels.

Many of these functions are naturally and necessarily carried on in close consultation with the Chancellors and other campus officers. Because of the President's visibility to officials of state government, the news media, and the general public, a significant number of the inquiries, requests, and complaints concerning any campus or division may be directed initially to the President's office. Such matters will normally be directed to an appropriate Chancellor or Vice President for resolution, but each of these staff members must keep the President informed of significant activities, problem areas, and proposed policy changes even in those instances in which effective authority has been delegated to the campus or operating division. The Vice Presidents and the Chancellors all report directly to the President. The Vice Presidents and members of their staffs have no line authority over campus officers. The Vice Presidents have, however, functional responsibilities in areas such as academic affairs, finance, and development, which require that they and members of their staffs consult regularly with the Chancellors and other officers. Appropriate points of contact are agreed upon in advance by the Chancellor and Vice President responsible for a given function. In several areas—for example, Continuing Education, Development, and Public Service—Vice Presidents or members of their staffs may request services from officers or individuals according to similar guidelines.

Alumni Organizations. The alumni organizations of all campuses are united as the University of Tennessee National Alumni Association. Each campus maintains an office of alumni affairs (see chapter 7).

Institute of Agriculture. The statewide Institute of Agriculture has especially close ties with the Knoxville campus. This unit traces its history to 1869, when The University of Tennessee was designated as the state's federal land-grant institution and was thereby charged to offer instruction in agriculture and the mechanic arts. Chief officer for the Institute is the Vice President for

Agriculture, who with the other Vice Presidents reports directly to the President. This arrangement recognizes the statewide nature of the Institute's programs in research and extension. However, close ties are maintained with UTK in the area of instruction. The Deans of the College of Agriculture and the College of Veterinary Medicine report administratively to the Vice President for Agriculture and functionally to the Provost of the University of Tennessee, Knoxville. Faculty of these Colleges hold joint appointments, and their efforts are divided between instructional duties for the College and duties in research and/or extension for the Agricultural Extension Service. Hence, the Deans and faculty of the Colleges of Agriculture and Veterinary Medicine are members both of the faculty of the University of Tennessee, Knoxville and of the staff of the Institute of Agriculture. Decisions regarding physical facilities of the colleges are the responsibility of the Vice President for Agriculture; those regarding curriculum and academic policies are made through the normal faculty and administrative channels of the Knoxville campus. Faculty personnel policy is the responsibility of the Institute of Agriculture under the Vice President for Agriculture with the concurrence of the Provost of The University of Tennessee, Knoxville.

Intercollegiate Athletics. All major decisions relating to men's intercollegiate athletics—approval of budgets; negotiation of coaching contracts, allocation of tickets, participation in conferences, post-season games, and tournaments—are subject to review and approval of the Executive Committee of the Athletics Board established for each campus. Each committee includes at least the President, the Chancellor, the Chairperson of the Athletics Committee of the Board of Trustees, the Executive Vice President, the campus Director of Athletics, and a faculty representative.

CAMPUS ADMINISTRATION

The Chancellor has been delegated authority to administer the campus, subject to general University policies, and to coordinate campus relations with the officers of the statewide administration. The Chancellor is authorized to recommend the appointment of appropriate administrative officers for the campus through the President to the Board of Trustees.* The Chancellor exercises primary authority in:

1. control and allocation of the budgeted appropriation and other funds;
2. establishment of the administrative organization;
3. approval of personnel appointments;
4. administration of academic programs and policies;
5. administration of student affairs and services;
6. administration of the physical plant.

As a member of the President's staff, the Chancellor also participates regularly and effectively in the University's statewide administration.

The Chancellor is expected to articulate long-term academic goals and to see that high standards are maintained in the academic program. The faculty

establishes the curriculum and recommends new academic programs; however, the Chancellor exerts a major influence on the specific direction of academic change, not only through basic judgments on budget and staff, but also in the continuous evaluation of existing academic programs and in the planning of overall program direction. Such planning involves faculty and administrative groups and is carried on in cooperation with the work of the Vice President for Academic Affairs, who is responsible for coordinating long-range academic planning for the entire University.

*Important academic appointments on a particular campus—including those of Department Heads, Deans, Provost, Vice Chancellors, etc.—are reviewed by the Vice President for Academic Affairs, acting on behalf of the President, prior to final approval. Significant non-academic administrative appointments are reviewed by the appropriate Vice President: for example, the proposed appointment of a campus director of finance would be reviewed by the Vice President for Business and Finance prior to final action. Further, all appointments at the level of dean or above are discussed by the President with the appropriate committee of the Board of Trustees. Note also that the Faculty Senate (see Chapter 2) is charged to give advice, consult, and participate in searches for candidates for these posts.

The Chancellor is also responsible for maintaining fair employment practices, promotion procedures, and wage and salary distribution, as well as good working conditions for the benefit and safety of all personnel.

While the Chancellor is primarily concerned with the campus, he/she also has great visibility and influence far beyond Knoxville. Units of UTK offer a number of academic programs in other cities, among them two graduate programs in Oak Ridge, branches of the School of Social Work in Nashville and Memphis, and a statewide graduate engineering program.

The *Executive Assistant to the Chancellor* serves the Chancellor directly in coordinating the work of campus administration. He/she also provides a first level of response to inquiries from outside the University, which he/she directs to the appropriate academic or administrative unit. In the absence of the Chancellor, the Executive Assistant is empowered to act for the Chancellor. The Executive Assistant administers the office of University Communications and serves as the chairperson of the University Council on International Education.

The *Provost* is the chief academic officer, responsible for all academic units. His/her office works closely with several committees of the Faculty Senate. The Provost is an ex officio member of the Senate Executive Committee and of the Senate Faculty Affairs Committee.

Four *Vice Provosts* report directly to the Provost. Of these, one Vice Provost manages the operation of the Provost's office, supervises academic budget planning and maintenance, and is responsible for the Office of Academic Personnel Records. A second Vice Provost is responsible for coordination of baccalaureate programs, including the University Studies Program, University Honors, and the Office of Recorder of Curriculum. He/she also coordinates

a range of activities related to faculty development, including production of the *Faculty Handbook*, yearly procedures for consideration of promotion and tenure, and the Learning Research Center.

The *Vice Provost and Dean of the Graduate School* chairs the Graduate Council and administers all programs and policies of the Graduate School. This Vice Provost also coordinates the Faculty Research and Development Leave Award program. In addition, he/she is responsible (with the Vice Chancellor for Student Affairs) for review of the work of the Center for International Education.

The *Vice Provost for Research* administers the work of the Research office and is responsible for the definition and coordination of research policy and for the coordination of UTK's relations with business, industry, government, and other external agencies in the development of the research agenda of the university. He/she is responsible for policy governing research centers and for coordination of research centers such as the Transportation Center and the Energy, Environment and Resources Center.

The *Associate Provost* acts on behalf of the Provost in a wide range of academic and administrative concerns, including liaison with other campus offices and with the university-wide administration and the public.

Several campus-wide ancillary units report to the Provost: the Learning Research Center, the Center for International Education, (joint responsibility with Vice Chancellor for Student Affairs) the Computer Center, the University Libraries, ROTC Air Force Aerospace Studies, and ROTC Army Military Science.

The *Executive Vice Chancellor for Business, Planning and Finance* recommends and carries out policies concerning physical, business, and financial matters including budgetary control and fiscal reports, the personnel program, maintenance of grounds and buildings, procurement, and security. He/she provides leadership in helping the campus establish goals and objectives to ensure the coherent development and best use of resources, programs, and services. The Executive Vice Chancellor coordinates efforts to plan adequate physical facilities; oversees institutional programming and system analysis through the Office of Analytical and Data Services and coordinates Institutional Research Services for the campus, and provides liaison with various committees and commissions having campus-wide functions.

The broad range of responsibilities given to the *Vice Chancellor for Student Affairs* includes the Office of Admissions and Records, Student Conduct and Orientation, Student Programs, Career Planning and Placement, International Student Affairs, the Counseling Center, the Student Health Clinic, Residence Halls, Intercollegiate Athletics for Women, Rental Properties, University Food Services, and University Bookstores. In all of these programs the Vice Chancellor's concern is with services which will enhance the welfare of students and the quality of student life.

The *Vice Chancellor for Development and Alumni Affairs* coordinates and supervises efforts to raise funds from private sources. The primary duties of individuals working within the Development Office include the securing of private gifts from individuals, corporations and foundations; the identification and cultivation of prospective donors and volunteer workers; the supervision of gift records; liaison with University-wide Development Office; and advice, assistance and consultation with faculty and administrative staff on proposed fund-raising projects (see Chapter 12 on Development and Fund-Raising).

This office also directs the policies and programs in Alumni Affairs and provides liaison with the University-wide Office of Alumni Affairs and Annual Giving. The UTK Alumni Office is responsible for class reunions and homecoming, the Golden Grads reunion, the Volunteer Alumni Network (VAN) Program, the activities of the Student Alumni Council (SAC) and assists the Black Alumni Associates in their respective programs.

Through the University's annual giving program, alumni and friends of the University contribute financially to many academic programs on all four UT campuses. The National Alumni Association annually funds scholarships, alumni outstanding teacher awards, alumni distinguished service professorships and special library improvement grants in addition to various programs and projects on the UTK campus.

The Director of the *Office of University Communications* coordinates efforts to enhance public understanding of UTK and to improve communications within the campus community. Student recruitment publications; *Context*, a newspaper for faculty and staff; a program of news features about UTK that airs on public television; and other publications are produced by this office.

The *Ombudsperson* listens to student concerns about University policies and practices. He/she deals with these concerns in a number of ways—by explaining rules and regulations, by directing students to appropriate persons for resolution of problems, by directly contacting appropriate persons, by examining records, and by making recommendations to the appropriate officers.

The *Director of Affirmative Action* aids, advises, and encourages departments and colleges in implementing Affirmative Action more effectively, provides leadership in monitoring implementation of the UTK EEO Committee, analyzes and interprets for the UTK administration data which relate to Affirmative Action efforts in compliance with EEO Title IX or Section 503 & 504 requirements, receives all complaints of discrimination on the basis of age, race and sex, national origin, religion, handicap or veteran status made by UTK employees or applicants for employment, and leads the investigation of complaints as provided for in the UTK policies.

The Affirmative Action officer also keeps abreast of new legislation and interprets existing legislation and regulations and keeps the university community informed of such developments and their implications for UTK.

COLLEGE AND DEPARTMENTAL ADMINISTRATION

The Academic Dean. Academic units at UTK are varied and diverse both in their role and scope and in their mode of organization (see Organization Chart). Each college is administered by a chief officer responsible for the successful pursuit of its programs. This person is the Dean or Director.

The complexity and magnitude of the Dean's responsibility depends upon the size and complexity of the school or college. The four largest and most complex units are Business Administration, Education, Engineering, and Liberal Arts, each with a faculty of over 100. In three colleges (Architecture, Law, Nursing) there are no separate departments. The smallest colleges and schools (Architecture, Biomedical Sciences, Communications, Planning, Library and Information Science) have fewer faculty than do the larger departments (Curriculum and Instruction, English, Mathematics, Physics, Chemistry, History, Music, Political Science, Psychology, and Zoology).

The Dean has these administrative concerns:

1. the academic program in its collegewide aspect, 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. supporting services for conduct of college business (supporting staff, facilities, equipment);
4. budget preparation, review, and analysis for the college.

In smaller colleges these tasks are undertaken without much administrative staff; in the larger colleges the department heads and associate or assistant deans may serve on executive committees or advisory councils. In all cases the Dean is the person finally responsible for the health of the college. 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.

Where there are departments or other budgeted academic units within the college, the Dean receives recommendations for faculty appointments, retention, promotion, tenure, salary adjustment, and development, as well as for departmental budgets and expenditures, from the department head or unit director. Such recommendations are reviewed, approved, disapproved or altered, and submitted by the Dean to the Provost. In most colleges the Dean uses the advice of a faculty advisory group or an executive committee before making a recommendation. Each college has a Promotion and Tenure Committee.

The chain of recommendations here described does not entail a merely passive or reacting role for the Dean or for the college office. Each of the Deans is continuously engaged in planning and projecting coherent strategies for the general health of the college. This activity involves the identification of needs that have not been made explicit in departmental reports, the orchestration

of joint programs and ventures, and the imagination and execution of alternative means for doing the work of the college.

The ongoing appointment of the Dean is reviewed at the discretion of the Provost and the Chancellor, in consultation with the faculty.

An annual evaluation of Deans and Directors is rendered each year by the Provost. In preparation for this evaluation the Provost asks the department heads in the college for their judgment. In colleges or schools which have no departments, the Provost asks the faculty for their judgment.

The *Department Head* is a member of the faculty who has been assigned the special duty of administering the department. The Head is appointed in consultation with the faculty of the unit which he/she will administer. The Head's responsibility includes:

(a) care of the departmental academic program in relation to the comprehensive academic program of the University, through

1. recruitment and development of the faculty;
2. planning, execution, and review of curriculum;
3. encouragement and support of faculty teaching and research;
4. encouragement and support of faculty in public service;
5. counsel and advice to students majoring in the discipline;
6. representation of the department to the public, the other faculty and administration, colleagues at other universities and institutions, and the political constituency supporting the University.

(b) care of the apparatus necessary for support of the academic programs through

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

In larger departments many tasks relating to these duties are delegated to other members of the department or to specific clerical or supporting personnel. In almost all departments a number of standing faculty committees are responsible for collection of data and formulation of policy recommendations concerning specific concerns. In such instances the departmental faculty ordinarily reviews recommendations made by committees.

The Head is the departmental officer specifically charged to make all recommendations concerning faculty appointments, retention, promotion, tenure, salary adjustment, and development, as well as those concerning the budget. The advice expected from the faculty in these recommendations is discussed in the next section.

Departmental proposals for the curriculum are transmitted by the Head or a departmental representative for review by divisional, college, and university committees. The Head does not have power of veto in curricular recommendations approved by the 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.

Departmental bylaws ensure an orderly and mutually understood conduct of departmental affairs. In all cases these arrangements require the general consent or approval of the Dean, and in no case may such arrangements be taken to alter or diminish the Head's authority as the administrative officer finally responsible for the unit.

The headship, like all other administrative offices, carries no tenure. It is renewed at the discretion of the Dean, Provost, and Chancellor, in consultation with the faculty. An annual evaluation of the Head is rendered by the Dean. In preparation for this judgment the Dean asks all members of the department for their evaluation of the Head.

THE FACULTY VOICE IN ADMINISTRATION

The most direct responsibility of the faculty in University governance is to determine the shape of the academic programs (see above and Chapter 2). A less direct but no less important role of the faculty is to advise the officers whose duties are described above about certain administrative matters that are intrinsically related to the health and credibility of the University. These matters include:

1. the appointment and retention of the faculty;
2. the promotion of faculty and the awarding of tenure;
3. the assessment of faculty performance;
4. the adjudication of disagreements, grievances, or conflicts in faculty affairs;
5. the selection of University officers;
6. the determination of University priorities;
7. the establishment of principles for determining salaries.

The voice of the faculty in these areas is indispensable. Its advice cannot be lightly given or peripherally received. Everything depends upon the mutual respect and sensitivity of the faculty and the administrative officers. The principle of this relation is collegiality. The officers are colleagues who have been assigned specific administrative responsibilities. The faculty are colleagues whose advice and counsel must inform the exercise of those responsibilities. The relation of the faculty to the officers is not that of employees to employers or that of administrative inferiors to administrative superiors, since the faculty member is by definition not an administrative officer at all. The employer both of faculty and of officers is The University of Tennessee, or more specifically the Board of Trustees, which has delegated to each a set of specific responsibilities that can be successfully discharged only with the support and counsel of the other.

Another way to say this is that the faculty are members of a profession whose services have been obtained by the Board of Trustees through its administrative officers on behalf of the University and for the sake of the ultimate clients of the profession.

The Head is expected to consult with the faculty in a full and reasonable manner before he/she:

1. undertakes a search for new faculty or authorizes such a search by a departmental committee;
2. recommends the appointment of new faculty; or
3. recommends the retention, termination, promotion, or tenure of faculty.

It is reasonable here to expect that the faculty will have ample opportunity to discuss as a group the alternative staffing needs and goals of the department, to consider alternative ways and means of meeting these needs and reaching these goals, and, if they wish, to make collective as well as individual judgments about them as advice to the Head. It is reasonable also to expect that the advice of some members of the faculty will weigh more heavily with the Head than will others. For instance, decisions about tenure (see Chapter 3 below) are properly the concern of the tenured faculty itself. The Head is specifically obliged in all tenure considerations:

1. to make sure that all relevant materials about candidates for tenure are available to the tenured faculty in reasonable time for careful study and deliberation;
2. to call the tenured faculty together as a group and to allow full discussion of the merits of the candidacy;
3. to receive from the tenured faculty a collective recommendation as to tenure;
4. to take note of any and all such recommendations, along with those given individually or privately, in his/her recommendation to the Dean.

(Where the Dean is the first administrative officer, the same obligations obtain.)

The Head is not obliged to follow the majority recommendations of the tenured faculty, but in the event of disagreement the Head must explain to them frankly and openly the decision he/she has reached; and the Head, further, must give them an opportunity to submit, along with his/her recommendation, a dissenting report if they so desire. In any event the tenured faculty vote must be reported and explained to the Dean.

In promotion considerations the Head is expected to seek the advice of the faculty at and above the rank to which the faculty member would be promoted. Again, faculty at such ranks should have opportunity to meet as a group, to discuss the merits fully, and to render a collective judgment if they so desire; and the Head is expected to make his/her recommendation in such a way as to take full account of that deliberation, with similar concern to make clear to the Dean the nature of the faculty opinion.

Both in promotion and in tenure, the Head may need or want to ask departmental committees to prepare appropriate evaluations before fuller faculty discussion.

The Head may also want to listen to the advice of colleagues from other departments, colleges, or universities; to the advice of students; or to junior and untenured members of the department. The importance and weight given to such advice will naturally vary. Faculty whose expertise is very close to that of the person being considered for appointment, retention, tenure, or promotion will usually be able to provide the Head with more useful advice than will those whose specialties are more remote.

The Head is expected to take all reasonable steps to be fully informed about the quality of performance of each member of the department (see Chapter 3). Colleagues are inevitably a major source of this information. Their judgments about the quality of a person's teaching, research, advising, institutional service, and public service are thus of major importance. The Head's responsibility is to gather and weigh such information in a fair, honest, and humane way, looking to the best interests of the department and the University.

Any recommendation by a Head affecting the tenure, promotion, or retention of a faculty member will be accompanied by a summary of faculty opinion (see Chapter 3).

The faculty is often asked by administrative officers to give help in the resolution of faculty conflicts, grievances, and complaints at various levels (see Chapters 3 and 4).

The Faculty Senate is specifically charged by the Board of Trustees to render certain kinds of advice to the campus and University-wide administration about the appointment of University officers (see Chapter 2). In addition, the faculty of each academic unit plays an important role in the evaluation of officers assigned to it and in the search for new persons to fill such positions when they become vacant. Each year the members of each department are asked to submit a confidential evaluation of the head. When headships become vacant, faculty members are expected to serve on search committees, to interview prospective candidates, and to submit evaluations of those candidates. This participation in the ongoing renewal of the leadership is among the most important ways in which faculty judgment informs the administration of the University.

All officers 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 the officers.

Faculty judgments about the academic program have significant bearing on the shape of the budget, and budgetary decisions affect the shape of the academic programs. The faculty are asked to participate in establishing major institutional priorities in several ways. In the most fundamental sense the Faculty Senate, through its Undergraduate Council, Graduate Council, and Educational Policy Committee (see Chapter 2), gives approval for establishing new programs and for terminating old ones. Administrative judgments about the costs of these programs inform this deliberation and in turn are affected by

the judgments of the faculty as to the pedagogical and intellectual soundness of such proposals. Deans, Department Heads, and the Provost consult with appropriate faculty groups at their respective levels concerning the general fiscal implications of decisions about the curriculum, enrollment, class-size, and admissions policies.

Traditional efforts to keep course duplication and proliferation within reasonable limits have long been a faculty concern, and more recently the broad participation of representative faculty members on task forces for long-range planning has made faculty attention to such matters more comprehensive and less disjointed.

ADMINISTRATIVE COMMITTEES

Administrative committees play an important role in the governance of the University. These committees, composed of students, faculty, and staff, are appointed yearly by the Chancellor to assist in the development of institutional policy, procedure, and practice. Currently, the administrative committees are:

- Adaptive Living Committee
- Advisory Committee on Student Financial Aid
- Campus Chest Committee
- Commission for Blacks
- Commission for Women
- Council on International Education
- Cultural Affairs Board
- Equal Employment Opportunity Committee
- Recreation, Entertainment, and Social Board
- Residency Classification Committee
- Student Affairs Council
- Student Publications Board
- Traffic and Parking Authority
- University Calendar Committee
- University Radiation Committee

PREPARATION OF THE BUDGET

Budgeting at UTK involves seven distinct levels of discussion: department, college (or division), UTK central administration, statewide administration, the Tennessee Higher Education Commission (THEC), the Governor's office, and the state legislature. There are two primary labors in the budgeting process: requests and allocations. The two are relatively independent tasks—allocations are not precisely correlated with the data on which requests are based.

Budget Requests. The budget request for UTK and the other public institutions of higher education in Tennessee is determined by a formula created (and constantly reviewed and updated) by the Tennessee Higher Education Commission. General information concerning changes in the formula is made

available to the faculty through the Faculty Senate Budget Committee. THEC is an organization appointed by the Governor to coordinate Tennessee's public institutions of higher education, particularly with regard to the varying roles of each of those institutions, and to the equitable distribution of state funds for higher education.

The THEC formula is designed to provide equivalent educational activities with equivalent support; the formula does not evaluate the quality of those activities.

The formula has two parts: expenditures and revenues. It is concerned only with "unrestricted funds." "Restricted funds," such as gifts and Federal research grants, are not included.) The formula generates expenditure requirements for each institution. Revenues are projected for each institution from sources other than State appropriations, such as fees, interest income, etc. These estimated revenues are subtracted from estimated expenditures, and the difference represents the request for State appropriations.

A request is sent to the Governor, who then recommends to the Legislature a budget for all higher education.

Budget Allocations. The budgeting process is seasonal: in the summer and fall of the year, institutional units prepare the data for the funding formula. The central campus administration consults with the Faculty Senate Budget Committee about priorities. In winter, when the requests have gone to the Legislature for debate and discussion, the campus begins the arduous process of determining how the funds which are appropriated by the Legislature will be spent.

Allocation has three steps, beginning at the department level.

Step 1: A budget for that unit (utilizing current salary levels) is constructed on the basis of previous experience, projected enrollments, and new activities. This budget is submitted by the Head to the appropriate Dean, who may either accept the budget or recommend a revision. When the departmental unit has constructed a budget acceptable to the Dean, both the departmental and the college budgets are submitted to the Provost and to the Executive Vice Chancellor. Budget and planning hearings are held for each departmental unit and attended by the Head, Dean, Provost, and the Executive Vice Chancellor, usually in advance of final completion of Step 1. A second set of hearings, this time at the college level, gives each Dean an opportunity to discuss priorities with the central administrative group.

Step 2: As the legislative budget takes shape, a determination is made of the amount of funds likely to be available for salary increases, and a recommendation for individual salary levels is made by the Head to the Dean, and then to the Provost.

Step 3: Upon final action by the legislature and the governor, a decision is made by the central campus administration about the relative proportion of money to be allocated to salaries and to cover other expenses. A final allocation is then made based on that decision, and the resulting budget is submitted to the President and the Board of Trustees for approval.

MAJOR UNIVERSITY PUBLICATIONS*

1. Undergraduate Catalogue
2. Graduate Catalogue
3. Personnel Policy Manual—contains all current official personnel policies and the UTK procedures for implementing these policies; includes hiring and termination procedures; leave, absence, and vacation policies; etc.
4. Fiscal Policies and Procedures Statements—contain all current official statements of University policies and procedures related to funds, including billing, accounting, and depositing procedures, etc.
5. Faculty Handbook
6. Hilltopics—the UTK handbook for students; includes statements of rights, responsibilities, appeals procedures, rules governing student organizations, etc.
7. Scholarship Handbook—contains comprehensive description of procedures for establishing, maintaining, and awarding both annually funded and endowed scholarships.
8. Charter and By-laws of the University—contains statement of legal establishment of the University, including charter provisions and by-laws.
9. Student Directory—contains campus and home telephones and addresses.
10. Affirmative Action Plan—describes the comprehensive plan for ensuring equal employment opportunity and appropriate affirmative measures for all UTK employees; also contains procedures for presenting and investigating complaints of discrimination.
11. Benefits and Services—describes fringe benefits and insurance plans available to University employees.
12. Grants and Contracts Manual—describes rules, regulations and procedures governing research grants and contracts.
13. The UTK Role and Scope Statement—outlines the fundamental mission of the University of Tennessee, Knoxville.
14. Traffic and Parking Regulations—describes rules, regulations, procedures, and penalties relating to parking and traffic on the University campus.

*Each department is expected to maintain a copy of these publications in a central location available to every faculty member.

2 THE FACULTY SENATE

RESPONSIBILITY

The responsibilities of the faculty in the governance of the University are important and varied. Some of these responsibilities, such as those described in Chapter 1, are discharged primarily within departments, colleges, and schools. Others concern the general policy of the campus as a whole. The faculty role in campus-wide governance is organized and effected by the Faculty Senate, a broadly representative body which is specifically charged by the Board of Trustees (a) to formulate the University's educational standards and degree requirements and (b) to consider, advise, and recommend to the administration policies about a wide range of concerns affecting the welfare of the campus. Among these concerns are:

1. criteria for faculty appointment, dismissal, promotion, tenure, and retirement;
2. criteria for the selection of the Chancellor, Provost, Vice Chancellors, and other campus administrative officers;
3. criteria for the selection of the President and other statewide executive officers of the University (in conjunction with other Faculty Senates or corresponding bodies of the other campuses of UT);
4. priorities for the University development plan;
5. changes in physical facilities;
6. policies regarding student life, rights, and responsibilities.

The Senate has no management or administrative functions either in itself or through its committees, since such functions are expressly reserved to the President (as delegated by the Board of Trustees) and through the President to the Chancellor. But the advice and recommendation of the Senate about all of the concerns listed above is considered carefully by all administrative officers.

The directly and expressly delegated responsibilities of the Senate for the educational programs of UTK include:

1. formulation of policies governing general educational objectives;
2. formulation of policies and regulations related to overall requirements for admission, retention, readmission, graduation and honors, and for degree programs and certification programs;
3. review of the actions of the Special Faculties (i.e., the several colleges and schools) concerning specific admission and graduation requirements of the various academic units.

Discharge of these responsibilities is subject to the approval of the Chancellor, the President, and the Board of Trustees.

Elective Faculty Senate seats are apportioned in February of each year among the respective colleges and schools by the Secretary on the following basis:

All part-time full-year faculty appointments and continuing part-time faculty at Assistant Professor or above who work at least 20% are combined into full-time equivalents to be added to the full-time eligible staff in determining the basis for representation.

One elected member also represents the Agricultural Extension Service, Institute of Agriculture. The President, President-elect, and Secretary are considered Senators-at-large if their term of membership from their college has expired and are not counted against the apportionment assigned to particular colleges or schools for the year of office.

The Faculty Senate has the power to make and repeal its by-laws by a vote of two-thirds majority of those members present at any meeting, provided that proposed changes have been submitted to Senate members at least thirty (30) days in advance.

ORGANIZATION

Administrative members. Ex-officio members are:

1. the Chancellor
2. the Provost
3. the Vice Chancellor for Student Affairs
4. the four Vice Provosts
5. the Executive Vice Chancellor for Business, Planning and Finance

In addition, five members are to be elected from among the Deans and Directors of the academic units for three-year terms. An elected member is ineligible for reelection for one year.

Elected Faculty Members. Elected members of the Faculty Senate are chosen from those members of the faculty meeting the following criteria at the time of the election: (1) the holding of full-time or continuing part-time appointment with the rank, or equivalent rank, of assistant professor or higher; and (2) the performance of academic duties totaling at least half-time teaching, research, service, or departmental administration. The faculty of each college or division of The University of Tennessee, Knoxville, consisting of full-time or continuing part-time faculty with the rank, or equivalent rank, of assistant professor or higher, elects its representatives to the Senate in February of each year by secret ballot.

The colleges and schools represented by the UTK Faculty Senate are Agriculture (Resident Instruction and Experiment Station), Architecture, Biomedical Sciences, Business Administration, Communications, Education, Engineering, Human Ecology, Economics, Law, Liberal Arts, ROTC,

Libraries, Library and Information Science, Nursing, Planning, Social Work, Space Institute, and Veterinary Medicine.

MEETINGS

The Faculty Senate meets on the second and sixth Mondays of classes in the Fall, Winter, and Spring Quarters, and on the fourth Monday of classes in the Summer Quarter, or at the call of the President of the Senate, or in his absence, the President-Elect of the Senate on their own initiative, or pursuant to a petition signed by one-quarter of the members of the Senate. Meetings of the Senate are conducted according to Robert's Rules of Order unless otherwise provided for in the Bylaws. Faculty, staff, and student observers may speak if recognized by the presiding officer.

At one Senate meeting each quarter the Councils' minutes, as presented by the Educational Policy Committee, are normally the first item on the agenda after the approval of minutes from previous Senate meetings. Council materials may come before the Senate at other meetings when action is deemed imperative by the Educational Policy Committee, and other business may be transacted as time permits at the meeting designated for the Councils.

OFFICERS

The President-elect must have served as an elected faculty member of the Senate within the previous 5 years. Terms of office begin at the conclusion of the regular Summer meeting. The President-Elect becomes President the year following his or her term.

The President. The President presides at all meetings and is bound by the bylaws and Robert's Rules of Order. He/she is the chief spokesperson of the Faculty Senate and University faculty. The President-Elect acts as President in his/her absence and becomes President if the President's position is vacated; a Vice President is elected to complete the term of the President-Elect.

The Secretary. The Secretary provides the faculty notice and agenda of all Senate meetings, keeps minutes of all actions taken by the Senate, and sends minutes to all faculty, Department Heads, Deans, and Directors. The Secretary also serves as Secretary to the Executive Committee and the Committee on Committees.

Parliamentarian. The Parliamentarian is appointed by the President.

COMMITTEES OF THE SENATE

Members of committees hold office for one year from the time of their election, unless otherwise specified. The terms begin at the conclusion of the regular Summer meeting. Membership on these committees may include persons from the faculty, staff or student body, unless Senators are specified exclusively. The Chancellor and the President of the Senate are ex-officio members of all standing committees. If a vacancy occurs in the faculty member-

ship of any committee, the Faculty Senate fills the vacancy by election at the next regular meeting. Persons thus selected serve out the unexpired portion of the term. Each standing or special committee must submit a written report to the Senate at least once during the academic year. The committees must submit minutes of meetings to the Secretary of the Senate.

1. *The Committee on Committees* makes nominations to the Faculty Senate of the faculty membership of all special and standing committees except the Undergraduate and Graduate Councils. The Committee on Committees designates chairpersons except when otherwise stated in the Bylaws. The Committee on Committees renders a report to the Senate at its regular meeting in the Summer Quarter of each year and at other times as required.

2. *The Educational Policy Committee.* Membership consists of the chairpersons of the Undergraduate and Graduate Councils, a faculty Councilor elected by each Council, the chair of the Research Council, an elected representative of the Graduate Student Council, an elected representative of the Student Academic Council, and six elected members who have served on the Faculty Senate within the previous three years. These six will serve two-year staggered terms, and one is selected as chair.

The Educational Policy Committee is concerned with the study, establishment, and implementation of the curricular and instructional goals of the University, referring appropriate issues to the Councils and such subcommittees as it may establish and making recommendations to the Senate regarding academic policy. The Councils will report to the Senate through the Educational Policy Committee. This committee will review the minutes of the Councils and work with the Council chairpersons to prepare the presentation of their minutes for Senate consideration, highlighting items of special importance and policy issues.

(a) *Undergraduate Council.* Voting membership consists of elected representatives chosen for three-year terms from the schools and colleges of the University granting baccalaureate degrees, one member of the ROTC faculty, and four students designated by the Student Academic Council. Elections shall be held in the spring term for terms to commence at the start of the following fall term. Elected representatives are apportioned among the baccalaureate degree granting units according to the number of degrees granted during the prior academic year.

In the College of Liberal Arts, representatives are apportioned among the Divisions of Social Sciences, Humanities and Natural Sciences. Elected members must (1) hold full-time or continuing part-time appointment with the rank of assistant professor or higher, and (2) perform academic duties consisting of at least half-time teaching, research, service or departmental administration. Ex-officio members (without vote) are the Dean of Admissions and Records, the Dean of Continuing Education, the Director of Libraries and the Director of the Learning Research Center (or their designates). In addition, the administrative officer having primary responsibility for

undergraduate curriculum in each college or school serves as an ex-officio member (without vote) of the Undergraduate Council if that person is not an elected representative. The Chair of the Undergraduate Council is the Vice Provost with primary responsibility for baccalaureate education.

The Undergraduate Council is concerned 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. The Council reports its actions through the Educational Policy Committee for approval by the Faculty Senate.

(b) *Graduate Council.* Voting membership consists of elected representatives chosen for three-year terms from the schools and colleges of the University engaged in graduate work, and two graduate students elected by the Graduate Student Council. Elections are held in the spring term for terms to commence at the start of next fall term. Elected representatives are apportioned among the schools and colleges according to the number of graduate students enrolled in the college or school in the previous fall term.

Elected representatives must regularly teach graduate courses or supervise graduate study and must (1) hold full-time or continuing part-time appointment with the rank of assistant professor or higher, and (2) perform academic duties consisting of at least half-time teaching, research, service or departmental administration. Ex-officio members (without vote) are the Director of Libraries (or designate), the Dean of Continuing Education (or designate) and the Chair of the Research Council. In addition, the administrative officer having primary responsibility for graduate curriculum in each college or school serves as ex-officio member (without vote) of the Graduate Council if that person is not an elected representative. The Chair of the Graduate Council is the Vice Provost and Dean of the Graduate School.

The Graduate Council is concerned with standards for admission, retention, and graduation, and with curricular matters in graduate programs, with the development of interdisciplinary programs, with the approval of individuals to teach doctoral courses and direct doctoral research, with the financial support of graduate students, and with any other matters of educational policy pertaining to graduate programs. The Council reports its actions through the Educational Policy Committee for approval by the Faculty Senate.

(c) *Research Council.* Membership consists of the Vice Provost for Research, the Public Service Director, the Director of Libraries (or designate), three members from the College of Liberal Arts (one each representing humanities, social sciences, and natural sciences) named by the Faculty Senate, one member named by the Faculty Senate from each of the other colleges and schools (see Article II, Section 1.B (1) of the Faculty Senate Bylaws), and the chair of the International Education Committee as an ex-officio member. One member also is selected by the Graduate Student Council. The Research Council is chaired by a faculty member elected by the Faculty Senate.

The Research Council is concerned with institutional policy on research grants and funding, with patent policy, with protection of investigators, with protection of human subjects of research, with protection of experimental animals, with publications, with development of interdisciplinary research, with development of specialized research facilities for intercollegiate use and with any other matters of policy pertaining to research programs. The Council reports its actions for approval to the Faculty Senate.

3. *Committee on Faculty Affairs.* Fifteen elected faculty; members and ex-officio the Provost, the Vice Provost (*Faculty Handbook* Editor), and the deans of two of the colleges selected by them on a rotating basis every two years.

This committee is concerned with the development of criteria and procedures for faculty appointment, promotion, the granting of tenure, and discharge for cause. The committee also serves as the review committee for faculty complaints and grievances as outlined in the *Faculty Handbook*, Chapter 4. The Faculty Affairs Committee also serves on call by the Chancellor as a fact-finding committee in matters of dismissal for cause.

4. *Student Affairs Committee.* Twelve elected faculty members, four students elected by the Student Senate; ex-officio the President of the Student Senate, the Chairperson of the Academic Council, the Chairperson of the Graduate Student Council, and the Vice Chancellor for Student Affairs. The chairperson is a faculty member.

This committee is concerned with student life, rights, privileges, and responsibilities; and with social disciplinary matters, student government, and organizations. It makes recommendations to the Faculty Senate on these matters.

5. *Executive Committee of the Faculty Senate.* Twelve elected members of the Senate, elected to two-year terms (six each year), ex-officio the Provost, the President, the president-elect, Secretary, and immediate past President of the Faculty Senate. The President is the chairperson of this committee.

This committee represents the Senate as called on in meetings with the administration and other groups, handles necessary business on an emergency and interim basis between Senate meetings, recommends and reviews assignments to other committees, and establishes ad hoc committees on behalf of itself or as directed by the Senate.

This committee is concerned with the formulation and review of the long and short range educational policies of the University as represented by the monetary allocations made in the budget. This committee is not concerned with individual salaries nor with college or departmental allocations, except as they may relate to the aforementioned educational policies.

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

6. *Development, Alumni and Public Relations Committee.* Membership consists of nine faculty members selected by the Faculty Senate, and as ex-officio members includes the UTK Vice-Chancellor for Development and Alumni Affairs, the UTK Assistant Vice-Chancellor for Development, the UTK Assistant Vice-Chancellor for Alumni Affairs, the UTK Director of University Communications, the President of The University of Tennessee National Alumni Association, a representative selected by the Student Coordinating Council, and the UTK Executive Assistant to the Chancellor. The responsibilities of this Committee include advice and consultation on development, alumni programs, alumni relations and public relations.

7. *Athletics Committee.* Twelve elected faculty; ex-officio the Provost (or designate), the Director of Athletics, the Director of Women's Athletics, the Director of the School of Health, Physical Education, and Recreation (or designate), the faculty chairperson of the UT Athletics Board, and two students elected by the Student Senate.

8. *Library Committee.* One elected faculty representative from each college or school, except in the case of Liberal Arts, from which there shall be three representatives, one from each of the major divisions of the college; two students designated by the Academic Council; ex-officio the Provost (or designate), the Vice Provost and Dean of The Graduate School (or designate), and the Director of Libraries.

This committee is concerned with suggestions for library improvement made by faculty and students and is a sounding board for projected policies and procedures planned by the Library administration, and aids the Library administration in presenting campus library needs to the University administration.

9. *Nominating Committee.* Five elected members of the Senate, none of whom may be a member of the Committee on Committees.

This committee nominates two candidates for President-Elect. The committee solicits nominations from the University Faculty at large and shall prepare a ballot which includes biographical information on all candidates.

10. *Budget Committee.* The role of the committee is (1) to provide for campus-wide faculty input into the University budgeting process; (2) to encourage the use of faculty expertise in budget matters; (3) to inform the faculty, through the Senate, concerning budget matters. Both long-range and short-term aspects of its role will receive the committee's attention, including budget priorities, THEC formulas, and system-campus fiscal relationships. The primary concern is policy, along the above lines; the committee is not expected to become involved in the detailed and comprehensive investigations necessary as a basis for budget decisions.

11. *Faculty and Staff Benefits Committee.* This committee makes recommendations to the Senate and cooperates with fringe benefits committees from other higher education campuses across the state with respect to policies on retire-

ment, leave, faculty welfare, insurance, and other fringe benefits.

12. *Legislative Committee.* This committee is concerned with presenting information and assessments of campus needs from a faculty viewpoint to the State Legislature especially through communication with the Knox County Legislative Delegation.

13. *Bylaws Committee.* Five elected members of the Senate, with the President-Elect serving as chairperson of the committee. This committee annually reviews the bylaws and makes appropriate recommendations to the Senate for amendments. It also reviews any revisions suggested by members or committees of the Senate.

14. *International Education Committee.* Members of the committee are nominated by the Committee on Committees at the July Senate meeting, but they do not assume office until the following January, so that they serve for the calendar year.

This committee considers international education and research issues and makes recommendations on curricular and policy matters to the Faculty Senate and the Graduate or Undergraduate Councils. It promotes international research and faculty exchanges in cooperation with the Research Council.

This committee publicizes the availability of and criteria for the Rhodes, Fulbright, and other foreign scholarships and encourages application for such awards. The committee screens applicants for such awards.

15. *Professional Development Committee.* This committee shall work toward improving the professional effectiveness of faculty members at UTK by seeking to promote attitudes, skills and behaviors of faculty members that improve their competence and effectiveness in meeting student needs, their own needs, and the needs of the institution.

The committee has a minimum of nine elected faculty members representing the diversity of programs on the campus. Ex-officio members are the Provost (or designate) and the Vice Provost and Dean of the Graduate School.

Committee Reports. Each standing or special committee shall submit a written report to the Senate at least once during the academic year.

FACULTY MEETINGS

The faculty holds an annual fall meeting called by the Chancellor. It may meet at other times upon petition of ten percent of the faculty.

The faculty has authority to review all actions of the Senate, under the limitations stipulated by the Board of Trustees.

3 APPOINTMENT, PROMOTION, TENURE, & TERMINATION

APPOINTMENTS TO THE FACULTY

Faculty are appointed to positions at the University in the following manner:

1. A Department Head obtains authorization to begin a search for a new faculty member based on a demonstrated need of the department's academic program and availability of money for the position. The position may be new or a replacement for someone who has resigned, retired, gone on leave, or otherwise left the University. Because of budget uncertainties, the authorization of a search does not necessarily mean that an appointment will be made.

2. The University is fully committed to affirmative action at all levels. Therefore, efforts must be made by the department to ensure that qualified individuals are made aware of vacancies.

3. A thorough search and careful selection precedes any departmental recommendation of appointment. The length and complexity of this process depends upon the nature of the appointment (temporary, part-time, junior, senior, visiting, etc.). In any event, the Head consults with the departmental faculty about the needs of the program and about the progress of searches that have been authorized. A faculty search committee is normally asked to assist the Head in identifying suitable candidates. The principle is that the departmental faculty, as a group and individually, must have full opportunity to help determine the kind of person needed, the search procedure to be followed, the basic pool of candidates, the persons to be selected for interview, and the final choice. At each of these stages, final responsibility for the departmental recommendation rests with the Head. If the Head's recommendation diverges from that of the faculty, the Head is expected to explain his/her reasons in detail to the faculty.

4. Faculty status may be granted to a newly appointed administrative officer upon review and evaluation by appropriate faculty and recommendation of the appropriate Department Head.

5. Following a departmental decision to recommend appointment, there may be informal discussions concerning rank, salary, and other terms of employment between the Head and prospective faculty member. Such discussions inform the recommendations of the Department Head but do not constitute a binding commitment by the University.

6. Notification of appointment is made by letter from the Provost. This letter of appointment specifies (a) rank, (b) salary and related financial conditions, (c) probationary status, indicating that he or she will be advised an-

nually of his/her retention status and progress toward tenure and promotion, (d) the academic year during which a tenure decision must be reached, (e) general duties and expectations, and (f) the appropriate peer group to be consulted during promotion, retention, and tenure considerations. Previous correspondence between the Department Head, Dean or Director, and the prospective faculty member concerning these matters is unofficial and not binding on the University.

7. Written acceptance of the letter of appointment, together with execution of normal University employment forms, completes the initial agreement of employment between the University and the faculty member.

8. The faculty member is officially notified of subsequent salary adjustments or changes in rank, title, or assignment by letter from the Head, Dean, or Director. Notification of an award of tenure is given by letter from the Chancellor (or Vice President of Agriculture). Any other oral or written representations concerning such adjustments and changes are unauthorized and not binding on the University. Normally, salary adjustments and other changes in employment are made following approval of the University budget by the Board of Trustees at its annual meeting in June.

Terms and Renewals. Generally regular appointments are for one year beginning September 1 and ending August 31. Renewals are made annually by placing personnel names in the budget approved by the Board of Trustees.

CRITERIA

Criteria for appointment to the several faculty ranks are complex. They reflect the rigorous preparation necessary for university teaching and research, the varied expectations directed to the faculty of a major university, and the diversity of missions performed by academic units. Each faculty position has its own distinctive requirements, but the University has established the following minimal criteria. Deficiencies in some respects may be balanced by unusual excellence in others.

In addition to the expectations listed for each rank below, there are general expectations that go with any faculty position. Two of the most important are advising and service to the University.

Professors are expected:

- (1) to hold the doctorate or other terminal degree of the discipline or to present equivalent training and experience appropriate to the particular appointment;
- (2) to be accomplished teachers;
- (3) to have achieved an established scholarly or creative professional record;
- (4) to have participated significantly in the professional work of the discipline, in ways other than teaching and research;
- (5) normally, to have served as an associate professor for at least five years;
- (6) to have shown beyond doubt that they can work well with colleagues and students.

Associate Professors are expected:

- (1) to hold the doctorate or other terminal degree of the discipline, or to present equivalent training and experience as appropriate to the particular appointment;
- (2) to be good teachers;
- (3) to have a good scholarly or creative professional record;
- (4) to have participated with promise in the professional work of the discipline, in ways other than teaching and research;
- (5) normally, to have served as an assistant professor for at least four years;
- (6) to have demonstrated clearly that they can work well with colleagues and students.

Assistant Professors are expected:

- (1) to hold the doctorate or other terminal degree of the discipline, or to present equivalent training and experience as appropriate to the particular appointment;
- (2) to show promise as teachers and scholars, and to have begun a definite program of research or creative professional work;
- (3) to show evidence that they can work well with colleagues and students.

Instructors are expected:

- (1) to hold the Master's degree, or equivalent training and experience as appropriate to the particular appointment;
- (2) to show a clear interest in good teaching;
- (3) to show a clear interest in a program of scholarship or other professional work;
- (4) to have established an excellent scholastic record as a student;
- (5) to show evidence that they can work well with colleagues and students.

Concerned and effective advising is understood to be part of the normal task of teaching in all of these ranks.

The University permits the employment of persons related by blood or marriage, but they must not be able to determine the appointment, retention, salary, promotion, or other aspects of the employment of their relatives. Where a faculty or staff member is in a position of responsibility affecting a relative, he/she must waive authority and defer to the next administrative officer.

Joint appointments involve participation in the teaching and research of two or more departments. The primary department to which the faculty member is attached, through which all matters of promotion, salary raise, and tenure are processed, is the "home" department. On all matters there must be appropriate consultation between the "home" department and the Department Head and faculty of the other academic unit. Where joint appointments involve equal time in two or more departments or service primarily within an interdisciplinary program, it is the shared responsibility of the heads, deans,

or other administrative officers to make appropriate recommendations; and in such cases both departments are "home." The original appointment letter must specify the faculty member's administrative reporting relationships and the peer group to be consulted in tenure and promotion recommendations. The University recognizes that as the shape of knowledge changes, new disciplinary and interdisciplinary needs may emerge which do not precisely correspond to existing administrative or departmental lines at UTK.

Transfers from one UT campus to another follow the procedures outlined above for all other appointments. Advice from the faculty, the recommendation of the Head and the approval of the Dean, Provost and Chancellor are all necessary. All aspects of the new appointment—title, rank, term of employment, and tenure—are freshly determined. This renegotiation does not jeopardize the faculty member's participation in group insurance, retirement plans, and other standard employment benefits of the statewide University.

Intercampus academic appointments are sometimes authorized when it appears that a faculty member at one campus has expertise that qualifies him/her for participation in the work of a department on another campus, and when the department has need of his/her services. The definition and extent of such intercampus participation is determined by mutual agreement between the faculty member on the one hand, and the heads, directors or chairpersons in consultation with appropriate faculty of the academic units involved, and the respective deans, vice chancellors, Provost, or other campus officers on the other hand. In these cases, the following guidelines are observed:

1. The appointment is normally without salary or tenure in the cooperating or second department (i.e., the unit awarding the intercampus appointment); tenure and salary continue to be linked with the base or "home" department.
2. The Head of the base department recommends the intercampus appointment to the Head of the cooperating department, following informal discussion or negotiation.
3. The appointment is made by the cooperating department with the ordinary approvals by the Dean, Provost, and Chancellor.
4. The title of the faculty member in the cooperating department is determined by mutual agreement between the Head and the faculty member, subject to approval by the Dean, Provost, and Chancellor.

DUTIES

The Board of Trustees has approved the following statement of faculty duties and responsibilities for UTK.

The assigned workload for full-time faculty shall consist of a combination of teaching, advising, research and/or creative activities and institutional and/or public service. The individual mix of these responsibilities shall be determined by the Department Head, in consultation with each faculty member, with the review and approval of the Dean and the Provost. The University requires that each member of the faculty perform a reasonable and equitable amount of work each year.

The normal maximum teaching load for a full-time faculty member engaged only in classroom teaching shall be 12 credit hours each term of the academic year. The actual teaching load shall be based on such things as class size and the number of examinations, term papers and other assignments that require grading and evaluation. In addition, the number of different courses taught and other appropriate considerations shall be used to determine teaching load.

The classroom teaching load shall be reduced by the Department Head for other justifiable reasons including student advising, active involvement in research and/or creative activities (with publication or other suitable forms of recognition), direction of graduate theses or dissertations, administrative duties, and institutional and/or public service.

The teaching of non-credit courses or workshops and participation in externally funded university projects may be substituted by the University for an equivalent number of credit courses.

CLASSIFICATIONS OF APPOINTMENT

Faculty members are appointed to one of the following classifications of appointments:

1. Regular full-time academic year appointment:

2. Regular part-time academic year appointment:

Such appointments involve full-time or part-time service for the nine-month academic year. Salary is paid in twelve monthly installments from September 1 through the following August 31, and is considered as being earned at the rate of one-third of the annual salary for each of the three regular quarters—fall, winter, spring.

3. Regular full-time twelve-month appointment:

4. Regular part-time twelve month appointment:

Such appointments involve full-time or part-time service on a continuing basis for a period of not less than twelve months. Salary is paid each month and is considered as earned on a month-by-month basis. Holders of such appointments are entitled to vacation and sick leave accruals in accordance with established University policies, as described in Chapter 5.

5. Temporary full-time academic appointment:

6. Temporary part-time academic appointment:

Such appointments involve full-time or part-time service for a specified period of time with total salary for such service to be paid over less than a twelve-month period.

Part-time Faculty Appointments. (see Appendix 5) The University makes important use of the service of part-time faculty in many departments and programs. Part-time faculty are identified, employed, reviewed, counseled, encouraged, retained or terminated as part of a coherent academic plan. (See the section above, on the appointment of faculty; stipulations there given as

faculty on identification of need, searches, appointment, and review apply, as far as is reasonable and practical, to part-time appointments.)

The duties, expectations, and rights of part-time faculty are defined at the time of appointment. Such agreements are periodically reviewed as needed.

Part-time faculty should be knowledgeable about the mission and objective of the department in its relations to the institution as well as about the conditions (curriculum, general rules and policies) under which students are taking the course or under which the research fulfills the institution's objectives. Toward this end it is important, wherever possible, for part-time faculty to receive appropriate departmental and University communications, to attend departmental meetings, as well as appropriate public events, seminars, and symposia, and thus share something of the life and ethos of the University. If in particular cases such participation is not desired by the individual or by the department, that is noted at the time of appointment.

Continuing Part-time Faculty.

The designation of "Continuing Part-time Faculty" is meant to confer an employment preference over those part-time faculty who are not so designated. It does not include tenure track status, the acquisition of tenure, or the equivalent of tenure; it is meant to ensure an orderly and fair method of evaluating sustained performance and to guarantee reasonable procedures for the negotiation and formation of stable employment agreements. As between non-tenured full-time faculty and continuing part-time faculty, general budgetary and staffing decisions are decided on a case by case basis.

The negotiation of continuing part-time appointments is often preferable to temporary arrangements. Department heads and deans are encouraged, in consultation with their faculties, to plan the program of teaching and research so as to avoid undue need for temporary appointments.

Depending upon the availability of resources, certain benefits will be available to continuing part-time faculty. These benefits are stated elsewhere in this handbook.

Continuing part-time faculty, where appropriate, participate and vote in departmental deliberations. They are given a full and fair opportunity to share in or compete for available research support, development grants, and similar opportunities for professional growth.

In line with the following principles, the Department Head may, after consultation with appropriate faculty, recommend to the Dean that a part-time faculty member be considered "Continuing Part-time":

1. The appointment should be ongoing—that is, there must be a reasonable expectation that the individual's expertise will be required in the academic program for the foreseeable future.
2. The employment should normally include at least one quarter of service each year.
3. The faculty member must have served at least twelve academic quarters of employment, not necessarily in succession. Prior university service or professional experience may be taken into account. The usual procedures for

review of credentials, faculty vote, Head's recommendations, approval of the Dean and the Provost are followed.

The University has no obligation to grant continuing part-time status to any part-time faculty and will do so only upon the specific initiative and recommendation of the Department Head in consultation with appropriate faculty, consistent with the principles specified above, and with the approval of the Dean, Provost, and Chancellor. The case for consideration must be strong and consistent with the University's commitment to a flexible but fair academic personnel policy. Individuals who desire such status but whose petition has not been approved by the Department Head may, after using the normal route of appeal through the Dean to the Provost, ask the Faculty Affairs Committee to review the matter according to the procedures in the Handbook.

Continuing part-time faculty who wish to be considered for full-time positions in their disciplines when such positions become available should submit a written letter of application to the Department Head indicating this interest. Such application will be given full and fair consideration by the department. If a continuing part-time faculty member is appointed as a regular full-time faculty member, prior service in continuing part-time status may be taken into consideration in establishing the probationary period. The length of the probationary period will be specified in the letter of appointment to regular full-time faculty status.

Summer Quarter Compensation. Faculty holding regular full-time academic year appointments or regular part-time academic year appointments are paid extra compensation for summer quarter teaching, according to the following formulae:

1. Full-time teaching, one-half of summer term = $1/8$ annual salary;
2. Full-time teaching, both halves = $1/4$ annual salary;
3. Full-time teaching, full term = $1/4$ annual salary.

Appropriate percentages of full-time effort and pay are arranged by the Department Head, Dean, and Provost.

Quarter Banking. Faculty holding regular full-time academic year appointments may upon approval substitute summer quarter(s) for other quarters in the academic year. Permission may be granted to substitute summer quarters of teaching, or to "bank" such quarters, toward extended periods of release from regular duties in other quarters. The need of many faculty upon occasion to devote large uninterrupted amounts of time to a single research or creative project without teaching or committee work, and to spend time periodically in personal renewal and development, is fundamental to every good university. This arrangement is subject to the following conditions:

1. No pay can be authorized for service before it is performed; the summer quarters must be served before the substitute quarters. The duties performed during the summers in question must include the full range of duties performed during the regular quarters (advising, committee work, etc.).

2. The needs of the department or program will be a major consideration in evaluation of requests to make such substitutions.

3. The financial and educational resources of the department or unit must not be jeopardized in order to effect the substitution.

Emeritus. The University of Tennessee, Knoxville awards Emeritus rank to faculty members who are professors at the time of retirement.

GRADUATE STUDENT APPOINTMENTS.

Graduate students may be awarded various types of appointments which provide financial support for graduate study by contributing to the teaching and/or research mission of the university. Rather than interfere or conflict with the students' educational objectives, the appointments are intended to aid in the prompt and successful completion of their graduate degree programs.

Graduate Teaching Assistant: Graduate Teaching Assistants work under the direct supervision of a regular faculty member in activities such as helping to prepare lectures, teaching discussion sections, conducting laboratory exercises, grading papers and keeping class records. In consultation with the supervisor, the Teaching Assistant works to gain teaching skills and an increased understanding of the discipline. Appointments are normally on a one-fourth to one-half time basis, and the annual stipend is payable in either nine or twelve monthly installments. The assistantship is accompanied by a scholarship covering regular University fees for the period of appointment.

Graduate Teaching Associate: Exceptionally experienced graduate students may be assigned primary responsibility for teaching undergraduate courses, including the assignment of final grades. The Teaching Associate usually carries one-fourth to one-half of a normal teaching load. The annual stipend is payable in either nine or twelve monthly installments, and the appointments include a scholarship covering regular University fees for the period of appointment.

Graduate Assistant: Graduate Assistants are appointed primarily to perform various types of duties other than teaching. Any assigned instructional activity is conducted under careful supervision. The annual stipend is payable in either nine or twelve monthly installments. The assistantship is accompanied by a scholarship providing regular University fees for the period of appointment.

Graduate Research Assistant: Research assistantships are generally financed through gift, grant, or contract funds. Persons holding such appointments pursue a work and study program like that expected under the other types of awards. Graduate research assistantships are accompanied by a scholarship covering out-of-state tuition only.

FACULTY DEVELOPMENT

The University seeks to make clear to each faculty member from the start both the general expectations directed to all faculty and the specific duties

that go with appointment in the department or academic unit. Heads are required to schedule regular conferences with their faculty to make plans, set goals and objectives, and review performance as part of an ongoing concern for making each person an effective and responsible participant in the definition and achievement of the University's mission. In such conferences, which are held at least once each year, accomplishments are compared with the specific goals that the faculty member and the Head have previously set. The nature of this discussion is highly individual, reflecting the personal interests and talents of the faculty member quite as much as the general definition of standard accomplishment. This process is subtle and demanding; it must take account of all the diverse things that occupy a faculty member's time, and it must draw upon them all for evidence—classroom, students, colleagues, laboratory, library, committee, the public. The central aim of such conferences is the improvement of performance, the enablement of shared ambitions and projects, and the enhancement of the sense of this sharing through honest, realistic assessments given, received, and discussed. At its best, such "faculty evaluation" is the clue and basis for faculty development, which has the following indispensable ingredients:

1. clear, mutually agreed upon individual objectives;
2. appropriate, clearly understood standards, methods, and procedures for assessing the degree of achievement of objectives;
3. provision of the necessary support (resources, environment, personal and official encouragement) to do the job;
4. honest judgments by peers and administrative colleagues, reflecting reliable assessments of achievement;
5. appropriate recognition and reward for good work.

All five of these ingredients should be amply and regularly reviewed by the faculty member and the Head. The University's efforts to provide adequate support are discussed elsewhere in a variety of ways.

PROBATION AND TENURE

A system of probation and tenure is provided for all regular faculty members except (1) part-time faculty members, (2) faculty members whose appointment is based mainly on grants and contracts ("soft money"), and (3) faculty members who are pursuing degrees at UTK. Faculty members who voluntarily enter any of these categories after receiving tenure do not thereby forfeit tenure.

Tenure is defined as follows: Within the limitations of the Charter and By-Laws of the Board of Trustees of the University of Tennessee, academic tenure provides a faculty member with an expectation of continuing employment that will not be terminated except for (a) adequate cause, (b) extraordinary circumstances, or (c) retirement.

Tenure is granted by the Board of Trustees upon recommendation of the Department Head, Dean or Director, Provost, Chancellor, and President, respectively. Tenure is granted only through positive action of the Board of

Trustees. No person shall obtain or be granted tenure at the time of initial appointment or thereafter except after the review of the Department Head, Dean or Director, Provost, Chancellor, President, and approval by the Board of Trustees. After approval by the Board of Trustees, tenure becomes effective when confirmed in writing by the Chancellor.

Tenure is awarded (1) when the University acknowledges a reasonable presumption of a person's professional excellence and (2) when that excellence is believed likely to contribute substantially, over a considerable period of time, to the University's mission. This presumption is rebuttable; it is not a guarantee of lifetime employment. However, the burden of rebutting the presumption of professional fitness of a tenured member of the faculty rests with the University. A tenured person may be dismissed only in accordance with the procedures outlined hereinafter.

Tenure is held at the University of Tennessee, Knoxville, within a department, school, college or other academic program. Although the granting of tenure is an administrative recommendation which must be approved by the Board of Trustees, the source of judgment for tenure recommendation must include that of faculty peers competent to evaluate the professional standing of a faculty member.

Reorganizations which result in the merger or splitting of academic units do not affect the tenure or probationary status of the faculty involved. Tenured faculty members in such reorganization will have tenure in the new unit or program to which they are assigned.

There is no absolute correlation between disciplines and administrative units. The shape of learning and therefore of disciplines changes in ways that make necessary "interdisciplinary," interdepartmental, and intercollegiate arrangements for programs of study. If there is a knowledgeable group of peers in a program of study, a faculty member may be tenured in that program even though no administrative unit corresponds precisely with the field. In such cases the chairperson or director of the program in consultation with the program faculty is responsible for the original recommendation, and he/she must relate to the faculty in the program as a Head or Dean would in ordinary circumstances.

The awarding of tenure is based not only on the individual's professional excellence but also includes consideration of the anticipated needs of the academic program for the foreseeable future. Professional excellence is reflected in good teaching, scholarship or other creative work in the discipline, participation in professional organizations, willingness to contribute to the common life of the University, effective work with colleagues and students, and public service. The relative weighting of these factors in tenure determinations will vary depending upon the mission of the particular academic unit and the characteristics of the individual.

A decision not to award tenure is thus in no sense a judgment of incompetence. Not all competent persons meet the high standards necessary for tenure, nor are all those who meet such standards automatically fitted to serve

needs of the University's programs. The burden of proof that tenure should be awarded rests with the faculty member.

Early in the academic year during which a decision will be made on tenure the candidate will submit all material relevant to consideration for tenure. After consultation with the faculty member, the Department Head is encouraged to seek the advice of a minimum of two persons not on the faculty of the University of Tennessee, Knoxville whose expertise is close to that of the candidate and who are willing to provide thoughtful evaluation of the candidate's written work or other suitable evidence of performance. While specially appointed departmental committees may be responsible for assembling information, all tenured department faculty should examine the material relevant to the decision. A meeting of tenured department faculty will be called that will allow ample time for debate and discussion of the record and a vote, organized as provided for in the department by-laws, will be taken and recorded. This vote is advisory to the Department Head, who will, in forwarding his/her recommendation to the Dean, also provide a brief summary of faculty opinion as expressed during the meeting and a report of the vote of the faculty. If the Department Head's recommendation is not the same as that of the faculty, he/she will explain to the tenured faculty the reasons for the decision. The Department Head will remind the faculty of their right to forward a dissenting report if they do not feel that the Department Head's summary of faculty opinion adequately describes their views.

A faculty member who has received notice of denial of tenure may request a statement of the reasons for the decision. A statement of these reasons will then be given, in writing if so requested, by the Provost. A faculty member making this request should be aware that this statement, together with subsequent correspondence, rebuttals or rejoinders, will become a part of the official record.

The probationary period at UTK may last from one to seven years, depending upon rank and prior experience at the time of initial appointment, as well as upon quality of performance. The maximum number of years in the probationary period is specified at the initial appointment. However, the actual number of probation years may be shortened at the discretion of the University, and stipulation of a given year for mandatory tenure review does not guarantee retention until that time.

Previous full-time service in faculty rank at other colleges or universities may reduce the probationary period at UTK if so specified in the letter of appointment. In such cases a faculty member may have more than seven full-time teaching years (UTK and elsewhere) before tenure is granted at UTK. For example, a person who has served five years elsewhere may be given a four-year probationary period at UTK. In no case will the probationary period at UTK exceed seven years.

The Department Head is responsible for an annual retention review of probationary faculty. This review will be conducted in consultation with the tenured faculty. The Head will convey the outcome of this review in a timely

manner. If it appears to the Head that retention is not in doubt, the Head will confirm this finding in writing to the Dean, and no formal faculty meeting or vote is necessary. If it appears to the Head that retention is in doubt, the probationary faculty member will be notified and allowed sufficient time to present relevant material. After review of this material, a formal retention vote of the tenured faculty will be taken. The result of the vote will be included in the Head's written recommendation to the Dean as to retention or non-retention.

The probationary faculty member is regularly advised in writing of the schedule for tenure or retention determination, so that there will be opportunity to submit materials relevant to the review of performance. Each year, in addition each person on probationary status is advised in connection with his/her yearly conference with the Head as to how much probationary time is left and as to how the quality of his/her performance is likely to be assessed by the tenured faculty and the Head.

Tenure is not automatically transferred when a faculty member transfers to UTK from another UT campus, or from UTK to another UT campus. A review by the responsible academic officers in consultation with the tenured faculty of the appropriate department, college, or school of the "receiving" campus may result in an immediate recommendation to the Board of Trustees for transfer of tenure; or a new probationary period may be established just as is done when there is previous service at a different institution (see above). Transfers of tenure between academic units on the same campus do not require Board approval, but must be approved by the responsible campus administrative officers in consultation with the tenured faculty of the receiving unit, with notification of the Board of Trustees. In any event, prior to the effective date of the transfer all conditions relating to tenure must be documented and accepted in writing by the transferring faculty member.

Should a probationary faculty member transfer from one UT campus to another, a new probationary period must be established and documented under the same guidelines that would be followed if the faculty member came from another institution. All conditions relating to the new probationary period must be documented in writing and accepted by the transferring faculty member.

When a tenured faculty member accepts a part-time or administrative position with the University, the faculty member retains tenure. When a probationary faculty member accepts a part-time position or an administrative position with the University, the probationary period will be extended accordingly. When a probationary faculty member is granted a leave of absence, the probationary period will also be extended accordingly.

Tenure rights are forfeited when a faculty member resigns his or her position, takes an unauthorized leave of absence, or fails to return to the campus following an authorized leave of absence. The faculty member in such cases will be notified in writing of this revocation of tenure. Such action may be appealed, using the normal procedures for appeal and grievances (see Chapter 4).

Not later than March 1 of the first academic year of service at UTK, persons who will not be reappointed for a second year will be notified in writing by the Provost upon recommendation of the Department Head and the Dean. If an appointment of this kind is to expire during the academic year, the person must be so notified at least three months in advance. If a person is in a second year of service, the notification will be no later than December 15 of that year (or, if the appointment expires during an academic year, the notification will be at least six months in advance). If the person has served two or more years, such notice will be given twelve months before the expiration of the appointment. (Previous service at other institutions is not considered in this connection.) Procedure for appeal of a decision not to award tenure or of a decision to terminate a probationary period is described in Chapter 4.

Faculty members initially appointed as Assistant Professors will normally be considered for promotion at the same time that they are considered for tenure.

SALARY

Salary recommendations are made by the Head after consideration of a number of factors, including career longevity, recent performance, and general salary levels of the discipline and rank. The Head should share with the departmental faculty as a whole his/her general principles and reasoning in defining salary recommendations. Faculty members may appeal salary determinations, using the procedures discussed in Chapter 4. Committees of the Faculty Senate regularly review priorities for budget allocations for salaries.

Recommendations for salary adjustments are reviewed and approved, disapproved or altered by each of the following officers: Dean or Director, Provost, Chancellor, President. The Board of Trustees must give final approval. A principle to be applied is that all decisions be made known to responsible or affected persons.

Disapproval or alteration of salary adjustments at any level will be communicated through the administrative line to the Head.

PROMOTION

The criteria for promotion to a rank are the same as those for appointment to that rank. Early in the academic year the candidate will submit all materials relevant to consideration for promotion. After consultation with the faculty member, the Department Head is encouraged to seek the advice of a minimum of two persons not on the faculty of the University of Tennessee, Knoxville whose expertise is close to that of the candidate and who are willing to provide thoughtful evaluation of the candidate's written work or other suitable evidence of performance. While specially appointed department committees may be responsible for assembling information, all department faculty at or above the rank for which the candidate is being considered should examine the material relevant to the decision. A meeting of all these faculty will be called that will allow ample time for debate and discussion of the record; and a vote, organized as provided for in the department bylaws, will be taken and

recorded. This vote is advisory to the Department Head, who will, in forwarding his/her recommendation to the Dean, also provide a brief summary of faculty opinion as expressed at the meeting and a report of the vote of the faculty. If the Department Head's recommendation is not the same as that of the faculty, he/she will explain to the faculty the reasons for the decision. The Department Head will remind the faculty of their right to forward a dissenting report if they do not feel that the Head's summary of faculty opinion adequately describes their views.

A person who has been in rank for two years beyond the stipulated years required before promotion to the next rank will, upon written request to the Head, be granted a full review and consideration for promotion. If the promotion is not approved and no full review is conducted within the next two years, the individual may submit a second written request (not earlier than three years after the first request). Subsequent requests for consideration may be made at the same interval.

Promotion reviews conducted on formal request by an individual will, in each case, be reviewed by the Dean and Provost regardless of the outcome at the departmental level.

After the Dean receives the recommendations of Department Heads for promotion and tenure, these recommendations will be submitted to the College Promotion and Tenure Committee. This Committee, which may vary in size in different colleges, will consist of tenured faculty appointed by the Dean of the College. The Dean may serve as non-voting chair of the committee. Membership will be for three years, with one-third of the members being replaced each year. Committee membership should represent the diversity of disciplines and academic missions in the college. Along with the Department Head's recommendations and any dissenting reports that may have been filled by the faculty, the Promotion and Tenure Committee will receive the documentation that was submitted for each of the candidates for promotion and tenure. After deliberation, the Promotion and Tenure Committee will submit an advisory opinion to the Dean. If the committee is in agreement with the Department Head's recommendations, a simple acknowledgment of this is all that is required. If the Committee disagrees with the Department Head's recommendation, or if the Department Head's recommendation is different from that of the majority of the voting department faculty, the Committee will be required to issue an advisory opinion.

PROCEDURE FOR TERMINATION OF TENURED PERSONS

The employment of tenured faculty members may be terminated (1) by resignation or retirement, (2) because of extraordinary circumstances, or (3) for adequate cause.

1. Resignation or Retirement.

(a) Resignation: Persons who resign from the University forfeit thereby all claims to tenure.

(b) Retirement: The effective date of retirement is normally June 30 of the fiscal year in which the faculty member reaches 65. However, faculty may,

if they wish, continue full employment to age 70. The mandatory retirement age for all faculty is 70.

2. Extraordinary Circumstances.

Extraordinary Circumstances may involve either (a) financial exigency or (b) major program discontinuations. In either case the termination of tenured faculty may take place only after sustained deliberation and discussion of the exigency or of the program change. Such deliberations and discussions must include the faculty of the University through appropriate committees of the Faculty Senate, of the college, and of the department involved. In either event the full educational mission of the University must have been reviewed carefully. Should it become necessary to abolish tenured faculty positions because of the discontinuance of an academic program or function, or because of financial exigency, the campus administration shall attempt to place each displaced tenured faculty member in another suitable position. This does not require that such a faculty member be placed in a position for which he or she is not qualified or that a new position be created where no need exists. Priority must be given to quality and seniority of service, as defined by knowledgeable faculty representatives. (Tenured faculty given notice of termination for "extraordinary circumstances" may appeal the decision [See Chapter 4]). The place of any tenured faculty member so released shall not be filled by a replacement within three years, unless the released faculty member has first been offered reappointment to the position in writing and has declined.

The procedures and criteria to be followed in the event of an explicit declaration of financial exigency are described in detail in the UTK Financial Exigency Plan approved by the Board of Trustees on October 17, 1982. Copies of this plan are available in department and college offices and in the office of the Chancellor.

3. Adequate Cause.

"Adequate cause" is defined as one or more of the following: (a) incompetence (failure to maintain the level of professional competence and ability demonstrated by other faculty members in comparable positions within the academic unit), (b) significant neglect of duty (failure to carry out assigned University responsibilities), (c) persistent refusal to comply with University policies, (d) serious violation of the University's standard of professional responsibility in teaching and research, or in personal relations with students, colleagues, or the community (such violation defined as behavior that would evoke condemnation from the academic community generally), (e) dishonesty in teaching or research, or falsification of information concerning qualifications for a position or promotion.

Termination for adequate cause of a tenured faculty member must take place in the following way:

1. The Provost will be advised by the Department Head, after the Head's consultation with the faculty, and by the Dean, that grounds exist for withdrawing the presumption of professional excellence and for terminating employment.

The Provost will also be advised as to the history of efforts made within the department, school or college to encourage and help the faculty member improve his/her performance, as well as to the nature of the departmental faculty judgment on the matter.

2. If the Provost concludes that serious grounds exist for a challenge to the faculty member's tenure, the Provost will discuss the matter with the faculty member, looking toward an amicable settlement.

3. If no such settlement seems possible, the Provost will ask the Faculty Affairs Committee to conduct an informal inquiry, to determine whether, in its opinion, dismissal proceedings should be undertaken. Its opinion is not binding on the decision of the Provost, but the inquiry does become part of the procedural record.

4. The Provost receives the opinion of the Faculty Affairs Committee, evaluates the report, and recommends dismissal or retention to the Chancellor. If retention is recommended, the process is concluded.

5. If the Provost recommends dismissal, the Chancellor considers the record to determine whether dismissal proceedings should be held. (Otherwise, the process is concluded.) The Chancellor or his/her delegate delivers to the faculty member a statement of charges, framed with reasonable particularity. At the same time, the statement of charges is delivered to the Faculty Senate Executive Committee.

6. If after ten days the faculty member has not challenged the statement of charges, he/she is dismissed, and no further appeal is heard. If the faculty member wants to challenge the statement of charges, the Chancellor asks the faculty representatives on the Faculty Senate Executive Committee to appoint a hearing tribunal within fifteen days, and will so notify the faculty member. The tribunal must consist of members of the faculty and the administration.

7. Members of the tribunal may be challenged if they are deemed (either by the Chancellor or by the faculty member) disqualified by reason of bias or interest. Such challenges are judged by the Faculty Senate Executive Committee, whose decision on the matter will be final.

8. A hearing is then scheduled, with steps taken as follows:

(a) Service of notice of hearing with specific charges in writing will be made by the Chancellor at least 20 days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges against her/him or asserts that the charges do not support a finding of adequate cause, the hearing tribunal will proceed without her/him to evaluate all available evidence and will rest its recommendation upon the evidence in the record.

(b) During the proceedings the faculty member may elect to be represented by legal counsel or other representatives of his or her choice. If legal representation is desired, the faculty member must notify the chairperson of the hearing tribunal at least ten days before the scheduled date of the hearing so that the University may also schedule the presence of prepared

legal counsel. If notification of the desire to have counsel present is given less than ten days before the hearing, the tribunal may at the University's request postpone the hearing until counsel can be available on both sides. If the University intends to have legal counsel present at the hearing, it will notify the faculty member in the same way, with the same provision for postponement until legal counsel has been obtained.

(c) A verbatim record of the hearing will be taken and a typewritten copy will be made available upon request to the faculty member without charge.

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

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

(f) The University will afford the faculty member an opportunity to obtain necessary witnesses and specific documents or other specific evidence requested by the faculty member.

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

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

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

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

(k) The Chancellor and the faculty member will be notified of the decision in writing and will be given a copy of the record of the hearing.

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

If dismissal or other penalty is recommended, the Chancellor will transmit the record and her/his recommendations to the President and the Board of Trustees. Review by the Board of Trustees will be based on the record of the tribunal hearing, and it will provide opportunity for argument, oral or writ-

ten or both, by the principals or by their representatives at the hearing.

Until the final decision has been reached, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only upon approval of the Chancellor for cause shown. Before suspending a faculty member, pending an ultimate determination of her/his status through the institution's hearing machinery, the Chancellor will consult with the Faculty Senate Executive Committee.

In any case of suspension, the Chancellor, for good cause shown, may decide that the suspension shall be without pay. Before removing pay, the Chancellor shall, subject to the approval of the Board, fix the date of termination. If the decision is against termination, the faculty member will not ultimately suffer the loss of normal pay and other compensations.

RESIGNATION

Since faculty appointments are made for the academic year (or, in exceptional cases, for quarters), it is expected that faculty members who wish to resign will do so effective at the end of the academic year (or, again in exceptional cases, at the end of the quarter). In all cases notification of resignation must be made early enough to allow the University to make plans for covering any assignments that may have been projected.

Pay Due on Resignation. Teaching faculty on academic year appointments who resign before the end of the academic year are paid for the number of quarters they have taught (including quarters banked), at one third of annual salary per quarter. For example, a person whose annual salary is \$24,000, resigning at the end of Winter Quarter, would be entitled to two-thirds, or \$16,000. Having been paid on a monthly basis the sum of \$12,000 by the end of February, the faculty member's final payment in March would be \$4,000.

Faculty members on twelve-month appointments will receive leave pay due on resignation, including a pro rata share of annual leave.

4 ACADEMIC FREEDOM & FACULTY RIGHTS

ACADEMIC FREEDOM

Members of the faculty are charged to seek and to say honestly and persistently the truth that lies within their respective fields. This is the freedom of the academy, and on this precious foundation rests everything the academy has to offer.

Freedom of thought and of speech as defined for Americans in the Bill of Rights has been hard-won and severely tested. The freedom of the academy is more arduous still, and exacts its own stern and constant discipline—to wait patiently for evidence to take shape, to withhold judgment when the majority may know already the judgment it wants, or to articulate and defend a surprising or unpopular conclusion. The freedom of the academy includes not only the right of the faculty to teach, read, and write without prior restraint or censure but also the obligation to make public what labor and caution and care and the freedom to inquire have enabled them to know. It is a freedom presupposing personal integrity and professional rigor, subject to the scrutiny of evidence by knowledgeable colleagues. The freedom of the academy presupposes a clear understanding between the University and each member of the faculty about the terms of membership, the extent of duties, and the principles for evaluation of service. Under no circumstances may such an agreement abrogate a faculty member's freedom of inquiry, nor his or her basic right of a citizen and private person to pursue ends and interests consistent with the laws governing all members of society.

Every faculty member enjoys an unusual opportunity to know and to influence a number of students, both within the classroom and within the wider context of University life. This opportunity is not open to the average citizen. As a member of the University community, therefore, the faculty member is not simply a private person. He/she should claim no more authority than professional competence and the nature of the appointment can support.

Outside the University the distinction must be clear between activities undertaken on behalf of the University and those that are purely personal, for which the University is not responsible. The use of University stationery, telephones, and other resources for personal or extramural activities of any extended nature should be avoided, as should the use of the faculty member's university position or title in connection with the expression of purely personal, unofficial views. Only under such conditions can the faculty enjoy mutual confidence within its own ranks or command the respect and support of the larger society.

GENERAL APPEALS PROCEDURES

The faculty member is entitled to fair, impartial, honest resolution of problems which may arise in relation to employment. Accordingly the University subscribes to certain principles and follows certain practices which ensure that such resolutions occur judiciously and within a reasonable period of time.

Complaints or grievances should be clarified at the earliest possible time and at the administrative level closest to the locus of the complaint. Every effort should be made to resolve such matters informally, by conversation with the Department Head or Dean, before bringing them into a written form.

1. *Appeal through Administrative Channels.* Equitable resolution of most complaints is likely to be achieved through the usual administrative channels. Any faculty member may initiate an appeal either orally or in writing with the officer responsible for his or her administrative unit. If resolution of the problem is not achieved, the faculty member may request review at successively higher administrative levels through the Dean, Provost, and Chancellor. [The bylaws of the University (Article V, Section 7) provide that any individual may appeal to the Board of Trustees through the President.]

2. *Appeal through Faculty Affairs Committee.* When a faculty member has been unable to achieve an amicable resolution with the Department Head (Director) and Dean, he or she may request a review by the Faculty Affairs Committee. (Ex-officio members are excluded from participating as Committee members in reviewing complaints.) The request for a review should be submitted in writing, together with a statement of the complaint, to the chairperson of the Committee, with a copy sent to the Provost.

The chairperson of the Faculty Affairs Committee will meet with the Provost to determine if a complaint lies within the scope of the Committee and to establish any special arrangements that might be necessary to ensure complete review of the complaint under consideration. The Faculty Affairs Committee will not review in this way matters for which other formal procedures have been specifically outlined in this Handbook: (1) allegations of discrimination due to race, sex, religion, national origin, age, handicap, or veteran status; (2) dismissal from employment before a stipulated time of service has been completed or without the minimal advance notice specified for termination of probationary faculty in Chapter 3; (3) allegations that the non-renewal of appointment of a probationary faculty member constitutes a violation of academic freedom; and (4) termination of tenured faculty. The scope of the Committee in concerns related to promotion and tenure is limited to a review of complaints that the procedures outlined in the *Faculty Handbook* or formally adopted by the department have not been complied with.

When it has been determined that a complaint lies within the scope of the Committee, the chairperson may: (1) negotiate an amicable resolution of the complaint; (2) deny the complaint as being without merit or one which does not require a review by the Committee; or (3) initiate a Committee review by notifying all appropriate parties of the review procedures to be followed.

At the conclusion of the review, the Faculty Affairs Committee will forward to the Provost and to the faculty member the Committee's written findings and recommendations.

Prior to reaching a final decision, the Provost has the option of asking the Faculty Affairs Committee to reconsider the matter, and he or she may specify issues or facts which are to be considered. The written decision of the Provost shall be forwarded to the chairperson of the Faculty Affairs Committee and to the faculty member. If the Provost does not accept all or part of the findings and recommendations of the Faculty Affairs Committee, he or she will include in the decision the reasons for not doing so.

The decision of the Provost may be appealed by notifying the Chancellor in writing within ten days of receipt of the written notice of the Provost's decision.

Review Procedures of the Faculty Affairs Committee. Complaint reviews conducted by the Faculty Affairs Committee are non-judicial in nature and necessarily informal. The strict rules of procedural due process (e.g. confrontation, cross-examination, and strict rules of evidence) may not be required. However, any individual making a presentation to the Committee may obtain the assistance of an adviser or legal counsel of his or her choice. If legal representation is desired, the faculty member must notify the chairperson of the committee at least ten days before any hearing that may be scheduled, so that the University may schedule also the presence of prepared legal counsel. If this notification comes later than ten days before a hearing, postponements may be granted so that those who desire counsel may have counsel present. The University will be obliged to notify the individual in the same way.

The Committee will ensure that all appropriate parties are notified of its review and given an opportunity to present to the Committee evidence they deem appropriate. Any objection to the review procedures or composition of the reviewing Committee must be made in writing to the Committee chairperson. All objections will be reviewed by the chairperson and his or her decision will be final.

SPECIAL APPEALS PROCEDURES

Certain special procedures are provided for cases involving (1) allegations of discrimination due to race, sex, religion, national origin, age, handicap or veteran status; (2) termination or suspension of a non-tenured faculty member for adequate cause prior to the expiration of his/her term of appointment or without the minimum advance notice specified for non-reappointment of probationary faculty (see Chapter 3); (3) allegation that the non-renewal of appointment of a probationary faculty member (see Chapter 3) constitutes a violation of academic freedom. (The procedure for termination of tenured faculty appears in Chapter 3.)

1. *Allegations of discrimination* on the basis of race, sex, national origin, religion, age, handicap, or veteran status are brought and investigated in accord with procedures described in the UTK Affirmative Action Plan. Copies

of the Plan are available in the department or college office and may be obtained from the Director of Affirmative Action.

2. *If a probationary faculty member is suspended or dismissed before the stipulated term of appointment has been completed or without the minimum advance notice specified for termination of probationary faculty in Chapter 3*, such action will be preceded by notification by the Provost. The faculty member may appeal this decision through the Faculty Affairs Committee, as outlined above, or may elect to follow the appeal procedures outlined in the Tennessee Administrative Procedures Act (Tennessee Code Annotated SS4-507). Dismissal or suspension of this kind must be for "adequate cause" (See Chapter 3), and the burden of proof is on the University. He or she must notify the Provost of his or her desire to appeal within ten days after receipt of the University's intention to dismiss or suspend. Details of procedures under the Administrative Procedures Act are available on request from the Office of the General Counsel of the University, 806 Andy Holt Tower.

3. *Allegations that the non-renewal of an appointment of a probationary faculty member constituted a violation of academic freedom* are handled by appeal through administrative channels, as outlined above, except that the Chancellor is obliged to ask the Faculty Affairs Committee to review the matter solely to determine whether the notice of non-renewal establishes a violation of academic freedom. (Ex officio members of the Faculty Affairs Committee will not participate in such reviews.)

The burden of proof that non-renewal constitutes a violation of academic freedom is on the faculty member. The Faculty Affairs Committee will invite the faculty member to appear and to present evidence and argument on his or her behalf. If legal representation is desired, the faculty member must notify the chairperson of the committee at least ten days before any hearing that may be scheduled, so that the University may schedule also the presence of prepared legal counsel. If this notification comes later than ten days before a hearing, postponements may be granted so that those who desire counsel may have counsel present. The University will be obliged to notify the individual in the same way. The committee should ask the Department Head, Dean and any other appropriate parties to testify and present evidence and argument. After hearing and weighing the evidence presented, as well as any other evidence at its disposal, the Committee will submit a written recommendation to the Chancellor within 21 days after the conclusion of its deliberations. A copy of the recommendation will be given at the same time to the faculty member. The Chancellor will consider the Committee's recommendation and inform the faculty member of his or her decision within 30 days. [The bylaws of the University (Article V, Section 7) provide that any individual may appeal to the Board of Trustees through the President.]

5 BENEFITS, LEAVES OF ABSENCE, DEVELOPMENT GRANTS, VACATIONS, & HOLIDAYS

BENEFITS

The University provides a comprehensive program of benefits for faculty and staff. The University administration works closely with the Fringe Benefits Committee of the Faculty Senate to assess the needs of the faculty and to provide programs which respond to these needs.

Detailed benefits are explained in *Your University Benefits*.

LEAVES OF ABSENCE

Leaves of absence, extended periods of time spent away from campus for professional growth or personal reasons, are an important aspect of faculty development. Leaves of absence must be requested in writing by the faculty member and specifically approved by the Department Head, Dean or Director, the Provost, and the Chancellor.

Leaves of absence are normally granted for not more than one year and are normally without University compensation.

A "quarter banking" plan makes possible for persons on regular full-time academic year appointment extended periods of absence over several quarters with normal pay (see Chapter 3). Such periods are not considered leaves of absence, since they represent substitution of one working period for another and do not entail any redirection of the normal duties of the faculty member.

FACULTY/STAFF DEVELOPMENT GRANTS

Each Chancellor may recommend the awarding of grants for the educational development of full-time faculty and continuing part-time faculty and other professional staff members within their administrative jurisdictions. These grants may extend for periods up to 15 months and carry stipends up to one-half the grantee's monthly salary, plus tuition and other direct educational expenses. Faculty/Staff Development Grants are awarded on the basis of demonstrated institutional needs to persons who have been full-time employees of The University of Tennessee for two consecutive years. Recipients are required to return to the University and to be employed for at least two months of full-time service for each month of grant awarded; otherwise there is a financial obligation to the University, as specified in the development grant contract. Payments under these grants are subject to social security and federal income taxes. Recipients are eligible to participate in certain University fringe benefits programs as described in the development grant contract.

SICK LEAVE

The University grants sick leave to full-time faculty on regular academic year appointments as required by illness, injury, or medical treatment. The amount of such leave varies with the circumstances of the individual case. Factors considered in making the determination are: (a) length of service, (b) necessity for replacement, (c) quality of past service, and (d) potential future with the University. Sick leave credit for persons on regular full-time 12-month appointments is accumulated at the rate of one day per month of service. Faculty and professional staff on regular part-time 12-month appointments receive a prorated amount of sick leave based on the percentage of full-time employment. There is no upper limit to the number of days that may be accumulated.

Effective April, 1976, sick leave became cumulative for all days earned after that date, with no ceiling on sick leave accumulation. Between July 1, 1973 and March 31, 1976, a 120-day ceiling on sick leave accumulation was in effect. Any employee who had accumulated more than 120 days of sick leave as of July 1, 1973 retained that amount as his/her maximum until April 1, 1976. This maximum over 120 days may be used as sick leave, but in no case may more than 120 days of sick leave accumulated prior to March 31, 1976, for any employee, be applied as creditable service for retirement. However, all unused sick leave accumulated after March 31, 1976 will be credited toward retirement. Such sick leave transferred as creditable service will not reduce the age or length of service requirements for retirement. It will increase creditable service, and thus increase retirement income.

FUNERAL LEAVE

A person who is absent during his/her regularly scheduled work week because of the death of a spouse, child or parent may receive payment for reasonable and customary days absent, such days of payment not to exceed five (5) regularly scheduled work days. An employee who is absent during his/her regularly scheduled work week because of the death of a grandparent, grandchild, parent-in-law, brother, sister, brother-in-law, sister-in-law, daughter-in-law, or son-in-law may receive payment for reasonable and customary days absent, such days of payment not to exceed three (3) regularly scheduled work days.

MATERNITY LEAVE

Leave for pregnancy, miscarriage, abortion, childbirth, and recovery therefrom are treated in the same manner as other temporary disabilities for insurance and leave purposes. A person returning from maternity leave is entitled to the same position or a similar position at the same level of pay from which she left.

MILITARY LEAVES FOR SHORT TOURS OF ACTIVE DUTY

Tennessee law authorizes leaves of absence for members of the reserve components of the armed forces of the United States. Any regular employee of

the University who is a member of the armed forces reserve is entitled to a leave of absence without loss of time, pay, legal leave, vacation leave, or any other rights or benefits to which the employee be entitled for all periods of military service during which he or she is engaged, except that the employee may be compensated for no more than fifteen working days of military leave in any one calendar year. Faculty should avoid active duty at times which conflict with normal University duties.

EXTENDED MILITARY LEAVE

Persons required to perform extended active duty in the armed forces are usually placed on military leave without pay. Persons returning from military leave enjoy the same rights and privileges to which they were entitled before they began military duty. Except in case of national emergency, faculty and staff members should not seek extended active military duty at times which conflict with normal University duties.

VACATIONS AND HOLIDAYS

The University recognizes the importance of rest and recreation and encourages faculty vacations. Faculty members must arrange the length and timing of vacation periods with the Department Head or Dean, and must provide information on how they may be contacted during periods of absence.

1. *Faculty and Professional Staff Members Employed on Regular Twelve-Month Appointments.* Faculty and professional staff members employed on regular full-time twelve-month appointments earn twenty-four (24) working days of annual leave per year. A maximum of forty-two (42) days of accumulated annual leave may be carried forward from one calendar year to the next. Annual leave days in excess of forty-two (42) may be credited to sick leave. Faculty and professional staff on regular part-time twelve-month appointments receive a prorated amount of annual leave based on the percentage of full-time employment.

2. *Faculty Employed on Academic Year Appointments.* Faculty members employed on regular full-time academic year appointments are not required to be on campus during any quarter for which they have no University assignments. Such periods begin when all reports have been made following the preceding quarter's commencement, and extend to a reasonable period prior to the beginning of the quarter following the quarter without assigned duties. A "reasonable period" here must include sufficient time to participate in scheduled faculty meetings, committee work, advising, and other activity necessary for the satisfactory resumption of the work of the department in that quarter.

3. *Limited-Term Faculty.* Faculty on temporary full-time academic appointments receive annual leave only if appointed for twelve months or longer.

4. *Temporary Part-time Faculty.* Faculty on temporary part-time academic appointments do not receive annual leave.

RECORDS

Official leave records are maintained for all regular full-time personnel and all regular part-time personnel other than faculty employed on academic year appointments. The official leave record form is Personnel Form Number 12. Deans, Directors, and Department Heads are charged with ensuring that these records are maintained in each department. Such records must be maintained on a current basis and are subject to audit. Upon termination or at the end of each calendar year, after proper balances have been transferred to new cards for the succeeding year, the leave form (Per-12) for all staff and faculty employed on a regular twelve-month appointment must be forwarded to the office of the Chancellor, and his/her authorized representative, for review and retention.

LEAVE TRANSFER WITHIN THE UNIVERSITY

When a person is transferred from one campus or component of the University to another, a copy of the leave record form (Per-12) certified by the supervisor is attached to the personnel office copy of the personnel transfer forms. The receiving personnel office prepares a new leave record form (Per-12) showing the annual leave and sick leave balances and forwards it to the new supervisor. The certified copy of the previous leave record is retained in the personnel office as an official record.

LEAVE TRANSFER BETWEEN THE UNIVERSITY, STATE AGENCIES, AND ANY STATE COLLEGE OR UNIVERSITY IN TENNESSEE

Any full-time employee of any agency, office, or department of the State or of any State college or university, including The University of Tennessee, who leaves one of these employers for employment without a break in service shall have his/her annual and sick leave transferred upon request. Moreover, when such a former employee who has one (1) full year of State employment in good standing returns to full-time service with one of these employers within five (5) years of the effective date of his/her termination, he/she shall be credited with all sick leave to which he/she was entitled at the time of termination. The former employee must have returned to full-time State service after December 31, 1971, and the last employing authority shall be responsible for certifying eligibility for this sick leave credit to the re-employing agency, college, or university. Employees who are being employed by the University from State agencies, colleges, or universities should be strongly encouraged to take their accumulated annual leave prior to being placed on the rolls of the University unless there is an immediate and urgent need for their services.

Furthermore, any full-time teacher employed by a local school board in Tennessee, who leaves the employment of that board and within two (2) years becomes an employee of the University of Tennessee, shall have his/her sick leave transferred upon request. The former employee of a local school board must have begun University employment after July 1, 1965 to be eligible for this transfer of sick leave.

FRINGE BENEFITS FOR UNIVERSITY EMPLOYEES ON LEAVE

Employees on approved leaves of absence are normally eligible to participate in University fringe benefits programs, except retirement plans, provided that they arrange to make advance payments of both the University's and employee's shares of the costs of these benefits. In the case of leaves during which the employee receives a stipend from the University, including Faculty/Staff Development Grants, the University will pay its share of hospitalization insurance premiums. Faculty members participating in TCRS and JCRS-A retirement plans will receive retirement service credit for time spent on approved educational leave. In such cases, the faculty member must pay only the employee's share of retirement contributions based on his/her salary rate immediately prior to the start of the leave. For faculty members participating in the JCRS-A, JCRS-B, or TCRS retirement plans, on approved educational leave, the State will pay the employee's salary immediately prior to the start of the leave. Further details may be found in the current Benefits and Services Handbook for University employees.

DESIGNATED HOLIDAYS

The following holidays are normally recognized by the University. Others may be declared from time to time.

- New Year's Day
- Martin Luther King's Birthday
- Friday before Easter
- Independence Day
- Labor Day
- Thanksgiving
- Christmas Day

6 RESEARCH

One of the three basic missions of the University is research, as defined in Chapter 1:

Research is the foundation and key to the learning that the University provides. Research is simply learning at the most advanced, creative, and systematic edges of knowledge, where discovery and imagination constantly recast the relation between the known and the unknown. University research makes application of existing knowledge to important practical problems, and it also achieves in pure or theoretic form a basic knowledge that may eventually have application in surprising new ways.

As the largest and most comprehensive public university in the state, UTK has a major commitment to research in most of the traditional disciplines as well as in many new or emerging fields of study. Fundamental work is done in subjects as diverse as anthropology, agriculture, literature, religion, physics, engineering, economics, art, and music. The University expects its faculty to participate in research, and encourages and rewards such activity. Deans, Directors, and Department heads are expected to make this commitment to research an important part of their planning and budgeting. (A more complete description of this commitment as part of the University's mission is found in the *UTK Role and Scope Statement*.)

"Research" has many meanings at a major university. Its content and style vary substantially. It is the development or refinement of information, the insight and sense of relationship that may be drawn from information, the development of new techniques and technologies, and the application of such knowledge to the solution of problems. Both applied and basic research are appropriate pursuits of faculty, and both are recognized at UTK. In the arts and humanities research may include the creation of new art and argument, the edition or translation of texts, and the construction of new models and theories. The imagination and conscience here in evidence are judged indispensable to the University's full research responsibility.

As the shape and direction of research changes, new problems and subjects arise that require the attention of several disciplines. At such times interdisciplinary research becomes significant. The University aims to encourage such interdisciplinary work by removing or inhibiting administrative barriers to the cooperation without which solid interdisciplinary research is not possible. Some research may demand the effort of a single faculty member working with a few students, another the concerted efforts of faculty from several

disciplines. The ongoing research of the faculty provides the vehicle and the environment for theses and dissertation work of graduate students, so there is an intimate relationship with instruction. Because much research aims to solve problems posed or faced outside the University, there is also a clear kinship with the University's public service.

CENTRAL ADMINISTRATIVE SUPPORT

The content and conduct of research is primarily the responsibility of the faculty members who must do it. It is the corresponding responsibility of the administration at all levels to exercise strong leadership in encouraging, assisting, recognizing, and rewarding good research. At the central administrative level the offices of the Vice Provost for Research are specifically charged to provide a variety of services in this connection. These offices

- (1) assist the faculty in developing and promoting proposals to external sources of support;
- (2) work with faculty, Department Heads, Deans, and Directors to make effective use of the school's resources;
- (3) assist in developing new concepts, program directions, and procedures;
- (4) maintain a support reference library and disseminate potential support information to faculty;
- (5) review and approve all proposals for external support, as well as negotiated changes in existing programs;
- (6) renegotiate changes, patents, copyrights and reports as needed; and
- (7) provide institutional leadership in the long-range development of the general research effort.

RESEARCH COUNCIL

The Research Council of the Faculty Senate is an advisory group broadly representative of the faculty. It serves an important function in research program development by analyzing and giving advice on many issues affecting research. The Council makes possible the interaction of representatives from the many areas and programs and provides a means of emphasizing the place of research in the University's mission. Information about research programs is shared and discussed by Council members, who are concerned also to disseminate such information among the general faculty.

THE FUNDING OF RESEARCH

The University sets aside its own money for research in a number of ways: it allows faculty time for "Departmental Research" and for "Thesis and Dissertation Supervision," it permits a significant measure of discretion within departmental and college budgets, it arranges for various levels of cost sharing, and it provides a Faculty Research and Development Fund. The Faculty Research Fund provides awards on a competitive basis for faculty, usually in the summer months. Special emphasis is given to research which is being developed (in which the grant might be viewed as "seed" money for attrac-

ting external support) and to research which will give added specific emphasis to the development and growth of the individual, department, college, and University. Competition for the awards usually occurs in the fall of each year.

A steadily increasing amount of external support is available through a variety of grants, contracts, and gifts, which faculty are strongly encouraged to seek. Such money comes from government, business, industry, foundations, and individuals.

Considerable research is also carried on by the faculty without extra financial support, simply on their own initiative and motivation. The University tries, however, to assist faculty members in finding suitable support from appropriate sources.

GRANTS AND CONTRACTS

Procedures for grant preparation are covered in detail in the Grants and Contracts Manual, copies of which are available in the Research office. This manual deals with such topics as allowable costs in federally funded research, proposals and grant processing, personnel costs, indirect costs (overhead), staff fringe benefits, cost sharing, and establishment of accounts.

Initiation of proposals for grants and contracts is the prerogative and responsibility of the faculty. The Research Office seeks to assist the faculty in this enterprise.

RESEARCH CENTERS

Several research centers have been established at UTK for interdisciplinary research devoted to scientific topics, issues, or problems. Proposals for new research centers are submitted through the Department Head and Dean to the Chancellor's staff for administrative review and approval before submission to potential sponsors. Such proposals are usually reviewed also by the Research Council, which is asked to give advice on their merits and feasibility.

Many interdisciplinary or other specially oriented programs are, of course, simply handled through informal cooperative arrangements among faculty and departments.

CONFLICTS OF INTEREST

Questions of conflict of interest sometimes arise. Outside interests may be favored, benefits may be improperly distributed, or personal financial interests may be inadequately disclosed. The University endorses the joint statement of the Council of the American Association of University Professors and the American Council on Education on preventing conflicts of interest in government-sponsored research. This statement is available in the office of the Vice Provost for Research.

PATENTS AND COPYRIGHTS

When the University agrees to render specified services under a contract or grant, it may be obliged to grant certain rights in connection with data

developed, copyrights, inventions, etc. Persons working on the grant or contract may be required to sign an agreement related to discoveries and inventions. A copy of the agreement may be obtained from the office of the Vice Provost for Research.

In sponsored research, the sponsors' criteria for patent rights and copyrights will prevail. So it is important for the project director to be thoroughly familiar with the patent and copyright regulations applying to any grant or contract, whether they be in the award document itself or included by reference to other documents, such as Federal Procurement Regulations.

If patentable or copyrightable items should be developed at University expense, these items may be handled through the UT Research Corporation. Items developed independently by faculty may be handled through the Corporation at the discretion of the individual.

UT RESEARCH CORPORATION

The University of Tennessee Research Corporation was chartered in 1935 as a nonprofit organization to encourage the scientific and educational research of the faculty. The Corporation helps the faculty develop and manage patents and copyrights.

Persons who require assistance from the UT Research Corporation should contact its President through the office of the Vice Provost for Research.

SPECIAL REVIEW REQUIREMENTS

Several kinds of research require special review. These include research which involves potentially hazardous experiments, narcotics and other dangerous drugs, or human subjects.

The University is morally and legally bound to observe a high level of professional care in these situations. At the publication of this Handbook, there are three review committees.

1. The Committee on Research Participation (Human Subjects). Federal law requires specific approval and continuing review of research involving human subjects, in the social, physical, or biological sciences, or in education, law, or humanities. The University has an established procedure for reviewing proposals for research that may involve human subjects. Application for review by the Committee on Research Participation must be made before the research is initiated.

2. The Committee on Radioactive Substances is responsible for reviewing, authorizing, and monitoring the use of all radioactive substances on campus. Research involving potential experimental hazards associated with use of toxic materials, infectious organisms, and genetic recombination also require review.

3. The Biohazards Committee is responsible for reviewing proposals for research involving such materials and/or procedures.

The Federal Controlled Substances Law of 1971 regulates the legal handling of narcotics and other dangerous drugs ("controlled substances") in an effort

to reduce illicit drug traffic. Persons using narcotics or other dangerous drugs in their research or teaching programs involving either human beings, lower animals, or plants must register through campus channels with the state and obtain a registration number for each research project.

The faculty member should discuss with the Department Head the need for narcotics and/or dangerous drugs during the early planning stages of a research project or instructional program.

Guidelines for special review requirements are available in the Office of the Vice Provost for Research. Because of the necessary lead time for review, it is important to contact the chairperson of the appropriate review committee at an early stage of proposal preparation.

CLASSIFIED RESEARCH AND PROPRIETARY RESTRICTED RESEARCH

A researcher should inform the Department Head, the Dean of the researcher's college and the Vice Provost for Research of any classified or proprietary projects. Should research *become* classified in the course of a project, the principal investigator should inform the above members of the University administration. In sponsored research, the principal investigator should check the appropriate box on Form ORA-001 indicating the nature of the project. It is the responsibility of the principal investigator to ensure the protection of research material.

A basic principle in graduate education is that theses and dissertations produced by graduate students will be published and made available to other researchers in the field. When a graduate student is involved in classified or proprietary research, and such research is intended to lead toward a thesis or dissertation, prior approval should be secured from the Department Head and Dean, and from the Vice Provost and Dean of The Graduate School. Should the research *become* classified in the course of a project, these same persons should be notified immediately so that proper procedures can be assured. Failure to comply with these requirements may lead to the rejection of a thesis or dissertation manuscript.

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EXPERIMENTAL RESEARCH AND THEORY

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7 OFFICIAL TRAVEL

(**NOTE:** The travel regulations of the University of Tennessee are set forth in Statement No. 05, Section No. 070 of the Fiscal Policy Statement. Since those policies are changed and updated from time to time to correspond with changes in the travel regulations of the State of Tennessee, specific details concerning expenditure and reimbursement amounts are not contained in this Handbook. For such specific information, please consult the FPS notebook in departmental or collegiate offices.)

Faculty members are encouraged to attend and participate in professional meetings as part of their professional growth and development. Travel must be required for the proper execution of official University business, or in justifiable pursuit of the University's educational and research objectives.

GENERAL POLICY

1. The regulations in this section govern travel at University expense. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement claimed in accordance with these regulations.

2. General University travel is on the basis of reimbursement for the actual and necessary expenses incurred, subject to the limitations given here. Original, itemized receipts must be submitted with the travel expense report for each expenditure of \$3.50 or more, except for meals, taxi fares, and tolls. An accurate record must be kept of expenses incurred, since reimbursement will not be made on estimates. Allowances in lieu of expenses will not be approved except in the case of mileage for use of private automobiles and for meal allowances as provided within this policy.

3. Travel expenses that are to be paid from special grant or contract funds will be in accordance with provisions of the grant or contract where such instruments specify travel regulations. If there are no specific provisions in the grant or contract pertaining to travel, expenses will be reimbursed in accordance with University regulations.

4. Expenses which are incurred at the official station of any officer or employee will not be allowed. The official station is the office headquarters or the designated location of employees established in the field. Deviations must be justified and authorized in advance.

5. The limits on travel expenses are not to be construed as an indication of amounts that should be spent. These are maximum amounts above which reimbursements cannot be made.

AUTHORIZATION FOR OFFICIAL TRAVEL

1. A completed Travel Authorization Form (No. T-18) must be executed by each individual prior to departing on official travel. The Travel Authorization forms are available from the Treasurer's Office or local business office. Travel within the state must be approved in advance by the appropriate authority, (e.g., Dean, Director, etc.) in accordance with the procedures established for each campus/unit. Travel outside the state must be recommended in advance by the head of the major division and approved by the chief campus/unit administrator or his/her designee.

2. Requests for authorization must show the purpose of the trip, destinations, length of travel, dates of departure and return, and mode of transportation.

3. The original of the approved Travel Authorization (Form T-18) must be attached to the expense report (Form T-3) when submitted for reimbursement.

4. Deans, Directors, Department Heads and others authorized to approve travel requests are guided by the following considerations:

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

(b) Meetings and conferences to be attended must be of a professional nature and directly associated with the individual's duties and role within the University.

TRANSPORTATION AND RELATED EXPENSE

Transportation for persons traveling alone should be by common carrier (air, train, bus) whenever practical. Advantage must be taken of reduced round-trip rates when available. Travel must be by the most direct route possible. Individuals traveling by an indirect route must bear any additional expenses.

Exception: When discount fares are made available which result in a savings to the University by extending a trip using personal time, the reimbursement will be limited to the lesser of the actual expenses incurred (subject to the limitations contained herein) or the amount that would be incurred for the business portion only. The calculations for the business portion of the trip must be made using the least expensive rates available. A complete explanation of the savings resulting from the discount fare must be provided in order to claim additional subsistence expenses resulting from extension of the trip.

Travel by airplane is recommended when the cost of the employee's time is an important factor or where the travel time by other methods would increase the subsistence expense. Accommodations should be limited to tourist or economy class. If more expensive accommodations are required, an ex-

planatory notation must be made on the request for reimbursement. Advantage must be taken of reduced round-trip fares when available.

1. Employees must purchase their tickets and secure reimbursement through a travel expense report (Form T-3) after travel is completed. The traveler's copy of the transportation ticket showing itinerary and cost must accompany Form T-3.

2. Air transportation tickets may be purchased in advance (not to exceed 30 days prior to departure) directly by the University for students, new employees, and non-University employees authorized to travel at University expense.

a. To receive air transportation tickets in advance, the department must submit an approved Travel Authorization to the Treasurer's Office or appropriate campus/unit business office. The T-18 must be accompanied by a memo requesting this accommodation and presenting basic information concerning the trip (e.g., origin, destination, preferred travel dates and times, and name of travel agency or airline to be used.)

b. All arrangements for the purchase of tickets must be approved by the Treasurer's Office or the appropriate campus/unit business office. Upon approval, the department will be issued a Transportation Request Number and may proceed to contact the travel agency or airline to arrange for the purchase and delivery of tickets.

c. Any ticket or portion of a ticket not used must be returned immediately to the Treasurer's Office or appropriate campus/unit business office who will secure the proper refund.

3. The University currently allows mileage credits for frequent flyer programs to accrue to the individual employee. However, the University will not permit any additional expenses such as circuitous routing, extended stay or layovers due to scheduling a particular carrier, upgrading from economy fare to first class (to accumulate additional mileage), additional overnight stays, etc., for employees participating in this program.

Travel by private aircraft should be limited to those situations for which air travel is justified and where commercial service is not available between departure and destination points or cannot accommodate date necessary timeframes. Under these conditions, reimbursement for official travel by private aircraft per round trip will be the lesser of (a) the actual rental expenses of the aircraft or (b) an allowance for land miles traveled in accordance with schedule in FPS No. 5.

Automobile transportation may be used when common carrier transportation cannot be scheduled satisfactorily, or to reduce expenses when two or more University employees are traveling together.

a. If necessity or economy requires travel by automobile, a University-owned automobile may be used when available. Although a credit card is supplied with Motor Pool vehicles, users of University-owned automobiles are encouraged to obtain gasoline and oil from UT Motor Pool facilities or Tennessee State garages whenever possible.

b. A University employee may utilize a personally-owned automobile for official travel provided the University will incur no additional expense above that of other forms of transportation available. The expense account must indicate the traveler's itinerary and must show the official business mileage by odometer reading. If an indirect route is used, mileage as indicated in the Rand-McNally mileage table will be regarded as official.

Charges for automobile rental shall be allowed whenever it is more economical than alternative methods of transportation or it is the only practical means of transportation. An original itemized receipt must be obtained and submitted with the request for reimbursement.

Personal Accident Insurance afforded by car rental agencies, which provides personal benefits for the renter, is a personal expense of the renter and is not reimbursable by UTK. If the employee desires this coverage, the charge and applicable tax must be deducted from the car rental receipt prior to submitting the request for reimbursement.

The University provides physical damage insurance for "non-owned" automobiles used by University employees in the course of their employment; therefore, collision damage insurance should not be requested when renting vehicles since such insurance is duplicative and is not reimbursable. If this insurance is included on the car rental statement, the charge and applicable tax must be deducted prior to submitting the request for reimbursement.

MISCELLANEOUS TRANSPORTATION-RELATED EXPENSES

1. Reasonable tolls will be allowed where necessary.

2. Necessary charges for parking are allowed provided that airport parking fees do not exceed normal taxi fare to and from the airport. Receipts are required when airport and hotel parking are claimed.

3. If an individual travels by common carrier, reasonable taxi fares will be allowed for necessary transportation. It is expected that bus or limousine service to and from airports will be used when available and practical. In traveling between hotel or lodging and meeting or conference sites, reasonable taxi fares will be allowed. (No receipt for this expense will be required, but each must be individually listed on the travel expense report and destination must be given.)

SUBSISTENCE AND RELATED EXPENSES

1. Lodging arrangements are the responsibility of each employee and deposits cannot be prepaid by the University. In the event an employee is required to pay a deposit, the amount of deposit will be reimbursed as part of the lodging expenses. See FPS No.05 for limitations on in-state and out-of-state lodging.

2. University representatives to official meetings and conventions are authorized to stay and to be reimbursed for the official convention lodging rate, at the officially designated headquarters hotel or motel of the convention

or meeting; however, more moderately priced accommodations must be requested whenever a choice is available. Special consideration will be given in such situations provided written request setting forth the name of the headquarters hotel or motel is shown on the Authorization Request Form.

3. The expense for shared lodging may be reimbursed to one employee if only one original itemized lodging receipt is obtained and the name of the other employee is provided on the request for reimbursement.

4. If a room is shared with other than a University employee, actual cost subject to the maximum above will be allowed. The receipt for the entire amount must be submitted with the expense account.

5. See FPS No. 05 for amount reimbursable for baggage handling.

6. See FPS No. 05 for in-state and out-of-state meal allowances.

7. See FPS No. 05 for foreign and group travel.

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

The hour and date of departure and the hour and date of return must be shown on the travel expense report. Employees on overnight travel status not claiming lodging should furnish an explanation in order to claim meal allowances.

MISCELLANEOUS EXPENSES

1. Registration fees in the amount necessary to qualify individuals to attend conventions, meetings, conferences, workshops, etc., will be allowed provided attendance at such functions is appropriately authorized.

The two methods for payment of registration fees are:

a. The traveler may pay the fee from personal funds, obtain an original receipt, and claim reimbursement on the travel expense report, or

b. The traveler may complete the registration forms and a Special Order and Remittance Form (T-29) along with the Travel Authorization form to the Treasurer's Office at least 10 days to 2 weeks prior to the deadline for the meeting. Any enclosures to be mailed should be included with the form since the check will be mailed directly to the conference and will not be returned to department for mailing.

2. Charges for long distance telephone calls made on official business will be allowed provided the expense report reveals the name and location of the party called, the date of the call and the purpose of the business. Telegram expense will be allowed provided similar information is shown. Necessary local telephone calls made on official business will be allowed.

3. It is acknowledged that certain entertainment expenses can be recognized as a proper expenditure of University funds. The determination of the appropriateness of an entertainment expenditure is to be made prior to the incurring of such expense by securing advance approval of the appropriate Vice President, Chancellor, or designee.

The individual incurring the expense should obtain an official receipt from

the establishment providing the service if payment is by cash, or, if payment is made by use of a personal credit card, a copy of the credit card receipt may be furnished in lieu of the official vendor receipt. Reasonable tips and gratuities included on the receipt are reimbursable.

The individual incurring the expense should prepare a request for reimbursement (Form T-3) setting forth the purpose of the expenditure, the identity of the group or a listing of attendees if not a recognized group, the number of attendees, and the approval of the appropriate Vice President, Chancellor, or designee.

Tips and gratuities (unless allowable by FPS No. 05, laundry, valet service, etc.), are considered personal expenses and will not be subject to reimbursement on travel expense reports.

4. When frequent use of a privately owned automobile for official local travel in the surrounding area of the employee's official station is required, the employee may be reimbursed at the rate of \$.21 per mile. Local travel is defined as travel within a fifty mile radius of the official station.

AMERICAN EXPRESS TRAVEL CARD PROGRAM

The American Express Travel Card Program at the University is designed to provide employees with a convenient method to meet travel expenses. Cash advances may be requested in cases of financial hardship resulting from travel of long duration. (For further information regarding American Express cards consult FPS No. 05.)

CASH ADVANCES

Generally, cash advances will be made to the following groups or individuals for approved University travel:

1. New employees
2. Students traveling on University business
3. Team travel—travel manager for the team
4. Tour groups—tour director
5. Employees traveling outside the continental United States
6. Temporary employees
7. Non-exempt employees

Upon completion of the appropriate paperwork, cash advances for travel may be made from petty cash funds maintained in the Treasurer's Office or in campus/unit business offices. These advances constitute a loan to the individual from petty cash funds which must be repaid within thirty days after completion of the travel.

A written request signed by the department head must be received by the appropriate business office 5 days prior to the date the cash advance is needed. The original completed travel authorization and an itemized estimate of expenses must accompany the request for the advances. Advances are limited to a maximum of 80 percent of estimated reimbursable travel expenses, ex-

cept for team and tour travel which may be advanced at 100% of estimated travel costs.

OUTSIDE SERVICES

INTRODUCTION

Opportunities exist for many faculty members to render valuable outside professional services for which they may be compensated. Such services are often more than the professional competence of the faculty member and his or her staff, enhance the public service of the University, and create valuable opportunities for the professional experience and development.

The wide range in types of consulting services and the variety of compensation, comprehensive regulations. The following principles are designed to provide guidance and to allow flexibility and responsibility to the individual while being in service outside.

The policies primarily concern the relationship between a faculty member and client. Such relationships are not intended to be restrictive, but to provide a framework for the Department Head. They should be brought to the attention of the Department Head.

Relationships for outside professional services are regulated by these guidelines only if payment is made through the University or its constituent units. Such fee schedules are not intended to be restrictive, but to provide a framework for the Department Head and a client.

The provisions of this policy do not apply to those performing a service covered by a specific Professional Activity Agreement. The University and its constituent staff of the University of Agriculture.

PROVISIONS

1. If consulting is done during periods of regular employment, the Department Head, with approval of the University, shall establish the responsibility of the Department Head to engage in consulting activities and to establish the Department Head.

2. Such work must not interfere with the faculty member's regular duties, including such a normal one-day absence from the University, and research for which regular time is allocated in the budget.

3. The consulting work should be related to the University's mission, University goals and should contribute to the University's mission and research work.

4. Faculty members are encouraged to accept outside consulting work.

8 COMPENSATED OUTSIDE SERVICES

INTRODUCTION

Opportunities exist for many faculty members to render valuable outside professional services for which they may be remunerated. Such outside services strengthen the professional competence of the faculty member as a teacher and scholar, enhance the public service of the University, and open to students opportunities for professional experience and employment.

The wide range in types of consulting prevents the establishment of simple, comprehensive regulations. The following provisions are designed to provide guidance and yet allow flexibility and adaptability to accommodate a wide range of service needs.

The guidelines primarily concern long-term, continuous, or continual arrangements between a faculty member and client. Short-term, non-recurring activities such as participation in symposia, accreditation visits, speaking engagements, exhibitions, or recitals are not covered by these guidelines, but they should be brought to the attention of the Department Head.

Remuneration for outside professional services is regulated by these guidelines only if payment is made through the University from grants or contracts. Such fee schedules are not relevant to individual contracts between the faculty member and a client.

The provisions of this section do not apply to income-generating activities covered by a specific Professional Activity Allowance Agreement, nor to faculty and professional staff of the Institute of Agriculture.

PROVISIONS

1. If consulting is done during periods of regular employment, prior written permission of the Department Head, with regular reports to the Dean, must be obtained. It is primarily the responsibility of the Head to review faculty requests to engage in consulting activities and to maintain a record of approvals granted.

2. Such work must not interfere with the faculty member's normal University duties, including such normal non-classroom responsibilities as advising, committee work, and research for which regular time is allotted in the faculty load.

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

4. (a) Faculty members on academic-year appointments may engage in out-

side consulting or University extra-service activities provided the total amount of time expended does not exceed an aggregate of one day per calendar week for periods of regular employment.

(b) Faculty members on twelve-month appointments are covered by the same general University policies pertaining to holidays, vacation, and sick leave as those which apply to administrative or professional personnel of the University. Such faculty members may engage in outside consulting or University extra-service activities provided the total amount of time expended does not exceed an aggregate of one day per calendar week for periods of regular employment and that such work is performed entirely outside of normal working hours or at such time as the faculty member is on official leave status.

(c) Administrative and Professional Employees—The University is entitled to the full professional energies of all full-time administrative and professional employees, and does not expect such employees to accept regular outside employment unless same has been covered by specific agreement with administrative superiors. In many cases successful accomplishment of job requirements requires considerable time in excess of normal office hours, and there is no provision for extra compensation when related to the employee's regular field or scope of employment.

5. If academic-year faculty are engaged on the University payroll during the summer months (e.g. summer school teaching, work on grants and contracts), the limit is one day per calendar week of full-time University effort. The one-day-per-week average is not applicable to portions of the summer in which a faculty member is not employed through the University in teaching or research grants and contracts. Extra-service pay days will be considered as the equivalent of consulting for this purpose.

6. Extra-service pay on grants and contracts. Official regulations governing the administration of Federal grants and contracts allow extra services of faculty and other professional employees to be charged to Federal grants and contracts only under the conditions (a) that extra consulting or other services required is across departmental lines and (b) provided that prior written approval of the governmental agency has been obtained. In the event that compliance with these stated procedures exists, charges for extra services to contracts and grants must be at the same effective rate as the faculty member's current University salary. In such cases, procedures often require that time and effort for such work on grants and contracts be budgeted, reported, and paid on a daily or hourly basis. The following applicable definitions must be observed uniformly in determination of the appropriate amounts.

The academic year is defined as thirty-nine (39) calendar weeks, ending on the date of Commencement of the Spring Quarter.

Grants and contracts should insofar as possible have the workload planned and budgeted on a percentage of effort basis or should be appropriately charged on a percentage of effort basis. Daily or hourly regulations for faculty and professional staff's time should be used only when computing appropriate com-

pensation for extra services on grants and contracts, when specifically required by sponsors, or when short periods of services are required on grants and contracts. Consult with the office of the Vice Provost for Research in making such calculations.

7. Days reimbursed as extra-service pay are counted as external consulting days in the definition of the number of days allowed for consulting. Activity covered by extra-service pay and outside services should not normally exceed 20% of a faculty member's regular full-time effort. For example, the reimbursement for teaching certain continuing education courses or miscellaneous special short courses may simply be a set fee. The faculty member and the appropriate administrative officer who monitors the activity must exercise caution and common sense in such judgments.

8. Use of facilities. With the exception of facilities for the use of which there are established procedures and fee schedules, University facilities, equipment or services may not be used in the performance of outside consulting work without written agreements and authorizations specifying the nature of work to be performed, the kind of equipment, supplies, material or services to be used, the extent of the use, and the amount to be paid to the University.

The amount may not be less than the University's cost or a fair market value. The agreement must be approved in writing by the appropriate department head, or director, and the Executive Vice Chancellor for Business, Planning and Finance. Such agreements are maintained on file in the office of the Executive Vice Chancellor for Business, Planning and Finance. Such use may not conflict or interfere with regular University operations. It is not uncommon that a short-term, urgent service need arises for which there is little time to negotiate the use of University equipment or facilities. The importance of the University's service role warrants that such cases be expedited with discretion and sound judgment by the faculty member and the Department Head.

9 THE LIBRARY & OTHER AUXILIARY SERVICES

THE LIBRARY AND OTHER AUXILIARY SERVICES

The University provides a wide variety of important adjunct services and programs of interest to faculty members. These are designed to support teaching, research and community service, and to maintain the sense of an academic community where the benefits and pleasures of good scholarship are available across departmental and collegiate lines.

LIBRARIES

The University aims to make its libraries the premier research collection in Tennessee. The mission of the UTK Libraries is to support teaching, research, administrative, and community service on the Knoxville campus, and to respond to the needs of scholarship throughout the region served by UTK.

Library holdings in Knoxville, currently over 1,600,000 volumes, are housed in the James D. Hoskins (Main) Library, the John C. Hodges (Undergraduate) Library, (temporarily located in the Humanities and Social Sciences Building and Dunford Hall), the Agriculture-Veterinary Medicine Library, and the George Devine Music Library. A separate Law Library is administered by the College of Law. In 1987, the renovated and greatly expanded John C. Hodges Library will become the central campus library. The Hoskins Library will eventually house the Science-Technology Library and the Special Collections Library.

The UTK collections also include over 78,000 microfilm reels, more than 1,600,000 microtext materials, approximately 10,000 periodical subscriptions, and over 98 newspaper subscriptions. The Main Library contains the principal comprehensive collection of materials for departments, schools, and colleges not served by branch libraries. The branch libraries contain the scientific, technical, research, and professional materials most closely related to their respective disciplines.

Materials Selection. Selection of materials for all libraries is a cooperative effort of departmental and library faculty, coordinated by the Collection Development Librarian. Librarians of the four branch libraries, and faculty representatives within each department, serve as liaison between the faculty and the libraries. This arrangement permits the faculty to request the acquisition of materials they believe important for their teaching and research. Faculty members are urged to make the fullest possible use of their library representative.

Loan Periods. Books charged to faculty have a standard loan period to May 31 each year. On or about May 1, all faculty receive a list of all items charged to them. During May all books must be returned to the library for physical inventory. Books still needed will be renewed for another year. Some frequently-used periodicals are for use in the library only, but most can be borrowed for three days. All items are subject to recall. When an item is recalled a new due date is set for ten days from the date of the recall request. If the recalled item is not returned within that ten-day period, borrower privileges will be blocked and fines assessed from the due date forward.

Reserve Books. To support the teaching programs, all types of materials may be placed on reserve and their loan periods may vary to meet demand. Every effort is made to obtain books and articles needed for reserve. When this is not possible, however, instructors may place personal copies on reserve. Information on specific reserve procedures may be obtained by calling the Reserve Department or any branch library. Locating and processing reserve materials takes time, and the early submitting of reserve lists can help to avoid frustrating delays.

Proxy Borrowing. Faculty members may request a proxy borrower's card to be issued to facilitate his/her use of library materials. Only one card will be issued per faculty member. Materials borrowed using a proxy card are loaned for the faculty loan period and governed by the loan policies for faculty.

Courtesy Borrowing. Spouses and children of faculty members may use the UTK Libraries. An application form, available at any library, must be completed. The loan period for courtesy borrowers is two weeks. A limit of ten items may be charged to a borrower's card at one time.

Database Searching. Computerized searching of a large number of databases is available in Main Reference, the Agriculture-Veterinary Medicine Library, and the Science-Technology Library. Faculty members who wish to use this service should contact the reference staff at the appropriate library for advice about procedures and strategy.

Non-Print Department. The Non-Print Department, temporarily housed in Dunford Hall (but scheduled to move in 1987 to the new John C. Hodges Library) provides a wide variety of videotapes, records, audio tapes, and other materials of relevance to undergraduate courses. The unit invites faculty members and departments to make extensive use of the collection in connection with class assignments and for general background interest and enjoyment.

Faculty Studies. A number of faculty studies are available in the Main Library. These are available to any faculty member, actively engaged in a research project requiring study. Application should be made to the Associate Director for Public Services. When the new central library is occupied, many additional faculty studies will be available for use. Studies are for research and scholarship only, and are not intended to be used as offices or conference rooms.

More complete information about the libraries may be found in the Library Guide series published and frequently updated by the library staff. Copies are available free in each campus library.

OTHER AUXILIARY SERVICES

Computing and Data Processing. A wide range of computing facilities and services is available to faculty members through the University of Tennessee Computer Center (UTCC), 200 Stokely Management Center. All UTCC services, subroutines and prepackaged programs are described in the Users Guide, available at the University Book and Supply Store. Faculty users must complete a "Request for Services" Form, available at the administrative office of UTCC. Charges for computer and programmer services are made to funded projects. For approved academic work, computer time and programmer consulting services are provided at nominal cost (or, in some instances, at no cost).

In addition to its regular computer services, UTCC offers two other services of interest to faculty members. The first is a range of short, non-credit courses designed to familiarize students and faculty with the capabilities and applications of computer systems. A schedule of these courses may be obtained from the UTCC administrative office. Finally, the Center publishes the *UTCC Newsletter*, a monthly bulletin containing news and events of interest to all Center users. Faculty members who wish to get on the free distribution list should contact the UTCC administrative offices.

Center for Educational Vide & Photography (91 Communications and University Extension Building) provides photographic services including production of photographs, slides and 16mm movies. Terms and charges are available at the Center. The Center also provides information and advice regarding the procurement and use of videotape equipment. The Service will also provide maintenance of videotape equipment owned by University departments. Under special circumstances, portable videotape equipment can be made available at minimal cost.

Publications Service (293 Communications and University Extension Building) assists faculty and departments in the production of a wide variety of publications. Services include consultation on design and artwork, editing, and assistance in preparation of specifications for on- or off-campus printing.

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

The Teaching Materials Center (305 Claxton Education Building) houses a substantial collection of 16mm motion pictures which are available for loan to University faculty members. These films are listed in a catalog, *Educational Films*, available on request from the Center. The Center also provides color slides and overhead transparencies for instructional use, and lends audio-visual equipment needed to play back the materials its clients borrow.

The Learning Research Center (1819 Andy Holt Avenue) assists the faculty in the improvement of teaching and learning. A quarterly bulletin, *Teaching/Learning Issues*, deals with current issues in higher education. The Center also maintains a small collection of books and other materials on teaching and learning, which is available for use by faculty members. The Center provides advice in the evaluation of teaching, in teaching and learning experimentation, and in teaching and learning research. In cooperation with the Office of the Provost, the Center sponsors the Fall Orientation for new Faculty as well as a series of Faculty Luncheon Seminars dealing with topics of general interest.

The Center also gives advice about course evaluation. While course evaluation is not required of all units of the campus, teachers are encouraged to make regular use of student and peer evaluation of their courses. The Center has a collection of sample forms used in course evaluation, and will assist faculty members who wish to construct their own forms. Finally, the Center provides consulting services for the improvement of testing and grading.

The Office of Institutional Research (600 Dunford Hall) provides information about research policies, procedures and attitudes at both the statewide and UTK levels. OIR also consults with faculty members concerning data sources, research design and past research in a wide variety of subjects. Requests for assistance from the OIR should be directed to the Office of the Executive Vice Chancellor for Business, Planning and Finance, 523 Andy Holt Tower.

Transportation Services (1201 UT Drive) maintains a motor pool, from which faculty members may borrow sedans, station wagons, and vans for travel to meetings or for field trips. Buses for larger parties may also be chartered. Authorization must be given by the Department Head of the unit to be charged.

The Carolyn P. Brown Memorial University Center provides a wide variety of facilities and services for educational, cultural, social and recreational events. Facilities include the Arts and Crafts Center (with equipment and instruction), the Hermitage Dining Room, Smokey's Palace Cafeteria, the Rafters Grill, the Catering Office, the Central Ticket Office, a post office, the Ombudsman's Office, the Student Government Office, and recreational facilities such as bowling alleys, billiard tables, and a TV viewing room.

There is a wide variety of meeting rooms, from small dining rooms to

ballroom facilities for large conferences. The Catering Service (Room 126) can cater meals for large and small groups.

The University Book and Supply Store (first floor of the Carolyn P. Brown Memorial University Center) provides a full range of supplies and materials, including required and recommended textbooks, a comprehensive range of office supplies, and general materials, such as trade books, paperbacks, and records of all types. Discounts for faculty members are offered on all books and supplies except textbooks. The Book Store also develops film, cashes checks, makes change, and sells a variety of packaged foods, sells calculators, cameras, and UT souvenirs.

Like the Library, the Book Store is an indispensable resource for the University's intellectual climate. It is often the first real book store our students have seen. Faculty members are asked to contribute to the Store's services by providing textbook orders in reasonable time for getting the books from publishers and onto the shelves. Suggestions from the faculty about the general selection of books are also encouraged.

The Center for International Education (205 Alumni Hall). The goal of the Center for International Education, 201 Alumni Hall, is to provide opportunities for as many members of the UTK community as possible to have meaningful and productive international experiences—whether here in Knoxville or in other lands. CIE provides faculty and students with comprehensive information and advice about overseas study, scholarships, employment (including lectureships) and travel. Through orientation programs, academic advising, personal counseling, and administration of a special, low-cost insurance program, the Center also serves those students, lecturers and researchers who come to UTK from other lands.

The International House, 1515 Cumberland Avenue, is a CIE facility for the use of the entire campus community. Throughout the year the "I-Hous" plans events of an international nature, often in collaboration with other UTK units, while also providing a quiet place for people to meet or study.

The Center promotes international linkages by helping bring together people from opposite points of the globe who have similar academic interests. Recently, CIE has begun annual publication of the *Directory of UTK Faculty with International Experience*, and for many years has been nationally recognized for its frequently updated *Fellowships, Scholarships and Related Opportunities in International Education*. CIE also publishes *The Link* (a newsletter for UTK's international student population) and distributes the "Faculty Member's Guide to U.S. Immigration Law."

The Office of University Communications (460 Communications and Extension Building) assists faculty and staff through several services: Publications, Internal Communications, External Communications, and Special Services.

1. *Publications.* University Communications is responsible for developing

undergraduate recruitment publications and for developing departmental materials used for recruiting graduate students and for attracting private and governmental support for research and development. The office's publications writer and other staff members work closely with faculty and with Publications Services in developing recruitment materials.

2. *Internal Communications.* University Communications writes, edits, and distributes *Context*, a campus newspaper, which is published every two weeks. *Context* is the University's primary internal communications medium. Its purpose is to provide a forum for the exchange of ideas and a mirror to reflect the diversity of disciplines and programs throughout the campus community. Faculty and staff are encouraged to contribute regularly to *Context*.

University Communications also edits *Horizons*, a feature publication distributed quarterly to members of the campus community and to UTK graduates.

3. *External Communications.* University Communications maintains a regular channel for contacts between the campus community and the news media. Daily calls from newspaper, radio, and television reporters demand prompt and accurate responses. Although faculty members are often contacted by the media directly, they should feel free to use this office as a liaison.

A concerted effort is made to publicize innovative UTK programs that promise to improve the quality of life, that can be understood by a mass audience, and that have a reasonable chance of being used by the media. There are also times when it is necessary for the University to communicate with the media on an urgent basis. This office is equipped to work with faculty in handling such situations effectively.

Faculty members are encouraged to contact the University Communications staff when they feel that an activity or event needs publicity. The initial contact should be made well in advance, to provide time for staff to gather the facts, draft a news release, and determine media distribution. Stories on complex research and service projects and those stories initiated by this office are checked with campus sources for accuracy prior to release.

4. *Special Services.* The Office of University Communications provides campus guides and maps, facts folders, and other information to faculty members hosting scientific meetings, conferences, or out-of-town guests. Assistance is also offered in drafting news releases for professional meetings and conferences in which UTK faculty participate.

Photographs of faculty members requested for publication by technical or professional journals are provided at no cost. Biographical information is kept on file on faculty and administrative-professional staff, as well as photographs which may be used to respond to media requests.

The Office of University Communications also works closely with the Chancellor's Office and the Office of the Vice Chancellor for Development and Alumni Affairs in coordinating external relations projects, preparing special reports, and planning special events.

10 FACULTY/STUDENT RELATIONS

The student handbook, *Hilltopics*, represents the University's considered deliberations on such matters as faculty/student relations, student conduct, and related considerations that focus the shared integrity of an academic ethos. Faculty performance in the professional role of teacher, researcher or advisor is an important influence on the academic and community ethos of the University. (See also Chapter 6 on Research.)

FACULTY RESPONSIBILITIES IN TEACHING AND ADVISING

A good university is determined in large measure by the quality of its teachers. The styles of good teaching vary almost as much as the many disciplines in a large, complex university. The size and academic level of the class, the personality of the teacher, the goals of the students, the kind of subject matter under investigation, the expectations of a profession or of the public—all affect the definition of what constitutes good teaching. The University acknowledges and supports this variety. It supports as well the seriousness of the University faculty's commitment to good teaching while it also recognizes the student's legitimate expectations in this important aspect of the University's mission.

Good advising is another important aspect of the faculty role. Indeed, good teaching, scholarly research and academic advising are mutually supporting aspects of faculty excellence. The serious university student is learning how to learn and also how to relate the several parts of the college experience (the classes, lectures, readings, discussions, labs, and extra-classroom endeavors) to some emerging sense of a whole. Good advising is a crucial, invaluable aspect of this search for unity and integrity in the many parts. To be good academic advisors, faculty must be knowledgeable about the curriculum and the students. Every student is required to see his/her advisor at least once a year to discuss the many choices and goals that need to be considered. Every student should know some faculty member well enough to ask for an informed, personal letter of reference or recommendation when time comes for graduation. The faculty member has, in turn, much to learn from the advisee and from the careful inspection of curriculum that advising requires. A good advisor is better informed about the issues that face the faculty when it votes on curriculum and on admission and graduation requirements.

Hilltopics states the University's position on students' rights related to their records under relevant state and federal laws. The Provost is custodian of all

student records maintained by colleges, schools, and academic departments. The Vice Provost and Dean of The Graduate School is responsible for all student records maintained by the graduate school. All other student records are the custody of the Vice Chancellor for Student Affairs.

Hilltopics provides detailed information on the administrative procedure to be followed by a faculty member in dealing with student academic dishonesty. A written notification, countersigned by the Department Head, must go to any student assigned a penalty grade. Instructors are advised to consult with the Department Head before they assign a penalty grade, or to have a standing agreement with the department head on the procedures for assigning a penalty grade.

The following quotations from *Hilltopics* cover important aspects of the University's understanding of its expectations for student/faculty relationship in the classroom and its general philosophy governing student rights and responsibilities. Attention is also called to the Guidelines for Faculty and Students printed as Appendix 2 to the *Handbook*, and to the information contained in Appendix 3, which deals with services to the handicapped and with assistance to international students.

FACULTY/STUDENT RELATIONSHIPS IN THE CLASSROOM

1. *Freedom of Expression.* Free and pertinent discussion is welcome at the University. Students should feel free to take reasoned exception to the data or views offered in any course of study and to reserve judgment about matters of opinion. They are responsible, however, for learning the content of any course of study for which they are enrolled.

2. *Academic Evaluation.* Students may expect their performance to be evaluated solely on an academic basis and not on opinions or conduct in matters unrelated to academic standards. Students are responsible for each course in which they are enrolled. A student alleging unfair evaluation should appeal first to the teacher, next to the department head, to his/her college dean, and if necessary, to the Ombudsperson and the Dean of students. Teachers are expected to make honest, professional judgments on the academic performance of students and to make clear to them the basis for academic evaluation used in their classes.

3. *Academic Integrity.* The University expects that all academic work will provide an honest reflection of the knowledge and abilities of both students and faculty. Cheating, plagiarism, fabrication of data, providing unauthorized help and other acts of academic dishonesty are abhorrent to the purposes for which the University exists.

STUDENT RIGHTS AND RESPONSIBILITIES

The University of Tennessee shares with other academic institutions the responsibility for the transmission of knowledge, the pursuit of truth,

the development of students, and the general well-being of society. The programs of study and activities from which the student may choose are designed to develop individuals who are accurately informed, disciplined in thought, and literate in expression. Through university experiences, students are provided an opportunity to establish a basis for mature private life, intelligent participation in society, and a successful career. In establishing the objectives, the University needs the understanding, support, and thoughtful assistance of each faculty member, administrator, and student.

Free inquiry and free expression are indispensable to the attainment of these goals. As members of the academic community, students are encouraged to develop the capacity for critical judgment and to engage in a sustained and independent search for truth. The freedom to learn, in particular, is in a large measure dependent upon appropriate opportunities and conditions in the classroom, on the campus, and in the larger community. Students should exercise this freedom with responsibility.

The responsibility to secure and to respect general conditions conducive to the freedom to learn is shared by all members of the academic community. This University has a duty to develop policies and procedures which provide a safeguard to this freedom. Such policies and procedures are developed at this institution with the participation of all members of the academic community.

By registering in the University, the student neither loses the rights nor escapes the duties of a citizen. Each student should conduct his/her personal life in the context of mutual regard for the rights and privileges of others. Therefore, it is expected that students will demonstrate respect for the law and for the necessity of orderly conduct in the affairs of the community.

Students are responsible for being fully acquainted with the University catalog, handbook, and other regulations relating to students and for complying with them in the interest of an orderly and productive community. Failure or refusal to comply with the rules and policies established by the University may subject the offender to disciplinary action up to and including suspension from the University.

DIRECTING GRADUATE PROGRAMS FOR RELATIVES

A teacher may not be involved in the directing of a graduate degree of a spouse or relative (see also Chapter 3, on supervision of relatives by persons in positions of authority).

11 DEVELOPMENT & ALUMNI AFFAIRS

While the University of Tennessee, Knoxville receives major financial support from the State of Tennessee (generally between 35%-40% of its operating budget), much of its support comes from private donors who want to see the academic programs of the University prosper in special ways. Private gifts represent an important resource that makes possible a great variety of activities for which state appropriations are not always available or sufficient. Gifts to the University make an enormous difference in the quality of academic programs. Gifts from individuals, corporations and foundations provide endowed chairs, professorships, faculty development grants, scholarships and graduate fellowships, library acquisitions, some equipment and new programs.

In recent years, UT, Knoxville has received approximately \$10 million annually in private support from individuals, corporations and foundations. A majority of these gifts are modest in size, but the sum constitutes a kind of voluntary support that creates a solid bond between the University and its alumni and friends. Faculty members can play an important role in helping create and sustain this bond. For example, faculty members are encouraged to send appropriate acknowledgment letters to donors (in addition to the letters sent from University administrators), or to report to donors on an annual basis the progress of a certain project which the donor may have funded. Faculty members are also often called upon to speak to local civic organizations or groups, or to present programs for groups such as the University-wide Development Council, the UTK Chancellor's Associates or the Boards of Visitors for one of the respective colleges or departments.

The primary responsibility for the supervision and coordination of all private fund-raising and other development activities at UT, Knoxville lies with the Office of the Vice Chancellor for Development and Alumni Affairs. Coordination and planning ensure that perspective donors do not receive unwarranted, multiple or inappropriate solicitations.

The Campus Development Office is not responsible for proposals to state or federal agencies, nor for contracts between the University and private corporations. (For such contracts, see Chapter 6, "Research.") However, the Campus Development Office and the Office of Graduate Studies and Research cooperate on projects which might be funded through public agencies, but which also have an appeal to potential private donors. As a rule, the Campus Development Office is responsible for solicitations of individuals, corporations, private foundations and deferred giving prospects.

GIFTS TO THE UNIVERSITY

Recording and acknowledging all gifts to The University of Tennessee, Knoxville is another responsibility of the Campus Development Office. All private gifts received by faculty members, departments, colleges or other units (as well as related materials such as correspondence and memoranda) must be forwarded immediately to the Campus Development Office, which will deposit such gifts in the appropriate account, register the gifts through the computerized Alumni and Development Information System and promptly acknowledge receipt of the gift. An official gift acknowledgment is generated by the computer immediately, and letters from appropriate University officials are sent. The Development Office sends reports of gifts to deans on a weekly basis, detailing gifts restricted by a donor for use in the respective college or unit. It is the responsibility of the deans, in turn, to notify appropriate department heads or faculty members of such gifts, so that additional letters of acknowledgment may be sent.

SPECIAL FUNDS AND MEMORIAL GIFTS

Often faculty or staff members are honored at retirement by friends through establishment of special funds. From time to time, friends or deceased faculty and staff seek to honor them through memorial gifts. Requests to initiate such funds should be directed to the Campus Development Office, which can assist in planning the honorary fund or memorial and coordinate an effective volunteer solicitation.

REQUESTS FOR FUND-RAISING ASSISTANCE

One of the major responsibilities of the Campus Development Office is to provide assistance, consultation and advice on new or proposed fund-raising projects. Questions about fund-raising methods and practices should be directed to the Campus Development Office (Tyson Alumni House, 1609 Melrose Avenue, Phone 974-5045).

Requests for assistance or ideas for fund-raising should be discussed informally with the Campus Development Office (or the Director of Development for a particular college) at an early stage. However, before any solicitation or submission of a formal proposal, the project should be discussed with, and approved by, the appropriate Department Head, and Dean and by the Provost. The Development staff brings such requests ultimately to the attention of the Chancellor and appropriate staff for review and approval before solicitation begins.

The Chancellor, Provost and members of the Chancellor's staff establish fund-raising priorities on an annual basis.

ENDOWMENTS AND EXPENDABLE FUNDS

An endowment is a permanent fund which earns annual interest through the University's investment pool. The interest earned through the University's investment pool is placed in an expendable account for use toward the

purpose stated by the donor (or donors) to a particular fund. A committee consisting of the President of the University, Vice President for Finance, Executive Vice President and Vice President for Development and the Treasurer, along with representatives of investment firms, are responsible for the University's investment portfolio.

When an endowment fund is to be established, the Development Office is responsible for creating a memorandum of agreement and accompanying administrative provisions. The agreement is signed by the appropriate donor(s) and University officials. The memorandum of agreement is simply a guide to ensure that the income from endowment funds will always be used in accordance with the donor's wishes. There are three originals of the memorandum of agreement. These are signed by the donor(s) and appropriate University officials. The donor receives one original copy, and the two remaining originals are filed in the Offices of the University's Legal Counsel and Treasurer, respectively. Other xerox copies are maintained in the Development Office and appropriate college. Members of the faculty and staff are called upon to work with the Campus Development Office and the donors in preparing these documents, since funds usually go to assist a particular project, department, area or college. Expendable funds do not require a memorandum of agreement.

DEFERRED GIFTS AND ESTATE PLANNING

Many individuals have indicated their desire to aid The University of Tennessee, Knoxville by including the institution in their wills or estate plans. Sound estate planning can enable an individual to maximize gifts to favorite charities, including the University, while properly caring for members of the family and minimizing the impact of federal estate taxes and state inheritance taxes.

The University-wide Development Office has a full-time staff attorney who specializes in estate planning and deferred gifts. The Director of Estate Planning and Deferred Gifts, along with campus development officers, seeks to work with an individual's attorney, accountant or financial advisor, on a confidential basis, in developing a sound estate plan. Persons interested in examining the possibility of a deferred gift, or attorneys, accountants or financial advisors representing a potential donor may be directed to the Campus Development Office.

GIFT CLUBS

The University of Tennessee has three gift clubs: (1) The Century Club (with approximately 9,000 members), which recognizes individuals who contribute \$100-\$499 annually; (2) The University 500 Club (with 1,400 members), which recognizes individuals who contribute \$500-\$999 annually; and (3) The Presidents Club (with more than 1,700 members), which recognizes those who have contributed or committed a minimum of \$10,000 outright (or \$1,000 per year over a ten year period).

In 1981, as an outgrowth of the successful "Tennessee Tomorrow Campaign," the University established three new gift recognition societies designed to recognize the cumulative gifts of individuals, corporations and foundations. The Heritage Society recognizes gifts totaling \$50,000 (with 160 members). The Benefactors Society recognizes gifts totaling \$100,000 (with 260 members). The Founders Society recognizes gifts totaling \$1 million and more (with 50 members).

Faculty and staff members may designate their gifts for a specific project, department, college or make unrestricted gifts to the campus. Such gifts may be forwarded directly to the Development Office or may be made through the payroll deduction plan. Faculty and staff wishing to participate may contact the UTK Campus Development Office or the Director of Development for their respective college or unit.

THE DEVELOPMENT COUNCIL

The Development Council is a University-wide group of approximately 70 outstanding men and women from throughout the state and nation. The Council was formed in 1955 and as of 1986, had assisted the University in raising more than \$200 million for academic programs on all four UT campuses. The Council holds its annual fall meeting in Knoxville and rotates the spring meeting between other UT campuses at Chattanooga, Memphis and Martin. The University-wide Office of Development is responsible for staffing the Development Council.

BOARDS OF VISITORS AND DEVELOPMENT ACTIVITIES IN INDIVIDUAL UNITS

A natural outgrowth of successful development efforts in some colleges has been the formation of Boards of Visitors or Advisors to the college. In these instances, the deans of the respective colleges bring together individuals who have a specific interest in its work and mission. Boards of Visitors or Deans' Advisory Councils are now in place in all colleges at the University of Tennessee, Knoxville. Generally, the Director of Development for a particular college works with the dean and members of the dean's staff in coordinating the activities of the respective Board of Visitors or Deans' Advisory Council.

UTK DEPARTMENT OF ALUMNI AFFAIRS

The Department of Alumni Affairs at UT, Knoxville has the responsibility for planning and implementing programs for graduates of the Knoxville campus. The UTK Alumni Affairs Office works closely with the UTK Development Office and the University-wide Office of Alumni Affairs and Annual Giving in order to provide meaningful activities and programs for the alumni constituency of the Knoxville campus and to encourage these alumni to maintain an active interest in their alma mater. The campus office also has the responsibility for planning programs for undergraduate students in order that they become involved in programs of the National Alumni Association

before their actual graduation from The University of Tennessee. Questions about alumni activities or requests for assistance should be directed to the Campus Alumni Office (Tyson Alumni House, 1609 Melrose Avenue, phone 974-5432). Various activities coordinated through the UTK Office of Alumni Affairs include:

Alumni Summer College. A relatively new program, UT Knoxville and the University-wide Office of Alumni Affairs sponsor a one-week program for both alums and non-alums, singles, couples and families interested in participating in academic programs on the Knoxville campus. A wide variety of subjects, taught by UTK faculty members, are offered. Participants generally 'live on campus' and in addition to attending classes have an opportunity to participate in area recreational activities.

Volunteer Alumni Network (VAN) Program. This program assists in recruiting superior students from across the state and nation. Approximately 250 UTK alumni work on a volunteer basis to identify outstanding students in their local areas, to make personal contacts with these students and others whom we identify on behalf of UTK, to represent The University of Tennessee at college night programs at local high schools and to encourage the students to visit the UTK campus. Special VAN handbooks are provided to network members and special training sessions are offered on the UTK campus for those participating. The UTK Office of Alumni Affairs works closely with the UTK Admissions Office in coordinating this program, designed to bring outstanding students to UTK.

Reunion Activities. This Office seeks to provide special programming throughout the academic year for alumni who were members of special organizations during undergraduate days. Groups such as UTK Torchbearers, UT Singers and Neyland Scholars have benefitted from such reunions in recent years. Likewise, the Office has worked with specific departments and colleges in helping organize reunions for respective graduates of those programs.

Class Reunions and Golden Grads Reunions. Each fall, graduates of specific classes (based upon five-year increments) are invited to return to the campus to attend class reunions during homecoming weekend. Each class participates in individual activities for that class, and several colleges and departments also hold special homecoming events for their graduates during this time.

During the month of May, members of the University's Golden Grads (persons who graduated from UTK fifty years ago or more) return to the campus for the Golden Reunion Weekend. The group participates in three full days of special activities. There is a banquet which honors the current class of Golden Grads, who are presented with "special diplomas." There are special campus tours offered, a variety of programs related to the University and generally a special tour on Saturday to an area attraction such as historic Jonesboro, the Biltmore House and Gardens or another area attraction.

Student Alumni Associates (SAA). This program seeks to involve undergraduate students in alumni programs. The SAA sponsors a "Summer

Jobs Festival," a program designed to assist students in securing summer employment. An Alumni Referral Service puts graduating seniors (and older alumni as well) in touch with alumni contacts in cities throughout the nation to which they are moving. SAA members are also encouraged to assist with alumni events such as National Alumni Association chapter meetings, phone-a-thons, reunions and receptions following athletic events.

Black Alumni Associates. The Black Alumni Associates serve as a liaison group between black alumni, the UT, Knoxville campus and the National Alumni Association. The Board of Directors for the Black Alumni Associates is composed of 35 members, 25 elected and 10 appointed by the UTK Chancellor. The Board's goals are to encourage participation in National Alumni Association programs, to develop programs of special concern to black alumni, to assist in the recruitment of minority students and to encourage participation by black alumni in the NAA Annual Giving Program. The Black Alumni Associates meet once in the fall and once in the spring, and newsletters containing articles of special interest to black alumni are distributed twice a year.

Horizons. The Department of Alumni Affairs cooperates with the Office of University Communications in the publication of *Horizons*, which is mailed twice a year to all alumni of The University of Tennessee, Knoxville. This publication highlights a college at UTK in each issue, carries a schedule of events and articles of interest to alumni, as well as "alumni news notes." It is mailed to some 80,000 individuals.

Speaker's Bureau. The Office coordinates the activities of the UTK Speaker's Bureau. A handbook featuring pictures and brief biographical sketches of some 75 faculty and staff members, who are available to speak to civic organizations and other groups, is published every two years. Organizations interested in securing a speaker for their program may contact the Alumni Office, and the office in turn contacts the speaker. Those selected to be members of the Speaker's Bureau represent all colleges and major areas on the Knoxville campus and offer special expertise on a range of topics.

Other Projects. The UTK Alumni Affairs Office also has the responsibility for the selection of UTK's four alumni outstanding teachers, assists the University-wide Alumni Office with Knox County NAA chapter meetings, and represents the campus at the UT NAA Board of Governor's Meetings and Leadership Conference, gift recognition dinners, Womens' Council Programs and scholarship events on the Knoxville campus.

12 CAMPUS PARKING, BUILDINGS & KEYS

Parking. The University's Traffic Office, 1115 UT Drive, assigns spaces in the various parking areas across campus to the faculty upon recommendation of Deans and Department Heads under regulations defined by the UTK Traffic and Parking Authority. All faculty who operate a motor vehicle in connection with their employment are required to register their vehicles with the Traffic Office, and if they wish to park on the Campus, they must purchase a parking permit. The fee for the permit will depend upon the parking accommodation, ranging from open parking lots to enclosed garages and a limited number of reserved twenty-four-hour spaces. Fees are payable annually in advance or by monthly payroll deductions. Parking citations for violation of rules may be appealed (either in writing or orally) within fourteen (14) calendar days from date of citation to an Appeals Board appointed by the Traffic and Parking Authority chairperson.

The UTK Traffic and Parking Regulations are published annually and are distributed with vehicle registration forms. In particular, it is noted in this publication that illegally parked vehicles may be impounded, large fines are assessed for parking in fire lanes and handicapped spaces, and traffic and parking limitations may be imposed on special occasions such as athletic events.

Handicapped persons and persons who are temporarily disabled may obtain special permits allowing them to park in spaces which are convenient to their areas of work. Faculty may secure special permits through their dean or department head upon approval of their chief administrative officer when their work requires travel to other areas on campus. Visitor parking permits are available at the Security Building, 1115 U. T. Drive, or at the Information Center at the entrance to Circle Park.

Special arrangements may be made for anyone interested in carpooling. Information may be obtained from the Employee Transportation Coordinator in the Traffic Office (974-6031) or through the Knoxville Commuter Pool (637-RIDE).

Building and Keys. Keys for outer and inside doors are issued by the Lock & Key Service (804 Volunteer Blvd.) upon approval and recommendation of the Department Head and Dean. Keys must be returned to the Lock & Key Service at the termination of employment or at the beginning of extended absence from campus. A faculty member receiving an assigned key shall not permit the duplication of the assigned key, shall relock locked buildings when he/she enters or leaves the building, and shall be responsible for the conduct of all persons he/she admits to a locked building.

13 APPENDICES

Note: These appendices consist of administrative policies approved by the Chancellor of The University of Tennessee, Knoxville. They are not approved by the Board of Trustees, are not legally binding upon The University of Tennessee, and are superseded by any policies of the Board of Trustees with which they may conflict. These policies are subject to change without notice, and a copy of the most recent versions of each appendix may be obtained from the following offices:

Appendix 1 Director of Affirmative Action

Appendix 2 Office of the Provost

Appendix 3 Dean of Admissions and Records

Appendix 4 Director of Affirmative Action

Appendix 5 Part-time Appointments

APPENDIX 1

UTK EQUAL EMPLOYMENT OPPORTUNITY POLICY

Issued February 14, 1969;

Revised, 1970, 1972, 1974, 1976, 1978, 1985

Objective: To set, define, and communicate broadly the policy of The University of Tennessee, Knoxville concerning fair employment practices and equal employment opportunity for all UTK employees and applicants for UTK employment.

The University of Tennessee, Knoxville offers equal employment opportunity to all its employees and to all applicants for UTK employment without regard to race, religion, sex, age, national origin, or veteran status, as required by federal, state, and local laws, executive orders, and regulations pertaining to fair employment practices. UTK is also prepared to make reasonable accommodations to allow employment of handicapped individuals and for religious observances of employees and applicants for employment. Additionally, sexual harrassment is a direct violation of UTK policy. This policy extends to recruitment, employment, promotion, UTK-sponsored training programs, educational opportunities, compensation, leave, tuition assistance, transfers, lay-offs, return from layoffs, demotions, terminations, social and recreational programs, use of University facilities, and treatment as individuals. This policy is binding on all UTK employees engaged in any of the processes or programs listed above.

UTK views this policy as being basic to the institutional commitment, not as merely a means of complying with orders, laws, and regulations to which it is subject.

Procedures:

1. Advertising copy prepared to announce available positions at UTK shall comply in all regards with federal, state, and local regulations pertaining to equal employment opportunity. In the case of advertisements for faculty and staff-exempt positions, copies of advertisements placed are to be maintained on file by the head of the unit advertising the vacancy. The UTK Personnel Office will place all advertisements for staff non-exempt position vacancies and will maintain on file copies of all such advertisements.

2. Sources of referral utilized by UTK units are to be informed in writing of this policy and UTK's intention to seek out and to employ qualified applicants without regard to race, color, religion, sex, age, national origin, handicap, or veteran status. A copy of such notification shall be maintained on file by the head of the unit contacting the source of referral, in the case of faculty and staff-exempt positions. The UTK Personnel Office will notify sources of referral for staff non-exempt positions and will maintain on file copies of the notifications.

3. Employment decisions shall be based solely upon an individual's qualifications for the position for which he/she is being considered.

4. Promotions shall be made in accord with the principles of equal employment opportunity. Only valid, job-related requirements for advancement will be established.

5. No employee shall be excluded from participation in any University-sponsored activity or denied the benefits of any University program on the grounds of race, color, religion, sex, age, national origin, or veteran status. The University is prepared to make reasonable accommodations to allow participation by the handicapped in its programs, activities, and benefits to make reasonable accommodations for religious observances by its employees.

6. Evaluation of supervisors' and managers' work performance will include a review of their equal employment efforts and results, as well as other criteria.

7. Reports required by federal, state, and local agencies with regard to equal employment opportunity and affirmative action shall be submitted by the Office of the Director of Affirmative Action, which office will also maintain such reports on file.

UTK deans, directors, managers, and supervisors shall be apprised of this policy in writing and shall be reminded of its provisions at least once a year. A record shall be made of such notices by the Affirmative Action Director. Employee Handbooks, the Faculty Handbook, the Affirmative Action Plan, and other appropriate documents shall contain this policy. This policy, and the seven procedures above, shall be posted in conspicuous places throughout the campus and at all locations at which UTK employees are stationed and shall be on file in the offices of all budgetary unit heads.

In support of the intent of this policy, UTK has issued an Affirmative Action Plan. It shall be the responsibility of the Office of the Director of Affirmative Action to monitor the effectiveness of the implementation of this policy by monitoring the provisions of the Affirmative Action Plan.

APPENDIX 2

UTK TEACHING/LEARNING GUIDELINES

GUIDELINES FOR UTK FACULTY MEMBERS

(All Teaching Staff)

Introduction. The brief statement which follows is intended to provide some guidelines for the faculty member (all members of the university's academic teaching staff) with regard to the teaching/learning process. We hope that the guidelines will be especially useful to members of the faculty who have just entered the profession, though more experienced teachers may also be glad to reflect on these guidelines.

The guidelines are offered in the form of advice and counsel; they are not so comprehensive as to cover every possible eventuality in the teaching/learning experience; there would be other equally good ways of handling some of the circumstances mentioned here. These guidelines are mainly a reminder of some of the principal aspects of the teaching/learning process which should be observed by the university teacher.

Course Organization. It is the responsibility of the faculty member to organize class material as efficiently and effectively as possible at the beginning of each term of instruction. Course objectives should be made clear at the first session. At this time the students should be informed if the course is not adequately described in the General Catalog, the Graduate Catalog, or publications of the various colleges and departments.

At an early class meeting, the teacher should announce and discuss with the members of the class such matters as required readings; the approximate number of tests; the basis for the final grade with regard to the value to be placed on class recitation, major tests, minor tests, research papers, etc. Once such basic principles for the conduct of the course have been announced, the instructor should later make changes only after careful consideration and consultation with the students. The value assigned to tests and research papers should not be changed, unless the faculty member finds that his or her earlier expectations were unreasonable and that, for example, the number of tests should be reduced because of the exigencies of time or a shortage of library resources. Faculty members should take great care to insure that book orders are turned in on time so that sufficient copies of text materials can be available at the beginning of the term. Teachers should distinguish carefully between books and material required, and those recommended. The faculty member should also be concerned that the university libraries are appropriately notified about reserve materials.

At the same time faculty members should take great care in allowing additional students to enroll in a course after the section is filled, making certain that there is sufficient classroom space, enough textbooks available, and sufficient time to carry out additional burdens, such as grading of course work created by an oversize enrollment and fulfilling other commitments in the areas of research, publication, and university service.

Conducting the Course. The faculty member should set an example for students in being faithful in attendance and punctual in starting and ending classes. Students should be informed of all planned absences as early as possible. When a faculty member must be away from class to attend a conference or deal with other professional matters, he or she should be willing to compensate for the absences by arranging substitute class sessions, in consultation with the class. In an emergency, the faculty member should have the class notified through the agency of the departmental office that he or she is compelled to be absent.

In presenting course content, the faculty member should endeavor at all times to adhere to his or her subject; the classroom should not be used as a theatre for expression of personal views which are not germane to the course. The faculty member should take care that the tests and all other devices for student evaluation are appropriate instruments for measuring course content. Ideally the test will reflect the goals of the course and should serve the function of measuring the students' course progress as clearly as possible. Moreover, the faculty member should return all tests as soon as possible and discuss them with the students so that the test remains an educational instrument; thus students can learn from testing as well as from other class activities. An instructor should be willing to discuss with a student his or her academic standing at any time during the quarter.

Atmosphere for Teaching and Learning. It is very important that the faculty member create from the beginning, and preserve throughout the course, an atmosphere conducive to learning. Both teacher and student should feel that they have come together in the common cause of the pursuit of learning. In such a pursuit, the faculty member must be continually sensitive to students' needs, desires, and expectations and should exercise the kinds of judgments which demonstrate this kind of sensitivity. This does not mean that the faculty member is subject to the wills and whims of students enrolled in his or her course, but with such faculty awareness, unreasonable confrontations may be avoided. It is in this atmosphere of friendly and serious scholarship that the cause of learning can be most appropriately advanced. All faculty members, especially those who are official advisors, are urged to observe each quarter regularly scheduled office hours for consultation with students.

Teaching Expertise. The faculty member should strive not only to maintain minimum competency but to surpass this level by constant inquiry into contemporary trends, prospects and research. Faculty members who supervise graduate teaching assistants should take whatever measures may be necessary to insure an appropriate level of competency in the classroom. Departments should not neglect to give students of all educational levels the privilege of instruction by teachers of all professional ranks.

GUIDELINES FOR UTK STUDENTS

Introduction. The brief statement which follows is intended to provide some guidelines for students with regard to the teaching/learning process. We hope that the guidelines will be especially useful to new students, whether freshman or transfer student, though all students will want to consider these guidelines carefully.

The guidelines are offered in the form of advice and counsel; they are not so comprehensive as to cover every eventuality in the teaching/learning experience. These guidelines are mainly a reminder of some of the principal aspects of the teaching/learning process which should be observed by the university student.

Adequate Preparation. With regard to learning in his or her respective courses, the student has the responsibility to seek information (which should be readily available from the instructor) as to necessary preparation for participation in classroom activity. The instructor should provide specific information about course objectives, nature of testing, the required class readings, required class presentations, research papers, etc. In order that the instruction which takes place in class can be effectively received, the student should accept responsibility for being adequately prepared, before coming to class. The integration and digestion of the material presented in the course is the student's responsibility, and in order to maximize learning, it is fundamental that the student not only be prepared, but be able and willing to interact through classroom participation, testing, themes, and other methods provided by the teacher. Basic to these activities is the need for the student to employ appropriate resources, as assigned by the instructor, such as textbooks, other supplies and outside reading materials.

Academic Integrity. Study, preparation, and presentation should involve at all times the student's own work. The responsibility for learning is an individual matter. Academic honesty requires that all work presented be the student's own work, not only on tests, but in themes, papers, homework, and class preparation, unless it has been clearly specified that work is to be a team effort. There is a clear distinction between learning new ideas and presenting them as facts or as answers, and presenting them as one's own ideas. It is part of the learning process to incorporate the thoughts or ideas of others into one's own mind and presentations with the purposes of learning and enlarging on personal boundaries of knowledge.

Observation of Time Limits. Responsible staff, in the teaching/learning situation, supply a reasonable schedule of activities. It is the responsibility of the student to use guidelines and schedules provided by the instructor in an efficient manner. Papers and other outside assignments should be presented on time. When a student is necessarily absent from class, including laboratory, it is the responsibility of the student to secure from another member of the class, or by arrangement with a professor, material that he or she may have missed. When a student is absent from a test, he or she should contact the instructor immediately to see if a substitution for that test can be arranged.

Class Attendance. Class attendance throughout the course is essential. It is especially important to set the right basis for a course by attendance at the first meetings. Students should be present for the entire class period. Certain classes are conducted in a manner which requires work outside of class as an alternate to class attendance. If, however, class attendance is required, and the quality of the course is such that the student feels that attendance is unnecessary, then it is the responsibility of the student to inform the appropriate person (first the instructor concerned, then the department head) about this matter.

Obtaining Advisement. In a more general setting, the student is responsible for seeking appropriate advice as to courses of study. A university degree is more than a certain number of credits, more than filling a certain number of requirements. At a major university, with a wide variety of courses, there are many methods of satisfying the requirements for a degree. A student should seek sufficient information not only to select an appropriate program of study, but also to determine the scheduling of required courses. The advice of other students, of members of the major department, of advising centers in the college, and when and where possible active participants in the field who are not connected with the university, should be sought and incorporated into planning. Upon completion of the course of study, placement and career information is available from professors, departments, and the placement office. A student should seek this information.

Appropriate Selection of Courses. The courses taken should be those that build on a student's background. Students are encouraged to make maximum use of diagnostic tests available through departments, and where appropriate, proficiency exams to secure credit for information the students already have. Students should elect to take the right course at the right time; for example, to learn writing skills in freshman English as soon as possible so that they may appropriately use them in other courses; to take freshman and sophomore lower division work early in their career to provide a suitable foundation for other courses, etc.

Observation of University Deadlines. It is the student's responsibility to be aware of and follow the enrollment and registration procedures provided by the University. A student is well advised to take advantage of preregistration. If it becomes necessary to drop a course, a student should seek advice, inform the instructor, and then drop the course before the drop deadline. It is the student's responsibility to file forms for graduation based on information on the senior standing sheet, and to observe other university and college deadlines.

Learning is more than classroom activity. Thoughtful participation in extracurricular activities of an academic nature is a part of a university education. Learning requires active participation on the part of the student, and it is assumed that a student is seeking additional knowledge and a broader understanding of the subject at hand. Essential to the learning process is the admission on the part of the student of ignorance concerning material to be learned, and an openness to ask questions and to seek information. A healthy learning situation depends on the student's being able to express in the classroom questions that he or she might have, not only about specific information, but about interrelation of information. The creation of a classroom atmosphere in which the student feels comfortable to ask pertinent and searching questions places a heavy responsibility on the instructor. When such an atmosphere is present, then it is essential to the spirit of learning that a student and the instructor both make full use of the dialogue. Learning can

only take place when the instructor is willing to accept the responsibility to teach and the student is willing to accept the responsibilities involved in learning.

APPENDIX 3

SERVICES TO THE HANDICAPPED AND INTERNATIONAL STUDENTS

Services to the Handicapped. Services relating to academic programs for students with physical disabilities, whether permanent or temporary, are coordinated by the Office of the Dean of Admissions and Records. In conjunction with the Physical Plant Office, the UTK Bookstore, the Student Activities Office, and the academic departments, efforts are made to ensure that attendance at UTK is as convenient as possible for students with physical disabilities.

These services include assistance during registration, preregistration, collection of class schedules, payment of fees, drop and add, special parking permits, elevator keys, tickets for special events, and other efforts to relieve special problems. The Physical Plant Office coordinates efforts to eliminate physical barriers, while the Office of the Dean of Admissions and Records schedules special class sections in order to respond to particular needs.

International Students. The International Student Office handles matters pertaining to the enrollment of non-immigrant alien students. It maintains complete files for these students and represents the University in dealing with the U.S. Immigration and Naturalization Service. Staff members act as ex officio advisors on the personal and academic problems of foreign students.

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

APPENDIX 4

NON-SEXIST LANGUAGE GUIDELINES

The following suggestions were prepared by the UTK Commission for Women as part of a continuing effort to make the University community aware of the many subtle ways in which traditional language can enforce a subtle sexism. The University does not and cannot impose uniformity of thought or of expression upon its faculty and students. At the same time, it is an abiding and even venerable mission of the University to challenge dull conventions and stereotypes both in language and in thought wherever they appear. Unexamined speech, as Socrates might have said, is not worth uttering.

Sexism refers to discrimination on the basis of gender or sex. Sexist language reflects and creates discrimination. Since language is the basis for thought, sexist language is not only an indicator of but also a contributor to sexist at-

titudes and behavior. Thus, removal of sexual discrimination in language is necessary to eliminate sexism.

In all University settings, members of the University community should:

1. Use gender equivalent construction. Equivalent or parallel construction should be used for males and females. Thus, if males are referred to as "men," females should be referred to as "women," not as "girls" or "ladies."

The following parallel terms are taken from the report on Sexism in Language of the Tennessee Commission on the Status of Women, 1975.

- femalemale
- womanman
- ladygentleman
- galfella
- girl.....boy

2. Use alternatives to the masculine singular pronoun for generic singular. The masculine singular pronoun traditionally has been used as the generic singular. Such usage fails to acknowledge the participation of women in human activity unless they are specifically identified. Alternatives to the use of "he," "him," and "his" for the generic singular are he/she, she/he, her/him, him/her, hers/his, his/hers or one's. Some individuals may prefer to alternate the use of the male and female singular pronoun to indicate generic singular. While some alternatives may seem awkward when they are first used, they become comfortable with usage and will, as any other language construction, become second nature in time. It is this natural incorporation of women into language on an equal basis with men that is the purpose of non-sexist language usage.

3. Use person-oriented rather than male-oriented words. Words which clearly refer to both sexes should be used in preference to words and titles which omit one sex. The terms, human(s), humankind, people, persons, individuals, humanity, or men/women should be used rather than the terms man or mankind. For example, a course titled "Man and Civilization" could be retitled "Humanity and Civilization;" reference to "mankind's development" could read "human development," and so forth. The National Council of Teachers of English recommends the following alternatives:

- | For: | Use: |
|--------------------------|-------------------------------------|
| mankind | humanity, human beings, people |
| man's achievements | human achievements |
| the best man for the job | the best person for the job; |
| man-made | the best man or woman for the job |
| | synthetic, manufactured, crafted, |
| | machine-made |
| the common man | the average person, ordinary people |

4. Use person-oriented job and occupational titles. Many titles were developed by attaching "man" as a suffix to the job or occupation, e.g. chairman, mailman, policeman and the like. Alternatives to such titles should be utilized, such as:

For:	Use:
chairman	chairperson, chair, head, coordinator, presiding officer, president
mailman	mail carrier
policeman	police officer

5. Avoid sex-role stereotyping: provide parallel treatment of women and men.

(a) Women (as well as men) should be described on the basis of relevant characteristics rather than on the basis of gender. Descriptions of competent women or women in professional roles frequently play down their areas of competence and focus inappropriately on their attractiveness, homemaking ability, interest in men and children, and so forth. Thus, while a male may be described primarily in terms of his research interests and academic achievements, a female student may be described primarily in terms of her interest in dating; similarly, while male athletes are generally described in terms of their most recent athletic feats, interviews with women athletes frequently comment on their appearance, social life, or marital aspirations.

(b) Jobs, tasks, and behaviors should not be characterized in a stereotypical fashion on the basis of sex. Avoid identifying all doctors, lawyers, pilots, researchers, and the like as males while identifying all secretaries, nurses, flight attendants, and cooks as women. Recognize that men as well as women "discuss" (rather than men discuss and women gossip); that girls as well as boys get dirty; that men as well as women clean house and nurture children; that both husbands and wives nag, balance checkbooks, mow lawns, deodorize garbage pails, and unplug sinks; that both men and women philosophize, job, conduct symphonies, type, and so forth.

6. Exhibit non-patronizing, non-condescending ways of describing and addressing women, particularly women in traditional occupations, e.g., secretaries, clerks, nurses. Both men and women should be sensitized to the negative effects which result from usage of terms such as "girl," "gal," "coed," "girl Friday," the "girls in the office," and the like.

References:

"Guidelines for nonsexist Use of Language," *American Psychologist* (June 1975): 682-4.

"Guidelines for Nonsexist Use of Language in NCTE Publications," National Council of Teachers of English.

"Proposed Styles and Policies for the Elimination of Sex-Bias in the Media,"
The Washington Press Club.

"Sexism in Language-A Deterrent to Equality," Tennessee Commission
on the Status of Women.

APPENDIX 5

PART-TIME APPOINTMENTS: ILLUSTRATIVE GENERAL SITUATIONS AND PARTICULAR STIPULATIONS.

There are several grounds on which part-time appointments may be made:

(1) A professional person in practice in the community may have expertise that is valuable or even indispensable to instruction or research in an academic program. Such persons may not be willing or able to accept full-time employment at the University but are able to accept such assignments on a continuing part-time basis negotiated so as to make the long-range term of service much like that of full-time faculty.

(2) A person otherwise qualified for full-time academic appointment may have personal reasons for desiring continuing part-time service. Such reasons may include family obligations, independent academic projects, or other independent interests not related to academic work.

(3) The varying demands of the academic program may require from time to time an addition of teaching or research faculty on a temporary basis. Such service may be unpredictable in length, scope, and frequency, and therefore is often negotiated on a quarterly basis. Under these circumstances it is not usually possible to establish a continuing part-time appointment. However, the University recognizes the value of such service and makes every effort to ensure that persons who accept temporary part-time appointments are able to take every possible advantage of the resources and benefits of University service. Where a consistent pattern of employment of such persons has emerged (for instance, when a person has repeatedly been invited to teach two quarters a year for several years and there is reasonable probability that such invitations will continue) a continuing part-time arrangement should be considered.

Any one of the following stipulations might be appropriate for a given part-time appointment, and there may be others:

(a) Assignment to teach a specified course (or courses), with no published research, committee work, or public service expected.

(b) Assignment to teach a specified course (or courses) and in this connection to carry on such research for publication as is necessary for continuing academic credibility; committee work and public service are encouraged and possibly even required.

(c) Assignment to specified research only carrying no teaching, public service, or committee responsibilities.

(d) Assignment to the full range of normal academic duties, scaled down to a proportion of full-time service.

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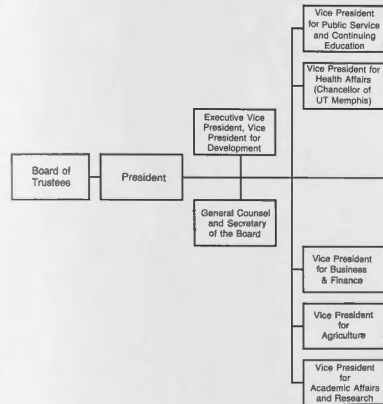
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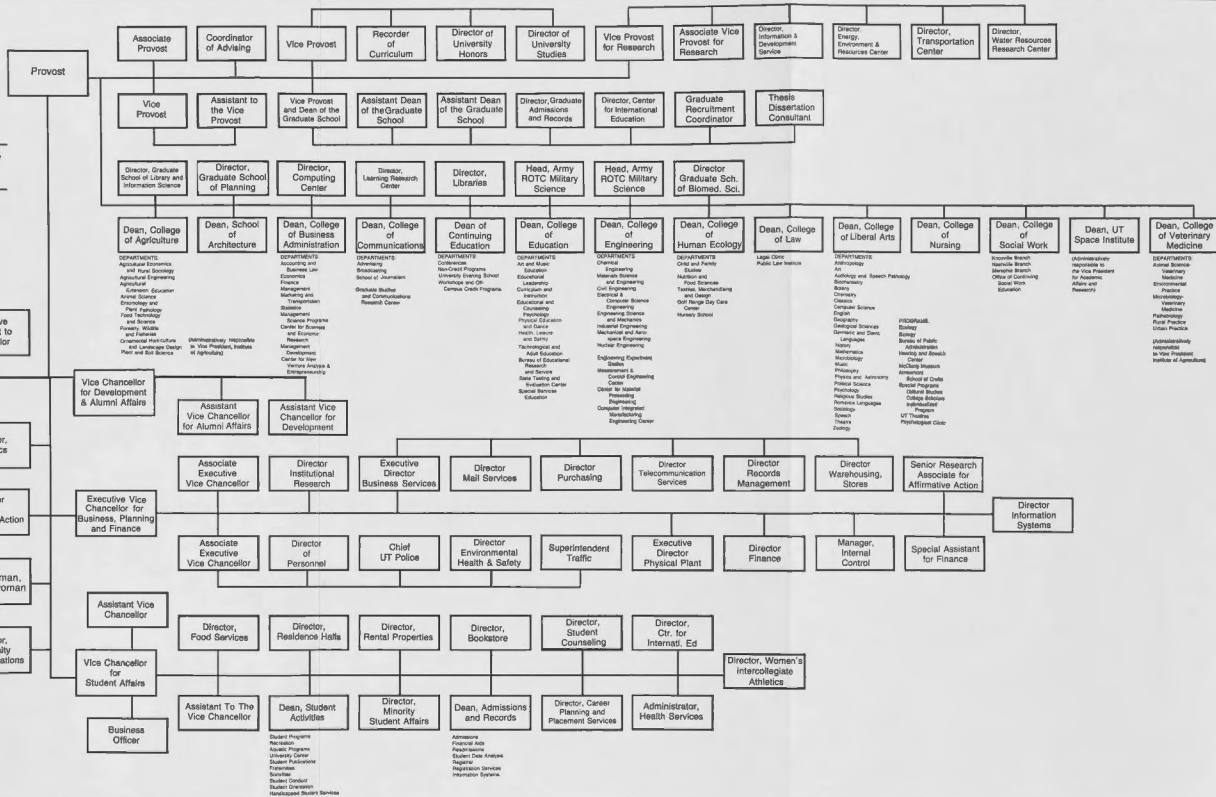
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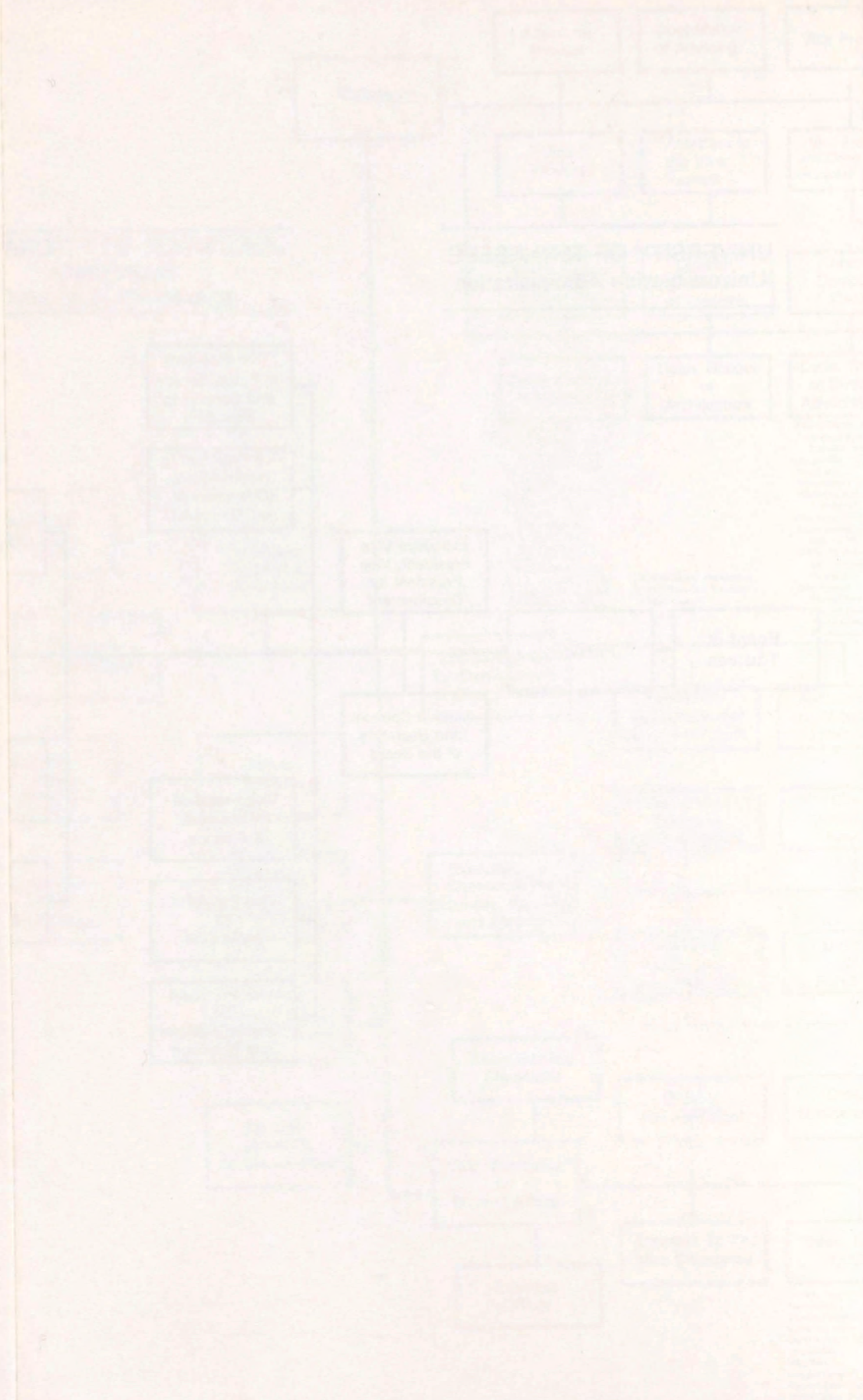
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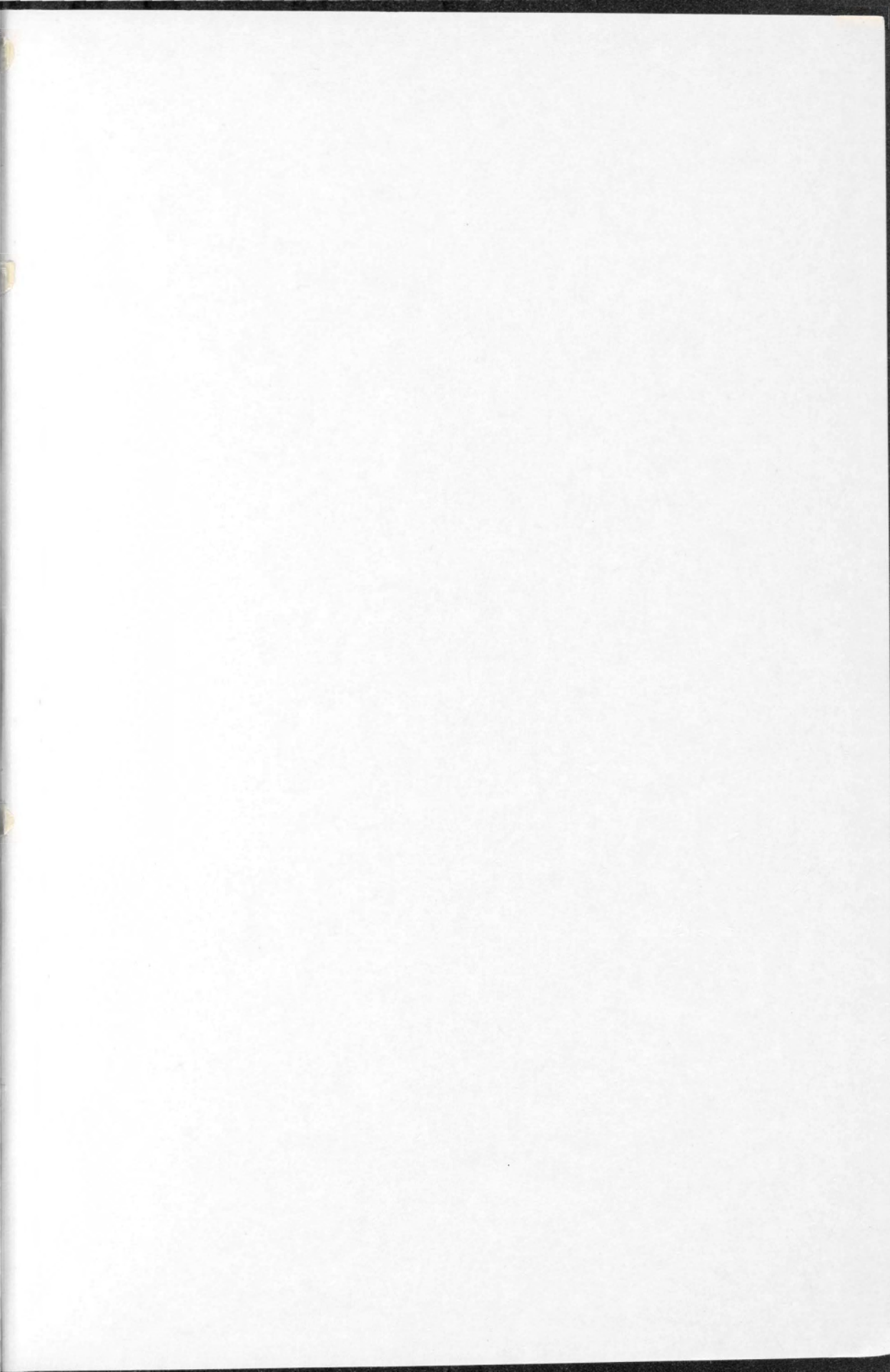
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