Procedural Handbook for Academic Department Heads and Directors

THE UNIVERSITY of TENNESSEE

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Knoxville Campus
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Procedural Handbook
for Academic Department Heads and Directors

Preface

This Handbook was developed for several reasons; first, to be a ready reference for Academic Deans, Department Heads and Directors in their day-to-day duties; second, to offer form letters and other templates in a readily-available format so that efficiency in producing recurring tasks is increased; and finally, as a resource for recommended readings, best practices and case studies pertinent to the work of these professionals. It is intended to be a reference for the proper procedure in the operation of the academic unit.

The Handbook should be a fluid document, evolving and improving over time, as its users make suggestions, offer best practices, case studies, improved form letters or other documents. All feedback or suggestions for the Handbook should be directed to Matthew Theriot (mtheriot@utk.edu), Interim Vice Provost for Faculty Affairs, Office of the Provost, 527 Andy Holt Tower, 37996-0152.

Message from the Interim Provost

The department head is perhaps the most critically important academic leader in the university. The department head works directly with faculty in developing and implementing the activities which are central to the mission of the university: degree programs for our undergraduate and graduate students; an environment that supports research, instruction, departmental service and outreach efforts; and a culture of work/life balance. As the administrator closest to the academic enterprise, department heads must understand how to communicate as faculty with fellow faculty members and as administrators with the administration.

In recognition of the department head's important and challenging role, the administration of the university is intent upon furnishing more adequate training and support for department heads, both new and veteran. This handbook (with accompanying materials) is intended to furnish guideposts to department heads as they negotiate the demands of administering academic programs within a large, complex university. The handbook will be reviewed and revised annually in order to incorporate changes and to become a more effective aid for department heads. We ask all administrators – vice chancellors and deans as well as department heads – to help make this manual more effective by sharing your reactions and suggestions for improvement.

Best wishes for a successful academic year!

Sincerely,

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Office of the Provost

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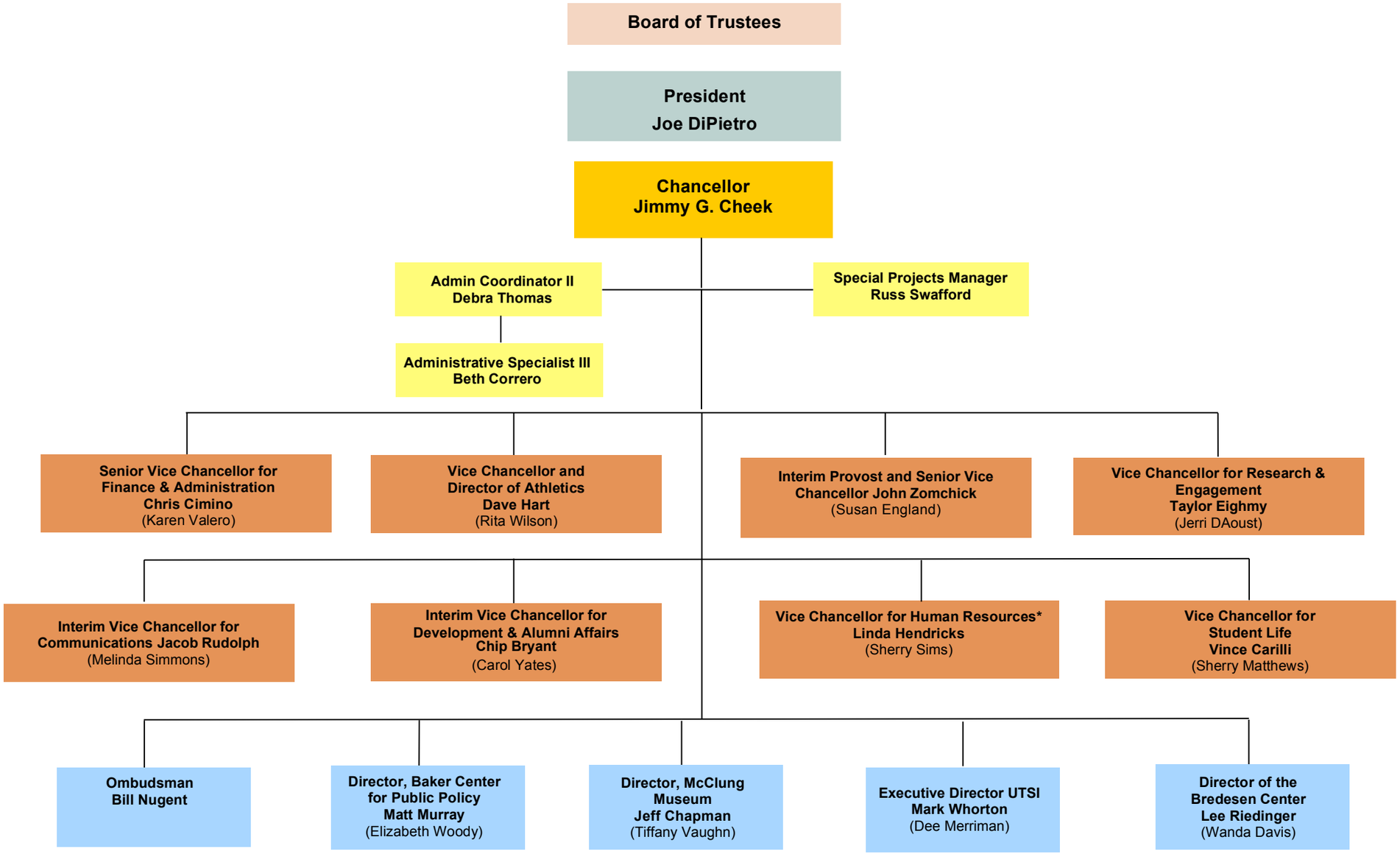


*also reports to the UT System President

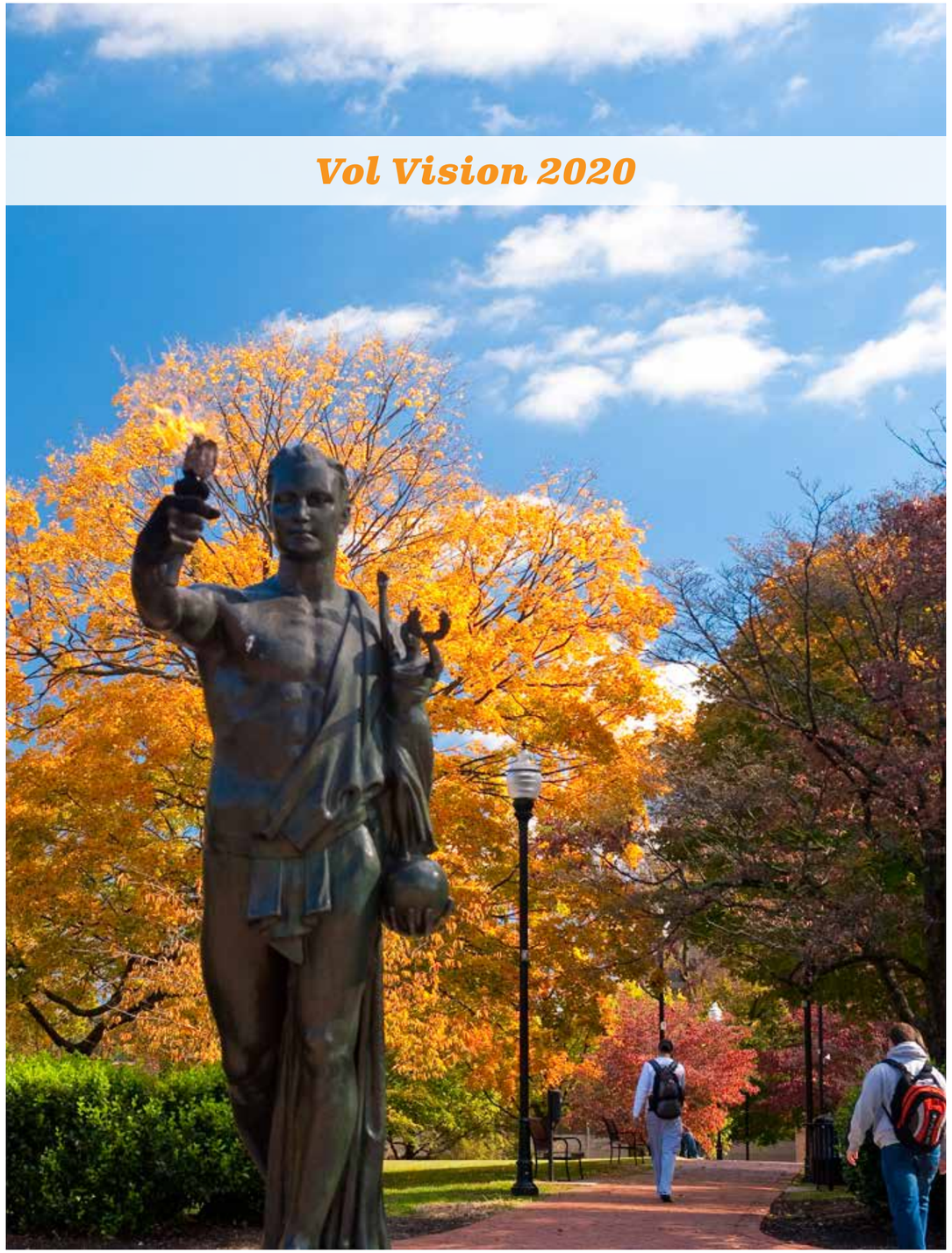
August 1, 2016

THE UNIVERSITY OF
TENNESSEE
KNOXVILLE

Vol Vision 2020:
Journey to the Top

Contents

Vol Vision 2020



Adopted in 2010, *Vol Vision* set the University of Tennessee, Knoxville, on a journey to become a top-tier public research university. This update to the original strategic plan reinforces our commitment to the journey and establishes high-level direction for the next five years.

In January 2015, Provost Susan Martin appointed a Milestone Review Committee of faculty, students, and staff to refresh *Vol Vision*. The committee evaluated progress since 2010, identified challenges, and led a community-wide listening tour that engaged more than 1,400 stakeholders. The group then worked with campus leadership to develop *Vol Vision 2020*.

Objectives

***Vol Vision 2020* . . .**

- Outlines high-level vision, strategic priorities, metrics, and goals
- Provides a framework for college and division planning
- Guides resource decisions since priorities are incorporated into annual planning, budget processes, resource allocation, academic program review, performance evaluations, and other processes

***Vol Vision 2020* is not . . .**

- A multiyear implementation and resource plan
- A comprehensive list of tactical actions

UT developed supporting action plans following the adoption of *Vol Vision* in 2010. These plans outlined specific initiatives, resource requirements, timelines, accountability, and metrics. UT will follow a similar process with *Vol Vision 2020*.

An important objective of *Vol Vision 2020* is to better engage colleges and divisions in planning. In coordination with leadership, colleges and divisions will establish corresponding strategic plans, outline tactical actions, and adopt their own metrics of excellence in support of our strategic direction.

Progress

UT has demonstrated significant progress across the strategic priorities and metrics established in 2010. Accomplishments include, but are not limited to:

- Improvement in graduation rates by 9 percentage points, from 60 to 69 percent
- Increase in first-year retention by 3 percentage points, from 84 to 87
- Increase in PhD degrees conferred by 14 percent
- Growth of sponsored research expenditures by nearly 50 percent
- Increase in the number of Governor's Chairs to fourteen
- Narrowing of faculty and staff salary gaps through five years of regular market and merit salary increases
- Record-setting philanthropic giving of $235 million
- Initiation of a $1 billion physical transformation of campus

Challenges

Vol Vision 2020 does not underestimate the difficulty of the road ahead. Continued and emerging challenges include, but are not limited to:

- A more tuition-dependent revenue base; continued funding challenges
- Intense competition in recruiting students, both in-state and out-of-state
- Limited and fluctuating progress in student retention
- Limited progress in graduate education
- Student and parent concern with tuition and career outcomes
- Heightened competition for sponsored research and large-scale grants
- Sustained faculty and staff salary gaps
- Affordability and support for students with high financial need

The Volunteer Difference

An important difference between the original plan and this update is a new emphasis on the Volunteer Difference and our core values (see pp. 14–15). Our objective is to define and build on the unique set of strengths that set UT apart from its peers. *Vol Vision 2020* outlines the Volunteer difference and embeds these themes throughout the plan.

Strategic Priorities

Vol Vision 2020 includes six strategic priorities, which are outlined below with illustrative supporting actions. The priorities are presented in greater detail in the Strategic Priorities section of the plan (beginning on p. 20).

Priority One: Undergraduate Education
Recruit enrich, and graduate undergraduate students who are prepared to enter the global community as lifelong learners and authentic leaders

- Increase enrollment through recruitment and retention; increase numbers of both Tennessee and out-of-state students
- Improve academic quality through Experience Learning—a wide-ranging undergraduate initiative emphasizing experiential learning—and innovative new approaches to general education
- Improve first-year student retention
- Support on-time graduation with effective academic and career advising
- Engage alumni in student recruitment and career mentorship

Priority Two: Graduate Education
Strengthen graduate education through an emphasis on excellence and improvement of the graduate student experience

- Increase graduate student enrollment
- Improve recruitment and financial support to attract excellent students
- Improve graduate student outcomes through focus on career placement and timely completion of degrees

Priority Three: Research, Scholarship, Creative Activity, and Engagement
Strengthen our capacity, productivity, and recognition across our total portfolio of research, scholarship, creative activity, and engagement

- Recognize contributions beyond sponsored research
- Improve competitiveness for sponsored research through proposal support and new strategic partnerships
- Increase student research opportunities to improve academic quality
- Invest in research and information infrastructure

Priority Four: Faculty and Staff
Attract, retain, and recognize stellar faculty and staff who strive for excellence and proudly embody Volunteer values

- Recruit and retain top faculty and staff talent
- Continue to address salary gaps to support recruitment and retention
- Recognize and reward faculty and staff excellence in performance

Priority Five: Resources and Infrastructure
Develop a resource base for the future; continue transformation of campus infrastructure

- Diversify revenues through philanthropy and managed enrollment growth
- Improve operational efficiency through greater space utilization, business process modernization, shared resources, among other opportunities
- Continue to monitor and control costs
- Implement master plan to modernize campus and improve appearance

Priority Six: Diversity and Inclusion
Enhance diversity and inclusion to benefit our campus

- Recruit and retain students, faculty, and staff from diverse backgrounds
- Understand and improve campus climate to support retention and national recruitment goals
- Prepare students to succeed in a diverse and global workplace

Next Steps

Our ultimate success will depend on a sustained commitment to excellence and improvement as part of our institutional culture. Our objective is to incorporate *Vol Vision* into the day-to-day work of the university rather than a periodic or one-time effort. As we move forward with implementation, we will regularly update campus on progress against campus metrics and goals.

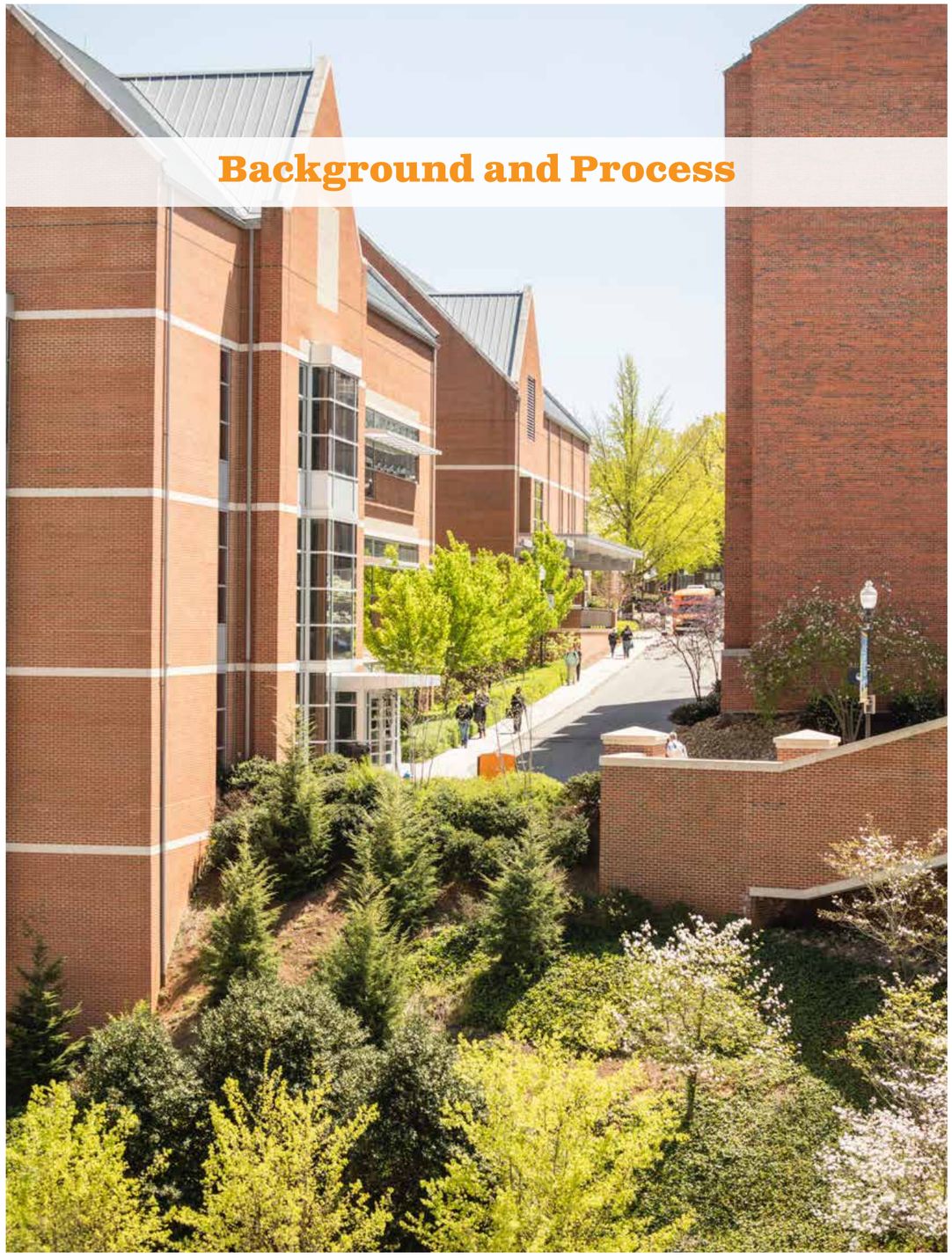
2020 Goals

We continue with the metrics established in 2010 to measure progress against our priorities. The chart below shows our baseline performance, our current performance, and projected goals for 2020. Metrics also include indicators of excellence and quality to be established at the college, department, and division levels (not shown).

	2010 Baseline	*2014 Assessment*	*2020 Goal*
Priority 1: Undergraduate Education			
ACT Equivalent	29/24	29/24	Remain at peer range[1]
First-to-Second Year Retention Rate	84%	87%	90%
Six-Year Graduation Rate	60%	69%	80%
Priority 2: Graduate Education			
Number of PhD Degrees	277	317	365
Number of Master's and Professional Degrees	1,845	1,811	2,083
Priority 3: Research, Scholarship, Creative Activity, and Engagement			
Federal Research Expenditures[2]	$70M	$128M	$200M
Total Research Expenditures[2]	$165M	$246M	$346M
Priority 4: Faculty and Staff			
Faculty Salary Range	$67K–$108K	$76K–$130K	Narrow gap with peers[1]
Undergraduate Students to Tenure-Line Faculty Ratio	20:1	19:1	Remain at peer range[1]
Faculty Awards[3]	10	12	Narrow gap with peers[1]
Priority 5: Resources and Infrastructure			
Teaching and Support Expenditures per Student	$16,100	$19,487	$22,400
Five-Year Average Philanthropic Support[4]	N/A	$83.5M	$110M
Priority 6: Diversity and Inclusion			
Goals are currently in development			

[1] Gap to peers or peer range refers to UT Knoxville's performance compared to an average of Top 25 target peer group.
[2] Research expenditures are for the Knoxville area and include the UT Institute of Agriculture.
[3] The source and definition for faculty awards data is based on the Center for Measuring University Progress (CMUP).
[4] *Vol Vision 2020* uses five-year average philanthropic support. This replaces the previous metric of endowment per student.

Background and Process



Background

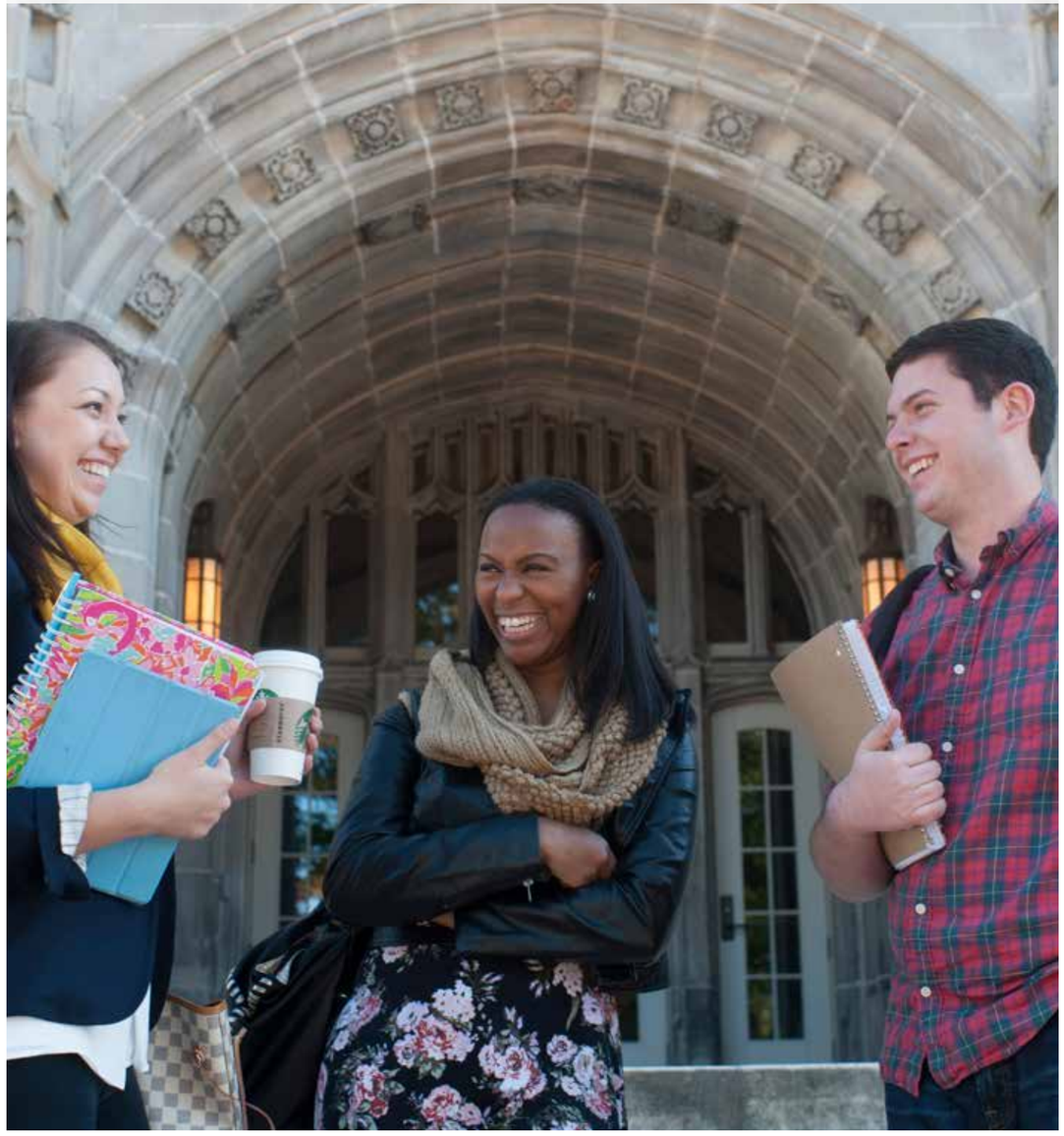
Vol Vision is the strategic plan for the University of Tennessee, Knoxville. The mission, vision, values, and strategic priorities set forth in this plan serve as a uniting set of principles and goals that allow students, faculty, staff, and administrators to align actions and resource decisions around a common vision.

This plan grows out of a bold Top 25 challenge first proposed by then-governor Phil Bredesen in 2009 and continues with support from Governor Bill Haslam. Central to our plan is more than a decade of statewide work across these two gubernatorial administrations to develop some of our nation's most creative higher education initiatives. Programs include the HOPE Lottery Scholarship, the Drive to 55, Tennessee Promise, an outcomes-based funding formula, and, most recently, the Reconnect and Complete initiative. Our strategic plan aligns UT as a strong partner in support of the state's commitment to improving the lives of Tennesseans through higher education.

Milestone Review Process

Provost Susan Martin convened a Milestone Review Committee in January 2015 to refresh *Vol Vision* for the next five years. The first phase of the process, completed in August 2015, was a strategic assessment of past progress and future challenges, accompanied by recommendations for campus consideration. In the second phase, completed in December 2015, the committee engaged more than 1,400 students, faculty, staff, alumni, parents, and other stakeholders in nearly forty meetings, forums, and online feedback opportunities to gather input on strategic direction. Finally, the committee worked with campus leadership to develop Vol Vision 2020. See Appendix A for the committee's membership and process.

Mission, Vision, Values, and the Volunteer Difference



Mission

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

Vision

We seek to establish the University of Tennessee as a top-tier public research university. Inherent in this vision is an acknowledgment that UT is currently a premier institution. Our vision reflects a desire to contribute to the legacy of the university and its longstanding tradition of excellence.

Journey to the Top

The journey means a long-term commitment to excellence, defined as follows:

Top Public Research University Status. We seek to establish UT as a top-tier public research university. Our vision balances undergraduate education outcomes with research and graduate education aspirations.

Excellence. Our aspirations are broader than a single metric or ranking. The journey challenges each college, division, and department to strive for excellence and quality in programs and services.

The Volunteer Difference. We do not seek to imitate other universities. The journey embraces our Volunteer identity and builds on the strengths that differentiate UT from peers.

Commitment. We do not underestimate the difficulty of the journey ahead. Our success will depend on a sustained commitment to improvement as a part of our culture.

We are on this journey to improve the quality of the university. Through this effort, we will increase the value of a UT degree to benefit students and alumni. We will broaden the impact of our academic and research accomplishments. We will continue to drive economic development and support the state's higher education attainment goals as Tennessee's flagship university. Finally, we will position UT for long-term success in a changing and increasingly competitive higher education environment.

Volunteer Values

Promoting an institutional culture of continuous improvement is the key to pursuing and achieving excellence. This culture is guided by adherence to core values that define the Volunteer spirit and permeate who we are, what we do, and our approach to living and learning at UT and beyond. Though our strategic focus may change over time, we remain committed to the following values:

Seeking Knowledge. The Volunteer spirit is intelligent, curious, and honors freedom of speech and the free exchange of ideas. This type of inquiry encourages intellectual growth, a lifelong pursuit of knowledge, and a sharing of this knowledge, as embodied by the Torchbearer.

Leading with Innovation and Integrity. We know that solutions to modern problems arise through an understanding and application of existing data but also through creative thinking. Volunteers value character and integrity. The best leaders foster ethical and professional behavior such as open dialogue, transparency, and accountability within their groups.

Advancing Diversity and Inclusion. The Volunteer community encompasses faculty, staff, students, and alumni of different cultures and backgrounds. Respecting the contributions and strengths of each individual is integral to teamwork and to fostering a culture of inclusive excellence.

Engaging Locally and Globally. Volunteers get involved. Whether acting within our local and extended communities or embracing global challenges, the UT community strives to make a difference.

Embracing Responsible Stewardship of Resources. Sustainability of resources, whether in terms of financial resources, infrastructure, or the environment, is key to a healthy institution. Practicing these values at UT builds a lifelong respect for managing resources responsibly.

The Volunteer Difference

Vol Vision 2020 builds on our unique set of strengths. As we asked campus stakeholders to reflect on our Volunteer identity, the following themes emerged and are incorporated throughout the plan:

Volunteer Community. The Volunteer community and spirit encompass students, alumni, faculty, staff, and supporters. We are viewed as a positive workplace by faculty and staff. Our traditions of excellence, leadership, and service span over 225 years and connect the campus community as a whole. Our legacy of athletic excellence continues and contributes to the Volunteer spirit.

Mission. UT is one of the few universities in the country that serve as both the state flagship and land-grant institution and are located in an urban setting. As a flagship, we are comprehensive, valuing a balance of academic disciplines. We value access and engagement as part of our land-grant mission.

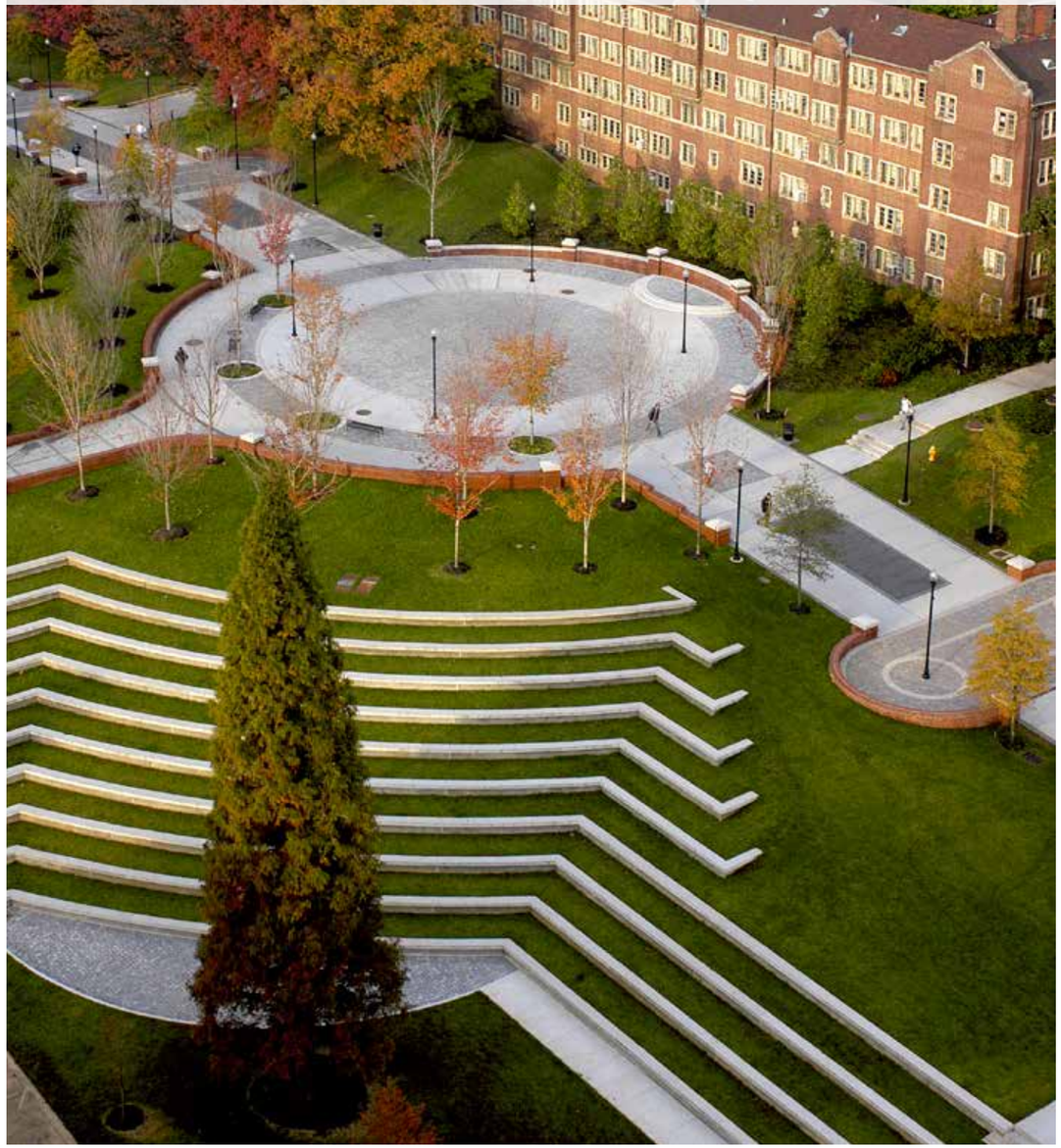
Academic and Research Excellence. Our faculty expertise, academic programs, and research centers represent broad excellence across a multitude of disciplines. Our faculty includes renowned scholars and leaders in their fields. Our partnership with Oak Ridge National Laboratory, in addition to those with other government, corporate, and nonprofit entities, provides unique opportunities for research and academic collaborations.

Student Experience. We offer students a quality education with a wide variety of opportunities and experiences. We are a value in higher education. Our students' student debt loads are lower than national averages.

Alumni Network. Our alumni network spans more than 200,000 Volunteers across the globe with exceptional dedication to the UT community. Students frequently note that alumni connections positively influenced their decision to attend UT.

Place. The Knoxville region provides UT with a dynamic environment and destination of choice—culturally rich with a healthy economic base and a location at the foot of the Great Smoky Mountains.

Progress, Challenges, and Areas for Improvement



Progress

UT has made substantial progress since the adoption of *Vol Vision* five years ago:

Undergraduate Education. UT has maintained incoming student quality in an increasingly competitive recruitment environment. We have increased first-to-second year retention and six-year graduation rates, narrowing the gap to peers in both metrics. UT was recognized as a national leader in graduation and retention rate improvement with the 2014 "Most Visible Progress" Trailblazer award from the Association of Public and Land-grant Universities.

Graduate Education. UT has made investments in graduate stipends, developed innovative graduate programs, and worked to improve the graduate student experience. While UT has increased the number of PhDs conferred, the number of master's and professional degrees conferred has decreased. The gap between UT and peers has increased in these areas.

Faculty and Staff. UT has addressed both faculty and staff salary gaps through market and merit salary increases. Progress in philanthropy, including the Chancellor's Faculty Support Challenge, has contributed to this effort. New programs were implemented to improve recruitment, support professional development, and promote a collegial work environment for faculty and staff.

Research and Engagement. UT has increased both federal and total sponsored research expenditures over the past five years. Several actions contributed to this accomplishment, including new partnerships, the Governor's Chairs program, and increased support for proposal development. In addition, UT earned the Community Engagement designation from the Carnegie Foundation.

Resources and Infrastructure. UT has strengthened its resource base over the past five years. Teaching and other support investments per student have increased. Philanthropic contributions reached record high levels last year. The campus has implemented cost savings and budget reallocation efforts. Finally, UT continues its physical transformation effort, initiating nearly $1 billion in construction projects since 2010.

Rankings

Many of UT's colleges, departments, and programs rank very highly in the numerous higher education ranking systems. Some of these indexes rank the entire campus, while others are specific to colleges and programs. No two indexes use the same methodology and metrics. Covered time spans and release schedules also vary, so the set of current rankings at any moment may appear to include multiple years.

The Center for University Measurement and Performance designated UT a Top 25 institution in its most recent rankings. UT is ranked 47th in the 2016 U.S. News and World Report's *Top Public Universities*, five spaces higher than our rank at the beginning of our journey in June 2010. UT is also ranked as a value in higher education in the *Kiplinger's Personal Finance* and Princeton Review rankings.

Four colleges compare favorably among public universities in their respective U.S. News graduate school rankings as of 2015: the College of Social Work (No. 23), the College of Law (No. 27), the Haslam College of Business (No. 32), and the College of Engineering (No. 36). *DesignIntelligence* ranks the School of Architecture 13th among public universities. Two colleges rank among the top public universities in U.S. News undergraduate program rankings: the Haslam College of Business (No. 30) and the College of Engineering (No. 36). It is important to note that rankings do not exist for all colleges and schools.

Many academic programs rank in or near the Top 25 of public universities or have achieved national distinction in their fields, including, but not limited to, aerospace engineering, biosystems engineering, civil engineering, electrical engineering, nuclear engineering, sports management, supply chain and logistics, clinical law training, information sciences, art, printmaking, animal sciences, anthropology, evolutionary biology and ecology, geography, microbiology, modern foreign languages (Spanish and Portuguese), clinical psychology, counseling

psychology, theatre, opera, agriculture economics, and food science. UT's online master's program in social work ranks second in the country. As with colleges and schools, rankings do not exist for all academic programs.

UT Libraries consistently ranks in or near the Top 25 of public universities in the annual rankings of the Association of Research Libraries.

Challenges

UT must acknowledge and adapt to a changing environment. The committee consulted with experts to identify the following trends that may impact our future:

Changing Revenue Base. Like those of many other public universities, UT's resource base has changed in recent years. Where state appropriations once accounted for the highest percentage of total revenue, tuition and fees are now the largest source. While UT has experienced strong support from the State of Tennessee, funding levels are unlikely to return to previous percentages. Federal funding for research is expected to increase modestly or remain flat. As a result, UT will be more dependent on enrollment, philanthropy, new partnerships, and other revenue streams in the future.

Increasing Competition for Students. Recruiting students in the near future will become even more competitive than it is today. As universities across the country become more dependent on tuition, many are adopting aggressive recruitment and tuition discounting strategies even as the number of college-bound students is expected to decrease. In addition, undergraduate students and parents are increasingly concerned with affordability and career outcomes. Interest in graduate education typically fluctuates and has experienced a recent national decline. This may heighten competition for graduate students.

Shifting Demographics. Tennessee is less racially and internationally diverse than the United States as a whole. However, demographics of both the nation and the state are projected to become more diverse. This trend underscores the importance of positioning the campus for future competitiveness. Furthermore, employers expect new graduates to be culturally conversant and demonstrate the ability to work across differences in an increasingly complex work environment.

Continuing Funding Challenges. We began our journey in the face of economic challenges in 2010. UT's experience over the past five years demonstrates that substantive progress, even compared to better-funded peers, can be made despite lower funding levels. Funding challenges are projected to continue in the future. UT will need to continue to be resourceful, efficient, and entrepreneurial.

Areas for Improvement

The committee led a listening tour that engaged over 1,400 faculty, staff, students, administrators, alumni, parents, and others regarding strategic direction. This section summarizes themes for improvement from these sessions.

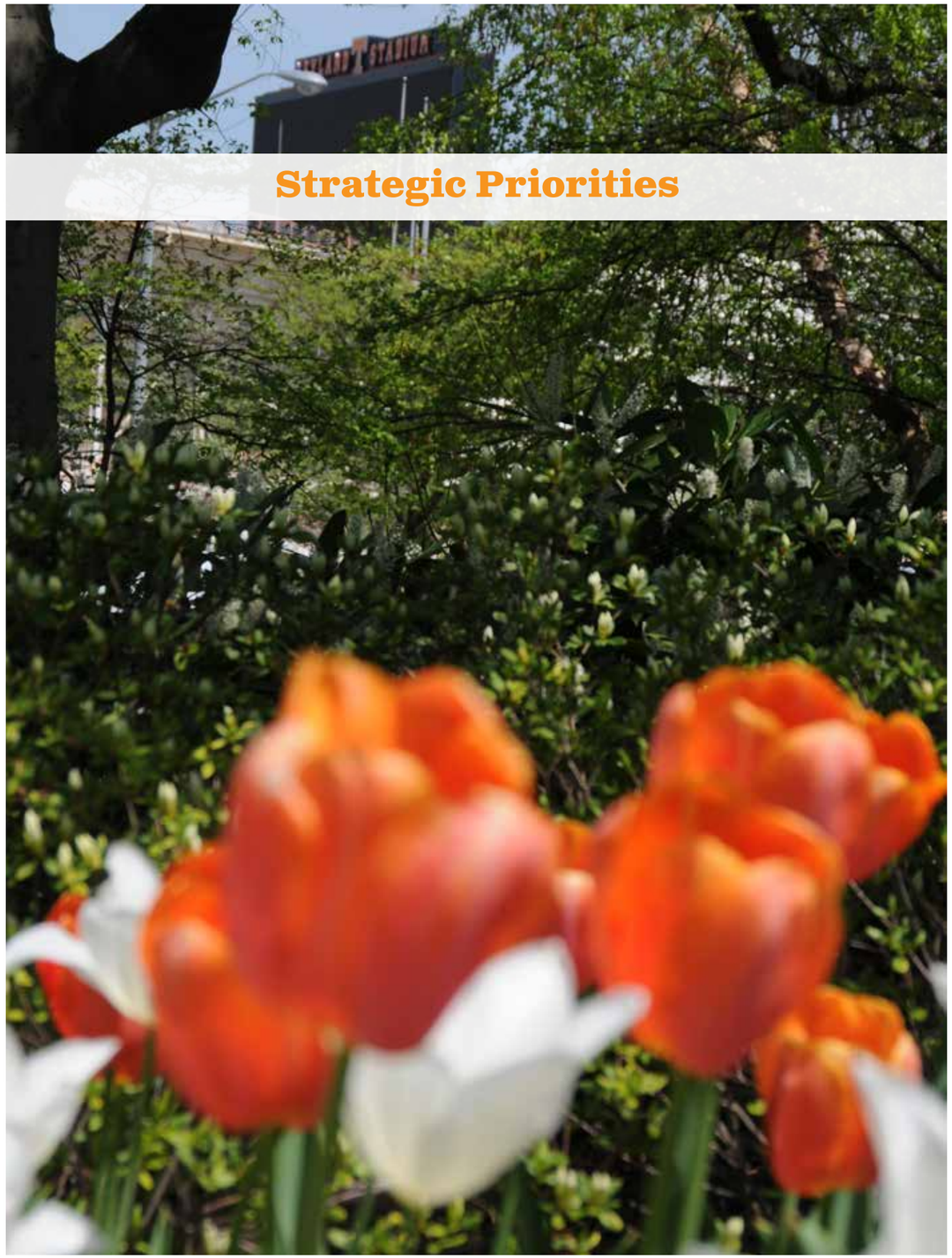
Suggestions for improvement in undergraduate education related to academic and career advising, recruitment, connecting students to campus early in their experience, Experience Learning and mentoring programs, affordability, and alumni connections. Many expressed the need to grow undergraduate enrollment, including out-of-state enrollment. Student financial support, recruitment, and career development were identified as themes for improvement in graduate education. Students also expressed the need for process efficiency, often stating that processes and services are not always coordinated and designed with the students in mind.

Many faculty expressed the need to recognize contributions beyond sponsored research. There also is support to increase competitiveness for sponsored research. We need to improve the communication of our success stories and continue to invest in infrastructure.

Faculty and staff recommend that UT continue to address the salary gap, improve professional development, and increase diversity, especially in faculty ranks. Some expressed concern with the size of the faculty and level of staff support due to the pressures of growth. Many identified the need to build new staff capabilities to keep pace with changing campus needs. There was support for a greater emphasis on staff excellence.

Participants supported continued campus transformation with progress in sustainability and accessibility. Areas for improvement related to parking and dining. With respect to technology, participants expressed the need to continue work related to information systems integration and data quality and access.

Campus stakeholders strongly supported the new strategic priority. There was a common feeling that a diverse campus profile and welcoming community are essential for student and institutional success. Students representing different backgrounds—campus veterans, African Americans, LGBTQ+, and other groups—each expressed feedback to the administration regarding campus climate throughout the process.



Strategic Priorities

Overview

In this section, we present the refreshed strategic priorities and provide an assessment of progress against the goals established in the original strategic plan in 2010. We comment on anticipated challenges and outline strategic directions, action priorities, and goals.

In many areas, the review compares UT's performance to that of a target peer group. This group includes the University of Georgia, Clemson University, the University of Minnesota, Texas A&M University, Rutgers University, Michigan State University, Indiana University, and Purdue University.

The data presented may not reflect the most recent year performance. Unless otherwise noted, the baseline year is 2009, and the year of comparative data is 2014.

For reference, a summary of the original strategic directions and goals adopted in 2010 under *Vol Vision* is provided in Appendix B.

Priority 1 | *Undergraduate Education*

Recruit, enrich, and graduate undergraduate students who are prepared to enter the global community as lifelong learners and authentic leaders

Progress

Over the past five years, incoming student quality, as measured by ACT scores, has remained equivalent to the target peer group. UT improved by 3 and 9 percentage points, respectively, in first-to-second-year retention and six-year graduation rates. This improvement surpassed target peers, and the gaps narrowed in both measures.

While we did not meet the goals set by *Vol Vision* of 90 percent first-to-second-year retention and 75 percent six-year graduation, progress in undergraduate education can be considered a success. As an indicator, UT was recognized as a national leader in graduation and retention improvement with the 2014 "Most Visible Progress" Trailblazer award from the Association of Public and Land-grant Universities.

UT Performance

Metric	*2010 Baseline*	*2014 Comparative*	*Change*
ACT Equivalent 75th/25th Percentile	29/24	29/24	At Peer Range
First-to-Second-Year Retention Rate	84%	87%	+3%
Six-Year Graduation Rate	60%	69%	+9%

Target Peer Performance

Metric	*2010 Baseline*	*2014 Comparative*	*Change*
ACT Equivalent 75th/25th Percentile	28.5/23.5	29/24	+.5/+.5
First-to-Second-Year Retention Rate	90%	92%	+2%
Six-Year Graduation Rate	75%	79%	+4%

Source: National Center for Education Statistics, IPEDS

An action plan developed in 2011 emphasized the importance of graduation in four years. To support this direction, UT adopted a new 15/4 tuition model, expanded sections in high-demand courses, and implemented the uTrack system, supported by eight-semester graduation plans for each major, to provide students with a tool to help them stay on track for graduation. In addition, UT added professional advisors and increased access to other core support services such as tutoring. One Stop Express Student Services was established to integrate everyday student services with a single point of contact. UT expanded effective programs aimed at raising first-year retention rates with additional sections of Ignite Summit, a leadership retreat for incoming students; new living and learning communities; and broader first-year studies programs. Finally, UT improved the use of data and analysis to identify reasons for attrition and develop more effective retention strategies.

Over the past five years, campus leadership has worked to develop a culture that values "on-time" graduation. UT's four-year graduation rate improved by 8 percentage points over the past five years. Our on-time graduation strategy should be noted for its contribution to affordability, institutional effectiveness, and degree production. This direction also supports Governor Bill Haslam's Drive to 55, an initiative to increase the number of Tennesseans equipped with a college degree.

Challenges

Several issues present UT with a new set of challenges in undergraduate education. As identified in strategic considerations for 2020, one pressing challenge is the increasingly competitive environment for recruiting students. Another is the growing public emphasis on career outcomes. Our students need to be prepared to succeed in an increasingly complex workforce regardless of the major and occupation they choose. Success in today's global workforce also requires leadership skills that include an ability to effectively work across differences. This underscores the importance of Experience Learning and student leadership development. It also reinforces the need to help students gain an appreciation for different backgrounds and cultures while at UT.

We have maintained a commitment to access and affordability over the past five years. Today nearly half of UT students graduate with no student debt and average debt loads for UT students fall below national averages. As an indicator of access, roughly 30 percent of UT's undergraduate students are eligible for Pell grants, much higher than target peer averages. Our future challenge will be to continue this commitment to access in light of a changing resource base.

Finally, Tennessee is the first state in the nation to provide access to free community college for graduating high school seniors. The Tennessee Promise program is likely to have an impact on UT's transfer student enrollment patterns in the future, but the full impact remains unknown at this point.

Strategic Direction 2020

Over the next five years, UT will continue to admit qualified diverse students and improve the retention and graduation of those students. We strive to be within range of target peers in these categories by 2020.

We will achieve this goal by connecting students to innovative and meaningful learning experiences that prepare them for leadership in their fields upon graduation. Our objective is to equip students to make lifelong contributions to their professions and communities.

We will emphasize a quality undergraduate experience that is academically rigorous, situated in a community of care and support. Over the next five years, we will foster excellence in teaching and education innovation inside and outside the classroom. We will cultivate the leadership, communication, teamwork, and problem-solving talents of all students. We will enrich the classroom with real-world experiences, global awareness, and undergraduate research as we reinforce an appreciation for different experiences.

We will strengthen a culture that expects on-time graduation. This strategy is important to our ability to remain affordable, operate efficiently, and contribute to the Drive to 55. We will continue to improve academic support systems to help students remain on track to timely graduation. Over the next five years, we will emphasize effective advising to help our students explore, identify, and complete academic paths that lead to rewarding careers.

Students and alumni identify traditions, leadership opportunities, service, and connections as important attributes of the Volunteer experience. We will foster student engagement in experiences espousing the traditions of leadership and service that define our community. We will continue to engage our alumni to enrich our campus community and student experience, especially in student recruitment and professional networking.

With stronger competition for students expected in the future, our strategy to manage growth will include both student recruitment and retention. We will proactively recruit well-qualified students and integrate retention strategies to support the success of students. We will strengthen transfer pathways to UT for veterans and those who participate in Tennessee Promise. We will also work to diversify our campus profile through recruitment and student success.

We will continue our primary mission of service to Tennessee. We will provide an increasing number of Tennessee students with access to an affordable quality education. We will develop the talents of these students to allow them to contribute to the long-term vitality of the state of Tennessee through leadership, service, and innovation.

Finally, we will promote coordinated communication, services, and administrative processes with a student-centric philosophy. As a campus, we will encourage the highest levels of operational and financial efficiency balanced with a commitment of service to students. We will also continue to advance the use of data to improve overall effectiveness and services for students.

Action Priorities

Action priorities will serve as a framework to help guide efforts and resource decisions over the next five years.

Recruitment, Retention, Graduation

Increase Undergraduate Enrollment through Recruitment and Retention. Recruit and retain well-qualified students. Improve transfer pathways to UT. Increase out-of-state enrollment by up to 25 percent. Continue our primary mission of access to Tennessee students.

Education Innovation and Student Experience

Innovate in Experience Learning and Education. Pursue innovative opportunities to challenge and engage students in and out of the classroom through Experience Learning. Create a new approach to general education that reinforces Volunteer values and lays the foundation for academic success.

Support On-Time Graduation Expectations through Effective Academic Support Systems. Transform our approach to advising to better serve the academic and career ambitions of students. Support on-time graduation expectations with effective student success programs, clear paths to completion, courses when they are needed, and useful technology tools.

Engage Students in the Volunteer Experience. Facilitate student transitions to UT by engaging students early in their college careers. Engage students in leadership and service opportunities that contribute to the campus, Knoxville region, and state. Emphasize student safety and wellness to enrich the Volunteer experience.

Engagement after Graduation

Emphasize the Lifelong Volunteer Network. Encourage students to be Volunteers for Life, contributing their service and support to the UT community as students and alumni. Engage alumni to support student recruitment and career advising.

Effectiveness and Cost Management

Implement Student-Centric Communication and Efficiencies. Coordinate to deliver communication, processes, and services from a student-centric perspective. Streamline processes for efficiency but also improve service outcomes for students.

Elevate Quality and Use of Student Data. Improve availability, reliability, and use of data to support effective decisions and manage costs.

2020 Goals

Metric	*2010 Baseline*	*2014 Comparative*	*2020 Goal*
ACT Equivalent 75th–25th Percentile	29/24	29/24	Remain at Peer Range
First-to-Second-Year Retention Rate	84%	87%	90%
Six-Year Graduation Rate	60%	69%	80%

We will also engage colleges and divisions in defining supporting goals for undergraduate education. Examples may include:

- **Experience Learning:** Number of students engaged in Experience Learning, quality of outcomes
- **Volunteer Student Experience:** Number of students engaged in co-curricular activities and leadership experiences, quality of experience
- **Student Learning Outcomes:** Progress in discipline-specific learning outcomes
- **Career Outcomes/Placement:** Data on first job placement or advanced education of students after graduation

Priority 2 | *Graduate Education*

Strengthen graduate education through an emphasis on excellence and improvement of the graduate student experience

Progress

UT's progress in graduate education over the past five years has been mixed. PhD degrees conferred increased by 14 percent, from 277 to 317. Target peers increased degree production at a higher rate, so the gap to peers increased in this metric. Since the baseline year, master's and professional degree production decreased by 2 percent. In contrast, target peers increased in this category. Both graduate education metrics fell short of the goals established in *Vol Vision:* a 30 percent increase in PhD degrees awarded and a 15 percent increase in master's and professional degrees awarded.

UT Performance

Metric	*2010 Baseline*	*2014 Comparative*	*Change*
Number of PhD Degrees	277	317	+40 (14%)
Number of Master's/Professional Degrees	1,845	1,811	-34 (-2%)

Target Peer Performance

Metric	*2010 Baseline*	*2014 Comparative*	*Change*
Number of PhD Degrees	486	574	+88 (18%)
Number of Master's/Professional Degrees	2,130	2,672	+542 (25%)

Source: National Center for Education Statistics, IPEDS

Since 2010, UT has taken action to improve graduate education. UT raised its commitment to graduate student funding to improve competitiveness in recruitment and retention. UT's investment in assistantships grew by nearly 24 percent, from $31.8 million in 2010 to $39.3 million in 2014. The median value of assistantships steadily increased during this time. It is important to note that the level of increase varied by department.

Highlights of accomplishments include growth in PhD and master's degree production in STEM-related areas and the expansion of professional offerings through new online programs. The number of graduate students receiving National Science Foundation research awards more than doubled between 2010 and 2014. UT added new interdisciplinary and dual degree programs, including an innovative doctoral program aligned with the Bredesen Center for Interdisciplinary Research and Graduate Education.

Finally, UT expanded services to graduate students, including streamlined admissions processes, additional advising and mentoring programs, new leave-of-absence policies, new teaching certifications, and increased funds for travel. The Graduate School has worked with colleges, departments, and programs to increase efforts in diversity recruitment by initiating new visitation programs and facilitating stronger links to historically black colleges and universities and to the McNair Scholars Program.

Challenges

Several issues present challenges in graduate education. On a national scale, there has been modest growth in master's degree applications but a recent decline in PhD applications. Trends further demonstrate that doctorate recipients are more likely to pursue nonacademic careers than in the past, which relates to the need for additional career development for doctoral students.

Over the past five years, UT has experienced an overall decline in total graduate enrollment, driven by decreases in master's and professional degree candidates. The number of both master's and PhD applications remained flat. However, certain programs experienced growth despite the trend. The graduate financial support and tuition model continues to be a challenge for many academic programs. While investment in graduate student funding has increased, the majority of disciplines continue to fall below the funding levels offered at competing universities. Some departments report that the number of available tuition waivers for students limits opportunities for growth.

There typically is a high cost associated with competitive student financial support packages, especially for doctoral students, to include stipends, waivers, and benefits.

The current out-of-state tuition structure poses challenges, particularly for online programs. Due to the lower pricing strategies of online competitors, many UT programs find it difficult to compete for students outside Tennessee and grow to scale.

Strategic Direction 2020

Excellent graduate programs and high-achieving graduate students are hallmarks of leading public research universities. Today, UT has several graduate programs of national prominence across a variety of academic disciplines. To achieve national distinction, we will need to foster excellence in academic programs, both existing and emerging. Over the next five years, we will increase graduate degree production through an emphasis on excellence.

As a broad strategic direction, we will engage academic programs to define measures of excellence in graduate education. Recognizing that growth in graduate education requires investment, we will develop a sustainable resource model to support growth goals. In line with the core values of a flagship university, we commit to comprehensive excellence and a healthy balance of growth across disciplines. We further commit to growth at both the doctoral and the master's and professional degree levels.

Over the next five years, we will encourage academic programs to develop recruitment plans for graduate education that align with academic strengths, faculty capacity, and student opportunity. We will emphasize growth in areas that demonstrate excellence. We will also encourage our faculty to integrate graduate education with areas of leading-edge collaborative research and scholarly activity, which may result in growth through innovative new programs.

We will support growth in master's and professional degree programs. Over the next five years, we will increase professional degree programs in areas of existing and emerging student demand, which includes programs for nontraditional and working students. This direction will require flexibility in curriculum delivery to include models that leverage online modes and alternative schedules to accommodate working professionals. We will also review the tuition model for online programs to be more competitive on a national scale.

Over the next five years, we will improve our ability to recruit an exceptional body of graduate students. Our strategy will include recruitment of diverse and global students. During our period of stakeholder outreach, graduate students expressed that accomplished faculty, quality academic programs, and innovative research opportunities positively influenced their decision to enroll at UT. While we expect that our commitment to excellence will improve our ability to attract well-qualified students over time, we will improve our tactical recruiting practices to be more competitive for these students. We will also improve financial support packages, including stipends, tuition waivers, and benefits, to be competitive in the market.

Prominent graduate programs demonstrate strong graduate student success and career placement results. Over the next five years, we will support students in completing programs in a timely manner. We will support graduate students in evaluating career options and provide relevant training to result in competitive placement after graduation. We will also engage our alumni network, where applicable, to assist with career placement for graduate students.

Consistent with our direction in undergraduate education, we will promote coordinated communication, services, and administrative processes with a student-centric philosophy. We will also continue to advance the use of data to improve effectiveness and evaluate excellence.

Action Priorities

Action priorities will serve as a framework to help guide efforts and resource decisions over the next five years.

Excellence in Graduate Education

Define and Track Indicators of Excellence. Define indicators of excellence at the college or academic department level.

Graduate Student Enrollment

Increase Graduate Enrollment through an Emphasis on Excellence. Engage colleges and departments to develop growth plans to support excellence in graduate education, including doctoral, master's, and professional degree programs.

Improve Graduate Recruitment and Financial Support. Improve recruitment of outstanding candidates by targeting well-qualified students. Improve recruitment of students from diverse backgrounds and international students. Develop a more competitive and sustainable model for graduate financial support to include investments in stipends, waiver allocation, benefits, and tuition support for students with prestigious externally funded fellowships. Evaluate tuition alternatives for online programs.

Student Success and Placement

Improve Graduate Student Success and Career Placement. Ensure that graduate students complete degrees in a timely manner. Support graduate students with improved career coaching, training in teaching, and career placement support.

Emphasize Lifelong Volunteer Network. Encourage graduate students to be Volunteers for Life, contributing their service and support to the UT community as students and alumni. Engage alumni to support student recruitment and career advising.

Effectiveness and Cost Management

Implement Student-Centric Communication and Efficiencies. Coordinate to deliver communication, processes, and services from a student-centric perspective. Streamline processes for efficiency but also improve service outcomes for students.

Elevate Quality and Use of Student Data. Improve availability, reliability, and use of data to support effective decisions and manage costs.

2020 Goals

Metric	*2010 Baseline*	*2014 Comparative*	*2020 Goal*
Number of PhD Degrees	277	317	365
Number of Master's/Professional Degrees	1,845	1,811	2,083

To support our goals, we will engage colleges and divisions in defining specific excellence goals for graduate education. High-level guidance is as follows:

- **Enrollment:** Enrollment trends, application trends
- **Student Qualifications:** Student entering qualifications, entering test scores and academic achievement (as applicable)
- **Student Progression:** Degree completion rates, time to degree
- **Student Accomplishments:** Graduate student accomplishments in research, scholarship, and creative achievement; prestigious awards and fellowships
- **Outcomes:** Career placement

Note: Indicators in graduate education may need to be tracked at the department level, depending on the college.

Priority 3 || *Research, Scholarship, Creative Activity, and Engagement*

Strengthen our capacity, productivity, and recognition across our total portfolio of research, scholarship, creative activity, and engagement

Progress

UT increased federal research expenditures by 83 percent, from $70 million to $128 million. Total research expenditures increased by 49 percent, from $165 million to $246 million. UT exceeded goals in federal research expenditure growth set in the original *Vol Vision*.

We note that for the purposes of this analysis the research expenditures listed below reflect the Knoxville area, to include the UT Institute of Agriculture. Since this area is integrated into the main campus organization at most target peers, the definition allows for a closer comparison.

UT Performance

Metric	*2010 Baseline*	*2014 Comparative*	*Change*
Federal Research Expenditures	$70M	$128M	+$58M (83%)
Total Research Expenditures	$165 M	$246M	+$81M (49%)

Target Peer Performance

Metric	*2010 Baseline*	*2014 Comparative*	*Change*
Federal Research Expenditures	$182M	$240M	+$58M (32%)
Total Research Expenditures	$427M	$524M	+$97M (23%)

Source: National Science Foundation's Higher Education Research and Development Survey. Baseline is FY 2008. Current is FY 2014. Values presented above include UT Knoxville and the UT Institute of Agriculture.

Several actions contributed to the increase in funded research. UT established new partnerships on multiple fronts. UT expanded its relationship with Oak Ridge National Laboratory, involving Governor's Chairs, joint faculty appointments, and joint institutes. UT has added seven Governor's Chairs since 2010. These efforts also included the strengthening of the Cherokee Farm Innovation Campus. In addition, UT greatly expanded services to support faculty pursuing large grants, centers, and multidisciplinary initiatives. We also expanded outreach efforts between faculty and federal stakeholders in DC, including program managers. UT expanded support of faculty in pursuit of funded research from corporate and foundation sponsors.

UT faculty received several prestigious awards and recognitions from federal agencies and national foundations. In addition, faculty engaged increasing numbers of undergraduate and graduate students in research opportunities. We expanded the Office of Undergraduate Research to support this direction.

UT earned the Community Engagement designation from the Carnegie Foundation in 2015. With this classification, UT reinforces the institutional importance of its engagement and outreach mission.

Challenges

Measuring the full impact of contributions related to research, scholarship, creative activity, and engagement remains a challenge. *Vol Vision* metrics focus on research expenditures. These data points are regularly tracked by government agencies and viewed as important national comparative research metrics. However, funded research alone does not capture the full scope of faculty contributions. Measures of scholarship, creative activity, and engagement tend to be less standardized and more discipline-specific. Comparative data may not be readily available. Without a reasonable attempt to recognize our full breadth of accomplishments, we are unable to display our portfolio of achievements, engage the full potential of our faculty talent, and recognize excellence across the campus.

Projected federal funding levels present a separate challenge. Funded research remains critical to UT's ability to raise its national profile. However, federal funding levels tend to fluctuate. Growth in federal funding is expected to be modest or flat in the near future. Maintaining our growth trajectory may require that we cultivate opportunities to work with additional federal agencies.

Growth in corporate and foundation partnerships in both domestic and international markets may also be more important over the next five years.

Aligning campus with anticipated changes in strategic priorities of major sponsors will be another challenge. Sponsors are expected to increase focus on transdisciplinary and big-team research. Attention to the responsible conduct of research is expected to continue, emphasizing attention to compliance. The importance of commercialization is another emerging trend with both government and other external sponsors.

Quality research space, facilities, and start-up packages are important to attracting and retaining research talent. As an example in support of this direction, UT is pursuing a core facilities strategy to improve the quality of research infrastructure in a cost-effective shared environment. While UT has made progress in both areas over the past five years, peers are also investing in these areas despite projections for modest to flat growth in federal funding.

Strategic Direction 2020

Leading public research universities foster excellence across a diverse scope of research, scholarship, creative activity, and engagement in order to contribute solutions to local, national, and global problems. As UT continues our journey, we must broaden our scope to support innovation and scholarly contributions across all disciplines. We must also enhance our commitment to engagement and service to Tennessee, aligned with our mission as the flagship and land-grant university for the state.

Over the next five years, we will recognize and celebrate contributions across the total research portfolio—in funded research, scholarship, creative activity, and engagement, both in and across disciplines. We will engage colleges, academic departments, and research centers to define discipline-specific indicators of excellence to better identify the accomplishments of our faculty. Inherent in this initiative will be an expectation to track outcomes and celebrate success stories as a campus. We will also communicate our major accomplishments to national and international audiences in support of our academic reputation.

Over the next five years, we will shift our traditional paradigms to improve our ability to compete on national and international levels for large-scale research opportunities. We will pursue transdisciplinary research, which will require that we cut across academic boundaries and disciplines to support new fields of discovery and innovation. We will seek opportunities at the nexus of government, university, industry, and foundation partnerships. Finally, we will support opportunities to transition innovation into entrepreneurial ventures.

To further support our strategy to be more competitive for sponsored research, we will continue to improve proposal support for research grants and contracts. We will pursue strategic partnerships to expand our funded research opportunities. We will also deepen our relationship with current sponsors and target opportunities to partner with different federal agencies.

As a land-grant university and with the Community Engagement designation from the Carnegie Foundation, we will continue to focus on engagement as core to our mission. Engaged scholarship cuts across the missions of teaching, research, and outreach. Rather than being a separate activity, engagement is a particular approach that emphasizes campus-community collaboration.

Over the next five years, we will support excellence in engagement to support this direction. We will integrate engagement with our educational mission through Experience Learning.

Leading research universities engage students in innovation and discovery. We will improve the integration of research, scholarship, creative activity, and engagement in our undergraduate programs to promote innovation and problem-solving skills. We will also provide our graduate students with meaningful opportunities to work with our faculty in order to make substantive contributions.

Finally, we recognize the need for research support and infrastructure if we are to be effective in our pursuits. We will implement a campus master plan that increases the amount and quality of research space. We will also pursue core facilities to provide research infrastructure and equipment in a more cost-effective environment. Finally, we will enrich a culture that values compliance with regulations and requirements of sponsored research.

Action Priorities

Action priorities will serve as a framework to help guide efforts and resource decisions over the next five years.

Excellence Across the Total Research Portfolio

Define and Track Indicators of Excellence. Engage colleges, academic departments, and research centers to define indicators of excellence in research, scholarship, creative activity, and engagement. Track and report significant accomplishments of faculty across disciplines.

Recognize Excellence and Celebrate Success. Recognize and support excellence across different disciplines and in transdisciplinary efforts. Enhance communication vehicles to promote innovation and scholarship accomplishments on a national and international scale to enhance the reputation of the university.

Paradigm Shifts

Support Transdisciplinary Research. Continue to support transdisciplinary research through initiatives that promote teaming and integration across disciplines. Evaluate opportunities to align faculty evaluation and promotion processes to recognize and promote excellence in transdisciplinary research.

Promote Government, Industry, University, and Foundation Nexus. Encourage a holistic approach to partnerships at the government, industry, university, and foundation nexus. Strengthen our research teams to pursue large-scale opportunities aligned with these partnerships.

Support Entrepreneurship and Commercialization. Support opportunities to transition research discoveries to entrepreneurial ventures and other commercial opportunities where appropriate.

Excellence in Sponsored Research

Improve Proposal Competitiveness. Continue to enhance the necessary proposal support for faculty to be competitive for funded research opportunities.

Develop Strategic Partnerships. Continue to leverage regional assets and explore new alternatives for growth, including nonfederal and international sponsors.

Expand Federal Sponsors. Pursue opportunities to partner with additional federal agencies in sponsored research to expand our opportunities. Strengthen relationships with existing partners.

Engagement and Outreach

Support Excellence in Engagement. Continue to support excellence in engagement. Engage campus in tracking and communicating efforts. Integrate engagement in educational mission through Experience Learning.

Education Mission

Increase Student Research Experiences. Improve opportunities to engage undergraduate students in undergraduate research as part of Experience Learning. Improve the graduate student experience to include more opportunities to contribute to research, scholarship, creative activity, and engagement.

Effectiveness and Cost Management

Improve Research Infrastructure. Improve research infrastructure through core facilities, libraries, and other essential campus-wide infrastructure. Implement core facilities and other shared resources where possible.

Enrich a Culture of Compliance. Continue to enrich an institutional culture that values compliance with federal research standards and requirements.

2020 Goals

Metric	*2010 Baseline*	*2014 Comparative*	*2020 Goal*
Federal Research Expenditures	$70M	$128M	$200M
Total Research Expenditures	$165M	$246M	$346M

We will engage colleges, departments, and centers to define indicators of excellence in research, scholarship, creative activity, and engagement. Examples may include:

- **Scholarly Outputs:** Books, chapters, publications in specific journals, citations, h-index for faculty, invited lectures, etc.
- **Sponsored Research:** Proposals submitted awards, expenditures, outputs, etc.
- **Creative Activity:** Exhibitions, displays, etc.
- **Engagement:** Partnerships (type, impact area, geographical area), outputs and products, etc.
- **National Awards and Recognitions:** Prestigious awards and recognitions received by faculty, students, and staff
- **Commercialization:** Patents, licenses, etc.

Note: Indicators of excellence may need to be tracked at the department level, depending on college, and include research centers.

Attract, develop, and retain stellar faculty and staff who exemplify our values and strive for excellence

Progress

Over the past four years, UT has invested $56 million in market and merit increases to address both faculty and staff salary gaps. Since UT has increased salaries at a higher rate than peers, the gap has narrowed in faculty salary over the past five years.

With respect to additional goals, both UT and peers have increased faculty awards since 2010. Compared to the baseline year, UT improved from 20:1 to 19:1 in this metric. While UT did not fully accomplish its goals in the first phase of the journey, we are better positioned to attract and retain stellar talent as a result of our progress.

UT Performance

Metric	*2010 Baseline*	*2014 Comparative*	*Change*
Mean Faculty Salary Range (Full to Assistant)	$67K to $108K	$76K to $130K	+$22K to $9K
Faculty Awards	10	12	+2
Undergraduate Students to Tenure-Line Faculty	20	19	-1*

Target Peer Performance

Metric	*2010 Baseline*	*2014 Comparative*	*Change*
Mean Faculty Salary Range (Full to Assistant)	$73K to $120K	$82K to $134K	+$14K to $9K
Faculty Awards	32	36	+4
Undergraduate Students to Tenure-Line Faculty	19	20	+1*

*A lower ratio is typically considered more favorable in this metric

Source: American Association of University Professors (faculty salary range), Center for Measuring University Performance (faculty awards), National Center for Education Statistics, IPEDS (undergraduate students to tenure-line faculty).

UT has made strides in improving faculty support. The Chancellor's Faculty Support Challenge resulted in $21 million in new commitments and contributed to sixty-six new funded professorships. Today, more than 170 faculty members, representing nearly 16 percent of faculty, are supported through professorships.

Since 2010, the total number of full-time tenure-line faculty increased by 4 percent with the addition of more than forty new faculty lines. These gains included an increase in Governor's Chairs, to a total of fourteen. UT also increased the number and percentage of female and minority faculty representation.

UT increased support for faculty in pursuit of national awards. Four members of our faculty have been admitted to the National Academy of Engineering or the National Academy of Sciences since 2010. UT faculty have received more than sixty prestigious national awards over the past five years, including National Science Foundation CAREER Awards, Fulbright awards, National Endowment for the Humanities awards, and American Council of Learned Societies awards. Our faculty members were recognized with thirteen NEH fellowships over the past decade, ranking fourth in the country among public universities.

UT expanded programs and services to improve our work culture and climate. STRIDE@UT and the Future Faculty Program were established to encourage faculty diversity. UT initiated department head workshops aimed at improving leadership abilities. New career pathways were structured for non-tenure-track faculty. UT also began new programs to encourage collegiality, including Faculty Pub, Faculty Appreciation Week, and Mic/Nite.

With regard to staff compensation, UT has been able to offer market, merit, and equity increases over the past five years, which have been instrumental in closing some market gaps. Campus leadership has also increased the starting salaries of its lowest-paid workers. Career paths have been added in five areas: Police Department, Audit and Consulting Services, Creative Services, Advising, and Accounts Payable.

To support a broad culture of dialogue and transparency, an Employee Engagement Survey was distributed in 2011 and again in 2014 to communicate what the campus can do to become a better place to work.

Challenges

Sustaining the narrowing of the salary gap for both faculty and staff will be a challenge over the next five years. While improvements have been made, UT will need to continue to address this issue with merit and market adjustments to remain competitive for talent. Significant market gaps also remain within staff compensation.

As a national trend, non-tenure-track and part-time faculty positions grew at a much more robust rate than tenure-line positions. At UT, non-tenure-track faculty as a percentage of total full-time faculty increased from 22 percent in 2010 to 27 percent in 2014. The committee acknowledges the important contributions of this segment in teaching, research, and engagement. While progress has been made, more attention is needed in career paths, compensation, and professional development.

Staff members are essential partners in faculty and campus productivity. Following national trends, UT's workforce needs are expected to evolve and grow in complexity. Professionals will be in higher demand to support UT's expanding needs in areas such as advising, compliance, data analysis, and information technology, as examples.

UT faces several workforce development challenges. We will need to provide the campus with adequate levels of staff support while also adopting the appropriate mix of skill sets for campus needs. We will need to develop the capabilities of our current staff and recruit and retain top staff talent by offering compensation at or above market means, career paths, and professional development support.

Action Priorities

Action priorities serve as a framework to help guide implementation actions and resource decisions over the next five years. The action priorities that follow are organized in faculty and staff categories due to the different nature of the issues and related actions.

Faculty

Continue to Address Compensation Gaps for Faculty. Continue to address the faculty salary gap to target peers by monitoring competitiveness of the total package for new faculty hires, including salary and start-up, as well as providing regular market and merit salary increases for current faculty.

Recruit and Retain Top Faculty Talent. Continue to develop enhanced strategies to assure the successful hiring of a stellar diverse faculty. Enhance existing programs for dual-career faculty. Support programming aimed at work-life balance. Maintain a commitment to a civil, collegial, and inclusive campus culture.

Support Faculty Productivity and Reward Excellence. Improve coaching and incentives to support faculty in pursuit of national awards. Encourage performance evaluation practices that reward excellence. Promote campus discussion on diversifying workloads of tenured faculty to recognize different emphases in efforts over the course of a tenured faculty member's career.

Improve Faculty Development. Enhance initiatives to support career progression and professional development for faculty at all levels through innovative training, development, and mentoring programs. Provide leadership training for interested faculty.

Support Non-tenure-track Faculty Excellence and Professional Development. Continue to develop consistent institutional practices for promoting non-tenure-track faculty involved in research, teaching, and engagement. Improve professional development opportunities and better integrate non-tenure-track faculty into campus culture.

Staff

Continue to Address Compensation Gaps for Staff. Provide competitive total compensation through a regular system of market and merit salary increases and competitive benefits for staff.

Recruit and Retain Top Staff Talent. Improve recruitment to assure the successful hiring of a stellar diverse staff, both locally and on a national level, as appropriate for roles. Support programming aimed at work-life balance. Maintain a commitment to a civil, collegial, and inclusive campus culture.

Improve Professional Development and Career Growth. Improve professional development opportunities to help current staff grow into evolving roles. Provide effective career paths, set clear expectations, and perform regular position analysis to support staff development.

Emphasize Excellence in Performance Management. Improve the current system of performance management and evaluation to better recognize and reward excellence.

Recognize Excellence. Implement a series of awards and recognitions for staff members who exemplify excellence and make noteworthy contributions to the campus community.

2020 Goals

Metric	*2010 Baseline*	*2014 Comparative*	*2020 Goal*
Faculty Salary Range	$67K to $108K	$76K to $130K	Narrow Gap with Peers
Undergraduate Students to Tenure-Line Faculty	20	19	Remain at Peer Range
Faculty Awards	10	12	Narrow Gap with Peers

UT will also track and report on appropriate supporting metrics at a campus level for faculty and staff on the following topics:

- **Employee Engagement Survey**
- **Workplace excellence metrics**—Compensation gaps, recruitment outcomes, retention patterns

Priority 5 | *Resources and Infrastructure*

Develop a resource base for the future; continue transformation of campus

Progress

Teaching and support investment per student increased by 21 percent. However, UT remains in a lower comparative position than peers. While UT made strong gains in endowment per student, comparative peers started at a much higher position due to longer-term endowment strength so the total dollar gap to peers has widened despite a significant increase in this metric. UT is in a stronger position today as a result of the gains over the past five years.

UT Performance

Metric	*2010 Baseline*	*2014 Comparative*	*Change*
Teaching and Support Expenditures/Student	$16,100	$19,487	+$3,387 (21%)
Endowment/Student	$14,380	$24,058	+$9,678 (67%)

Target Peer Performance

Metric	*2010 Baseline*	*2014 Comparative*	*Change*
Teaching and Support Expenditures/Student	$24,300	$27,200	+$2,900 (12%)
Endowment/Student	$38,400	$55,580	+17,180 (45%)

Source: National Center for Education Statistics, IPEDS, and audited financial reports (teaching and support expenditures); Council for Advancement and Support for Higher Education (endowment)

Progress in development and alumni giving has allowed UT to more expeditiously move forward with our strategic priorities. Our alumni and friends are excited about the journey and are investing their philanthropic resources at rates greater than we have ever seen, in both total gifts received and a growing donor base. UT received nearly $235 million in private and corporate gifts last fiscal year, making it the most successful fundraising year in campus history. In fiscal year 2015, more than 39,000 donors boosted private support by 79 percent over the previous year.

The recent physical transformation of campus is a visible indicator of progress. UT has initiated nearly $1 billion in construction projects since 2010. As an important part of this transformation, UT has incorporated new campus beautification and landscaping efforts to improve the campus's appearance. This transformation represents a much-needed upgrade of physical infrastructure to include research space as well as residence hall modernization, which is expected to have a positive impact on recruitment and retention.

Sustainability remains a priority. UT's carbon emissions per gross square footage have decreased over the past five years, indicating gains from initiatives including Make Orange Green, a campus-wide effort to reduce environmental impact.

Advancement in information technology has allowed UT to improve instructional technology and systems to support data-driven decisions. To improve support for faculty, UT increased professional support for online and hybrid course development and delivery. The state of technology in the classroom has also improved through a series of upgrades. UT improved systems and reporting to support access to quality data. Progress includes the implementation of a new student system, development of an institutional data set to improve student data reporting, and implementation of several new systems to increase productivity. Based on a recent survey, IT services met or exceeded campus expectations in connectivity and access, collaborative technology, and IT support.

UT has routinely implemented administrative cost savings measures and identified opportunities to reallocate resources. Sample actions include nearly $5.5 million in implemented recurring savings associated with facilities, information technology, auxiliary services, and transportation, among other areas. An additional $4.2 million was reallocated through the budgeting process for strategic uses in academic units.

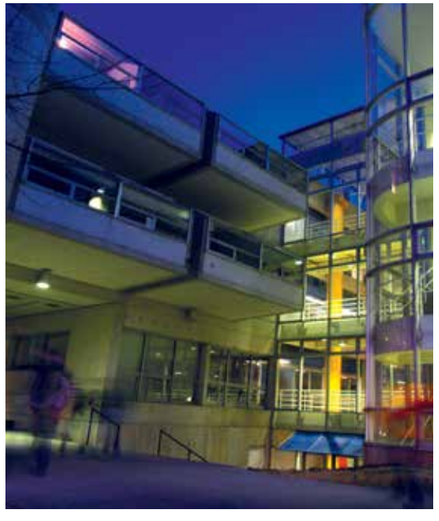
Challenges

As noted earlier, several challenges relate to UT's financial resources. We continue to fall behind target peers in comparative funding levels. This will be one of UT's most pressing challenges over the next five years.

A significant challenge will be the pursuit of growth in different sources of revenue than in the past, which will require more emphasis on enrollment and philanthropic support. Another will be continuing to improve the efficiency of our operations and manage costs. We recognize that opportunities exist to work more efficiently across divisions and units and improve scheduling to better utilize existing space capacity. We have made progress on the integration of our systems and use of data to support decisions. However, these challenges remain for the campus.

While our physical transformation reflects our aspiration to upgrade campus facilities, deferred maintenance remains a challenge. UT will have a sustained challenge in managing an aging physical infrastructure. Over 50 percent of UT's campus was constructed during a low-quality period prior to 1990 and requires continued renovation. UT faces a large deferred maintenance backlog requiring higher levels of reinvestment.

Rapidly growing information technology demands eclipse funding available to accommodate needs. Keeping pace with increasingly complex technology requirements is a continued challenge, as is maintaining high levels of IT security. UT will need to balance growing requests for increased bandwidth, data system integration, instructional technology, and reporting capabilities with limited staff and funding to deliver projects. However, IT continues to be an area of competitive importance. Peers continue to invest in infrastructure, enterprise systems, and instructional and research technology.



Strategic Direction 2020

As we aspire to become a leading public research university, resources have been and will be critical to our advancement. The pace of our future progress will depend on our ability to make strategic investments. Over the next five years, developing a strong resource base that will enable us to accelerate progress and campus transformation will be a strategic imperative. Additionally, cost management and efficient operations will be essential to our ability to maximize the impact of existing and new resources.

Resources

Over the next five years, we will increase revenue from multiple sources to strengthen our resource base. We anticipate that the primary drivers of revenue growth will be enrollment and philanthropic support. We will grow enrollment through

recruitment and strong retention and graduation rates. We will also diversify our student mix to include more students from out-of-state and international markets.

We will raise the level of philanthropic contributions to the university. We reached record highs this year and plan to continue this trajectory over the next five years. To achieve these aggressive goals in enrollment and philanthropic support, we will engage the campus in these efforts. Student recruitment, retention, and fundraising will be the responsibility of all colleges, divisions, departments, and units.

In addition, we will increase competitiveness for research grants, contracts, and partnerships. We project growth in sponsored research as outlined in this plan. We also acknowledge the opportunity for long-term gains from an emphasis on entrepreneurship and commercialization of research. It is important to note that while sponsored research offers the university an opportunity to share a portion of costs related to research with external sponsors, total costs are not fully recoverable.

We will require continued financial support from the State of Tennessee. As the state flagship university, our ability to provide Tennessee students with quality affordable education depends on state support. To align our actions with state priorities, we will improve in categories outlined in the Complete College Tennessee performance-based funding formula.

Finally, we will challenge our self-supporting strategic business units (auxiliaries) to increase net contributions to the university. Units in this area include residence halls, dining operations, bookstore, and athletics.

As the second component of our resource strategy, we will operate more efficiently as a campus to better allocate resources and manage costs. We will continue to align resource allocation with strategic priorities. We will regularly examine existing resource commitments to identify opportunities to reallocate resources to higher strategic uses. We will continue to improve our annual budget planning process and program review practices to incorporate data-driven assessment and align resource commitments with strategic priorities at all levels.

We will engage the campus to identify and implement cost reduction and avoidance opportunities across all administrative areas. We will also improve the utilization of our existing physical assets through advances in space and schedule management. We will improve our operational efficiency by modernizing and automating our business processes. We will pursue organizational efficiency opportunities by sharing administrative and professional resources across units to maximize efficiency and manage workloads.

Campus Transformation

The transformation of campus through advancement in both physical infrastructure and technology is essential to our strategy in all areas, from the ability to recruit well-qualified students to the infrastructure needed to compete for sponsored research on a national scale.

Over the next five years, we will continue with physical infrastructure improvements through the implementation of our campus master plan. We will maintain a commitment to sustainability, which will contribute to long-term cost avoidance through enhanced energy management.

We also commit to developing a technology master plan to align with campus transformation efforts. Over the next five years, we will continue to advance the state of our data and systems to provide information essential to effective management of the university. We will continue to maintain a safe and secure computing environment while providing reliable access to the network. We will maintain high levels of support and services for technology integral to instruction and research activities.

Action Priorities

Action priorities will serve as a framework to help guide efforts and resource decisions over the next five years.

Resource Base

Diversify Revenue Base. Diversify revenue base through philanthropy and managed enrollment growth. Evaluate new opportunities for revenue growth.

Effectiveness and Cost Management

Continue to Align Resource Allocation with Strategic Priorities. Continue to align annual planning, budgeting, and resource allocation practices at all levels with *Vol Vision 2020*. Continue to evaluate opportunities to reallocate current resources to greater strategic priorities through continuous improvement.

Improve Operational and Organizational Efficiency. Continue to engage campus in efforts to reduce or avoid costs through operational and organizational efficiencies. Improve efficiency of business processes through modernization, streamlining, and automation. Identify and implement opportunities to share resources across units.

Improve Space and Asset Utilization. Engage campus to improve utilization of classroom and other space. Evaluate opportunities and incentives to better align class times and locations to maximize the use of quality space throughout the day.

Integrate Systems and Improve Quality and Use of Data. Enhance functionality and integration of enterprise systems and other important information systems. Improve quality and availability of data to support institutional effectiveness and costs management initiatives.

Campus Transformation

Implement Campus Master Plan. Continue with physical transformation of campus as outlined in the campus master plan. Continue efforts in sustainability. Ensure campus is accessible for all faculty, students, and staff.

Develop and Implement a Campus Information Technology Plan. Develop and implement an information technology plan to support transformation efforts and align with the campus master plan. Address strategies and resource needs related to services provided to campus, enterprise systems and reporting capabilities, technology infrastructure and security, research technology, and instructional technology.

2020 Goals

Metric	*2010 Baseline*	*2014 Comparative*	*2020 Goal*
Teaching and Support Expenditures/Student	$16,100	$19,487	$22,400
Average Philanthropic Support	N/A	$83.5M	$110M

For *Vol Vision 2020*, we are adopting more effective metrics to gauge progress in philanthropic support. Average philanthropic support provides a current view of performance. The previous endowment-per-student metric was subject to market fluctuations. The new approach will allow us to measure our progress against peers in a more tangible and meaningful way.

UT will also track and report on appropriate metrics at a campus level on revenue sources, effectiveness and cost management, resource reallocation, space utilization, campus transformation, implemented cost savings, and cost avoidance.

Priority 6 || *Diversity and Inclusion*

Enhance diversity and inclusion to benefit our campus

Due to its growing strategic importance to the future of our campus, diversity and inclusion represent the sixth strategic priority in *Vol Vision 2020*. In the original *Vol Vision* plan, these initiatives were integrated across the strategic priorities. Our objective with this strategic priority is to provide an institutional framework to align future actions.

This priority initiated as a recommendation from the Milestone Review Committee and was further reinforced by support from the campus community. Students, faculty, staff, alumni, parents, and others expressed strong support for this direction during the stakeholder engagement phase.

It is important that diversity be understood in broad terms. For the purposes of the strategic plan, we adopt the statement of the American Association of Public and Land-grant Universities Commission for Access, Diversity and Excellence: "Diversity can be broadly defined to include all aspects of human difference, including, but not limited to, race, gender, age, sexual orientation, religion, disability, social-economic status, and status as a veteran."

We also adopt the Association of American Colleges and Universities' definition of inclusion: "Inclusion is the active, intentional, and ongoing engagement with diversity—in the curriculum, in the co-curriculum, and in communities (intellectual, social, cultural, geographical) with which individuals might connect—in ways that increase awareness, content knowledge, cognitive sophistication, and empathic understanding of the complex ways individuals interact within systems and institutions."

Progress

In this section, we comment on the change in the demographic makeup of campus. Where possible, we compare UT to populations at target peers. We also comment on socioeconomic diversity, disability status, and status as a veteran based on available self-reported data.

Students. Over the past five years, UT has made progress in gender and racial diversity in the undergraduate student body. The campus increased the number and percentage of female students. The number and percentage of students from diverse populations also increased over the past five years. However, UT's undergraduate population is less racially diverse and less international than populations at target peers.

With respect to graduate student enrollment, the percentage of female students remains slightly higher than target peer averages. Similar to the undergraduate population, UT's graduate population is less diverse than peers'. A notable gap exists in the percentage of international graduate students in comparison to peers.

Nearly 30 percent of UT's undergraduate students are eligible for the federal Pell grant program, which is higher than the 22 percent average at target peer groups. This demonstrates that compared to peers, UT has a higher percentage of students from socioeconomically challenged backgrounds. An estimated 25 percent of UT's freshman cohorts identify as first-generation students, with neither parent possessing a four-year degree. Roughly 7 percent of students in these cohorts are from families with neither parent having progressed to college.

Its most recent reporting shows that UT made nearly 700 accommodations for students based on special needs or disabilities.

As of fall 2015, more than 500 students reported status as a veteran. More than 900 students are receiving veterans benefits based on status as a veteran or family member of a veteran.

Faculty and Staff. UT has made progress in the number and percentage of female tenure-line faculty. UT compares favorably to target peers in this area. UT has also experienced an increase in representation from diverse populations; however, UT is less racially diverse in tenure-line faculty compared to target peers.

UT compares favorably to peers in the diverse makeup of its executive team. With respect to staff demographics, UT has a less diverse gender balance and racial mix than peers.

Challenges

Our goal is to support a community that is welcoming to all. Our challenge is to understand the dynamics of our campus climate. This plan provides action steps to gauge our campus climate as a regular practice.

Students and parents are increasingly concerned with career outcomes tied to their investment in higher education. Today's graduates must be more prepared to engage in a national and international workforce than in the past. Our challenge is to create an educational experience that results in students being more culturally aware and equipped with the leadership skills to work across differences.

Demographic trends show that both Tennessee and the nation are likely to experience growth in diverse populations in the near future. This projected change will have an impact on the future pool of prospective students and candidates for UT's workforce. Our current challenge is to strengthen our collegial culture today to position the university for the future.

We also expect growth in demand from both graduate and undergraduate students who transition from the military as veterans or as children and spouses of veterans. The demand from adult learners is expected to increase. Furthermore, we anticipate growth in demand from students requiring special accommodations. Our challenge is to build a welcoming environment for all students, including those with nontraditional profiles.

As an additional challenge, the regulatory environment related to diversity and inclusion in higher education is expected to grow in complexity. Regulations associated with Title IX, the Americans with Disabilities Act, and other landmark legislation require proactive leadership, campus education, and a culture of compliance.

Strategic Direction 2020

Over the next five years, we will work to recruit and retain well-qualified undergraduate and graduate students from diverse and global backgrounds. We will improve our pathways for transfer students to support veterans, adult learners, and other students from nontraditional backgrounds. We will provide support for students with socioeconomic challenges. We will work to ensure that the campus is accessible and responsive to students who may have special needs or disabilities.

We will also work to recruit and retain faculty and staff from diverse backgrounds. We will ensure that the sense of community and commitment to professional advancement that defines our Volunteer community extends to our entire workforce.

We aspire to provide an educational experience that prepares our students with capabilities to lead in their professions. This direction began with our previous quality enhancement plan, Ready for the World. Over the next five years, we will work to integrate exposure to and appreciation for different backgrounds into the curriculum and in co-curricular opportunities. We will support our students in developing the leadership and teamwork skills to effectively work across differences. These skills are highly valued by leading corporations, nonprofits, and governmental institutions. We will also encourage our faculty to carry out research, scholarship, and engagement to advance issues related to diversity, inclusion, and access.

As a foundation for this strategic priority, we will actively work to understand and improve our campus climate to the benefit of students, faculty, staff, alumni, and visitors. We will reinforce our commitment to develop a respectful, safe, inclusive, and welcoming campus environment.

Action Priorities

Action priorities will serve as a framework to help guide efforts and resource decisions over the next five years:

Campus Profile

Recruit, Retain, and Support the Success of Students from Diverse Backgrounds. Improve recruiting and retention efforts to increase enrollment of undergraduate and graduate students from diverse and global backgrounds.

Recruit and Retain Faculty and Staff from Diverse Backgrounds. Recruit, retain, and support the professional development of faculty and staff from diverse backgrounds.

Campus Climate

Understand and Enhance Campus Climate. Establish a baseline understanding of campus climate. Engage students, faculty, staff, and alumni to identify innovative ways to promote inclusion and understanding across campus.

Promote Education and Training. Develop effective education and training programs to support awareness and inclusion.

Education and Research Mission

Prepare Students for Success in the Global Workplace. Enhance the curriculum to support intercultural and international understanding. Improve cultural awareness through an emphasis on international experiences, including study abroad.

Support Research and Engagement. Encourage faculty to engage in research, scholarship, and engagement in the areas of diversity, inclusivity, and accessibility.

Effectiveness and Cost Management

Enrich a Culture of Compliance. Continue to enrich an institutional culture that values compliance and strives to maintain the highest level of compliance with federal and state regulations.

Diversity and Inclusion Dashboard

UT will track and report metrics at a campus level on the following topics:

- **Campus Climate Survey**. A campus climate survey will be developed and administered on a regular basis to understand stakeholders' perceptions of the UT environment. The survey will be designed to help UT identify areas of strength and challenge in order to engage the campus in specific actions to improve the campus climate. The survey will be structured to track progress over time.
- **Campus Profile Metrics**. Campus profile metrics will be developed to track progress. At this time, the campus profile metrics are limited to self-reported information. As a result, the campus profile metrics include information on gender, race/ethnicity, socioeconomic status, first-generation status, status as a veteran, and disability accommodations.

The summary chart in this section is an illustrative list of campus profile metrics. This chart is intended as a starting point. These metrics are likely to evolve and improve over the course of the next five years.

With respect to the illustrative metrics, the definition of minorities includes individuals identifying as black or African American, Hispanic of any race, Asian or Pacific Islander, two or more races, or Native American or American Indian. This information is self-reported.

For the purposes of student retention and graduation, the campus profile metrics also outline underrepresented minorities (URM). This grouping includes individuals identifying as black or African American, Hispanic of any race, two or more races, or Native American or American Indian. URM is commonly used in higher education reporting by universities and federal institutions.

Campus Strategy Metrics

Description	*2010 Comparison*	*2015 Baseline*
UNDERGRADUATE EDUCATION		
Enrollment		
Female	48%	49%
Minorities	14%	18%
International	1%	2%
First-to-Second-Year Retention		
Female	87%	87%
Minorities	83%	81%
Underrepresented Minorities	83%	80%
Six-Year Graduation		
Female	63%	74%
Minorities	55%	64%
Underrepresented Minorities	55%	62%
Socioeconomic Status		
Pell Eligible	29%	29%
First-Generation Status (First-Time, Full-Time Freshmen)		
Neither Parent with Four-Year Degree	N/A	25%
Neither Parent Progressed to College	N/A	7%
GRADUATE EDUCATION		
Enrollment		
Female	53%	53%
Minorities	11%	16%
International	14%	15%
FACULTY AND STAFF		
Instructional Faculty		
Female	40%	43%
Minorities	13%	17%
Executive/Administrative Employees		
Female	46%	47%
Minorities	9%	12%
Staff		
Female	57%	55%
Minorities	11%	13%
VETERAN STATUS		
Students with Veteran Status	N/A	500
Students Receiving VA Benefits	N/A	900
DISABILITY ACCOMMODATIONS		
Number of Accommodations	N/A	700

Metrics and Implementation

Excellence Framework

The excellence framework includes three categories:

COMPARATIVE	CAMPUS STRATEGY	INDICATORS OF EXCELLENCE
High-level Metrics; Standard in Higher Education	Specific to *Vol Vision*	College & Division Level
Comparative to Peers	Improve vs. Benchmark	Excellence & Quality

Comparative Metrics. These metrics, adopted in 2010, allow UT to set performance goals and compare progress to a set of target peers. For comparative purposes, the target peer group includes the University of Georgia, Clemson University, the University of Minnesota, Texas A&M University, Michigan State University, Rutgers University, Indiana University, and Purdue University. The approach to metric and peer selection is further explained in *Appendix B: Vol Vision Background*.

Campus Strategy. Campus strategy metrics align with strategic priorities and may be customized for *Vol Vision 2020*. The goals for these metrics may be to demonstrate improvement rather than to benchmark or narrow the gap. Campus strategy metrics will address faculty and staff excellence, diversity and inclusion, and effectiveness and cost management.

Indicators of Excellence. Indicators of excellence evaluate progress in excellence and quality at the college and division levels. While guidance is provided *Vol Vision 2020*, we recognize that colleges and divisions should define these metrics. Indicators of excellence should be regularly tracked and incorporated into strategic planning efforts at colleges and divisions. Indicators should also be high-level and aspirational. If peer data is readily available, comparison to an appropriate peer set is encouraged.

Implementation

Vol Vision 2020 serves as a framework to guide campus, college, division, department, and unit strategies, actions, and resource decisions.

Institutional effectiveness and resource allocation practices should align with *Vol Vision 2020*. These practices include annual planning, budget processes, assessment, and academic program review. College and division strategic plans and tactical action priorities should also align with the plan.

As illustrated in the graph on the next page, the goal is to connect three dimensions to ensure that the strategic plan is integrated into the day-to-day work of the university.

The following implementation guidance will be important to progress and change:

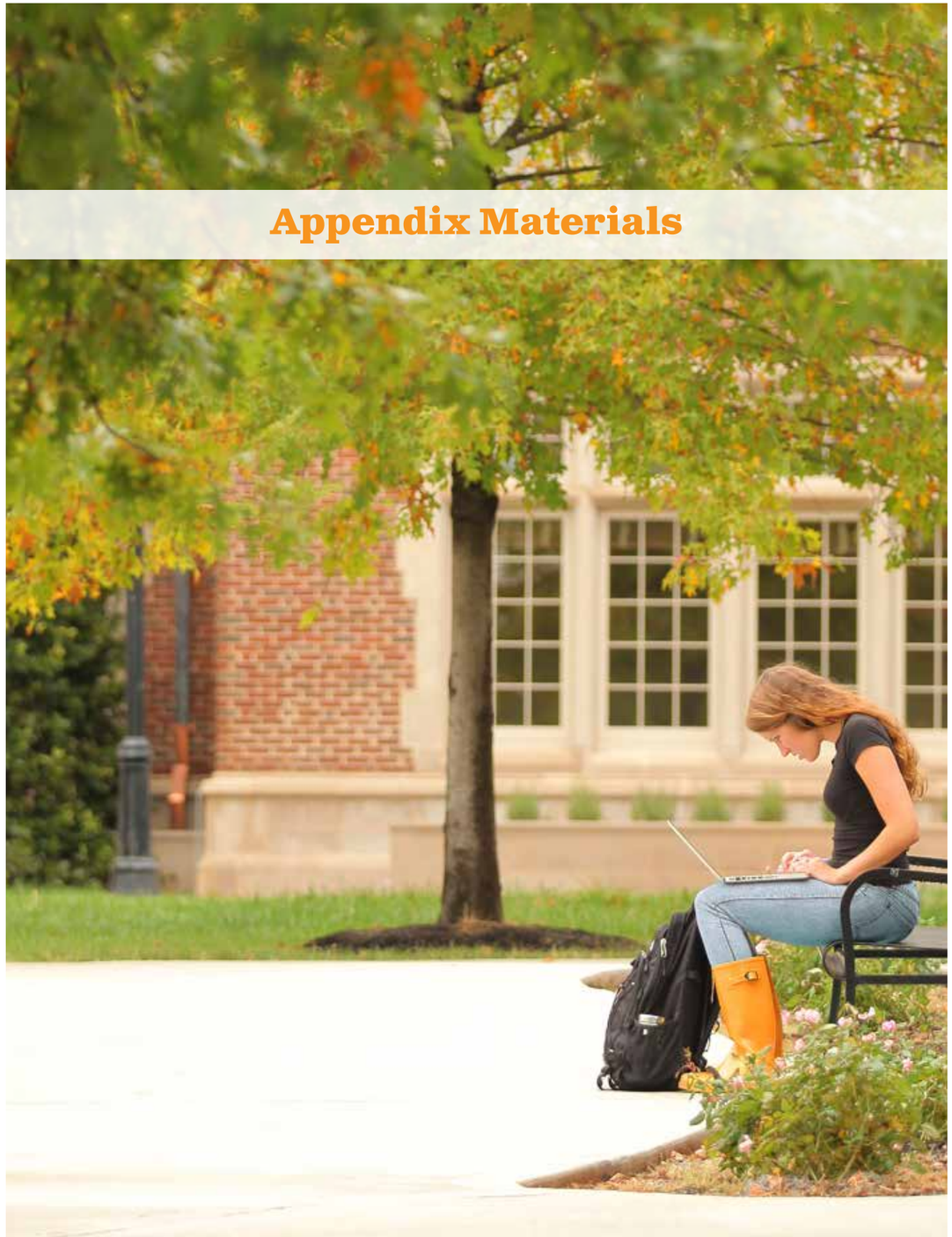
Accountability. A successful approach to implementation will balance campus-wide initiatives with college and division actions. Where possible, accountability for progress should be assigned. For initiatives requiring campus-wide change, executive sponsors and cross-functional teams should be appointed to coordinate actions. The key to implementation success will be the engagement of vice chancellors and deans to envision and implement strategic plans and tactical actions that align with *Vol Vision 2020*.

Campus Engagement and Effectiveness. Due to the growing importance to the future of the university of enrollment, student retention, and philanthropic success, UT will need to engage all campus stakeholders in responsibility for those areas. We will also need to emphasize reallocation and campus-wide effectiveness as important cross-cutting strategies that should be the responsibility of all vice chancellors and deans.

Communication. As noted throughout *Vol Vision 2020,* we will need to recognize excellence and improvement across campus. Stakeholders frequently suggested that we "tell our story" to support our reputational goals. This means communicating success stories to local and national audiences with an emphasis on areas of academic excellence and research innovation.

Progress Reporting. Progress should be regularly reported to campus stakeholders against strategic priorities in *Vol Vision 2020*. It is also recommended that divisions and colleges provide annual reports of progress against their strategic plans and indicators of excellence in the future.

Appendix Materials



Appendix A: Milestone Review Committee and Process

Provost Martin appointed Milestone Review Committee members who represent campus stakeholders, including faculty, staff, and students. A list of committee members is provided below:

Chair	Dean Steven Smith, Libraries
Academic Representation	Susan Benner, Associate Dean and Director, College of Education, Health, and Human Sciences Chris Cox, Professor and Associate Head, Civil and Environmental Engineering Mark Dean, Professor, Electrical Engineering and Computer Sciences David Golden, Professor, Food Science and Technology Catherine Luther, Professor and Associate Dean, College of Communication and Information Larry McKay, Professor, Earth and Planetary Sciences Annette Ranft, Professor and Senior Associate Dean, Haslam College of Business Beth Schussler, Associate Professor, Ecology and Evolutionary Biology Tina Shepardson, Professor, Religious Studies
Divisional & Staff Representation	Student Life: Frank Cuevas, Assistant Vice Chancellor and Executive Director, University Housing University Advancement: Lee Patouillet, Associate Vice Chancellor, Alumni Affairs Marketing and Communications: Erik Bledsoe, Creative Services Director Diversity and Inclusion: Rickey Hall, Vice Chancellor for Diversity and Inclusion Research: Janet Nelson, Associate Vice Chancellor, Office of Research and Engagement Finance and Administration: Jonee Lindstrom, Associate Vice Chancellor, Finance and Administration Athletics: Jon Gilbert, Senior Associate Athletic Director Human Resources: Mary Lucal, Assistant Vice Chancellor for Human Resources
Student Representation	Undergraduate Students: Beverly Banks, Loren Lee Graduate Students: Jeremy Auerbach, Nathan Meek
Committee Support	Provost's Office: Serena Matsunaga Institutional Research: Denise Gardner

Objective

The role of the Milestone Review Committee is to complete a high-level strategic assessment of the *Vol Vision* strategic plan. The committee is also charged to lead community engagement discussions to gather feedback from campus on strategic direction for 2020.

Process

The committee established a three-phase process to refresh the strategic plan. Work began in February 2015 with a goal of completion by December 2015.

The first phase was designed to provide campus with a fact-based assessment of progress against goals established in *Vol Vision*. In addition, the chancellor and provost proposed the following questions for consideration during the process:

- How do we increase academic rigor and improve graduation rates in undergraduate education?
- How do we elevate and increase research, scholarship, and creative activity among our faculty and graduate students?
- How do we increase the diversity of our faculty, staff, and students?
- How do we minimize costs, manage resource trade-offs, and increase efficiency of the university?
- How do we utilize technology to enhance student learning and student achievement?
- How do we increase emphasis on globalization and sustainability?

The committee met from February to June 2015 to evaluate accomplishments in the five priorities included in *Vol Vision,* consider the strategic questions, and evaluate external trends that may have implications for UT in the future. The committee then summarized its observations in a report to serve as a foundation for campus engagement.

The second phase of the process, completed in December 2015, focused on stakeholder engagement. The committee engaged more than 1,400 students, faculty, staff, alumni, and parents in the feedback process. Nearly forty forums, meetings, and online feedback surveys were completed. The feedback was provided to the committee throughout the fall semester to inform the development of the working draft of the strategic plan.

In the final phase, the committee worked with UT leadership to revise the strategic plan and produce *Vol Vision 2020*.

Appendix B: *Vol Vision* Background

Vol Vision is the original strategic plan for the University of Tennessee. The plan was developed in 2010 to establish the vision, values, strategic priorities, and goals to guide the university through 2015.

The *Vol Vision* process engaged hundreds of campus stakeholders in focus groups and discussions regarding the future of the university. During this process, the university accepted then-governor Phil Bredesen's Top 25 challenge. To supplement the *Vol Vision* campus engagement work, a separate task force was appointed to develop an approach to the goal.

The effort contributed a set of recommendations related to a new peer set, areas of focus, and metrics to *Vol Vision*. The task force selected peers based on rankings, AAU membership, research performance, and institutional characteristics similar to UT's. Three peer groups were established. The Top 25 target peer group more closely reflected UT's institutional characteristics and served as a reasonable comparison set. A broader aspiration group reflected high-end performance thresholds. The current peer group consisted of three universities with performance levels similar to UT's during the time of the task force evaluation.

The task force then adopted a set of twelve metrics that extended beyond undergraduate education to reflect research university aspirations. Areas of focus included undergraduate education, graduate education, research, faculty, and resources and infrastructure. The task force evaluated frameworks associated with the different national rankings (e.g., U.S. News and the Center for Measuring University Performance) and criteria for membership in the Association of American Universities. Since the objective of the task force was to evaluate UT's position relative to its peers over time, it was necessary for metrics to be regularly reported by UT and for comparative peer data also to be regularly reported by reliable sources. The final gap analysis provided a comparative assessment of UT's relative standing to the target group across the five dimensions.

The work of the task force was incorporated into *Vol Vision*. The strategic plan outlines five strategic priorities, which align with the five dimensions and metrics identified by the task force. The strategic plan also makes use of the task force recommendations on peer groups.

Peer Groups

Schools by Grouping

Top 20 *US News* Rank (Count – 16)
University of California, Berkeley
University of California, Los Angeles
University of Virginia
University of Michigan
University of North Carolina at Chapel Hill
University of Illinois Urbana-Champaign
University of Wisconsin–Madison
University of California, Davis
University of California, Santa Barbara
University of Washington
Pennsylvania State University
University of Florida
University of Texas at Austin
The Ohio State University
University of Maryland, College Park
University of Pittsburgh

Aspiration Group

Nos. 21–30 *US News* Rank (Count – 8)
University of Georgia
Clemson University
Purdue University
Texas A&M University
University of Minnesota
Rutgers, The State University of New Jersey
Indiana University
Michigan State University

"Top 25" Target Group

Nos. 31–39 *US News* Rank (Count – 3)
Auburn University
Iowa State University
North Carolina State University

Current Peer Group

Gap Analysis, 2010 Baseline (UT Relative Standing Compared to Peers)

Areas of Focus	Metrics	UT	Top 25 Target Group	UT vs. Top 25 Target Group
Undergraduate Education	ACT Equivalent (75th/25th Percentile)	29/24	28.5/23.5	+.5/.5
	Retention Rate (First to Second Year)	84%	90%	-6 pts
	Six-Year Graduation Rate	60%	75%	-15 pts
Graduate Education	Number of PhD Degrees	277	486	-209
	Number of Master's and Professional Degrees	1,845	2,130	-285
Research	Federal Research Expenditures	$70M	$182M	-$112 M
	Total Research Expenditures	$165M	$427M	-$262 M
Faculty	Average Tenure-Line Salary Range	$67 to $108K	$73 to $120K	-$6 to $12K
	Undergraduate Students/Tenure-Line Faculty	20	19	+1
	Faculty Awards	10	32	-22
Financial Resources and Infrastructure	Teaching and Support Expenditures/Student	$16,100	$24,300	-$8,200
	Endowment/Student	$14,380	$38,400	-$24,020

Sources: UT institutional data; Institutional Common Data Sets; *U.S. News & World Report*; National Science Foundation; Center for Measuring University Performance; Institutional Annual Financial Reports; Council for Aid to Education

Top 25 Target Peers

Clemson University
Indiana University
Michigan State University
Purdue University
Rutgers, the State University of New Jersey
Texas A&M University
University of Georgia
University of Minnesota

Vol Vision Strategic Priorities and Goals (2010–2015)

PRIORITY 1: UNDERGRADUATE EDUCATION
Recruit, develop, and graduate a diverse body of undergraduate students who, through engagement in academic, social, and cultural experiences, embrace the Volunteer Spirit as lifelong learners committed to the principles of ethical and professional leadership.

- Continue to attract first-year students with ACT scores equivalent to Top 25
- Raise first-to-second year retention rates from 84 percent to 90 percent in 2015
- Raise six-year graduation rate from 60 percent in 2010 to 75 percent in 2015

PRIORITY 2: GRADUATE EDUCATION
Educate and graduate increasing numbers of diverse graduate and professional students who are equipped to address the pressing concerns of their fields, to extend the frontiers of knowledge, and to contribute to the public good through service to the academy or their professions.

- Increase the number of PhDs awarded by 30 percent, from 277 in 2010 to 360 in 2015, with the goal of 486 in 2020
- Increase the number of professional and master's degrees awarded from 1,845 in 2010 to 2,000 in 2015, with the goal of 2,130 in 2020

PRIORITY 3: RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY
Strengthen our capacity and productivity in research, scholarship, and creative activity to better educate our students; enhance economic, social, and environmental development; support outreach to our various constituencies; and extend the reputation and recognition of our campus.

- Increase federal research expenditures by 50 percent, from $70 million in 2010 to $105 million in 2015, with the aim of $182 million in 2020
- Increase total research expenditures by 50 percent, from $165 million in 2010 to $247.5 million in 2015, with the aim of $427 million in 2020

PRIORITY 4: FACULTY AND STAFF
Attract and retain stellar diverse faculty and staff who will proudly represent our campus, execute our mission, embrace our vision, exemplify our values, and collaborate to realize our strategic priorities.

- Increase average tenure-line salary range to meet the mean for our peers
- Increase the number of faculty awards from ten in 2010 to thirty-two in 2020

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

- Increase operating expenditures/student by an additional $8,200 by 2020
- Increase endowments/student by an additional $24,000 by 2020

Master Calendar – 2016-2017

Detailed Calendar of Important Dates for Department Chairs and Program Coordinators

This calendar should be used by referring to the months of the calendar, and by following the regularly scheduled tasks that should be done daily, biweekly, or monthly, just below. Each department should enter dates for awards and meetings that are particular to its college or department.

Recurring Tasks

- Professional Development Awards. See: http://gradschool.utk.edu/faculty-staff/
- Best Practices in Teaching Workshop. See: http://gradschool.utk.edu/orientation/teaching.shtml
- Ready for the World Proposals. See: http://rftw.utk.edu/

Daily Tasks

- Review and approve paper and/or IRIS financial and human resource transactions.

Biweekly Tasks

- Approve human resource transactions for biweekly employees.
- Deans/Department Heads make thank you calls to donors; names provided by Development Staff.

Monthly Tasks

On the 10th .....Review and approve Departmental Budget & Expenditure Report (aka Department Ledgers) and their supporting documentation.
On the 10th .....Approve effort certification for previous month's pay on WBS.
Prior to the 15th .....Approve human resource transactions for monthly employees.
Prior to the 15th .....Approve monthly employee time.
Prior to the 25th .....Review and approve procurement card purchases.

Once a Semester

Department Heads or Directors should include a member of the Development Staff as part of the departmental meeting, or at other appropriate times. At this meeting, faculty should be updated about development efforts and their input and involvement invited.

AUGUST 2016

- Submit course of new programs for Study Abroad (contact Center for International Education)

August 3-4th……Teaching Preparation Institute for New Faculty (TN TLC 4-3933)
August 8-9th .....New Faculty Orientation (Hodges Library, Auditorium)
August 16th.....UG Council Curriculum Committee Submission Deadline for 8/30/16 meeting
August 17th.....Fall Classes Begin
August 25th.....Graduate Council Curriculum Committee Submission Deadline for September 8, 2016 meeting

SEPTEMBER 2016

- Deans schedule departmental budget planning meetings with Department Heads
  Submit course of new programs for Study Abroad (contact Center for International Education)

TBD.....Best Practices in Teaching Workshops for GAs, Associates, Lecturers and New Faculty. For today's topic, see the web site at: http://gradschool.utk.edu/training-and-mentorship/bpit/
TBD.....Professional Development Award proposals due in Office of Graduate School (Dean's deadline one week earlier)
September 5th. .....HOLIDAY—Labor Day
September 8th .....Graduate Council Credentials Committee Submission Deadline for September 15, 2016 meeting
September 16th .....Promotion and Tenure Committees are established
September 20th…….. UG Council Curriculum Committee Submission Deadline for 10/4/16 meeting
September 23rd.....Promotion & Tenure Workshop, Faculty/Department Heads, 10:30 to 12:00 p.m., Hodges Library Auditorium
September 28th .....Promotion & Tenure Workshop, Faculty/Department Heads, 10:30 to 12:00 p.m., 405 Ayres Hall
September 29th .....Promotion & Tenure Workshop, Faculty/Department Heads, 9:00 to 10:30 a.m., 405 Ayres Hall

OCTOBER 2016

- Technology fee requests due to the Office of Information Technology

TBD.....Best Practices in Teaching Workshops http://gradschool.utk.edu/training-and-mentorship/bpit/
October 3rd……..Deadline for faculty to submit material to department head for annual evaluation and retention
October 6-7th.....FALL BREAK
October 13th .....Graduate Council Curriculum Committee Submission Deadline for October 27, 2016 meeting
October 13th .....Graduate Council Credentials Committee Submission Deadline for October 20, 2016 meeting
October 20th .....Deadline for submission of supporting materials for Promotion & Tenure Review due to the Department/Unit Head

NOVEMBER 2016

- Instructional equipment requests (schedule J) due to the Vice Chancellor for Research
- Chancellor's Awards Nomination Forms available at http://honorsbanquet.utk.edu/
- Technology Fee Proposals Submission Begins Mid-November, OIT https://techfee.utk.edu/Pages/default.aspx

TBD.....Professional Development Award proposals due in Office of Graduate School (Dean's deadline one week earlier)
November 3rd…….Deadline for departmental recommendations on faculty annual evaluations and retentions to be submitted electronically to the College
November 10th .....Graduate Council Credentials Committee Submission Deadline for November 17, 2016 meeting
November 11th .....Faculty Development Leave proposals forwarded by Deans to Provost's Office
November 17th…….Deadline for College recommendations on faculty annual evaluations and retentions to be submitted electronically to the Office of the Provost
November 24th .....HOLIDAY—Thanksgiving
November 25th .....Administrative Closing

DECEMBER 2016

- Tech Fee: Dean's Priority List Submission Deadline (techfee@utk.edu) (Late-December)

December 1st .....Graduate Council Curriculum Committee Submission Deadline for January 19, 2017 meeting (last opportunity to submit changes for 2015-16 UG Catalog)
December 1st .....UG Council Curriculum Committee Submission Deadline for 1/17/17 meeting (last opportunity to submit changes for 2016-17 UG Catalog)
December 1st .....Fall Classes End
December 2nd.....Study Day
December 8th .....Graduate Hooding Ceremony
December 9th .....Commencement
December 11th .....Provost's Office notifies faculty awarded Faculty Development Leave
December 15th……Deadline for Provost recommendations on faculty annual evaluations and retentions to be electronically returned to departments
December 26-30th....WINTER HOLIDAY

JANUARY 2017

- Summer school mini-term proposals due this month
- Disability Accommodations Report due in OED (Mid-January)

TBD.....Professional Development Award proposals due in Office of Graduate School (Dean's deadline one week earlier)
January 2nd .....Holiday—New Year's Day Observed
January 3rd.....Deadline for submission of Departmental Tenure/Promotion Recommendations to the College
January 11th .....Spring Classes Begin

January 16th .....HOLIDAY—Martin Luther King, Jr. Observed
January 18th .....Best Practices in Teaching Workshop 5:00 to 6:30 p.m. 213 Hodges Library for GAs, Associates, Lecturers and New Faculty. For today's topic, see the web site at: http://gradschool.utk.edu/training-and-mentorship/bpit/
January 19th ……Graduate Council Credentials Committee Submission Deadline for January 26, 2017 meeting
January 25th .....Best Practices in Teaching Workshop 5:00 to 6:30 p.m. 213 Hodges Library for GAs, Associates, Lecturers and New Faculty. For today's topic, see the web site at: http://gradschool.utk.edu/training-and-mentorship/bpit/

FEBRUARY 2017

- Chancellor's Awards Nominations due (see http://honorsbanquet.utk.edu/
- Chancellor's Citations/Graduate Teaching Awards due
- Summer School regular session proposals due
- Tech Fee Awards Announced for Fiscal Year in early February

February 1st.....Best Practices in Teaching Workshop 5:00 to 6:30 p.m. 213 Hodges Library for GAs, Associates, Lecturers and New Faculty. For today's topic, see the web site at: http://gradschool.utk.edu/training-and-mentorship/bpit/
February 8th .....Best Practices in Teaching Workshop 5:00 to 6:30 p.m. 213 Hodges Library for GAs, Associates, Lecturers and New Faculty. For today's topic, see the web site at: http://gradschool.utk.edu/training-and-mentorship/bpit/
February 15th .....Best Practices in Teaching Workshop 5:00 to 6:30 p.m. 213 Hodges Library for GAs, Associates, Lecturers and New Faculty. For today's topic, see the web site at: http://gradschool.utk.edu/training-and-mentorship/bpit/
February 22nd .....Best Practices in Teaching Workshop 5:00 to 6:30 p.m. 213 Hodges Library for GAs, Associates, Lecturers and New Faculty. For today's topic, see the web site at: http://gradschool.utk.edu/training-and-mentorship/bpit/
February 3rd .....Deadline for submission of College Committee recommendations for Tenure & Promotion to the Dean
February 23rd .....Graduate Council Credentials Committee Submission Deadline for March 2, 2017 meeting

MARCH 2017

- Administrative Staff and Support Personnel Reviews are completed, signed by the evaluator, the employee, and the supervisor of the evaluator and forwarded to the Human Resources

TBA.....Directors of Graduate Studies Workshop
March 1st.....Best Practices in Teaching Workshop 5:00 to 6:30 p.m. 213 Hodges Library for GAs, Associates, Lecturers and New Faculty. For today's topic, see the web site at: http://gradschool.utk.edu/training-and-mentorship/bpit/
March 3rd.....Deadline for Dean's Promotion & Tenure recommendations to the Office of the Provost

March 14th.....UG Council Curriculum Committee Submission Deadline for 3/28/17 meeting
March 13-17th.....SPRING BREAK
March 23rd.....Graduate Council Curriculum Committee Submission Deadline for April 6, 2017 meeting

APRIL 2017

- Facilities Space Survey information distributed to departments

TBD.....(Pending Funding) Professional Development Award proposals due in Office of Graduate School (Dean's deadline one week earlier)
April 3rd…… Technology Fee Proposals Submission Deadline (OIT)
April 11th.....Promotion & Tenure Workshop, Faculty/Department Heads, 9:00 to 10:30 a.m., BCC Room 102/103/104
April 12th.....Promotion & Tenure Workshop, Faculty/Department Heads, 1:30 to 3:00 p.m., BCC Room 102/103/104
April 13th.....Graduate Council Credentials Committee Submission Deadline for April 20, 2017 meeting
April 14th……HOLIDAY/SPRING RECESS
April 17-21st .....Exhibition of Undergraduate Research & Creative Achievement Judging and Ceremony
April 28th.....Spring Classes End
By the 29th.....Equipment Inventory due to Controller's Office

MAY 2017

Early May.....UT Central Administration Promotion & Tenure recommendations are submitted to the President
May 1st.....Study Day
May 10-12th.....Commencement Ceremonies
May 11th .....Graduate Hooding Ceremony
May 29th .....HOLIDAY—Memorial Day Observed
By the 30th.....WBS element deficit balance explanation due to Finance & Administration

JUNE 2017

- Deans meet with Director of Development and Vice Chancellor of Development to review development performance plan and to determine college priorities for the plan
- Facilities Space Survey due to Facilities Services (notification of due date will be sent to departments)
- Year-end closing process to balance E&G budget and expenditures

Mid June .....Employee parking and red dot requests due to parking services
Late June.....Board of Trustees takes action on recommendations for Tenure
June 1st .....Summer Classes Begin
By the 30th.....Employee salary increases, if appropriate, due to Finance & Administration
By the 30th.....Updated departmental diversity plan due to OED

JULY 2017

By the 1st.....Provost sends information on tenure & promotion and annual evaluations to the departments and colleges
No later than July 1...College hiring plan for the coming year due to the Vice Provost for Faculty Affairs
July 4th .....HOLIDAY—Independence Day Celebrated

OTHER CALENDARS OF INTEREST

Graduate Council

http://gradschool.utk.edu/GraduateCouncil/gcouncil.shtml
Includes dates for meetings of the Graduate Council, Graduate Deans' Group, Credentials Committee, Academic Policy Committee and Curriculum Committee and the Submission Deadline Dates for Credentials Committee meetings and Curriculum Committee Meetings. The dates for the Credentials and Curriculum Committee deadlines are shown above, on the Master Calendar.

Undergraduate Council

http://web.utk.edu/~ugcouncl/
The dates for the deadlines for submission to the Curriculum Committee are shown above, on the Master Calendar.

Academic Calendar

http://registrar.tennessee.edu/academic_calendar/index.shtml
Includes three years of academic calendars and key dates for the current term.

Faculty Evaluation and Promotion Calendar

http://provost.utk.edu/faculty/tenure/evaluation-calendar/
All dates from the Faculty Evaluation and Promotion Calendar are included on the Master Calendar.

Chapter 1
Introduction to Academic Leadership

The Role of the Department Head

The ***Faculty Handbook*** states that the Department Head is an individual "providing leadership for the departmental academic program in relation to the comprehensive academic program at the University" (and) "providing leadership for the infrastructure necessary for support of the academic programs." Clearly, it is through the department structure that the University is able to achieve its mission. As more departments of the University are successful, the success of the University is greater, making the role of the Department Head crucial to the overall success of the University.

As the representative of the faculty to the University and University to the faculty, the leader of the academic unit stands in a unique position, one which requires the ability to develop shared purposes and common ground that does not favor one group over the other. From this unique position, the Department Head also plays an important role in advancing the institutional mission through effective leadership of the department. Paramount to advancing your mission are the twin abilities of listening and communicating effectively.

Overview of Duties

The ***Faculty Handbook*** outlines some of the duties of the Department Chair, including:

- Recruiting faculty and staff
- Working with faculty to plan, execute and review curriculum
- Encouraging and supporting faculty teaching, research and creative activity and public service
- Counseling and advising students majoring in the discipline
- Representing the department to various stakeholders including the public, other faculty, administration, colleagues at other universities, and those who support it
- Employing and supervising exempt and non-exempt staff.
- Managing department physical facilities and planning for space and equipment needs
- Resource enhancement and fund raising
- Preparation, presentation and management of the department budget
- Authorization of expenditures
- Reviewing the performance of faculty and staff annually
- Assisting faculty and staff in setting annual performance goals
- Continuing, on a reduced basis, a personal level of teaching, research, and service

Consider these descriptors, all of which can be applied to the role: visionary, advocate, intermediary, liaison, curriculum leader, fiscal overseer, schedule coordinator, report generator, staff supervisor, counselor, coach, mediator, recruiter, mentor, evaluator, champion, regulator, planner, builder, manager, authority, enforcer, facilitator, instructor, researcher, volunteer, interpreter, and so on.

Leadership Tips for the Academic Chair

- Keep confidences and assume others will.
- Give freely of your experience.

- Allow and encourage others to contribute.
- Listen attentively.
- Appreciate the other person's point of view.
- Enter into discussions openly and enthusiastically.
- Provide constructive feedback, and receive it willingly.
- Follow established timeframes and processes when providing faculty feedback.
- Be transparent and open in your communications with faculty, staff and students.
- Be honest, respectful, balanced and fair, even if (especially if) the news is not good.
- Don't make "secret" deals with small groups of faculty members or engage in factional behavior or conversation.
- Be trustworthy.
- Be inclusive of as many people as possible when appointing committees, not assigning the same people to the choice positions over and over.
- Be mindful of the *UTK Diversity Plan: A Framework for Action* and the 3 goals outlined in chapter 3 of this handbook.
- Promote and model the highest standards of scholarship, teaching and creative activity at all times, thereby encouraging the faculty to do the same.
- Be fair in the allocation of resources by knowing what the department's priorities must be and communicating those priorities logically based on the strategic roles of the department.
- Be fair in the assignment of workload and have a defendable logic for the assignments.
- In faculty evaluation, particularly with tenure track faculty, be honest about any shortcomings you are aware of (whether through observation, report from a mentor, or student evaluations) and communicate those shortcomings verbally and in writing. Help tenure track faculty devise a plan for overcoming noted shortcomings.
- Be proactive in dealing with alumni and with the development staff, and with other outsiders who can help build a favorable impression of the department or the University.
- Set department goals collaboratively and not by edict.
- Develop a vision for where you want your department to go, and lead that vision—advocating and planning for the department and the faculty whenever possible.
- Model the change you want to occur, or the behavior you hope to encourage.

Resources for the Academic Chair

Fortunately, there are a number of excellent resources for leaders of academic departments, and many are as close as your computer.

Web Sites

- **American Council on Education (Department Chair Online Resource Center**) http://www.acenet.edu/resources/chairs
- **American Association of State Colleges & Universities** http://www.aascu.org
- **The National Academy for Academic Leadership** produces an excellent newsletter for academic chairs, electronically at: http://www.thenationalacademy.org/

Books

- **Chairing an Academic Department,** Gmelch, Walter H., and Miskin, Val D., Atwood Publishing, Madison, WI, 2004.
- **Departments That Work: Building and Sustaining Cultures of Excellence in Academic Programs**, Wergin, Jon F., Anker Publishing, Bolton, MA 2003.
- **Chairing the Academic Department: Leadership Among Peers,** Tucker, Allen, American Council on Education, 1981. Though an older volume, this is a wonderful

reference book. Used copies may be purchased at www.abebooks.com. 2nd Edition, 1984.

- **The Academic Chairperson's Handbook**, Creswell, John W., Wheeler, Daniel W., Seagren, Alan T., Egly, Nancy J., Beyer, Kirk D., University of Nebraska Press, 1990.

Periodicals & Articles

- ***The Department Chair: A Resource for Academic Administrators*** is a quarterly newsletter for, by and about being an academic department leader. It is available through UTK Libraries.
- ***"In Search of Academic Leadership,"*** Marshall, Stephen; Adams, Moya; and Cameron, Alison, Centre for Professional Development, Macquarie University, 2000.

Conferences

- The Academic Chairpersons conference is an annual forum where academic chairpersons, administrators, and faculty from all areas of higher education share the most successful, innovative ideas and strategies to assist each other in becoming more effective in their positions. The format of the conference is concurrent sessions of papers, workshops, and panel discussions, as well as featured presentations by prominent figures in higher education. Each year there is a different overall theme, but the emphasis of every conference is always to provide practical, usable information in a climate of open discussion of common concerns.

- The American Council on Education's unique workshops for division and department chairs and deans are specifically designed to focus on departmental leadership. These workshops seek to support the development of the chair as an academic leader with the department and within the institution as a whole. http://www.acenet.edu/events/Pages/LADC-Jan-2016.aspx

THE CHRONICLE of Higher Education

Run Your Campus
September 12, 2010

12 Rules for New Administrators
By Michael J. Bugeja

During the summer, two of my best friends and former colleagues asked me for guidance about making the transition from professor to administrator. Both had just been named directors of major academic programs at large public universities.

I made that transition myself in 2003 when I was appointed director of the journalism school at Iowa State University. No one prepares you for the position of department chair or director—arguably one of the most difficult jobs in academe because it requires you to navigate between the dean's dictums and the faculty's demands. Upon hearing the news of my friends' appointments, I pondered what I had learned as an administrator over the past seven years and came up with the following "rules," most of them adopted through trial and error.

Start serving others. The transition from professor to administrator begins with an epiphany: When you apply for a faculty job, it's all about you. When you apply for an administrative job, it's all about what you can do for others.

Those service obligations that are often overlooked when it comes time to grant promotion or tenure to faculty members are requisite in administrative reviews. So you'll have to change your attitude, however ingrained from your faculty days, and make service your top priority. Praise employee accomplishments in e-mails, newsletters, and meetings. Host graduation brunches, awards banquets, and alumni homecomings. Write thank-you notes to benefactors and network socially with prospective students. Greet everyone when you arrive in the office, and thank everyone when you leave.

Stop loving students. You can like them, respect them, recruit them, and advocate for them. But you cannot love them like you did as a teacher, savoring their praise in classroom evaluations and sharing confidences during office hours. Learn to trust the faculty and staff members who serve the students you used to love. Otherwise you'll find yourself meddling in routine instructional or advising matters instead of providing professors with enough resources and support to do their jobs.

Get organized. Just as a disorganized teacher will attract negative student evaluations, so will a disorganized administrator get bad reviews from faculty members. No matter how passionate you are about your department, if you are confused in thought, word, or deed, you will create problems for yourself and fail in fundamental tasks. You'll misplace donor letters or miss appointments with parents, alumni, or staff members. You'll forget to submit payroll or approve purchases, or, worse, you'll muck them up, inviting audits. You'll overlook deadlines for grants, affix signatures to the wrong forms, and complicate simple matters in e-mails, memos, and meetings.

So stay on track by updating a calendar that reminds you of deadlines and tasks on a daily, weekly, monthly, and semester basis. Keep file folders within reach on your desk and desktop. Create a timeline of recurring activities and events, from scheduling annual reviews to honoring deadlines for promotion and tenure.

Appoint a leadership team. You need a budget officer to handle accounting and familiarize you with procedures for everything from hiring and firing to paying for utilities and vouchers. If you lack such an officer, quickly befriend the dean's.

You also need an associate chair, or associate director, to handle scheduling, students, and staffing. If you don't have one, and you must teach as well as coordinate the budget and scheduling, chances are you'll burn out within a few years on the job.

Ideally, for departments with 500 undergraduate majors or more, you'll also need an assistant director for external functions, event planning, awards banquets, and the like. Departments lacking an assistant often assign such mundane tasks to committees, increasing the workload of faculty members at a time when many are already getting heavier course loads. Appointing associate and assistant directors—and reducing their teaching obligations—is cost-effective if you can eliminate a committee or two.

Be transparent. Keep an open file in your office of nonconfidential memorandums and letters relating to department business, and allow faculty and staff members to read it. Don't let such openness alarm you. You'll write more concisely and factually if you keep in mind that everyone will be able to read the documents. And you will send the message that you've got nothing to hide.

When you can, pass along communiqués from the dean, provost, and president. Disclose to your faculty members as much information as possible without violating confidences. Ask faculty members to help hone job descriptions for new hires and invite members of search committees to participate and/or listen in on negotiations when making job offers.

Learn how to run a meeting. Chances are, to secure your job, you were asked to provide a "vision" statement. Nothing is less important in your new role. You'll be following the vision of the dean or the provost anyway. Instead, learn how to run a faculty meeting using *Robert's Rules of Order* or standing rules adopted by your faculty senate.

New motions must be written and approved by standing committees before being presented to the department as a whole. Call for agenda items one week in advance, keep and approve minutes, and put everything online. Ask people to inform you about announcements or achievements and send them out as an e-mail or PDF rather than waste time reading them aloud at meetings. Try not to schedule any courses for at least two hours on one weekday so that no one is disenfranchised by having to teach during a faculty meeting. Limit meetings to once a month, and keep them under two hours.

Create an advisory committee. It should include a budget officer, the associate and assistant chairs or directors, and the heads of standing committees. Your title does not entitle you to executive proclamations. Like any other professor, run proposals through your advisory committee before bringing them to the rest of the department. Post a detailed agenda and rationale for each proposal in advance.

Honor governance policies. If your department or school lacks a policy handbook, request samples from peer programs or other departments on your campus and use those models to devise your own. Ask faculty members to help create or amend the policy and ensure that it is aligned with institutional rules. Post your governance documents online. Cite the rules in announcements, correspondence, and at meetings. You'll not only document the rationale for your actions but also remind faculty and staff members about procedure.

Resist the natural tendency to play favorites. Showing favoritism in your decision making will almost certainly create factions in the department. Instead, use stated policies and procedures to resolve disagreements. You don't want to be put in a position of siding with one professor over another. You must choose your battles carefully or other vital tasks—from grievances to payroll—can be mishandled.

That explains why the best administrators do not let personal feelings guide them in disputes over who should teach what (and in which classrooms), or which graduate students and courses are assigned to which professors. You should have policies and procedures in place to guide those decisions.

Become an advocate for civility and diversity. Inclusivity should be at the top of your administrative agenda. Devise a diversity plan with professors if your department lacks one and refer to it in routine e-mails or meetings, when occasion allows. Insist on collegiality in employee reviews. Act immediately to deal with stereotyping, harassment, and incivility in others. Especially important is the nurturing of a climate welcoming to women and members of underrepresented groups. Respect for differing viewpoints is essential in any learning environment, and yours should celebrate that as a benchmark for success.

Make sure faculty members have mentors. You are as much an adviser for your assistant professors as you are their supervisor. You must remind them continually about requirements for promotion and tenure. Your P&T committee will judge candidates in the same manner that graduate committees approve or reject dissertations, basing decisions on productivity as documented in a dossier. Create a monthly round table for assistant professors, and invite senior professors or guests to guide the rookies on research, service, and teaching. Encourage assistant professors to meet as a group outside the department and share methodologies, data sets, and teaching innovations.

Relearn the promotion-and-tenure process. Serving on a tenure committee as a professor differs drastically from wielding oversight of the process as an administrator. Make sure that your

faculty committee meets with each candidate regularly and makes recommendations on any position-responsibility statement—an agreement between you and your employee about what is expected by way of research, teaching, and service. Police your committee's choices for external reviewers, making sure that their expertise is aligned with the candidate's major interests. Be open with your committee about your intentions, and provide a rationale for your actions.

Every department or program has its own culture, and yours might not mesh with some of my rules. However, a lot of these ideas are ones many administrators pursue. Chances are, if you follow the rules, you'll be reappointed or promoted at the end of your successful administrative term—assuming you still want the job.

Michael J. Bugeja is director of the Greenlee School of Journalism and Communication at Iowa State University. His faculty has recently reappointed him to a third term.

Chapter 2

Fiscal Administration of the Academic Department

I. Your Role in Financial Management

There are eight basic financial management responsibilities for managers in charge of units of the University. They are as follows:

- Determining the unit's budgetary needs.
- Preparing and submitting the required budget forms through the appropriate channels.
- Authorize financial transactions, and ensure sufficient funds are available in the account.
- Ensure an effective financial recordkeeping system is developed and maintained.
- Ensure appropriately authorized staff members are trained to process transactions accurately and in a timely manner.
- Overseeing the administration of all departmental funds to prevent over-expenditure of any account. If an overdraft does occur, immediate steps must be taken to fund the deficit
- Performing a monthly reconciliation of the department's financial records with the Budget and Expenditure Report.
- Establishing approval and verification procedures (in writing) to ensure all financial transactions are appropriate, accurately and adequately described, and properly recorded.

II. Fiscal Policies of the University & Keys to Ensuring Compliance.

The fiscal year for the University of Tennessee is July 1 to June 30. All fiscal policies of the university are available on the web at: http://budget.utk.edu/fiscal-policy/

Or go to http://www.utk.edu/alpha/ (A-Z index) click on P, under the heading Policies and Procedures, University click on Fiscal.

Key Policies You *Must* Know—Authority vs. Responsibility

1. Only the department head for a funds center has authority to approve financial and human resources transactions for the department. One or more alternate approvers may be designated, however; the department **head *may never delegate responsibility*** for the funds center's transactions. Therefore, it is important to at least read the fiscal policies of the University and have a basic understanding of them.
2. In delegating authority (not responsibility) choose only an exempt employee, who has demonstrated high ethical standards and knowledge of university and departmental operations.
3. Remember, expenditures or payroll transactions *entered* by an authorized approver into IRIS must be *approved* by some other authorized approver. In other words, the same individual **CANNOT** enter **AND** approve expenditures or payroll transactions. This is commonly known as dual control, and to permit the same person to do so is commonly known as "allowing the fox to watch the henhouse". Permitting one person to do both is also a violation of your responsibility as department head.

Key Policies You *Must* Know—The Budget.

1. Deans will schedule budget hearings with Department Heads when the Chancellor's and Provost's budget hearing dates and/or requirements are known.
2. When the University budget is prepared each year, the Dean's Office will send the Department Heads a budget memorandum with the instructions for preparing the budget. Budget preparation typically occurs during the month of April.
3. The budget of each department or unit is divided into four principal budget categories: Personnel, Staff Benefits, Operating, and Equipment and Capital Outlay. These major categories are further subdivided.
4. Budget allocations not expended may not be stockpiled. On the other hand, completing a fiscal year within budget receives high marks in evaluations, as all units are strictly required to spend within their budgetary limits. Similarly, under-spending in one account does not mean one may overspend in another account.
5. There are strict state requirements for the maintenance of records; therefore every unit must develop procedures for keeping records which will accurately reflect adequate control of departmental expenditures. For details on record retention, refer to FI1020—Records Management. Call the Records Management Office 974.6328 for assistance in developing those procedures or maintaining records.
6. The best way to maintain adequate control of departmental expenditures is by reviewing and approving ***The Departmental Ledger Report*** each month. This action is mandated by Fiscal Policy 0115. Department heads should review and adhere strictly to this policy. Any inappropriate expenditures or over-expenditures of the budget should be addressed with the faculty and staff in the department as soon as possible and with the Dean, if necessary.

The budget is not necessarily etched in stone. Unanticipated items, recasting of type of salary, revisions in departmental accounts, reallocation between commitment items, new activities, and urgent needs are all reasons for using Form T-15 to request a budget revision from the College business office.

Key Policies You *Must* Know—Purchasing

1. As manager of a unit, you are responsible for ensuring sufficient funds are available for all purchases and that these purchases are in the best interest of the University and allowed by University policy.
2. Review and approve the requisition for purchase and the vendor's invoice. (May delegate to an exempt employee.)
3. Ensure procedures are in place to review the quality of goods or services received and to review the documentation for accuracy.
4. Ensure a separation of duties between staff who order items and those who approve payment for those items.
5. Ensure the development of appropriate specifications for goods and services to be bid. (See the details in Fiscal Policy FI0410)
6. Purchases greater than $5,000 will be handled by the Purchasing Department, and if greater than $25,000, will be formally bid.
7. Departments may be granted certain delegated purchasing authority up to $10,000 in accordance with Fiscal Policy F10410.
8. Ensure invoices are processed promptly and in accordance with state law.

Purchasing Quick Reference

Up to $5,000	Use Petty Cash, Procurement Card or purchase on credit; obtain vendor invoice. (see fiscal policy for appropriate expenditures)
$5,000 - $25,000	Submit requisition to purchasing, who will obtain three informal bids.
Over $25,000	Submit requisition to purchasing, who will conduct formal bid process.
Emergency purchases	Notify purchasing by phone; then file written justification.
Sole source purchases	Submit written justification to purchasing for approval.
Compatibility	When changing vendors would be cost prohibitive; written justification.
Non-biddable services	Purchases made under existing contracts with the vendor.

Key Policies You *Must* Know—Approving Payments

1. **Invoices**: Effective approval requires the Department Head to have an original invoice from the vendor and supporting documentation when approving the electronic transaction in IRIS. The Department Head should have assurance the goods or services were received before approving the payment. The Department Head must initial the invoice after approving the electronic transaction.
2. **Moving Allowance**: The University may provide a moving allowance for a newly hired faculty member or staff. The **Moving Expense Allowance Request Form (T-5)** must be processed to initiate the payment. The moving allowance fiscal policy is F10450.
3. **Request for Special Payment**: A ***Request for a Special Payment*** (Form T-27) is used to initiate payment for informal agreements. The completed and approved form is sent to Accounts Payable for entry in IRIS.
4. **Special Remittance and Order Form**: This form (T-29) is used when an advance payment is required and an invoice is not available. The department enters the payment in IRIS so the Department Head approval is similar to item #1 for approving invoices.
5. **Conference and Seminar Prepayment Form**: This form (Form T-30) is used to prepay conference and seminar fees and is entered by Accounts Payable. The Department Head approval process is similar to item 3.

Key Policies You *Must* Know—Approving Internal Transfers

1. Internal transfers are used to transfer funds when conducting interdepartmental business. Examples of internal transfers include bookstore purchases, transferring supplies between units, and correcting erroneous entries.
2. Prior to approving, the Department Head must review the explanation for the internal transfer and approve only if the charge is appropriate.
3. Internal (costs) transfers for sponsored projects can be cause for concerns from our sponsors and auditors. See fiscal policy F10220 for further requirements for processing/approving such transfers.

Key Policies You *Must* Know—Approving Travel

1. Authorization for travel and reimbursement of expenses must be in accordance with the provisions in fiscal policy FI0705. Any exceptions to this policy must be approved by the CBO and University treasurer.
2. Employees who engage in official University travel must secure proper approval(s) prior to a trip. Out-of-state and international travel must be approved on a Travel Request within the travel module of the financial system (IRIS). If the traveler is the department head, his or her supervisor must approve the travel. All approvals will be processed electronically within IRIS.
3. All travel expenses must be entered into IRIS by the department. Original, itemized receipts must be submitted with the travel expense report and attached to the IRIS travel transaction. The form must be signed by the traveler. The Department Head should have this paperwork when approving the electronic travel reimbursement request in IRIS. A department head can approve his or her travel expense, but not the travel request.

Key Policies You *Must* Know—Approving Procurement Card

1. The procurement card program was established to provide a more efficient, cost-effective alternative for departments to make purchases costing $5,000 and below (purchases over this amount must be bid).
2. The procurement card is a special VISA credit card that works similarly to a personal credit card, except the charges are billed directly to the University and paid by the Treasurer's Office. The procurement card contains the cardholder's name and "The University of Tennessee." The phrase "tax-exempt" and the university's tax-exempt number are also printed on the card.
3. The Department Head is ultimately responsible for purchases with procurement cards and the administration of the program in his or her department. The Department Head, therefore, is expected to make reasonable efforts to select appropriate employees as cardholders and ensure these employees use the cards in a proper manner and in compliance with University policies.
4. The Department Head should review fiscal policy FI0530 for unallowable uses of the card. (See Limitations on Using the Procurement Card.)
5. For completing the electronic transaction, the Department Head must review the procurement card statements on the electronic approval system and approve or reject. The Department Head should have the supporting documentation when reviewing the electronic transaction. Approval indicates the purchases and the distribution of charges are appropriate, and must be done by the Treasurer's Office deadline.

Key Policies You *Must* Know—Depositing Funds

1. Funds include currency and other negotiable documents, such as personal checks, money orders, cashier's checks, and traveler's checks, received by a department for goods or services or as a refund, reimbursement, or gift, etc.
2. All funds must be deposited or transmitted to the campus central cashier within three business days of receipt. Deposits must be made intact and include all money received. **Expenditures may not be made from money received, and the money may not be retained in a department for its use.**

3. Departments that receive money should develop written procedures to collect and transmit funds to the central cashier.
4. The Department Head should ensure university funds are protected until deposited by providing proper safekeeping facilities and procedures in the unit, never sending deposits through campus mail, limiting the number of employees with access to the funds, safeguarding and frequently changing safe combinations, and appropriately separating duties in cash handling.

III. Managing the Budget—Best Practices

- Department heads who are uncomfortable with the budget process should work with the Dean's Office to learn more about the process and see samples of other departments' budgets and budget presentations.
- Best Practices in IRIS can be found on the IRIS web site.
- Always, always, always use dual control when handling accounts or money.
- Get faculty input when preparing the budget, especially with respect to equipment and materials needs.
- Plan ahead for requesting funds for long-range capital costs. Approvals may take longer than a single budget cycle.
- Know the University's budget cycle and meet its deadlines.
- Plan ahead for the end of year report which will close out the fiscal year for your unit.
- Review accounts monthly, paying close attention to over-spending. Address the causes of over-spending immediately. If appropriate, request a budget revision.
- Place controls on individuals who are responsible for extraordinary spending.

Monthly Reconciliation Process—Quick Reference (See Fiscal Policy F10115)

- **Compare** departmental records with the encumbrances and current month's charges on the Departmental Ledger Report, and review supporting documentation.
- **Ensure** all encumbrances and charges made to the accounts are accurate. There could be data entry errors that need to be corrected, or improperly authorized items on the report.
- **Check** free balance to ensure amount remaining to spend on the budget year appears correct.
- **Approve** the ledgers with a signature or initials and the date. The ledgers should be approved in a timely manner, but no later than the last working day of the month.

IV. Payroll—Your Role in Time Reporting.

A. Introduction.

Time reporting is necessary to report employees' work and leave time accurately. Employees generally are paid either monthly or biweekly. Time and leave entry is done by departmental timekeepers and then routed to Department Heads (or their designees) for electronic approval. The department entering the time is responsible for retaining timesheets for audit and record retention purposes.

B. Types of Payroll.

The **monthly payroll** includes employees paid on a salary basis, such as faculty, exempt, non-exempt clerical, and other academic assistants such as graduate assistants. Once an employee is hired and the salary is set in IRIS, he/she will be paid this salary each month until a change is processed and posted to IRIS. Time reporting is required only for deviations

from the employee's normal work schedule such as leave used, hours worked in excess of scheduled work week or unpaid absences. No time reporting is required for 9-month faculty.

The **biweekly payroll** includes employees who are paid on an hourly basis, such as certain non-exempt and student employees. This payroll requires departmental input of all hours worked and leave taken for the pay period in order for the employee to be paid. This input is made using ZCAT. In departments using KRONOS, automated time clocks and web based computer entry will record the time worked.

Steps of Time Entry

1. Collect timesheets from employees
2. Timekeeper enters time in ZCAT and releases it for approval

   a. Monthly paid employees – only deviations from work schedule are entered (leave used, holidays, overtime hours, unpaid absences)

   b. Biweekly paid employees – all hours to be paid must be entered (hours worked, leave used, holidays, etc.)
3. Departmental approver reviews and approves time.

Note: Help for time entry and approvals questions and other IRIS training documents can be found at http://iris.tennessee.edu/. Deadlines for time entry are posted at http://payroll.tennessee.edu.

C. Payroll Reconciliation—Key Procedures You *Must* Follow.

Payroll costs account for 70% or more of the E&G Budget, therefore reconciling the payroll results with the financial transactions posted to the ledger is critical. The ***Cost Center/WBS Distribution Report*** lists the detailed charges generated by the payroll postings. The Department Head (or designee) should review this report after each payroll cycle to verify the individuals paid are the department's employees and that the salary paid is correct. If the report is correct, the Department Head initials the report and gives it to the employee reconciling the ledger.

The **Detailed Check Register** should be printed by the department each pay period two days prior to pay day. This register lists the gross and net amounts paid on the current payroll to employees administratively responsible to the requested cost center. After verification that the individuals listed are employees and the amounts paid are appropriate, the register must be signed by the Department Head and retained in the department.

The ***Display Absence Quote (Leave Balances) Data*** provides a listing of the absence quotas (compensatory time, personal day, annual leave, sick leave, and sick leave bank) so the Department Head can monitor leave balances for employees in the unit. Term employees, students, and employees on nine-month appointments do not earn leave.

Questions about Payroll?

Write the IRIS Help Desk: irishelpdesk@utk.edu or contact the System Payroll Office at 974-5251.

V. Accounting for External Funds—Sponsored Projects or Research Grants (Fiscal Policy FI0205)

The principal investigator (PI) is the employee responsible for administrating a grant or contract. This may be the department head or another employee. Although the PI is responsible for managing the account and directing the sponsored work, the department head is ultimately responsible for these activities. Proper attention and priority must be given to grant and contract administration to comply with the requirements of the grant, ensure all charges are allowable under the terms of the contract or grant, and to help the University maintain good relations with sponsoring agencies and thereby continue to receive favorable treatment when grants and contracts are being awarded. See the web sites for accounting for external funds at the end of this Chapter.

A. The Department Head's Role in Managing Grants and Contracts

1. Ensure the PI is aware of his/her responsibilities.
2. Review and approve proposals and budgets before they are submitted to the campus research office.
3. Review ***"R" Departmental Ledger Report*** for reasonableness of amount of expenditure. Follow up immediately on over-expenditures or unusual items in accounts. Over-expenditures and unallowable expenditures must be charged to non-sponsored funds in the department.
4. Ensure department has funds available to meet departmental cost share and matching commitments.
5. Monitor new grants and contracts or continuations to ensure that agreements are processed and accounts are established in a timely manner.
6. Contact the Sponsored Projects Accounting Office, 974-2591, if monthly Departmental Ledger Reports are not received or appear to be in error.
7. Require timely charging of expenditures to the grant/contract.
8. Approve expenditures.
9. Ensure the Department Ledger Reports are reconciled to department records.
10. Ensure, in conjunction with the PI: all subcontractor activities are in accordance with the primary agreement, the work has been performed, and the charges are appropriate.
11. If the department prepares its own invoices for sponsoring agencies, ensure invoices are properly supported, in accordance with agreements, and submitted in a timely manner.
12. If the department receives payments, ensure: the associated invoices are identified and reconciled with the payment; the funds are collected in a timely manner, and deposited to the appropriate University account.
13. Maintain records for the period required in the contract, or in the Records Management Policy, whichever is longer. (FI-0120)
14. Ensure award meets all compliances, including financial compliance, animal care and usage, biosafety, export control, human subjects/IRB, and radiation safety.

B. The Principal Investigator's Responsibilities

1. Prepare the proposal text.
2. Prepare the proposal budget, including personnel, equipment, supplies, travel, and other funds needed
3. Prepare a budget justification.
4. Obtain the necessary approvals, e.g., co-PIs, compliance committees, departmental, college, etc.

5. Submit the proposal to the campus research office for review and approval by the appropriate deadline date.
6. Submit the approved proposal to the sponsoring agency. The Campus Research Office will be responsible for all electronic proposal submissions. The PI will submit all hard copy or email submissions.
7. Ensure the project objectives are completed.
8. Ensure all expenses charged are allowable and related to the project.
9. Ensure all subcontractor activities are in accordance with the primary agreement and the charges are appropriate.
10. Ensure the funded project is completed within budgetary and time constraints, University policies, sponsor guidelines, and other applicable regulations and certifications.
11. Submit required progress reports to the sponsoring agency on time and in accordance with guidelines.
12. Verify account ledgers on a monthly basis, ensuring all expenses are authorized and properly recorded.
13. Ensure award meets all compliances, including financial compliance, animal care and usage, biosafety, export control, human subjects/IRB, and radiation safety.
14. Close the project when all expenses have been incurred so final financial reports can be prepared and submitted to the sponsoring agency.

VI. Advocating for Your Department—What Every Department Head Should Know

Following are some practical tips for advocating on behalf of the Academic Department. Most important of all is to know the facts, know the rules, and know your budget. Knowing the rules requires a basic understanding of fiscal, human resources and safety policy. Knowing the facts is keeping abreast of the overall budget situation by reading about appropriations which can be expected by the State and how those appropriations may affect what the University will be able to do in any given budget year. It is also means knowing facts such as the department or university ranking among schools with similar programs.

Knowing your budget requires an understanding of how you compare, not only to other departments your size and structure, but to your peers at similar institutions. Seek the assistance and advice of others when making budget decisions. Ask for help in setting up different budget scenarios to gauge the impact of alternatives that are viable for the Department. Then share the alternatives to get fresh perspectives on them. It is important to build a relationship with your dean and other administrators, to become well known on campus. Knowing your budget also means knowing why your Department has its particular cost structure. Since UT is an open records university, take the opportunity to look at the records of other departments. How does your department compare to the unit? How do you compare to peer institutions? Do a faculty comparison. Use the University of Delaware Study (Costs & Academic Productivity by Discipline), and the Southeast University Group (SUG).

Find the resources. When making a budget presentation, the department most likely to be successful is the one with the best proposal, idea, and justification for the requested funds. The college that goes the extra mile, such as by reallocating resources to provide some of the funding for a program it considers important, is far more likely to get approval for that new project than the college that asks the University to fund all of it from the University budget. Make sure you have done everything possible to maximize the budget you have, including reallocating within that budget to strengthen the Department.

VII. University Web Sites for Fiscal Administration

Fiscal Policy

All fifty-three fiscal policies, dealing with everything from Accounts Receivable, to Purchasing, to University Aircraft, can be found at:
http://policy.tennessee.edu/fiscal_policy/

Or go to http://www.utk.edu/alpha/ (A-Z index) click on P, under the heading Policies and Procedures University click on Fiscal.

IRIS Web Site

http://iris.tennessee.edu/

Sponsored Projects Accounting

http://web.utk.edu/~spa/

The Office of Sponsored Projects Accounting works with UT faculty and staff who have received external funding for projects in order to ensure the projects' funding accountability.

On this site, there are links to numerous state and federal government policy sites which may offer information needed for the proper management of a project. All questions about accounting for projects funded by outside sources may be answered on this site, or by using the contact number on this site for more information. Training is also available upon request.

Research at UT Knoxville

Everything you might need to know to complete a proposal, and then manage it is on the Office of Research website http://www.utk.edu/research/

CHAPTER 3—Faculty

Creating a Culture of Diversity and the Faculty Search Process.

Introduction: The University of Tennessee is committed to recruiting and retaining a qualified diverse workforce. We recognize that a diverse workforce and student body create a learning environment that is beneficial to all. In accordance with the *UTK Diversity Plan: A Framework for Action*, the following goals are directly related to diversity in hiring*:

Goal One: Create and sustain a welcoming, supportive and inclusive campus.

Goal Two: Attract and retain greater numbers of individuals from under-represented populations into faculty, staff, and administrative positions.

Goal Three: Prepare graduate students to become teachers, researchers, and professionals in a diverse world.

A. Summary of the Search Process—Tenure Track Faculty

Some Important Advisory Points

The following information is intended to be a supplement to the Search Procedure Manual. This advice should be useful to academic departments in conducting activities which will promote diversity. The procedural steps in the search process are addressed in the Search Procedure Manual.

- At all times during the search process, use the Best Practices in Diversity in Hiring in section C, below.
- Search Committees should be diverse in membership.
- Search Committee members are reminded that all discussions about candidates and candidate material should be kept as confidential as possible.
- Remember that ratings and evaluations of candidates are public records and therefore should exhibit professionalism. Opinions, inappropriate comments, or conclusions, without proper substantiation, should not be included in the file or even considered in the deliberations of the committee.
- All evaluations and rating forms become a part of the Search File, and must be retained for a minimum of ten (10) years from the effective date of the appointment.
- Internal candidates competing as part of an external search should be treated in the same manner as all other candidates. Candidates may not serve as members of the search committee, participate in the interviews of their competing candidates, and/or participate in the deliberations on other candidates.

* See the OED web site (http://oed.utk.edu/diversityplans/) and the UTK homepage (http://www.utk.edu/) regarding the campus Diversity Plan as well as other diversity-related activities. See also the UT Search Manual (http://oed.utk.edu/searches/) for information regarding the hiring process.

- All forms referred to in this section are noted in ***bold italics*** and may be found at the Office of Equity and Diversity web site. Always refer to the web site or call OED to certify the most recent revision date.

1. GETTING STARTED.

The college must submit a Hiring Plan to the Office of the Provost by July 1 for the upcoming academic year. The hiring plan will include the following information:

- The Department
- Position(s) by Title/Rank
- Name(s) and position number(s) of the person vacating the position(s) (if applicable)
- Proposed salary
- Proposed start-up costs
- Proposed start date
- Budgeted amount for the position

The hiring plan will be reviewed promptly and either approved or reviewed with the Dean for further information.

2. START-UP:

In order to secure start-up funding from the Office of Research, department heads should work through their deans, usually the associate dean for research (if applicable), about the level of support needed. The deans submit these requests along with the information requested above. The request must include the total amount requested and the level of support to be contributed by the college and department. Any significant start-up request involving support from central administration must be approved before the search begins. For small start-ups, the request to the central administration is usually for computer and office needs.

Once the Hiring Plan and Start-up have been approved by the appropriate administrative offices, the Search Process can begin. The next few pages are an overview of that process. At the end of this section are suggested best practices to consider during the search and hiring process.

3. COMPOSE A SEARCH COMMITTEE:

Compose a Search Committee using the Best Practices in Diversity in Hiring in Section C, below. Appoint a chair. Conduct an orientation session for the Search Committee. The orientation session should include information about the diversity goals of the University. Searches must generally remain open for a minimum of four weeks, and variations from this requirement must be approved by OED.

4. DEVELOP A POSITION DESCRIPTION:

Determine the position opening and develop a **Position Description**. This description is the foundation of the search process, because it establishes the criteria for both advertising and evaluation of candidates. The position description is also the basis of the first form that must be submitted in the process, which is a fully-completed ***Request to Search*** form. Departments should evaluate their current academic needs as well as opportunities for increasing diversity within their workforce. Basic information needed in the Position Description, which will aid in the completion of the Request to Search form, is:

- Position title (avoid inflating titles)
- Job Classification (faculty, administrative, staff) and sub-classifications
- Anticipated start date
- Duration of the appointment
- Minimum requirements of the position--specifications for formal training, education, certifications, licensures, level of knowledge, skills, and/or abilities required to perform the essential job responsibilities and duties competently; and and/or work experience. State whether qualifications are **Required Qualifications or Desired Qualifications**
- Essential duties and responsibilities, with most important listed first.
- Salary range or notice of competitive salary.

When posting the job position, remember that the position announcement and the position advertisement must include the same job qualifications as those approved on the Request to Search Form. In addition, the job posting will include:

- Preferred dates for receipt of applications or notice of review dates of applications. However, it is also encouraged to include the following phrase in your job postings: *Position will remain open until filled*.
- Contact information for returning applications--a name, address and telephone number or e-mail address
- In an Upper Level Search, there are additional requirements. For a definition of what constitutes an Upper Level Search, consult the OED Search Procedures Manual.
- Because the University of Tennessee Knoxville campus is committed to recruiting a qualified diverse workforce, the following statement has been recommended for inclusion within all searches (upper level administrative, faculty, and professional exempt level positions) within the general description of the announcement and advertisement sections: *The Knoxville campus of the University of Tennessee is seeking candidates who have the ability to contribute in meaningful ways to the diversity and intercultural goals of the University.*

5. APPROVAL TO SEARCH:

Receive an approval to search from the Dean, Provost, and from OED. The executed approvals by the Department Head, Dean, and Provost on the ***Request to Search (RTS)*** form are necessary before forwarding to the Office of Equity and Diversity. After OED signs the RTS form, a copy of the form will be returned to the Department Head and a copy sent to Human Resources so that the position may be posted on the UT Job Vacancy Listing. Do not begin the search until all of these approvals have been received. Schedule a meeting for the Search Committee Chair with the Office of Equity and Diversity. A minimum of one-third of the search committee members must attend or have attended a presentation by STRIDE.

6. RECRUIT AND ADVERTISE:

Begin advertising ensuring that information provided reflects what was approved on the RTS. All committee members should participate in the recruitment effort. Seek the assistance of OED and refer to Best Practices in Diversity in Hiring, below, when planning recruitment and advertising for openings.

7. RECEIPT AND REVIEW OF APPLICATIONS:

- Send a letter to each applicant acknowledging receipt of his/her application along with the UTK Self-Identification Form. Applicants will have the opportunity to voluntarily self-identify their gender, race, ethnicity, and veteran status and such information can be sent

electronically to OED. The search committee should concentrate on review of the applicant's qualifications.

- Review materials received. Request missing information from applicants whose applications lack items requested in the position announcement.
- Create a file for each applicant, date mark, and include all correspondence to and from the applicant.
- Committee determines how to treat applications received after the review date.
- Committee develops evaluation/criteria form based on the requirements of the position. (See Sample Evaluation/Criteria Form in Forms at the end of this Chapter. Modify as needed. Scoring sheets may also be used.)
- The Chair of the Search Committee, or a subcommittee, may make a preliminary review of files to determine whether applicants meet the qualifications specified in the position announcements. Files of applicants who do not meet minimum qualifications may be separated from those who do, but those files should still be made available for all committee members to review if they choose. All applicants must still be included in the statistics submitted in the ***Narrative Summary*** and the ***Request to Make an Offer***.

8. ADVANCING APPLICANTS:

- All Committee members should have an opportunity to review files prior to short-listing applicants.
- The Committee might consider requesting additional clarifying material that will be helpful in making a selection.
- Committees can request writing samples or responses to questions/scenarios to help determine the applicant's ability to apply information that might be needed for the pending job
- (Optional) Pre-Screening: Conduct telephone interviews using predetermined questions. Be careful to ensure that this method is a method of narrowing down the applicant pool by gathering objective information rather than a means to eliminate persons from diverse backgrounds.
- When using any of the above techniques, always remember that the committee should treat every applicant in the same manner (i.e., similarly situated persons should be similarly treated).

9. THE *NARRATIVE SUMMARY* FORM:

- The ***Narrative Summary (NS)*** form constitutes a request to bring candidates short-listed as viable candidates to the campus for on-site interviews. These candidates may be grouped into a principal (primary) pool or an alternate (secondary) pool. Candidates in the principal pool are deemed most highly qualified and, if approved in the NS, *will* be invited to the campus for an on-site interview. Applicants in the alternate pool must meet the required qualifications and *might* be given an opportunity to come to the campus for an on-site interview.
- As part of the ***Narrative Summary***, the committee is asked to provide a statement regarding why each principal and alternate candidate has been recommended for one of the pools – what is it about the candidate that enabled her or him to rise to the of the applicant pool. Also, submit a copy of each principal and alternate candidate's resume for review by the Department Head, Dean, Provost, and OED.
- If self-identified persons from under-represented groups (females and racial minorities) applied but none were considered to be viable (principal or alternate) candidates, the Committee must also provide a brief description of the strengths and weaknesses of each self-identified female and racial minority who applied but were excluded from further consideration.
- Committees should check references before conducting any on-campus interviews. Committees are encouraged to check both listed and unlisted references. The chair, a

designated committee member, or subgroup of the committee should contact the candidate to advise him/her that the reference checks will begin. The candidate should be informed that the committee may check listed and unlisted references. Summary notes of information gathered from the reference checks should be placed in the candidate's search file.

- Complete the ***Narrative Summary Form*** and obtain all appropriate approvals (Department Head, Dean, Provost, and OED). The approval of this form by OED is a prerequisite to inviting candidates to on-campus interviews.

10. THE INTERVIEWS:

- Contact candidates and schedule interviews.
- Develop interview schedule, notify participants and applicants, and verify attendance. The itinerary of campus interviews should be consistent.
- Search Committees should design interview questions and evaluation criteria prior to conducting the interviews. These questions and evaluation criteria should be consistent.
- Conduct interviews and complete evaluations (See *Conducting the Interviews, UT Search Procedures, OED website)*, for tips on scheduling and conducting interviews. The procedures also provide information regarding appropriate and inappropriate areas of inquiry during the interview.

11. REQUEST TO MAKE AN OFFER AND OFFER LETTER:

- The Search Committee will develop strength-and-weakness statements for each candidate interviewed on campus. The Department Head will present the candidates to the departmental faculty for discussion and recommendations according to the *Faculty Handbook* 3.1.3.
- The Department Head will prepare the ***Request to Make an Offer (RMO)*** and forward it to the Dean, the Provost's office, and OED for review and approval, along with the ***Recommendation for Faculty Appointment Form, (RFA)*** the Curriculum Vitae, and the ***English Competency Form***, if the native language is not English.
- OED will notify the Provost's Office when the position has been approved and will distribute the approval to the appropriate departments.
- The Provost's Office generates and mails the ***Official Offer Letter,*** and contacts HR to proceed with the mandatory background check (see pg. 46,section V. Background Checks)

12. COMMUNICATIONS WITH THE CANDIDATE ANCILLARY TO THE OFFICIAL OFFER LETTER:

- As Department Heads are finalizing negotiations with the candidate of choice, they may choose to write a letter to the candidate summing up aspects of the offer which are not typically handled in the official offer letter. Such letters often include information about start-up funding, office and/or lab space, teaching assignments, and similar matters. Such ancillary letters should be forwarded to the Dean and the Provost at the same time as the ***RMO*** and the ***RFA*** Form. This ancillary letter must include wording notifying the candidate that *this letter does not constitute an official offer of the position*. The official offer letter will come directly from the Provost. The ancillary letter must be approved before it is sent. An example of an ancillary letter is included in the forms at the end of this chapter.
- Once the offer is **accepted**, the Provost's Office forwards the acceptance letter to the Department, HR, and OED.
- The Department prepares the initial hire/rehire form and forwards it, along with the original acceptance letter, the ***RFA***, the English Competency Form, and the Curriculum Vitae to the Dean's Office.

- The Department contacts the new faculty member to complete the steps in the hiring process by referring him/her to Human Resources (Employment at 974-6642) to schedule an appointment for New Employee Orientation. The Department should also welcome the new faculty member and provide additional information about the department
- The Dean's Office submits these five documents directly to Human Resources.
- Human Resources will enter the initial hire/rehire form into IRIS **after** the faculty member has attended orientation and completed the necessary hiring documents. This entire process MUST be completed before the new faculty member can receive a check from the University.
- **Regarding Moving Expenses:** Fiscal policy FI-0450 contains the Guidelines for Payment of Moving Expenses and should be reviewed before making representations to a newly-hired faculty member. An electronic request must be submitted to and approved by the Dean and Provost or their designee. The request must include the recommended amount of the moving allowance and an explanation why a moving allowance is in the best interests of the university. Form T-5, "Moving Expense Allowance Request," must be processed to initiate payment for the moving allowance. The approved departmental request for the allowance showing the amount of the allowance must be attached to the Form T-5, along with a signed, accepted copy of the appointment letter from the Office of the Provost. The request and payment can only be processed once the individual has received and signed their letter of employment.

13. CLOSING THE SEARCH:

- After a Candidate has been hired, notify all other candidates that the position has been filled. (See *Letter to Candidates Not Selected* in the Forms & Templates section)
- Materials submitted by a Candidate become the property of the University and are not returned except in special circumstances.
  All materials substantiating the search, including the ***Request to Search, Narrative Summary, Request to Make an Offer***, candidate files, any returned ***EEO Self-Identification Forms***, records of scoring and selection, and all other materials used in the search, must be kept for a period of **ten** (10) calendar years after the effective date of an individual's appointment. These records may be sent to Records Management or kept in the department.

B. Procedures for Hiring Non-Tenure Track Faculty

Chapter 4 of the *Faculty Handbook* governs the appointment, evaluation, and reappointment of non-tenure track faculty. Chapter 4 also provides a list of the titles and appropriate duties for non-tenure-track faculty. Departmental and/or collegiate bylaws should include provisions for accepting applications and reapplications for available non-tenure-track positions. Bylaws should also establish procedures for evaluating the credentials and recommending the appointment of non-tenure track faculty. Departments must develop procedures for evaluating all non-tenure-track faculty members on an annual basis.

In order to help departments solicit applications for non-tenure-track teaching positions, Human Resources and OED will work with the Office of the Provost to identify departments that may need to fill non-tenure track positions, coordinate the placement of a position advertisement in the Chronicle of Higher Education, and solicit a qualified, diverse applicant pool for departments to consider in filling such vacancies. The university strongly recommends that departments and colleges with continuing need to recruit non-tenure-track faculty take advantage of this opportunity. If you have openings for such faculty, please contact OED for further information.

When the departmental screening process is complete, the department should perform the following steps in order to hire the candidate or candidates of choice.

STEP ONE: The department sends the ***Recommendation for Faculty Appointment*** form, a position description, the CV, the ***English Competency Form*** (if applicable) for teaching faculty, and a record of the faculty vote for research, clinical and adjunct professors to the Dean's Office for approval, who then forwards the request and the documentation to the Office of the Provost.

STEP TWO: The offer letter is prepared and mailed by the Provost's office. The candidate returns a signed copy of the letter to the Provost's office. When the acceptance letter is received, the Provost forwards it to the department with a copy to HR and OED.

STEP THREE: The department attaches initial hire/rehire form and sends it, along with the CV and the original acceptance letter, to the Dean's Office for review and signature.

STEP FOUR: The Dean's Office submits the approved initial hire/rehire form, CV, and original acceptance letter directly to HR.

STEP FIVE: The department contacts the new faculty member to provide information about joining the department and informs the candidate of the steps required to complete the hiring process. The department or the new faculty members contacts HR (Employment at 974-6642) to schedule a New Employee Orientation session.

STEP SIX: HR enters the initial hire/rehire form into IRIS after the faculty member has attended orientation and completed the necessary hiring documents. This entire process MUST be completed before a new faculty member can receive a check from the University.

PLEASE NOTE: The University does currently issue official offer letters for term lecturers or part-time lecturers below 75% when requested. Continuing lecturers receive reappointment letters from college. When communicating in writing with lecturers in any of these categories about their appointments, please include the following paragraph:

> *This appointment is contingent upon the University's need for your services and upon your satisfactory performance of the essential functions of your job with or without a reasonable accommodation. This position is not eligible for tenure. The policies of the University of Tennessee concerning non-tenure-track appointments are in chapter 4 of the Faculty Handbook and in Personnel Policies and Procedures. Both are available at the University's web site on-line (www.utk.edu).*

C. Best Practices in Diversity in Hiring

1. Recruit in the right way

Conducting a broad search requires much work. The Office of Equity and Diversity (OED) exists to assist departments in recruiting under-represented faculty by providing strategies and information for discovering strong potential under-represented candidates. It is important to research new avenues for expanding your recruitment efforts. The following list identifies strategies used by UT and other Universities around the country for increasing diversity in the faculty ranks:

- Be committed to the idea of increasing diversity within your department. Recognize the value in having a diverse workforce within your area. Educate the search committee about the educational benefits of diversity to the University community and the student population.
- Advertise through professional association listservs, electronic bulletin boards and targeted minority publications;

- Be aware of and address spousal relocation issues. Work with the Office of the Provost and OED on this issue.
  Consider using diverse adjunct faculty or visiting lecturers on non-tenure track appointments.
- Cross list faculty with other departments. Identify and use resources that attract persons with the types of skills (relevant skills) needed for your position.
- Increase recognition of broader-based credentials in the hiring process—accept a wide range of career experience, identify individuals who have achieved excellence outside academe.
- Have diverse representation on recruitment subcommittees.
- Set up or participate in informational venues at professional conferences.
- Create a diverse search committee with faculty members who have a known commitment to diversity and are enthusiastic about the prospect for hiring diverse faculty, who network within their academic disciplines, and have knowledge of under-represented candidate.
- Brief the search committee by giving guidance about the importance of the diversity goals of the university, how to evaluate the complete pool of qualified candidates, how to avoid subtle forms of discrimination, and how to be inclusive in its consideration of all candidates.
- Establish ongoing and routine relationships with local, regional and national under-represented organizations and special interest groups.
- Have faculty and students take along copies of job announcements to academic meetings and conferences that they attend.
- Check your discipline-based organization to see whether they have subcommittees on under-represented population groups (females and racial minorities).
- Critically review the position announcement to ensure its inclusiveness.
- Pay for the cost of the interview, travel, food, lodging, and incidentals.
- During the interview process, be open, honest, genuine, and gracious.
- Do not make unfair and irrelevant pre-employment inquiries.
- Consult existing diverse faculty for advice on recruiting.
- Work with OED to help identify and offer to make available a person/persons of similar background, interests, ethnicity or gender to give their perspectives on the campus and local community climate.
- Contact promising candidates directly and encourage them to apply. Ask members of diverse backgrounds to join you in encouraging the application. Use campus organizations that serve persons of diverse backgrounds to circulate your announcement and encourage persons to apply.
- Make personal contact with visiting scholars or speakers to determine their interest in position openings.
- Allow room in the departmental budget for allocation of funds to augment salaries for persons who bring diversity to your unit.
- Recruit new Ph.D. recipients from higher education institutions that serve persons from diverse backgrounds (ex. traditional HBCUs, Native American, Hispanic, and female institutions) to do post-doctoral work.
- Identify and establish relationships with peer institutions whose under-represented Ph.D. candidates would be qualified for your junior faculty openings.
- Educate the search committee and provide opportunities for discussion on diversity and equity issues—including hiring myths, stereotypes and biases.
- Visit universities which prepare a significant number of under-represented Ph.D. candidates. Make your presence known and establish on-going relationships with department heads, deans, and other college administrators.
- Advise candidates of any incentives that might be negotiable in the salary package.
- Share the successes or missteps in recruiting with future search committees.
- Create and maintain a list of diverse publications, institutions, and resources for outreach purposes.

2. Take actions that encourage retention of diverse faculty

It is important to retain newly hired junior faculty, particularly persons from under-represented backgrounds. Here are a few positive things that can be done in that arena.

- Follow up regularly with newly hired faculty to assist with transitions and to answer any concerns that might surface during the first few days, weeks or months of employment.
- Provide new hires with clearly stated standards and procedures regarding evaluation and performance.
- Sponsor campus or college gatherings to highlight the research, teaching and service contributions of under-represented faculty.
- Increase formal and informal efforts to reach out to new hires, integrate them into the social and professional life of the department and the university.
- Provide new hires with guidance on research and teaching, such as visiting classes, discussing classroom behavior, syllabi, departmental norms and expectations, or offering to review and advise on tenure documents.
- Recommend a under-represented faculty member as a speaker at a professional conference. Provide funding assistance where appropriate.
- Co-author research articles with under-represented faculty to help build the research portfolio.
- Encourage and allow junior faculty from diverse backgrounds the opportunity to serve on campus committees. However, remember that, because they are of diverse backgrounds, these requests may become overwhelming. Try to establish a balance.
- Provide active appreciation and encouraging feedback on performance.
- Make sure that diverse faculty members receive credit for the various ways in which they provide service to the university through service on committees, mentoring and tutoring students and the like.
- Assist target group in skill enhancement and advancement.
- Reach all faculty with a professional development program;
- Increase the percentage of diverse faculty the department sends to professional development conferences and programs.
- Provide departmental leave (when budget and workload permit) to allow faculty to develop their research.
- Adjust workload for teaching to support new faculty in research career development.

3. Develop a departmental culture that improves, promotes and supports diversity and that considers diversity in its initiatives, curriculum, hiring and promotion

- Talk about the importance of diversity and be explicit about the connections between faculty diversity and educational quality.
- Lead by participating in multi-cultural events.
- Take advantage of and encourage faculty to take advantage of educational activities which promote diversity.
- At department meetings, discuss some aspect of diversity which might include a short training session on diversity or distributing an article about some aspect of diversity.
- Visiting Professor and Adjunct Faculty lines open up the opportunity to recruit persons of diverse backgrounds and perspectives, particularly Adjunct Faculty with the potential and interest in obtaining tenure track positions.
- Use guest speakers to provide role models to under-represented faculty.
- Permit opportunities to increase skills through special projects and training programs.
- Ensure inclusiveness in promotion, appointment, reappointment, tenure and promotion.
- Recognize and reward those who show commitment to diversity.
- Use gender-neutral language.
- Accommodate for religious holy days when scheduling meetings.

- Be aware of and comment on subtle discriminatory behavior in feedback with those engaging in such behavior.
- Have frequent interaction with and open dialogue with diverse faculty and persons in leadership roles.
- Clarify criteria for promotion.
- Include diverse faculty in special projects.
- Redistribute teaching and service workload when necessary.
- Recognize and celebrate diversity within your department.
- Communicate with similar departments at peer institutions for their best practices in creating a culture of diversity.
- Refer often to Diversity Innovations at http://www.diversityjournal.com/innovations-2015/.

4. Be attuned to the particular stresses of being an under-represented faculty member

- Review who is assigned to service committees to ensure appropriate diversity representation.
- Ensure that the level of respect shown among department members is the same for all people.
- Consider that under-represented faculty members may have greater demands on them for participation in service throughout the campus and external community.
- Be careful that under-represented faculty members are not expected to develop a greater amount of new material or coursework.
- Be inclusive of under-represented faculty members to reduce any sense of isolation.
- Make sure under-represented faculty members are kept “in the loop” and are a part of informal office “buddy” systems.

5. Consider how curricular needs might be addressed

- Review curriculum for awareness of diversity issues and inclusiveness.
- Program for diversity interests.
- Add a diversity question to course evaluation survey.
- Include diversity content (when appropriate) in new course proposals.
- Integrate equity issues into existing courses.
- Review existing course contents for inclusion of topics relevant to designated groups.
- Use gender-neutral language in examples or alternating gender references in case studies.
- Encourage faculty to participate in diversity instructional training when it is available.
- Allow for curriculum diversity to encourage faculty diversity.

6. Create and maintain an intellectual community that supports a diverse faculty

- Develop opportunities for interdisciplinary programs, projects, workshops, seminars and activities using under-represented faculty.
- Bring in under-represented speakers.
- Support faculty being more involved in the campus and external community.
- Use visiting faculty as role models.
- Participate with under-represented faculty at intercultural events.
- Create an open exchange among diverse faculty and those in leadership roles.
- Encourage departmental projects to increase inclusion of diverse faculty.

D. Recommended Readings

Books: Faculty Diversity: Problems and Solutions, Moody, JoAnn, Routledge Press, 2004

Diversifying the Faculty, Turner, Caroline Sotello Viernes, AACU, 2002.

What Makes Racial Diversity Work in Higher Education, Academic Leaders Present Successful Policies and Strategies, Edited by Hale, Frank, Jr., Stylus Publishing, LLC, 2004

Articles: "How to Diversify Faculty: The Current Legal Landscape", Ann D. Springer, AAUP Associate Counsel, Online at http://www.aaup.org/issues/diversity-affirmative-action/diversify-faculty

"Faculty Diversity: Too Little for Too Long", Harvard Magazine, March-April, 2002, Online at http://harvardmagazine.com/2002/03/faculty-diversity.html

"When Candidates Misbehave" Dowdall, Jean, Chronicle of Higher Education, June 27, 2005. Available online at http://chronicle.com/

E. Web Sites

- **University of Tennessee Office of Equity and Diversity** http://oed.utk.edu/
- **University of Tennessee Human Resources Department**
  Faculty Review Form and Other Performance Review Forms
- **University of Tennessee Office of the Chancellor** http://chancellor.utk.edu
- **University of Tennessee Office of the Provost** http://provost.utk.edu
- **University of Tennessee Administration and Finance** http://avcfinadmin.utk.edu/ Or www.utk.edu, Administration, Office Management, Fiscal Policies
- **Washington & Lee University,** Office of the University Counsel has written a thorough overview of the legal "Do's and Don'ts" in Successful Personnel Searches. Go to the Washington & Lee web site at http://www2.wlu.edu; put "Successful Personnel Searches" in the search field for the PowerPoint presentation. (A copy of the paper is on file with the Office of the Vice Chancellor for Academic Affairs.)
- National Employment Minority Network https://www.nemnet.com/
- **NORC Career Outcomes of Doctoral Recipients**
  http://www.norc.org/Research/Projects/Pages/survey-of-doctorate-recipients.aspx
- **IMDiversity.com** http://www.imdiversity.com
- **The Wise Directory** from the Committee on Institutional Cooperation
  https://www.cic.net/db/memdisp1.asp?id=124
- **Directory of Ford Fellows** http://nrc58.nas.edu/FordFellowDirect/Main/Main.aspx
- **Identifying Women Leaders in Higher Education** http://www.acenet.edu/news-room/Pages/ACE-Womens-Network.aspx
- **Code of Federal Regulations,** 29 C.F.R. §1602 *et seq.*
  http://www.law.cornell.edu/cfr/cfr.php
- **Conducting Interviews Legally**, Quick Tips from Washington & Lee Legal Counsel,
  http://www.wlu.edu/general-counsel/answer-center/employment
- **"How to Diversify the Faculty,** Daryl Smith,
  http://diversity.illinois.edu/SupportingDocs/HowToDiversifyTheFaculty.pdf A great article that dispels myths about creating diversity within the faculty.

G. Case Studies

http://chronicle.com/article/The-Goofy-Job-Search/44639**, an excellent article about departmental "types".**

II. Evaluation of Tenure-Track Faculty

A. The Annual Review Process and Retention Review Process

Every faculty member shall be given an annual review. There are several goals for that process: to review accomplishments against objectives set the previous year or at appointment, to establish objectives for the coming year, to provide support toward the accomplishment of objectives, to assess performance, and to recognize and reward outstanding achievement.

The annual review is conducted in accordance with the ***Manual for Faculty Evaluation***, as revised January, 2016; on the UT web site under Faculty Evaluation. The evaluation of faculty poses the greatest opportunity to improve faculty morale and thereby strengthen the department. However, the corollary is also true, because the evaluation process could result in decreased morale in the department and impact the department's ability to meet its objectives.[†] The importance of following the procedures set out in the ***Manual for Faculty Evaluation*** cannot be overemphasized, and should be followed throughout the evaluation process, beginning with the communication of clear, specific criteria on which faculty will be evaluated.

B. Steps for Annual Retention Review

Please refer to the Faculty Evaluation Manual http://cdn-provost.utk.edu/wp-content/uploads/sites/10/2016/10/Manual-for-Faculty-Evaluation-2016.pdf. Both are located on the Provost's web site. Please contact the Office of the Provost if you have any questions.

See ***Manual for Faculty Evaluation***, Part I, for procedures governing the retention review process for tenure-track faculty.

See ***Manual for Faculty Evaluation***, Part II, for procedures governing the annual evaluation of faculty.

C. Tenure & Promotion—Where to Find the Right Information & Critical Dates

The Office of the Provost publishes and posts on the web site the Faculty Evaluation Calendar for each academic year http://provost.utk.edu/faculty/tenure/evaluation-calendar/.

See ***Manual for Faculty Evaluation***, Parts III and IV and Appendix B for the procedures governing tenure and promotion review.

D. The Cumulative Performance Review

The Cumulative Performance Review for tenured faculty is triggered when a tenured faculty member has received ratings of falls far short of meeting expectations in two out of five consecutive years or whose annual evaluation results in any combination of falls far short of meeting expectations or falls short of meeting expectations ratings in any three of five consecutive years. The procedures for the cumulative performance review can be found in the ***Manual for Faculty Evaluation*** and The University of Tennessee Board of Trustees' Policies Governing Academic Freedom, Responsibility, and Tenure http://policy.tennessee.edu/bot_policy/bt0006/.

[†] Tucker, Allan; Chairing the Academic Department, American Council on Education, 1981, at page 106.

E. Best Practices in the Annual Review and Retention Process

- Meet all deadlines required by the ***Calendar for Faculty Evaluation***. Noncompliance with these deadlines may be considered as a negative factor during annual reviews, promotion and tenure decisions, salary determinations, and requests for release time and other institutional support;
- Statements of Best Practices for evaluation of teaching, research, and service are included in the appendices to the ***Manual for Faculty Evaluation;***
- Base evaluations on job performance results by giving specific examples, using data sources, focusing on observations and listing behavioral traits rather than personality or attitudes. Data may include teaching evaluations, the specific criteria established, workload document or formal observations, or peer review of teaching;
- Maintain an atmosphere of open, honest dialog with faculty throughout the year; Feedback should be given whether positive or negative, and documentation about feedback should be maintained;
- Clearly communicate college and departmental strategic goals and connect each individual's goals and objectives to the institutional mission;
- Be fair, supportive, sensitive to and valuing of diversity;
- Give kudos to high performers; suggestions to low ones;
- Verify that all tenure-track faculty members have been assigned a faculty mentor;
- Collect forms regarding Conflict of Interest (Faculty Handbook - Appendix 8) and Compensated Outside Activities (Manual for Faculty Evaluation – Part II and Faculty Handbook – Chapter 7).

III. Evaluation of Non-Tenure-Track Faculty

Non-tenure-track faculty members are evaluated annually, and a written record of the evaluation is kept in the department and in human resources files. (See the ***Faculty Handbook***, Chapter 4.)

For non-tenure track teaching faculty, teaching effectiveness is, of course, paramount. Teaching should be evaluated by the departmental or collegiate faculty through the use of self-assessment, student evaluations, and peer evaluation as described in the unit's bylaws. For research professionals and clinical professionals, their evaluations should be based on the best practices of those engaged in similar clinical or other research and measured against the highest standards possible for faculty at that level.

The appointment letter specifies the title, salary, and department in which the appointment is made. Non-tenure-track faculty members have the right to appeal decisions made in regard to their employment through the appeals procedures found in Chapter 5 of the ***Faculty Handbook.***

A. Renewals (Continuations) for Regular Non-Tenure-Track Faculty

All non-tenure track teaching appointments are renewable subject to availability of funds and satisfactory performance. Continuation letters should be sent from the colleges as soon as the decision to retain these faculty members has been made (typically over the summer before the start of the academic year). The process would be for the department head to originate these letters, then send them to their college deans for signatures and mailing. The dean's office would forward copies to HR.

Please note that all first-time appointment letters MUST originate from the Provost Office.

B. Promotion Process for Regular Non-Tenure-Track Faculty

Beginning in the academic year 2011-12, the University of Tennessee implemented a promotion process for non-tenure-track faculty carrying the title of Lecturer. This promotion process enabled these faculty members to move forward to attain the ranks of Senior Lecturer or Distinguished Lecturer, in accordance with the candidate's qualifications and accomplishments. Eligibility for promotion to Senior Lecturer occurs typically after a minimum of five years of service at the rank of lecturer. For promotion to Distinguished Lecturer the typical period of service at the rank of senior lecturer is three years. Only continuous full-time, regular Lecturers are eligible for promotion. The promotion process is neither a requirement of continued employment nor an entitlement for years of service or meeting minimal standards. Promotion in rank is recognized by a change in title and a base salary adjustment. An increased length of appointment may also accompany promotions.

All departments that employ regular full-time lecturers are required to create criteria and a process for promotion of lecturers. Those criteria and process should become part of the unit's bylaws.

More information on the campus's requirements for the lecturer promotion process are available on the Provost's website.

IV. Faculty Development—Fostering a Mentoring Culture

A. Introduction

Formal mentoring programs are proliferating in colleges and universities throughout North America. The intent of these programs is to create a link between new tenure-track faculty and respected, tenured faculty. Several objectives can be accomplished through the mentoring process, including, but not limited to:

- Accelerating the time required for new faculty to acclimate to the University;
- Increasing the level of productivity of new faculty;
- Enhancing the likelihood of retention of faculty;
- Facilitating the achievement of promotion and tenure;
- Improving the quality of education provided to students;
- Developing teaching skills;
- Enhancing research and publication efforts;
- Learning expectations relevant to advancement;
- Developing professional networks;
- Establishing professional priorities with respect to long-range career planning;
- Preparing for retention and tenure reviews;
- Allowing more opportunity for collaborative work with senior faculty and quicker time to publication;

A 1998 survey of new faculty indicated that while the respondents generally perceived the job interview as a positive experience, the positive feelings diminished once they began their new jobs. Most of the 168 respondents to the survey had the rank of assistant professor and were on tenure track. "The respondents suggested administrators could combat dissatisfaction among new faculty by creating social opportunities for them and by establishing mentoring programs for

them."[‡] The department head plays a key role in assigning mentors to new faculty and ensuring that mentors have current information about the academic personnel process.

B. Best Practices in Mentoring (also see Manual for Faculty Evaluation, "Best Practices for Faculty to Faculty Mentoring, pg. 69)

- Choose mentors whose views toward teaching and research are aligned with those generally accepted within the department, and who are enthusiastic about their chosen profession;
- Assign mentors who will be willing to work with the tenure track faculty member for the duration of the advance to tenure;
- The mentor should have advanced experience and knowledge and be committed to helping another individual with career planning, and have qualities of wisdom and guidance;
- The mentor should be willing to argue in support of the new faculty member;
- The mentor should be a confidante to the new faculty members, providing supportive guidance and constructive criticism;
- New faculty mentors can be expected to provide the following types of assistance, as applicable: assisting with understanding the university structure and culture, reviewing syllabi and other course materials, providing feedback on teaching through classroom observation, introducing to other faculty and staff with similar interests, reviewing proposals, acknowledging and celebrating the successes of the new faculty member, providing encouragement and inspiration, reviewing manuscripts or co-authoring materials, giving suggestions on materials prepared for annual retention reviews;
- The mentoring relationship is most important for under-represented or minority faculty;
- Seek ways to recognize your faculty mentors, such as honoring or giving an award at a department awards dinner;
- The Department Head should not serve as a mentor to new faculty.

1. Case Studies, Readings, Web Sites

http://www.questia.com/search/mentoring-new-teachers
Hundreds of articles on mentoring faculty at all levels.

V. Academic Personnel Issues

A. Define and Understand the Problem.

The key to managing academic personnel issues is examining the cause of the dissatisfaction of that faculty member. Oftentimes, it is possible to make relatively minor changes within the department to rectify the concerns of a difficult faculty member, for example, workload, class size, physical space.

Academic personnel issues tend to arise in three key areas, underperformance, uncooperativeness, and violation of University policy. Less common is a fourth area, illegal conduct. Identify key administrators who will help resolve the problem, whether that is the Dean, the Office of Equity & Diversity, the Provost or others. Remember that although the Department Head is the frontline supervisor who must lead and deal with these issues as they arise, there is a support system and policy to assist in their management. Never attempt to "go it alone" when dealing with these issues, rather, seek the advice, support and consent of this support system

[‡] University of North Texas News Service, https://news.unt.edu/news-releases/new-faculty-often-feel-isolated

If the faculty member's responsibilities are adequately articulated, and the department's by-laws and principles well known and consistently applied, there will be fewer reasons for complaint. As a manager of a unit, it is important to be available, to be willing to listen, and to make sure the problem is understood. Focusing on the problem presented, and not on underlying conflicts, is also important.

Additional ways to keep problems and complaints to a minimum is to use the faculty meeting as an open forum for discussion and debate about issues, and to include the faculty in as much decision-making as possible.

Regardless of the keenest management skills, there may be times when a faculty member cannot be satisfied, even after rational explanations have been given for the issue presented. There may be times when a department has a faculty member that is always in conflict with others, whether colleagues, administration or students. Even so, that individual should always be treated with respect. At the same time, the department and the University must take action to protect themselves against frivolous complaints and the department from disruptive behaviors.

A. Keep Adequate Records of Counseling, Conferences and other Interactions

Taking notes during conferences with faculty is necessary for presenting an accurate record for both parties of the interaction that occurred. It also shows an interest in the concerns of the faculty member. All conference notes (or notes produced after a conversation in the hallway, for that matter) should be kept on file in the department. Keep a record of interactions when dealing with academic personnel issues. Be consistent in note-taking, since to take notes at some times and not others could be perceived as singling an individual out for criticism or praise. Moreover, the notes are the University's record of the management of the issues. Therefore, it is important to be professional in your note-taking, keeping in mind that all written documents are discoverable. Leave out personal opinions or judgments, recording facts and the gist of the interaction only.

Notes should include the date, the names of anyone making a report, individuals present during the conversation and the discussion. If the issue is significant, provide a copy of notes to the Dean.

B. When to Intervene & Disciplinary Procedures

If a situation with faculty appears too difficult to resolve, it may be necessary to consult with the Dean of the College and the Office of the Provost. Refer to the ***Faculty Handbook***, Section 3.12 (Procedures for Terminating Tenured Faculty) or to the ***Manual for Faculty Evaluation***, Part II for management of unsatisfactory performance or cumulative performance review provisions. Termination of Tenure for adequate cause provisions appear in Faculty Handbook Section 3.11.7.

In the event that intervention is required to deal with a distressed faculty member who may be at risk of harm to him/herself or others, please call 946-CARE or the UT campus police in case of an emergency.

C. Recommended Readings:

http://www.acenet.edu/higher-education/topics/Pages/Faculty-Issues.aspx. A lengthy, yet enlightening article on managing conflict in the department.

Books Addressing Management Skills for Department Chairs

Managing People: A Guide for Department Chairs and Deans; Leaming, Deryl; Anker Publishing; Bolton, MA 2003.

Reframing Academic Leadership; Bolman, Lee; Gallos, Joan; Jossey-Boss Publishing; San Francisco, CA 2011.

CHAPTER 4— Staff

I. Hiring Staff

A. Some Important Procedural Points

1. All searches must have an IRIS position number in order to begin the hiring process. If the hire is for a new position or if there is a change in an existing position, the following preliminary steps must be completed:
   - Complete the Position Description Questionnaire (PDQ) and send it to Human Resources (HR)-Compensation for review. Compensation will classify the job and inform the requesting department of its determination by e-mail.
   - Process an e-form to create or change the attributes of a current position. Once the position has been created in IRIS, a position number is created for that position. Position numbers should be included on the Request to Search forms.
2. Even though departments conduct the interviews, salaries should not be negotiated at the interview. You will know the minimum salary for the position, and should disclose it. You may recommend an amount for salary, but it is best not to discuss that recommendation with the candidate. Instead, hiring departments should work closely with the recruiter on issues concerning salary. (See step IV below regarding determining salary.) After the hiring department has selected the successful candidate, all approvals are obtained, and the background check steps are completed, the recruiter will contact the candidate to extend the official job offer.
3. Although the forms do not change very often, it is a best practice to use the forms on the web site since the latest version should always be posted there.

II. The Hiring Process—Exempt, Non-Exempt and Temporary (Temp) Positions

Effective January 18, 2012, the UT Jobs applicant tracking system (Taleo) integrated open staff positions across the university into one easy-to-navigate database. The transition will improve efficiency and effectiveness of recruitment efforts statewide, as well as benefit both job seekers and staff tasked with filling positions. Please go to http://hr.utk.edu/recruitment/ or http://oed.utk.edu/searches/ for all information regarding staff hiring procedures.

III. Limited Duration Appointments (LDA)

Limited Duration Exempt Appointments are (E-Account) regular appointments for a period of twelve months, (renewable up to 36 months). Limited Duration Exempt Appointments are available for positions that meet certain criteria and must be project-oriented. A full affirmative action search is not required in the case of limited duration vacancies. Limited duration appointments are only available for exempt level, E account positions.

LDA appointments require a written justification. The documentation must include, at a minimum: the specific project for which an LDA needs to be hired, and the reason for the immediate need to hire an LDA. When initiating a search following the procedures above, please include the LDA search justification in the IRIS workflow notes.

IV. Determining Pay

Recruiters are responsible for working with hiring departments to recommend a starting salary for - staff hires. The recommendation and justification is based on the comparison of minimum job qualifications to the candidate's qualifications, analysis of internal equity issues and market considerations (if applicable). The matrix is a tool the recruiter may use in order to work with the hiring department to determine salary. Applicants who exceed the minimum requirements may have points awarded for education, experience, and/or special certifications or licenses. The recruiter may complete the Starting Salary Worksheet (matrix), or in the case of a transfer, a Transfer Salary Worksheet. It is important not to offer or discuss a salary or salary range until speaking with the recruiter

The recruiter and department can approve non-exempt salaries up to 10% above midpoint. Salaries in excess of this amount would require written justification from the department with approval from the appropriate vice chancellor/chancellor/vice president. Hiring departments should work closely with their recruiter on all issues relating to salary.

The recruiter and department can approve exempt salaries up to 10% above the midpoint of the pay grade. Salaries in excess of the midpoint would require written justification from the department with approval from the appropriate vice chancellor/chancellor/vice president. Salary above maximum would require additional approval of the chancellor/chief financial officer.

Please be aware that salary considerations for internal employees differ slightly and the recruiter can provide guidance throughout the hiring process for both internal and external hires and should play in active role in assisting hiring departments on salary considerations.

V. Background Checks

Move this section to Faculty chapter if this is background process for Faculty and insert background information from website pertaining to staff background checks. Beginning January, 2011, every principal candidate in a tenure-track search will need to fill out a background check release form. When the narrative summary has been submitted and approved by OED, the chair of the search committee will contact all principal candidates and direct them to the HR website in order to complete the background check form and send it to HR. When the Request to Offer is approved by the Office of the Provost, they will contact HR with instructions to proceed with the background check for the person selected for the position. If HR does not have a release form from the candidate on file, this will delay the process. If a release form is on file, the Office of the Provost will go ahead with the appointment letter which will include a clause stating that the offer is contingent upon satisfactory completion of the background check.

The form asks the candidate for permission to do a background check, degree completion, etc. Background check costs are centrally funded at this time.

For all non-tenure-track hires, it is up to the department head to notify the person they are hiring and ask them to fill out and submit the release form on the HR site. When the initial offer letter is requested, the Office of the Provost will contact HR and ask for a background check to be completed. If HR does not have a release form from the candidate on file, this will delay the process. If a release form is on file, the Office of the Provost will go ahead with the appointment letter which will include a clause stating that the offer is contingent upon satisfactory completion of the background check.

Exceptions to the background check procedure are faculty or post-doc appointments on a visa, ORNL based faculty members who hold a joint appointment with UTK, and faculty who are hired as adjuncts with 0% salary and no teaching responsibilities.

In an effort to protect the University, its employees, students and visitors, the Knoxville Campus will complete criminal background checks prior to making an offer of employment for any new regular or term faculty or staff position. The criminal background check will include a review of professional license sanctions. Exceptions will be made for the following categories: (i) finalists for faculty or post-doctoral appointments who present valid work-authorization documentation from the Department of Homeland Security (work eligibility must be verified); (ii) faculty members who are employed at Oak Ridge National Laboratory; and (iii) faculty members in adjunct, zero-salary appointments. The background check will be conducted for successful candidates before the job is officially offered. A job offer is contingent upon a successful background check.

Current employees who apply for certain internal positions will be required to undergo background checks. These positions include ones working with security, finances, children or the use of master building keys.

VI. Other Types of Searches

Internal Searches

Where the department wishes to 1) limit recruitment to employees of the University and, 2) the search is for an E account exempt regular search. Permission is first obtained the Office of Equity and Diversity.

Where the department wishes to 1) limit recruitment to employees of the University and, 2) the search is for a non-exempt regular search. Permission is first obtained from the appropriate human resources administrators.

VII. Staff Performance Evaluation, Disciplinary Action, Termination, and Support Services

A. Performance Evaluation

The performance review is designed to provide a fair and honest assessment of an employee's job performance. The supervisor and employee should discuss the employee's job duties, expectations for the employee's performance, and goals for the coming year. To accomplish a fair and balanced assessment, both the employee and the supervisor will have an opportunity to express their opinions about the employment relationship. During the annual performance review, the supervisor and employee should make plans for the employee's professional development activities to be accomplished during the next review period.

Formal performance reviews occur annually for university employees, preferably from January through March, to coincide with budget planning. The completed performance review summary forms are sent to HR-Employee Relations, entered into IRIS, retained in the employees' official HR files, and used in providing information for performance-based salary increases when available and transfer referrals

During the first six months of an employee's regular employment, the supervisor will receive a Probationary Review Form to complete. Employees still in their probationary period are not required to have an annual Performance Review.

Annual performance reviews are a key component of employee development. The performance review is intended to be a fair and balanced assessment of an employee's performance. UT Policy HR0129, Performance Review, specifies that the objective of the annual review is to provide all regular University staff and their supervisors an opportunity to:

- Discuss job performance
- Set goals for professional development
- Establish objectives for contributing to the department's mission
- Discuss expectations and accomplishments

Several resources are available to help prepare supervisors and employees for the performance evaluation process: http://hr.utk.edu/performance-evaluation/

Steps in Performance Reviews

1. Supervisor reviews the employee's job duties using the PDQ. The purpose of this review is to identify the job duties to be evaluated. It is not intended to be a review of the PDQ for a change in grade level.
2. Managers schedule performance review meetings and complete review forms.
3. Senior department officials should review all evaluations prior to discussions with employees in individual meetings.
4. Each employee completes the self-assessment form and returns it to the evaluating manager prior to the meeting.
5. In the evaluation meeting, review the Summary Form with the employee and complete together goals and objectives.
6. Place a copy of all forms in departmental file.
7. Send the original signed Summary Form (and any supporting documentation required) to -Human Resources – Employee Relations by the publicized due date.

For assistance or to arrange training on performance evaluation, contact Human Resources at (865) 946-8847.

B. Disciplinary Action

The goal of progressive discipline is to identify the problem behavior and take corrective action. When necessary, HR-Employee Relations assists departments in implementing disciplinary actions up to and including termination of employment. HR-Employee Relations assists department in:

- assessing the specific incident or behavior in question;
- determining what, if any, disciplinary action is appropriate; and
- documenting the action taken.
  Disciplinary action of any kind and for any reason is to be taken with extreme care to assure fairness for all parties involved. Disciplinary action is defined by one of the following actions: corrective action (oral/written); suspension without pay, demotion, and termination. As warranted by circumstances, an employee may be terminated at any point in the disciplinary process.

If an employee is to be disciplined or discharged, supervisors must contact the human resources (HR) officer or designee prior to discharging any employee to ensure that such action is appropriate and consistent with university policy. The HR officer must determine university policy has been followed before an employee is disciplined or discharged.

For assistance with disciplinary action, contact Human Resources at (865) 946-8847.

Unsatisfactory Work Performance or Work-Related Behavior

Unsatisfactory work performance or work-related behavior is the failure or refusal to carry out job responsibilities, failure to follow department or unit rules, or failure to abide by the University Code of Conduct. Human Resources shall develop a procedure to inform employees of acts or omissions on their part which are symptomatic of unsatisfactory work performance or work-related behavior and to discipline the employees if either is not corrected in accordance with university policies and procedures.

Every reasonable effort should be made to secure acceptable work performance and work-related behavior by employees. When disciplining an employee, supervisors should consider the nature of the unsatisfactory work performance or work-related behavior, the past record of the employee, and the appropriate penalties. Therefore, as a general rule, disciplinary action taken for unsatisfactory work performance or work-related behavior should begin with an oral or written warning, and may be followed by additional written warnings. Written warnings should be presented to the employee and should describe the unsatisfactory work performance or work-related behavior and the necessary corrective action to be taken. Should an employee fail to attain a satisfactory level of work performance or work-related behavior despite such warning, disciplinary action up to and including termination of employment may be taken. Copies of all written warnings and other disciplinary actions should be placed in the employee's official personnel file in the HR office.

Depending upon the nature of the unsatisfactory work performance or work-related behavior, warnings prior to disciplinary action may be inappropriate. When these actions involve employee error causing or threatening to cause loss of life, serious bodily injury or significant property loss, or when continued employment is otherwise not in the best interest of the university, termination without written warning is appropriate.

Pre-Termination/Suspension Meeting. Before suspending without pay or discharging an employee for unsatisfactory work performance or work-related behavior, the supervisor or other authorized university official must 1) consult with the HR office, 2) advise the employee, orally or in writing, of the unsatisfactory work performance or work-related behavior of the employee, and 3) provide the employee an opportunity to respond.

Appeal Process. An employee desiring to appeal a disciplinary action, taken for unsatisfactory work performance or work-related behavior, must file a written request with the HR office within fifteen (15) working days following receipt of notification of the disciplinary action. Oral and written warnings cannot be appealed; however, employees may respond in writing to written warnings placed in their HRfile.

The appeal process for employees disciplined or discharged for unsatisfactory work performance or work-related behavior is as follows:

Staff Non-exempt:

A non-exempt employee may request an administrative review, which shall be in writing through the appropriate chancellor or vice president to the president. The written request should be submitted to the employee's HR officer.

Alternatively, a non-exempt employee may choose to go through the grievance procedure described in **POLICY HR0640, GRIEVANCES**. If terminated or suspended without pay, the employee may choose to go directly to the hearing step and request, at the employee's option, either an informal hearing by a panel of unbiased university employees or a formal hearing under the Tennessee Uniform Administrative Procedures Act, Tennessee Code Annotated sections 4-5-301-319 (TUAPA).

Staff Exempt:

An exempt employee may request an administrative review, which shall be in writing through the appropriate chancellor or vice president to the president. The written request should be submitted to the employee's HR officer.

II. Gross Misconduct

Gross misconduct includes the following: theft or dishonesty; gross insubordination, willful destruction of university property; falsification of records; acts of moral turpitude; reporting for duty under the influence of intoxicants; the illegal use, manufacturing, possessing, distributing, purchasing or dispensing of controlled substances or alcohol; disorderly conduct; provoking a fight; and other similar acts involving intolerable behavior by the employee. In a case of gross misconduct, immediate disciplinary action up to and including discharge may be taken. During the investigation of alleged gross misconduct, an employee may be placed on administrative leave with pay.

An employee suspected of theft of university property may not resign as an alternative to discharge unless the approval of the Senior Vice President and Chief Financial Officer is obtained in advance.

An employee terminated for gross misconduct will not receive payment for accrued unused annual leave and is not eligible for state Consolidated Omnibus Benefits Rights Act (COBRA) benefits. If an employee resigns in lieu of termination for gross misconduct, the employee will retain rights to annual leave accruals and COBRA benefits.

Pre-termination/Suspension Meeting. Before suspending without pay or discharging an employee for gross misconduct, the supervisor or other authorized university official must: 1) consult with the HR office, 2) advise the employee, orally or in writing, of the charge(s) against the employee; and 3) provide the employee an opportunity to respond.

Appeal Process. An employee desiring to appeal a disciplinary action for gross misconduct must file a written request with the HR office within fifteen (15) working days following receipt of notification of the disciplinary action taken.

The appeal process for employees disciplined or discharged for gross misconduct is as follows:

Staff Non-Exempt. A non-exempt employee may request an administrative review in writing through the appropriate chancellor or vice president to the president. The review process will be coordinated by the HR office.

Alternatively, a non-exempt employee may choose to go through the grievance procedure as described in **POLICY HR0640, GRIEVANCES**. If terminated, demoted, or suspended without pay for gross misconduct, the employee may choose to go directly to the hearing step and request, at the employee's option, either an informal hearing by a panel of unbiased university employees or a formal hearing under the TUAPA.

If any employee chooses to receive an informal hearing, a waiver of the employee's right to proceed under the TUAPA must be signed by the employee.

Staff Exempt. An exempt employee may request an administrative review in writing through the appropriate chancellor or vice president to the president. The review process will be coordinated by the HR office.

Alternatively, an exempt employee may request an informal hearing before a panel of unbiased university employees or a formal hearing under the TUAPA.

If any employee chooses to receive an informal hearing, a waiver of the employee's right to proceed under the TUAPA must be signed by the employee.

Some Important Procedural Points:

- **Never go it alone** on a disciplinary action—even on an informal attempt. The trained professionals in HR are there to help you determine the appropriate course of action, and to give you guidance on the best way to handle a particular situation.
- **Be prompt**. Address a situation immediately, while it is still fresh in the mind of the employee and anyone else close to the situation.
- **Be specific**. State the issue clearly and make sure that the employee understands the issue(s) being addressed.
- **Present a corrective action plan** and ensure that the employee understands the steps outlined to correct the Issue(s).
- **Record**, in detail, any and all incidents resulting in disciplinary action in the employee's file. Give a copy to the employee in a face-to-face meeting only. Do NOT communicate disciplinary matters electronically, and do not leave such an action on the employee's desk or send it in the mail.
- **Submit** any written documentation to the Departmental and/or HR file.
- **Review** the facts carefully to gauge the severity of the offense or lack of performance, the length of service to the University and its quality, the time elapsed since any previously documented incident, and the number and nature of any previous incidents of inadequate performance and/or unacceptable behavior.
- **Follow up** on the corrective action plan to be sure it has accomplished set objectives.
- Remember that disciplinary actions are **permanent records**. Once they are placed in a HR file, they stay forever unless the employee brings a legal action and the University is ordered to remove them.
- The individual disciplinary action is in effect for 12 months from the date of issuance of the most recently filed action.

C. Employee Assistance Program

The UT Employee Assistance Program (EAP) is designed to provide free, CONFIDENTIAL assistance to help employees and their families resolve problems that influence their personal lives or job performance. Spouses and dependent children of employees also qualify for EAP benefits.

The EAP provides anonymous, free, confidential, personal self-assessments of the following:

- alcohol use
- anger management
- anxiety disorder
- depression
- eating disorders

The program is available to all benefits-eligible UT employees and their immediate families. In addition to the Knoxville Campus contact, the state EAP provides free short-term counseling, financial counseling, and brief legal advice for regular employees scheduled to work at least 75% (30 hours per week) time.

The State of Tennessee EAP contact is Magellan Health Services (800-308-4934). If you have questions, please call 1-855-Here4TN (1-855-437-3486. Please visit their website at http://www.Here4TN.com

D. Distressed Staff and Faculty

Resources exist which provide support and assistance to staff and faculty employed by the University of Tennessee. The Distressed Staff and Faculty Program is designed to assist staff or faculty who appear to be a threat to themselves or others, or are distressing to other members of the campus community. The program offers training, individual counseling through the Employee Assistance Program, case management, and other helpful resources. If you encounter a staff or faculty member who appears to be in distress, contact (865) 946-CARE (2273). For more information, visit http://hr.utk.edu/care/.

VIII. Management Consultation

UT Human Resources

Human Resources staff is available to consult with Deans, Directors, and Department Heads about any of these issues discussed in Chapter 4.

The UT Human Resources Call Center is available at 865-946-8847 for information about benefits, policies, employment, training opportunities, and more! The Call Center is open 8:00 a.m. until 6:00 p.m. eastern time. If you are outside the 865 calling area, you may use the 1-888-444-8847 toll-free number.

The HR staff who serve the UT community are dedicated to providing useful, accurate, and timely information in an easy to understand format. Our goal is to offer you great service… first time and every time.

For more information, visit http://hr.utk.edu/ or for our complete HR staff listing, visit http://hr.utk.edu/staff/.

We look forward to partnering with you!

CHAPTER 5—Academic Matters and the Student

Curriculum

Whether managed by a curriculum committee or by the department head, a regular review of curriculum should be undertaken to ensure that course descriptions are accurate and up to date, and that changes in content are not significant enough to require an update of the course descriptions.

The process for changing a course description starts with the academic department. Generally, departments have a curriculum committee that considers course description changes proposed by faculty. Once the department faculty agrees on a change to a course, the proposed change is submitted to the college faculty for review. After approval by the department and college faculty, the proposed changes are submitted to the Undergraduate or Graduate Council for review. Both Councils have specific requirements and a format for submitting changes. See http://web.utk.edu/~ugcouncl and http://gradschool.utk.edu/GraduateCouncil/gcouncil.shtml. A timeline for submitting course changes to the Undergraduate and Graduate Councils is published each year; and those dates appear in the master calendar as well as on http://web.utk.edu/~ugcouncl/public_html/curricular_calendar/curricular_calendar.html.

Creating a new course: Curriculum revision is an ongoing process. Each year the faculty at UT revises existing courses and proposes new courses. Based on your area of expertise and the needs of the undergraduate or graduate program in your department, you may propose a new course or courses. Adding a course requires a strong rationale and a clear indication of the resources available to support adding a new course.

The new course approval process follows the same steps as the process for changing a course description. The new course must first be approved by the departmental faculty. Then the proposal moves forward for approval at the college and/or university level.

The guide for undergraduate curriculum additions and revisions is available at http://web.utk.edu/~ugcouncl/2016-2017.UGCurrSubGuideUpdate.pdf and for graduate curriculum additions and revisions at http://gradschool.utk.edu/documents/2016/02/curricular-submission-guidelines-2.pdf.

Scheduling and Timetable

The Office of the University Registrar manages the overall process of the scheduling of courses for the campus. Departmental or college schedulers maintain the Timetable for their department(s) and schedule rooms within their own areas. The Timetable and Room Scheduling staff in the Office of the University Registrar assists with the bulk scheduling of courses, specific requests from departments, as well as room scheduling occurring in nationalized (registrar-controlled) rooms. This web page provides information regarding the scheduling of courses:

http://registrar.tennessee.edu/faculty_staff/dept_schedulers.shtml

The site also contains the following information:

- A list of Valid Class Times for scheduling classes;
- A link for downloading the Ad Astra Room Scheduling Software;
- A link to the Innovative Technology Center for requesting equipment, training or information about SMART classrooms;
- A link to the Policy for the Scheduling of General Instructional Space, which includes priority scheduling guidelines;
- A table of contact personnel for Frequently Requested Classroom Space, such as the Alumni Memorial Building, Hodges Library and the University Center;
- A link to Facilities Services.

Scheduling takes into account many factors, such as faculty preference, the availability of space, available times for offering classes, the size of the class or anticipated enrollment, the type of classroom needed, and whether technology is required.

The Academic Program Review—An Overview

Every academic unit of The University of Tennessee has an Academic Program Review once every ten years, followed by a mid-cycle review in the third year. This comprehensive examination is the primary means of evaluating the effectiveness of units in teaching, creative/research activity and service. Participants in the review include the academic unit, administration, and external reviewers. The Academic Program Review Manual can be found on a link from the Provost's web site at http://provost.utk.edu/faculty/academic-program-reviews/. The manual includes significant detail for establishing the timetable for review and the review process, and that manual should be consulted when the Department is undergoing a review.

Students

Student Success Center. The Student Success Center offers a one-stop location for assistance and accurate referral for students who need help beyond the scope possible for you or your staff to offer. Students may consult the SSC either on the web site http://studentsuccess.utk.edu/ or in person at 1817 Melrose Avenue, Knoxville, TN, 37996, 865-946-HELP(4357).

Dean of Students Office. *Hilltopics* is published by the Office of the Dean of Students. It is the Student Handbook of the University of Tennessee and is the guidebook for policies and procedures for the academic community and the faculty/student relationship. *Hilltopics* is available online at http://hilltopics.utk.edu/.

A. Recruiting

1. Graduate

The web site for individuals interested in pursuing a graduate education at the University is quite thorough. Individual department recruiting is extremely important with potential graduate students. See http://graduateadmissions.utk.edu/.

2. Undergraduate

The web site of the University is a good source of information for students seeking general information about undergraduate programs. See http://admissions.utk.edu/undergraduate/. Each department also should work with their dean's office to keep academic major sheets up to date. These sheets are also available in the Student Success Centers and in the

many advising centers.

B. Orientation

An orientation for new faculty and new graduate teaching assistant and associates is held at the beginning of each fall semester. This is in addition to the enrollment program for all new employees that are offered through Human Resources.

1. Graduate

An electronic orientation for new graduate students is available at http://gradschool.utk.edu/2016/05/18/fall-graduate-student-orientations/. Departments also have department orientations. New students should contact their departments directly regarding departmental/program orientation details.

2. Undergraduate

The Orientation web site, http://newvols.utk.edu/orientation/, provides information about the orientation sessions offered for all new and transfer undergraduate students. This orientation program is offered by the Office of the Vice Chancellor for Student Affairs.

C. Advising

1. Graduate

Every graduate program appoints a graduate advisor who takes responsibility for advising incoming graduate students and stays abreast of changes in graduate policies and procedures. Each graduate student is appointed a major professor who will act as advisor and supervisor of thesis/dissertation.

2. Other

All students who have earned fewer than 30 hours at the University or are on Academic Review are required to meet with an advisor during fall and spring terms. All other students are required to consult an advisor for a substantial conference once a year. The Student Information System will assign students to a semester for their advising conference. Once the advising conference has taken place, the advisor will clear the hold that keeps the student from registering. Students must have their required advising conference in order to register for the next semester.

Each of the nine undergraduate colleges has a center or an advising coordinator devoted to academic planning and assistance. Some advising centers ask departments to assign faculty to them on a rotating basis. Such an assignment can be a valuable opportunity for faculty to learn more about UT students and about the academic programs of their college. Upper division students should, where possible, be advised by departmental faculty

Students and faculty are greatly aided by the Degree Audit Reporting System (DARS), a computer program that produces individualized degree audits for students.

Managing Conflicts with Students

1. Academic Dishonesty

Hilltopics addresses academic dishonesty. The student's classroom conduct is the responsibility of the instructor. Students engaged in academic dishonesty may be suspended from class, given an "F" for the assignment, given an "F" for the course, or presented to the Academic Review Board. Any of these actions must be communicated to the student in writing, signed by the instructor and the Department Head, along with the student's right of appeal. See "Additional Procedures" in *Hilltopics*. The Appendix to this Handbook contains a sample letter for a faculty member to send to a student notifying him or her of the assessment of a penalty.

2. Grade Appeals

Undergraduate grade appeals must be based on one of the following four grounds: A clearly unfair decision; unacceptable instruction or evaluation procedures; inability of instructor to deal with course responsibilities; or an exam setting which makes concentration extremely difficult. The appeal process begins with the Department Head and ends with the Undergraduate Council. See *Hilltopics* for more information. The process of appeals for Graduate Students is described on the web at http://gradschool.utk.edu/documents/2016/02/student-appeals-procedures.pdf.

Best Practices

To ensure a department's viability, it is important to attract good students who achieve at a high level. The quality of teaching impacts the ability of the department to attract and retain students. Therefore, introductory courses should be interesting, and taught by the most accomplished and dynamic faculty possible. Graduate assistants, if they are teaching introductory courses, should be closely supervised for the quality of their instruction. They also should be encouraged to attend the workshops for new faculty and teaching assistants. (The dates for these may be found in the Master Calendar.)

Departments should be careful that every encounter with a student is considered an opportunity to build goodwill for the department and the University. Faculty and staff should be respectful of students who come into the department seeking advice and counsel. It is important that someone be present in the department at all times to welcome visitors and answer questions. During normal business hours, someone should always be available to answer the department phone.

Among the factors that influence an undergraduate's success are the following: attending and participating in class; doing assignments; commitment to the educational process; connecting to the college; developing interpersonal relationships with faculty, staff, and other students; proper time management; and taking advantage of support services.

Among the ways your department and college can promote and support these behaviors is by providing group activities and projects to build connections between students; encouraging study groups; having department-specific student clubs and organizations; counseling and advising; and tutoring.

Be responsive to student complaints and to their suggestions for improvement. A prompt response to written correspondence is also important. Faculty should be encouraged to

personally recruit the most promising applicants to the program. An awards program is another key to improving student satisfaction with the department.

A unique way of assisting students is to keep a reference book of common problems students encounter in the college and university, along with the solution or a contact name for working out the issue. Often a few seconds of your department's time will save a student hours of frustration, and will build strong goodwill with that student.

Finally, if your academic unit does not already have some way of keeping in touch with its alumni, see the Development section of this Handbook for advice and assistance for doing so. Alumni can provide much needed development dollars, but they also are a good source of new student referrals.

Academic Integrity

For excellent material on promoting academic integrity, which should be shared with faculty, see http://www.noblenet.org/merrimack/academic_integrity/faculty.htm. A "Letter to My Students" on the subject of Academic Integrity is exceptionally insightful, and the author gives his permission to use its information in any manner that promotes academic integrity. There is also an article called "Thinking and Talking about Plagiarism" which covers how to talk to students you suspect of plagiarism, and offers an interesting opinion about turnitin.com. The article has its own list of excellent web sites on Academic Integrity. The site also has a menu item for copyright and fair use you will find helpful.

In his book, The Plagiarism Handbook: Strategies for Preventing, Detecting, and Dealing with Plagiarism (Pyrczak Publishing, 2001, http://www.pyrczak.com/), author Robert Harris suggests a pro-student approach to combating plagiarism and offers the following tips:

- Don't assume students know what plagiarism is.
- Teach plagiarism not from a punitive approach, but rather by emphasizing good writing and source management skills.
- Distinguish between writing mistakes and deliberate cheating.
- Talk about plagiarism in class, and not just as a hectoring admonishment warning students to avoid it.
- Make the writing process visible to students (and you) by collecting drafts, annotated bibliographies, and copies of sources used.
- Teach students how to manage sources.
- Design assignments to both mitigate against plagiarism and at the same time help students learn good scholarly habits.
- Know your department's and college's plagiarism policies and procedures before you begin the course, so you know your options and rights as a teacher in advance.
- Remember due process and student confidentiality if you need to make a plagiarism charge.
- Put students at ease in office conferences to discuss plagiarism. Give students a chance to explain their paper.

CHAPTER 6 - Department Infrastructure

I. Department By-laws and Strategic Planning

A. Department and College By-Laws Guide

By-laws are defined in the guide as “the unit’s core procedures and policies that have been ratified by a majority of the tenured and tenure-track faculty of the unit.” The guide was compiled by the Faculty Affairs Committee and based on the new Faculty Handbook (approved by the Faculty Senate on November 15, 2004). The guide was approved for general distribution by the Faculty Senate Executive Committee on Monday January 10, 2005. It is intended to assist departments and colleges to bring their bylaws into compliance with the new Faculty Handbook. It "flags" where the handbook refers to department and college bylaws. The Faculty Affairs Committee recommends that departments and colleges organize their bylaws in a structure that is parallel to the new Faculty Handbook. It also recommends that department and college bylaws should describe a process for future revisions, with a record of those revisions. Finally, department and college bylaws must also be consistent with the Faculty Handbook, UT Board Policy, and the Manual for Faculty Evaluation.

The guide can be found at http://senate.utk.edu/governing.documents/ on the web. It is an excellent model for drafting or amending department and college by-laws. Well-drafted and often revisited by-laws which are the collaborative effort of the faculty with department administration should facilitate clear, well-communicated policy and fewer complaints. The department by-laws should address the department’s governance structure; the search process for new tenure-track faculty; departmental voting protocols; criteria for promotion, retention and evaluation of tenure-track and tenured faculty; selection, evaluation and roles of non-tenure-track faculty members; input into criteria for evaluation of department heads; application of faculty evaluations to salary adjustments; and the role of the faculty in setting department’s budget priorities.

By-laws will be reviewed by college and by the Office of the Provost and kept on file.

B. Provisions for and Duties of the Associate Department Head

The fiscal policy of the University (See Chapter 2) places well-defined requirements on Chairs of Academic Units for naming alternate approvers. Specifically, the policy requires that only the designated department head (or the individual to whom he or she reports) officially delegate approval authority. When designating an alternate approver, the department head must acknowledge that the delegation of approval authority does not diminish his or her ultimate responsibility and accountability for the funds center's transactions. The Associate Department Head’s responsibilities generally include the acceptance of the assignment of approval authority in the absence of or in addition to the Department Head, and acting on administrative or operational matters for the Department Head when he/she is away from the University. The Associate Department Head also serves as primary advisor to the Department Head. Generally, the selection of Associate Heads is governed by Department by-laws.

C. Shared Governance

The ***Faculty Handbook***, in Section 1.5 grants faculty a share in governance of the University through the Faculty Senate and through the work of the faculty on committees in departments, the college, and the University. The process of shared governance depends on open communication, accessibility to information, adequate time to reflect and respond, opportunity to collaborate, and consistent application of policy to build an atmosphere of trust in the department, college and University.

D. Committee Structure

Department and college committee assignments should be rotated on a regular basis in accordance with the departmental and collegiate by-laws, with a goal of giving all faculty members an opportunity to serve on all committees for which they are qualified. Since faculty members are evaluated on their service to the University and community, they must be given an opportunity to be of service on committees. Delegation of administrative tasks to committees strengthens shared governance. The duties and composition of all committees should be in the by-laws. When establishing committees or charging an existing committee with work, be careful to communicate tasks with clarity and precision, setting parameters and deadlines.

E. Faculty Meetings

"A faculty meeting isn't over when everything has been said, it is only over when everything has been said by everyone."
Blogspot of ProfessorBainbridge.com

In his book, Labor Management in Agriculture, Gregory Billikopf includes a chapter titled "Conducting Effective Meetings," which addresses basic principles for managing the meeting process. Don't let the title of the book keep you from reading this article, as its principals are universal to all meetings. See http://www.cnr.berkeley.edu/ucce50/ag-labor/7labor/11.htm. With Mr. Billikopf's permission[§], here are a few key tips from the article:

- If people know that a subject that is important to them will be raised, they are less likely to interrupt and derail the meeting. This is perhaps the most important contribution of the agenda.
- If someone shows a lot of emotion in a comment, it is because there is an important need or fear they have relating to the issue. This should be looked upon as an opportunity to better understand each other.
- Participants should not feel they have to hold their opinions to promote consensus. In effective decision making, a good team player is not the person who yields in the face of opposition, but rather, the person who is willing to make the important, yet sometimes unpopular, points.
- An individual is beginning to think like an effective manager when he can point out the good in a solution that is not what s/he preferred; and the shortcomings of the one that is.
- Participants need to be vigilant in recognizing action items—those matters that call for specific steps toward a solution. Otherwise, it is just too easy to always hope for better days, complain about challenges, but do nothing to solve difficulties. A decision is worthless if no plans are made to assure its implementation.

[§] Given on the site for the text, at http://www.cnr.berkeley.edu/ucce50/ag-labor/7labor/001.htm, and received from Mr. Billikopf personally.

This article is well worth your time, as the list above is a small representation of the many excellent tips for conducting meetings you will find in it. It is important to hold faculty meetings at a time when no faculty member has a class scheduled, and within normal business hours, but not too early in the morning or very late in the afternoon, so that faculty with young children are not additionally stressed by family obligations. Though our *Faculty Handbook* requires only two meetings a semester, consider holding a regularly-scheduled monthly meeting as a means of keeping action items on task.

Department by-laws should address recording faculty meetings, but it is recommended that accurate records of faculty meetings be kept, including a copy of the agenda, a record of attendance, and minutes of the discussion. All faculty members should receive a copy of the minutes, as well as a copy of the agenda in advance of any meeting. There should be a determination in by-laws or other policy as to what constitutes a quorum for a faculty meeting. All participants should understand that the deliberations of the faculty meeting are to be treated with discretion.

Department by-laws may also provide for the use of a consent agenda to dispose quickly of items such as approval of the previous meeting's minutes and other items which can be distributed in writing in advance. Generally, participants are allowed to request the removal of an item from the consent agenda to the full agenda. Handle announcements and informational items early in the meeting, so that they are not forgotten or elided when a meeting goes over time.

Another web site reference: http://www.effectivemeetings.com. A June 2003 article, "In Search of the Perfect Meeting," is on the Harvard Business School web site, at http://hbswk.hbs.edu/item.jhtml?id=3507&t=career_effectiveness.

II. Use and Assignment of Physical Space

The Policies for the Scheduling of General Instructional Space for the University is found at http://web.utk.edu/~space/policy.html. For the chair of the academic unit, the thornier issues arise with the allocation of space designated to that particular college or unit. A rational policy for making space allocations, even a written policy, is important. The rationale should center on the strengths of the department and building on those strengths. Some Universities have guidelines for space allocation within departments, particularly when there are lab and technology considerations. An excellent example can be seen at the University of Washington Electrical Engineering web site at https://www.ee.washington.edu/operations/facilities/SpaceAllocationGuidelines.html. The policy addresses research space, teaching space, faculty offices, staff and administrative space, as well as a process for implementing the guidelines. The site can be very instructive for departments desiring to develop their own rationale.

The Office of Space Analysis and Assignment at Binghamton University, SUNY, http://binghamton.edu/cbasm/space-planning.html offers "Space Planning Resources" which gives first priority for assigning, designing and equipping research space to faculty with *sustained* scholarly and/or creative output. Second priority is given to faculty whose research, scholarship and creative output is supported by current or pending external funding. Third priority is given to new faculty, faculty involved in "nascent interdisciplinary research ventures", and so on. These examples might assist your department in fashioning its own policy.

III. Distribution of Department Workload to Faculty

The Department Chair has the responsibility of determining the workload distribution among faculty for each academic year. In a small department, these assignments may be quite easy to do, and can easily be managed by the Department Head. With a large department, the task might be delegated to a committee. Many universities have formal faculty workload policies, which may be instructive in determining guidelines for formulating one for your department. Among those factors is consideration for where a faculty member is in the advance to tenure. Adequate time needs to be given to all tenure-track faculty members for research and scholarship and any commitment to service that is expected in the individual performance plan. Since the retention review focuses on all three areas, teaching, scholarship and service, the faculty member must be given adequate time to contribute to all three. Consideration should be given to the complexity of the coursework, including preparation, actual face time, recitation requirements and outside activity needs, when assigning the teaching workload.

The best reason to have a policy is to clarify expectations among all members of the faculty. Expectations should be geared toward meeting the mission of the department, the college, and the University, making the most of the human and physical resources available.

For further information on Faculty Workload, see the following web sites:

Statement on Faculty Workload with Interpretive Comments, published by the American Association of University Professors, at http://www.aaup.org/AAUP/issues/facwork/.

Oklahoma State University Guidelines to Govern Workload Assignment of Faculty Members: Search “Faculty Workload” on the okstate web site. Includes good definitions of what constitutes teaching, research, and service.

Association of Departments of English, offers a “Model Workload” on the ADE web site. See https://ade.mla.org/Resources/Policy-Statements/ADE-Guidelines-for-Class-Size-and-Workload-for-College-and-University-Teachers-of-English-A-Statement-of-Policy.

CHAPTER 7

Role of the Department Head in Fundraising

Like other "state-aided" universities with limited resources, the University of Tennessee relies on philanthropy to deepen its community engagement activities, recruit and retain stellar faculty, attract the best and brightest young minds, strengthen academic programs of distinction, and support entrepreneurial and application-oriented research.

Faculty and department heads bring significant value to the fundraising process. A good undergraduate and graduate student experience sets the stage for an individual's lifelong relationship with their alma mater. Simply by sharing their knowledge with their students, a faculty member is participating in the development process. When visiting with alumni, one of the most common conversations is likely to be about that favorite professor who was so important in his or her life.

The Four "I's" of Fundraising

There is a formula for successful fundraising which involves the Four "I's" of Fundraising:

Identify

- Faculty who stay in touch with former students are a rich source of prospects for the college.
- College development officers have resources such as alumni rosters, which can be useful to faculty in helping to identify potential funding sources.

Inform

- Keep your alumni informed through e-mail contacts or newsletters.
- Share good faculty and student news with the Campus Communication office.

Involve

- Engage alumni via a formal or informal advisory committee.
- Speak to alumni groups or accompany fundraisers to alumni events.

Invest

- Ask alumni to support your program through annual gifts and work with your Development Officer to create a strategy for major gift solicitation.

Donor "Do's and Don'ts"

- After meeting with a prospect, you should know <u>more</u> about him/her than he/she knows about you.
- Understand and respect the fine line between personal/business relationships.
- It is always better to graciously decline a gift you will not be able to utilize appropriately than to accept the gift and misuse it – or worse – not use it at all.
- Value a donor's relationship and memories of faculty and staff, whom they remember fondly (or not!).
- Your job is to steward all important relationships while you are in your chair.
- Respect a potential donor's other charitable interests; in the long run, if you have the donor's interests at heart the relationship and potential outcome with be strengthened.
- If you ask for a potential donor's opinions or advice, be willing to accept and incorporate the information when and where appropriate.

- Every faculty member is a potential fundraiser: a great classroom experience will translate to a potential donor for your successor.

Best Practices in Development

- Work with the Development Officer to develop a departmental development plan, setting key priorities within that plan.
- Identify key needs. Understand that securing funding for some projects may take longer than others to identify or vice versa.
- Lead the development plan. Indentify opportunities to engage donors/prospects through the development of an advisory board, the distribution of a departmental newsletter showcasing key research, publications, teaching awards, or service to community, inviting retired faculty back to campus, and the like.
- Engage in external relations by being available to speak or attend public functions.
- Review with your Development Officer the monthly gift reports available thru the college development office.
- Periodically review department endowments and gift balances with the development staff.
- When requested, make phone calls to donors as appropriate to thank, cultivate, or steward the relationship.
- Seek opportunities to make development-related phone calls or visits to donors when traveling on UT business. Development can supply donor information for this purpose.
- Include an update on the development plan's status in faculty meetings. Emphasize ways faculty can be involved in the development process.
- Dedicate time for travel to targeted geographical areas with development staff.
- E-mail the Director of Development detailing any conversations, visits or interactions with donors or prospects, and include any networking opportunities for the University with respect to those donors and prospects.

Key Role of Faculty

Faculty member roles do not require any action that makes them uncomfortable. Quite frequently, the faculty has done the best development work possible by doing their job well and making a lasting and favorable impression on a student who later becomes a donor. Faculty can assist by sending the name of a successful former student to development, inviting development staff to a meeting or event where a significant speaker will be present, or simply calling or e-mailing the development office with an idea or suggestion. Faculty are welcome to make calls with Development staff, but the faculty members who are not comfortable doing so can help in all these additional ways.

Resources

Books: Although the book is out of print, the Development Office has received permission to copy, and will provide a copy on request, of **Building Bridges: Fund Raising for Deans, Faculty, and Development Officers,** published in 1992 by the Council for Advancement and Support of Education. A great how-to book is **Asking**, by Jerold Panas (Emerson & Church, 2002.)

Periodicals: **The Chronicle of Philanthropy,** subscription information and limited article access at http://philanthropy.com.

Web sites: Excellent articles appear online at the Department Chair Online Resource Center at: http://www.acenet.edu/higher-education/Pages/Campus-Administration.aspx.

On this site, there are articles on "Researching the Government Marketplace," "The Emerging Role of the Department Chair in Development – Creating a Development Plan," and an article by the same author on implementing a development plan. Another article, "Talking Research Funding to Your Academic Officer," offers excellent how-to information. Books are also recommended on the site.

See also the Council for Advancement and Support of Education web site at http://www.case.org. The site offers a networking tip of the month (free) and an online magazine (fee).

Development Officers

COLLEGE	DIRECTOR OF DEVELOPMENT
Agricultural Sciences & Natural Resources	Keith Barber kbarber@utfi.org
Architecture & Design	Pamela Treacy ptreacy@utk.edu
Arts & Sciences	Andrew Sheehy, Executive Director asheehy@utk.edu
Business Administration	William (Chip) Bryant, Sr. Director bryant00@utk.edu
Communication & Information	Patrick Powell, Director ppowell@utfi.org
Education, Health & Human Science	Randy Atkins matkin11@utk.edu
Engineering	Dorothy Bryson, Sr. Director dbryson@utk.edu
Law	Howie Avery havery@utk.edu
Libraries	Erin Horeni-Ogle ehoreni@utfi.org
Nursing	Debby Powell dpowell6@utk.edu
Social Work	Stephanie Piper spiper@utk.edu

FORMS & TEMPLATES
List of Forms and Letter Templates

Frequently Used Forms - Provost

Application for Retirement Credit for Educational Leave of Absence
Cumulative Peer Review Report
Consulting Engagement Report – Form A
Faculty Annual Retention Review Report
Faculty Annual Review Report
Faculty Development Leave Form
Faculty Development Leave Contract
Faculty External Compensation and Consulting – Annual Report
Lecturer's Continuation Appointment Letter
Outside Interests Disclosure Form
Summary Sheet: Recommendations for Promotion and/or Tenure
Summary Sheet: Recommendation for Lecturer Promotion

Search Related Forms and Templates

Request to Search
EEO Self-Identification Form
Narrative Summary Form
Faculty Appointment Form
Request to Make an Offer
English Competency Form
Sample Letter Announcing Search
Sample Letter to Applicants with Complete Files
Sample Letter to Applicants with Incomplete Files
Sample Letter to Nominators
Sample Letter to Nominees
Sample Letter to References
Sample Letter to Candidates Advanced to Interview
Sample Letter to Candidates Not Selected
Sample Letter to Selected Candidate

Forms and Templates - HR

Position Description Questionnaire (PDQ, an HR Form)
Mandatory Administrative Leave with Pay Letter
Pre-Termination/Laudermill Hearing Letter
Termination Letter
Termination for Gross Misconduct Letter
Uniform Administrative Procedures Act – Hearing Waiver
Sample Letter to Student – Academic Dishonesty

Application for Retirement Credit for Educational Leave of Absence

Tennessee Consolidated Retirement System
502 Deaderick Street
Nashville, Tennessee 37243-0201
1-800-770-8277 ◆ http://tcrs.tn.gov

In order to be eligible to establish retirement credit for an educational leave of absence, you must obtain the approval of your employer and the Board of Trustees of the Tennessee Consolidated Retirement System and you must make the necessary contributions, if required, to establish such service. You must be reemployed by such employer within one (1) year following the leave period and remain so employed for a least one (1) year thereafter.

SECTION 1. APPLICANT INFORMATION

Member ID **OR** Last 4 SSN XXX-XX- Date of Birth

Full Name Gender ☐ Male ☐ Female

Mailing Address

City State Zip Code

Email Phone Number

Explain the Nature of the Leave and How it Relates to Your Employment:

Applicant's Signature **Date**

SECTION 2. EMPLOYER INFORMATION *(to be completed by the employer during the leave of absence)*

Name of Agency or Department

Employee's Position Prior to Leave of Absence

Period of Leave to Annual Salary Prior to Leave $

I hereby certify that the above-mentioned employee has/had approval to take an educational leave of absence for the purpose of engaging in academic research related to his/her employment and whose leave is intended to increase his/her efficiency as an employee and to make monthly contributions, if required, to the retirement system for this leave. If needed, the employee is to make financial arrangements with the employer for the monthly contributions.

Department Head's Signature **Date**

Budget Director's Signature **Date**

CUMULATIVE PEER REVIEW REPORT

Name of faculty Member:_____

Rank: _____ Department: _____

Year of appointment:_____ Number of years at current rank:_____

Overall assessment of the faculty member's performance:

[ ] Satisfies expectations for rank

[ ] Fails to satisfy expectations for rank

The chair of the Cumulative Peer Review Committee shall attach a narrative summarizing specific weaknesses and/or strengths in performance.

Signature of the chair of the peer review committee:

_____ Date:_____

Signature of faculty member: _____ Date:_____

Signature of the dean: _____ Date:_____
(Attach assessment and recommendation)

Signature of chief academic officer: _____ Date:_____
(Attach assessment and report)

Signature of the chancellor or vice president: _____ Date:_____
(Attach assessment and report)

Form A – Consulting Engagement Report

The information below is supplied to the extent available and to the extent the information below can be provided consistent with professional and contractual obligations of confidentiality.

1. Names and addresses of firms, agencies or individuals: _____

_____

_____

2. Nature of work: _____

_____

_____

3. Basis for engaging in consulting, if applicable (discuss remuneration, value to UT, professional enhancement):

_____

_____

_____

_____

4. Period of activity: _____ through _____
Date Date

5. Equity ownership involved? _____ If so, the amount and type of equity interest owned:

_____

_____

THE UNIVERSITY OF TENNESSEE KNOXVILLE CAMPUS

FACULTY DEVELOPMENT LEAVE

1. Employee's Name: _____
(Last) (First) (MI)

2. College: _____

3. Base Department: _____ Title/Rank: _____

4. Base Budget Acct. #: _____ Current Salary: _____

5. Date of Initial Appt.: _____ Date Tenured: _____

6. Leave Requested for: Fall Spring (circle) Semester(s) in _____ Year(s)

7. Attach justification for Development Leave grant and current resume. (Please refer to the Leave Policy document. Justification must specify how the leave will (a) result in faculty member's professional growth, (b) enhance the UT Knoxville Campus reputation and the students' campus educational experience, and (c) increase the faculty member's knowledge of his/her discipline.)

8. Approvals: _____ Date: _____
(Signature of Faculty Member)

_____ Date: _____
(Signature of Department Head)

_____ Date: _____
(Signature of Dean)

_____ Date: _____
(Signature of Chancellor or Designee)

This application for Faculty Development Leave, complete with all attachments and signed by the Faculty member, Department Head, and Dean, is due in the Provost's Office by 1 November of the academic year preceding the requested Faculty Development Leave. A State of Tennessee Application for Retirement Credit for Educational Leave of Absence form should be submitted at least three (3) months in advance of the leave period.

University Policy Concerning Fringe Benefits for Faculty Members On an Approved Faculty Development Leave

Refer to personnel policy #335

Group Hospitalization Insurance
Faculty members on educational grants are eligible for Group Hospitalization Insurance. The employee's share of the cost of this insurance will be withheld by payroll deduction in accordance with established procedures. The amount of the deduction and scheduled life insurance coverage will be determined by the actual rate of pay of the faculty member immediately prior to the beginning of the leave. The University will pay the employer's share of the cost of this insurance.

Unemployment Insurance
The University will provide unemployment insurance based on the reduced rate of pay of the faculty member while on leave.

Social Security and Withholding Taxes
Recent court cases indicate that compensation in the form of an educational grant from an employer to an employee is considered as taxable income to the grantee. Consequently, the University will withhold federal income tax in accordance with the applicable withholding rates, and such payments will be subject to Social Security taxes. However, the grantee should be governed by appropriate Treasury Department regulations or advice of his or her attorney relative to any special tax benefits available in connection with educational leave compensation or incurred expenses.

THE UNIVERSITY OF TENNESSEE KNOXVILLE CAMPUS
FACULTY DEVELOPMENT LEAVE CONTRACT

This contract by and between The University of Tennessee Knoxville Campus, party of the first part, and _____, party of the second part.
(Faculty Member

WITNESSETH:

WHEREAS, in consideration of the party of the second part agreeing to pursue approved training, education, and/or research, the party of the first part agrees to furnish to the party of the second part for a period of _____ semester(s) the sum of $ _____ per semester in order to enable party of the second part to complete the stated approved training, education, and/or research.

Applicable fringe benefits and withholding procedures are described in University Policy Concerning Fringe Benefits, on p. 1, this contract by reference; and

WHEREAS, in consideration of the furnishing of the above mentioned sums, paid on a salary continuation basis to the party of the second part;

NOW, THEREFORE, in consideration of the mutual covenants hereinafter contained, the parties agree as follows:

The party of the second part agrees to render full-time employment service with compensation to the party of the first part for a period of one year for every grant awarded and paid (whether one semester or two semesters), commencing at the start of the next semester immediately after the semester covered by the Leave herein described.

The party of the second part agrees to reimburse the party of the first part the total amount of the Leave award granted should the party of the second part fail to return to the service of the party of the first part for the period stated herein this contract. Reimbursement shall be made within a reasonable time and in no event later than sixty (60) days after written notice is given to the party of the first part by the party of the second part (either by communication or by failure to report for employment) of intent to withhold services.

The party of the first part reserves the right to terminate the employment of the party of the second part with the stipulation that the financial obligation of said party of the second part to the party of the first part is cancelled, provided, however, such termination shall be in accordance with University policies and procedures as applied to termination of any faculty member, without regard to leave status.

WITNESS the hands of the parties on this _____ day of _____, 20_____.

The University of Tennessee

BY: _____
Chancellor, UT Knoxville Campus
First Party

_____
Second Party

Faculty External Compensation and Consulting

Annual Report Form

Employee Name: _____
First Middle Last

Title:_____Department:_____

This form reports my acceptance of or my intention to accept outside engagement and/or consulting work. The proposed engagement will not interfere with my assigned duties. In such outside engagement, I will act as an individual and not as a representative of The University of Tennessee.

A Consulting Engagement Report (Form A) is attached for each engagement.

I understand that consulting/outside engagement may not be undertaken on that portion of time covered by federal grants or contracts. I further understand that this report applies only to that portion of my time for which I am employed by The University of Tennessee. I agree to furnish additional information as reasonably required, so long as this is consistent with, for example, my professional or contractual obligations of confidentiality, and to update this form when appropriate during the academic year.

I certify that there will be no conflict of interest between this outside engagement and my responsibilities as an employee of The University of Tennessee. I also certify that this engagement/consulting work will be conducted without significant direct expense to The University of Tennessee or significant use of University facilities, equipment, or services unless procedures and fee schedules have been established and approved as specified in the *Faculty Handbook*. By signing below, I represent that:

my value as a faculty member or my own professional status will be enhanced and improved by the proposed outside professional activity;

I have read Chapter 7 of the *Faculty Handbook* (Compensated Outside Service) and agree to conduct my outside engagement/consulting in accordance with the applicable provisions of this Chapter; and

if I receive compensation from federal grants and contracts, I understand that this compensation must be in compliance with OMB Circular A21.

_____
Signature of Faculty Member

_____
University Identification Number Date

Acknowledged: Release time basis? Yes____ No____

_____
Department Head Date

Acknowledged: Release time basis? Yes____ No____

_____
Dean Date

Date

Name
Address
Address

Dear Name:

I am pleased to authorize the continuation of your appointment as Lecturer, without tenure, in the College of XXXXXX, Department of XXXXXX, with The University of Tennessee. This appointment is to begin on XXXXXX, and end XXXXXX, at a salary rate of XXXXXX dollars ($XXXXXX), for the period, payable in twelve equal installments of $XXXXXX per month.

The appointment is contingent upon the University's need for your services and upon your satisfactory performance of the essential functions of your job with or without a reasonable accommodation. This position is not eligible for tenure. The policies of the University of Tennessee concerning non-tenure-track appointments are in chapter 4 of the Faculty Handbook and in Human Resources Policies. Both are available at the University's web site on-line (www.utk.edu).

If the terms of this reappointment are acceptable to you, please sign and return the enclosed copy of this letter to my office.

We appreciate your past services and hope to hear from you at your earliest convenience.

Sincerely,

Dean (XXXXXX)

Enclosure

c: Department Head (XXXXXX)
HR-Records

THE UNIVERSITY OF TENNESSEE
Faculty and Staff
OUTSIDE INTERESTS DISCLOSURE FORM

NAME	_____	**PERSONNEL NO.**	_____
TITLE	_____	**CAMPUS/INSTITUTE**	_____
DEPARTMENT	_____	**COST CENTER**	_____

Instructions: This form is for the University of Tennessee faculty and staff to disclose outside interests as required by the University's conflict of interests policy (Policy FI0125). An interest must be disclosed if it

1. **exists at the time of this filing;**
2. **existed during the previous twelve months; or**
3. **you expect to acquire during the next twelve months.**

Please answer the questions below, then print, sign, and date the form. Give the completed form to your supervisor for completion of the Review Section and transmittal to the appropriate office according to campus/institute procedures. If you have any questions, please consult your campus/institute chief business officer, human resources officer, or the General Counsel's office.

YOUR INTERESTS

	YES	NO
1. Do you hold an office, directorship, or employment in an outside organization?	☐	☐
2. Do you receive consulting income or honoraria totaling $10,000 or more from a single source	☐	☐
3. Do you hold any intellectual property rights?	☐	☐
4. Do you hold more than a 5 percent financial interest in any outside venture (including publicly held corporations)?	☐	☐

1. Do you hold an office, directorship, or employment in an outside organization?

Name of organization(s): _____

Position(s) held: _____

Business of the organization(s): _____

If officer or director, list the amount of compensation: _____

2. Do you receive consulting income or honoraria totaling $10,000 or more from a single source

Source(s): _____

Business of the organization(s): _____

Total compensation from each source: _____

3. Do you hold any intellectual property rights?

Description of rights: _____

_____

_____

4. Do you hold more than a 5 percent financial interest in any outside venture (including publicly held corporations)?

Name of venture(s): _____

Business of the organization(s): _____

	YES	NO
5. Have university employees or students performed any personal services for you?	☐	☐

Services performed: _____

Name of employee(s): _____

Name of students(s): _____

6. Does any organization or venture listed in your response to items 1-5 compete or do business directly or indirectly with the university? If so, please explain: _____	☐	☐

_____

7. Are your responsibilities for any of the organizations or ventures listed in your response to items 1-5 similar to or potentially affected by your university responsibilities? If so, please explain: _____	☐	☐

_____

INTERESTS OF SPOUSE, PARENTS, AND CHILDREN

8. Do your parents, spouse, or children hold an office, directorship, or employment in an outside organization that conducts business with the university or that would be affected by your university responsibilities?	☐	☐

Name of organization(s): _____

Position(s) held: _____

Business of the organization(s): _____

9. Do your parents, spouse, or children receive consulting income or honorariums totaling $10,000 or more from a single source that conducts business with the university or that would be affected by your university responsibilities?	☐	☐

Source(s): _____

Business of the organization(s): _____

Total compensation from each source: _____

10. Do your parents, spouse, or children hold intellectual property rights?	☐	☐

Description of rights: _____

_____

11. Do your parents, spouse, or children hold more than a 5 percent financial interest in any outside venture (including publicly held corporations) that competes or does business with the university or that would be affected by your university responsibilities?	☐	☐

Name of venture(s): _____

Business of the organization(s): _____

12. Have students or university employees performed any personal services for your spouse or children? YES ☐ NO ☐

Services performed: _____

Name of employee(s): _____

Name of student(s): _____

13. **Describe any actual or potential conflicts between the outside interests or activities disclosed on this form and your duties and responsibilities to the university and sponsoring organizations. Also, please provide any other information about outside interests that you wish to disclose.**

I understand that if I acquire an interest during the year that requires disclosure, I will take the initiative to disclose it. I also understand that I must complete a new form annually as long as an interest I have previously disclosed exists. I acknowledge that I have read and understand the university's conflict of interests policy and have made all necessary disclosures.

_____ Employee

_____ Date

FORWARD SIGNED FORM TO IMMEDIATE SUPERVISOR

REVIEW OF DISCLOSED OUTSIDE INTERESTS

1. **Department Head or Other Immediate Supervisor**

	YES	NO	UNSURE
Did the employee answer YES to any questions?	☐	☐	
If YES, in your opinion, does the information disclosed represent a conflict of interests with the employee's university responsibilities or activities with sponsoring organizations?	☐	☐	☐

If YES or UNSURE, describe the conflict or potential conflict and your recommendation for resolving or monitoring it (or attach a separate document).

_____

_____

_____

_____

Department Head/Supervisor Signature _____ Print Name _____ Date _____

FORWARD SIGNED FORM TO THE CAMPUS/UNIT CHIEF BUSINESS OFFICER OR DESIGNEE

2. **Chief Business Officer or Designee:**

Whether or not a conflict is found, some action may be required to reduce the potential or the appearance of a conflict of interests. Complete the information below indicating if action is needed and/or being taken.

Fiscal Year Begin Date _____ (MMDDYY)
Disclosure Code: _____ (If C, comments are required below.)
N = No disclosure
Y = Interests disclosed, but no conflict identified
C = Conflict or potential conflict identified and action required

Comments or Action to be taken (or attach a separate document):

_____

_____

_____

_____

Chief Business Officer or Designee Signature _____ Date _____

FORWARD SIGNED FORM TO HUMAN RESOURCES

(Revision 10-12-07)

Summary Sheet: Recommendations for Promotion and/or Tenure

Name of faculty member:_____

Present rank: _____Candidate for: [ ] Tenure [ ] Promotion to _____

Department:_____ Highest degree earned: _____

Original rank at UTK:_____ Subsequent promotions (year, rank): _____

RECORD AT THE UNIVERSITY OF TENNESSEE, KNOXVILLE

Date of original appointment as a full-time probationary faculty member: _____

Years of full-time teaching experience at instructor rank or above before UTK probationary period:

_____

Years of full-time teaching at UTK, as of the May 31st prior to the review:_____

Total years of teaching: _____

Latest year for tenure review as stipulated in appointment letter: _____

RECOMMENDATIONS

DEPARTMENTAL FACULTY
Date of departmental discussion:_____
Result of discussion: For:_____ Against: _____Abstain:_____
Recuse (attach explanation for conflict of interest): _____
Is there a dissenting report? [ ] Yes (please attach) [ ] No
Is there a response from the candidate [ ] Yes (please attach) [ ] No
INTERDISCIPLINARY COMMITTEE OR DIRECTOR (where appropriate)
For: _____Against:_____(*Provide letter*)

	Approve	Disapprove (*Provide letter*)
_____ DEPARTMENT HEAD	____	____

Provide a statement on the professional record and a summary recommendation.
COLLEGE COMMITTEE
For:_____Against:_____ Abstain: _____
Recuse (attach explanation for conflict of interest):_____

A copy of the report of the departmental and college committees must also be attached. In cases where this report disagrees in any substantial way with the departmental recommendation, this report must go beyond a listing of the vote to indicate as fully as possible the reasons for the differences.

	Approve	Disapprove (*Provide letter*)
_____ DEAN	____	____
_____ CHIEF ACADEMIC OFFICER	____	____
_____ CHANCELLOR (RECOMMENDATION ON TENURE)	____	____
_____ CHANCELLOR (DECISION ON PROMOTION)	____	____

Summary Sheet: Recommendation for Lecturer Promotion

Name:

Present rank:

Candidate for Promotion to ☐ Senior Lecturer ☐Distinguished Lecturer

Department/School:

College:

Highest degree earned:

RECORD AT THE UNIVERSITY OF TENNESSEE, KNOXVILLE

Date of original appointment as a Lecturer:

Date of last promotion, if applicable:

Years of full-time teaching experience at UTK:

Total years of full-time teaching experience:

RECOMMENDATIONS

DEPARTMENT FACULTY COMMITTEE

For: Against: Abstain: Recuse:

COLLEGE COMMITTEE (if applicable)

For: Against: Abstain: Recuse:

_____ ☐**Approve** ☐**Disapprove**
DEPARTMENT HEAD

_____ ☐**Approve** ☐**Disapprove**
DEAN

_____ ☐**Approve** ☐**Disapprove**
PROVOST

The University of Tennessee Search Form (Academic Positions)

Personnel Area:

Responsible Cost Center #: _____ **Cost Ctr Name:** _____

Dept Contact: _____ **Email:** _____ **Phone:** _____

Position Number: _____ **Position Title:** _____

Job Title: _____ **Pay Grade Level:** _____

New Position: ☐ Yes ☐ No Replacement for: _____

Written/Accepted Resignation Received: ☐ Yes ☐ No **Date Vacated** _____

Proposed Hire Date: _____ **Proposed Hiring Salary Range** _____

Funding Source(s): ☐ **E Account Search** ☐ **R Account Search**

Cost Ctr# _____ ____ % **WBS Element#** _____ ____ %

Cost Ctr# _____ ____ % **WBS Element#** _____ ____ %

Cost Ctr# _____ ____ % **WBS Element#** _____ ____ %

Office Address: _____

Office County: _____ **OED or UT Extension Search Procedures Apply:** ☐ Yes ☐ No

Employee Group: ☐ Regular

Employee Subgroup: ☐ Faculty 9-month

☐ Faculty 12-month

Employment %: ☐ Full Time

Scope of Search: ☐ Internal ☐ Local ☐ Regional ☐ National

Duties/Responsibilities (can attach position requirements and annoucements):

Minimum/Required Qualifications (include education, experience, skills & abilities, licenses & certifications):

Preferred/Desired Qualifications:

Apply to:

Approvals:

Signature Department Head	Date	Signature Budget Entity *(If applicable)*	Date
Signature Dean or Director	Date	Signature Chancellor/Vice President/Provost/Vice Provost *(If applicable)*	Date

File Number: _____

Signature OED/HR	Date

UT Extension must include page 2

THE UNIVERSITY OF TENNESSEE
EQUAL EMPLOYMENT OPPORTUNITY SELF-IDENTIFICATION FORM

The University of Tennessee Knoxville area units are committed to equal employment opportunity and affirmative action. The University of Tennessee is required by the U.S. Department of Labor to request and maintain the following data on all applicants for employment with the University. This information will be used for statistical summaries of employment practices, and to monitor the University's compliance with equal employment opportunity and affirmative action requirements. Your voluntary return of this form in the enclosed postage-paid envelope is encouraged.

TO BE COMPLETED BY APPLICANT:

Applicants, please return to the address listed at the bottom of this form.

HIRING DEPARTMENT OR OFFICE: **Department Name**

SPECIFIC POSITION APPLIED FOR: **Position**

NAME OF APPLICANT: _____

GENDER: ☐ Male ☐ Female ☐ Decline to Answer

ETHNICITY: ☐ Hispanic or Latino ☐ Not Hispanic or Latino ☐ Decline to Answer

RACE: ☐ American Indian/Alaskan Native ☐ Caucasian ☐ Black/African American

☐ Native Hawaiian/Pacific Islander ☐ Asian ☐ Other/two or more

☐ Decline to Answer

VETERAN STATUS: (**Check only if applicable**)

☐ Non Veteran
(February 28, 1961 - May 7, 1975)
☐ Vietnam Era Veteran
☐ Disabled Veteran
☐ Special Disable Veteran
☐ Other Protected Veteran

(please choose one of the following options)

If War, Campaign, or Expedition not listed above, please add here:
☐ Newly Separated Veterans If checked, enter discharge date:

DISABILITY STATUS: (**Check only if applicable**)
(see next page)

☐ Yes I have a disability (or previously had a disability)
☐ No I don't have a disability
☐ Decline to answer

SOURCE OF POSITION INFORMATION:

From what source did you learn of this position? _____

If by advertisement, please name publication. _____

For Office Use:
Hiring Department/Office: Department Name
AA File Number: XX-XX/XX-XX
Job Title: Assistant Professor
Position Number: XXXXXXXX

Return to:
The Office of Equity and Diversity
1840 Melrose Avenue, The University of Tennessee, Knoxville, TN 37996-3560
Telephone: (865) 974-2498; Fax: (865) 974-0943

02/2014

Voluntary Self-Identification of Disability

Why are you being asked to complete this form?

Because we do business with the government, we must reach out to, hire, and provide equal opportunity to qualified people with disabilities. To help us measure how well we are doing, we are asking you to tell us if you have a disability or if you ever had a disability. Completing this form is voluntary, but we hope that you will choose to fill it out. If you are applying for a job, any answer you give will be kept private and will not be used against you in any way.

If you already work for us, your answer will not be used against you in any way. Because a person may become disabled at any time, we are required to ask all of our employees to update their information every five years. You may voluntarily self-identify as having a disability on this form without fear of any punishment because you did not identify as having a disability earlier.

How do I know If I have a disability?

You are considered to have a disability if you have a physical or mental impairment or medical condition that substantially limits a major life activity, or if you have a history or record of such an impairment or medical condition.

Disabilities may include, but are not limited to:

- Blindness
- Deafness
- Cancer
- Diabetes
- Epilepsy
- Autism
- Cerebral palsy
- HIV/AIDS
- Schizophrenia
- Muscular dystrophy
- Bipolar disorder
- Major depression
- Multiple sclerosis (MS)
- Missing limbs or partially
- Post-traumatic stress disorder (PTSD)
- Obsessive Compulsive disorder
- Impairments requiring the use of a wheelchair
- Intellectual disability (previously called mental retardation)

Reasonable Accommodation Notice

Federal law requires employers to provide reasonable accommodation to qualified individuals with disabilities. Please tell us if you require a reasonable accommodation to apply for a job or to perform your job. Examples of reasonable accommodation include making a change to the application process or work procedures, providing documents in an alternate format, using a sign language interpreter, or using specialized equipment.

Section 503 of the Rehabilitation Act of 1973, as amended. For more information about this form or the equal employment obligations of Federal contractors, visit the U.S. Department of Labor's Office of Federal Contract Compliance Programs (OFCCP) website at www.dol.gov/ofccp.

Narrative Summary Form **Return to: OED**
The University of Tennessee, Knoxville **1840 Melrose Ave.**

INSTRUCTIONS FOR COMPLETING THE NARRATIVE SUMMARY FORM FOR FACULTY POSITIONS AND OTHER ACADEMIC POSITIONS: The Narrative Summary Form must be completed and approved before candidates may be invited for on-campus interviews. The Narrative Summary documents the methods and actions taken to advertise the position, recruit applicants, and select the Principal and Alternate candidate pools. This documentation is required to show that all appropriate equal employment opportunity and affirmative action initiatives have been taken.

This form must be completed and submitted for approval by the appropriate signatory authorities. Upon completion of the form, the Department Head or Director should submit the **original copy** and **all attachments** to the Dean or Director, and then to the appropriate Vice President, Chancellor or Provost who should send the original and all attachments to OED.
OED will consult with the Department, as necessary, and will notify the department of the approval of the Narrative Summary Form. Departments may contact candidates in order to schedule interviews upon notification of the approved form.

Questions regarding this form should be directed to OED at 974-2498. Departments may also consult the UT "Search Procedures: Guidelines for Conducting Academic and Staff Exempt Searches" at http://oed.utk.edu/searches

Date: _____ Contact Person & Telephone #: _____

1. Search Information

Department/Unit: _____

Position & Position #: _____

OED (AA) File #: _____

Is this an Upper Level Search?: Yes _____ No _____

2. Search Committee Composition

		STRIDE Attendance (Y/N, Date)
Search Committee Chairperson:	_____	_____
Search Committee Members:	_____	_____
	_____	_____
	_____	_____

Date of Search Committee Chair Meeting with OED: _____

3. Recruiting/Advertising Efforts

List of Publications in which the vacancy was advertised and dates of advertisement, and (to the extent possible) number of candidates who applied as a result: **(Attach additional sheets as needed)**

Publication	Dates of Advertisement
_____	_____
_____	_____
_____	_____
_____	_____

List of Professional organizations, committees, websites, e-mail lists, mass-mailings, and referral sources with which vacancy was listed and dates of listing or mailings **(Attach additional sheets as needed)**

Organization	Dates

Please describe any extraordinary efforts made by the committee to contact and encourage applications from qualified women and minority candidates: **(Attach additional sheets as needed)**

_____

_____

_____

_____

_____

_____

_____

_____

4. Please list Principal and Alternate candidates in the following order: Last name, first name, middle initial.

Principal Candidates	Alternate Candidates

Note: Department must keep an **EXCEL** spreadsheet with a list of all applicants and must keep the electronic spreadsheet information with Department Search Files. The electronic format will be collected by OED after end of the reporting period.

5. Complete Applicant List Including EEO/AA Self-Identification Information (provided by OED) and Principal and Alternate Pool Composition

Attach a printed copy of list of **all** applicants and designate "Principal/Alternate," and "Internal/External" status using the following format:

Name	Gender	Race	Ethnicity Hispanic/Latino	Principal/ Alternate	Internal/ External
Jane Arms	F	B	Unknown	P	I
John Brown	M	W	No	A	E
Jack Doe	M	W	Yes		E

A description of each Principal and Alternate pool candidate's strengths and weaknesses must be sent as an attachment to this form. **Note:** *If women and/or minorities have applied, but no women and/or minorities have been selected for the principal or alternate pool, a brief description of each female and/or minority applicant should also be attached.*

6. Checklist for Attachments Required for this form

i. _____ List of all candidates using format shown in Section 5 of this form

ii. _____ Please write a brief paragraph for each candidate in the principal or alternate pool and explain why the candidate has been recommended for one of the pools. In other words, explain what is it about the candidate that enabled her or him to rise to the top of the applicant pool?

iii. _____ ***If applicable,*** list of strength/weakness statements for excluded female or minority applicants (i.e., if women and/or minorities have applied, but no women and/or no minorities have been selected for the principal or alternate pools

iv. _____ ***Copies of the vitae or resumes of all principal and alternate candidates***

7. Required Signatures

This document has been reviewed and approved by all appropriate signatories in the review/approval process:

A) _____ _____
Requested by: Department Head Date

_____
Department Head Name (print or type)

C) _____ _____
Approved by: Vice President/Provost/Chancellor Date

_____
Vice President/Provost/Chancellor Name (print or type)

B) _____ _____
Approved by: Dean or Director Date

_____
Dean or Director Name (print or type)

D) _____ _____
Reviewed by: OED Date

RECOMMENDATION FOR FACULTY APPOINTMENT
(For use with all faculty appointments)

The _____(academic unit)

recommends the appointment of_____

to the position of _____beginning_____

at a salary of $_____ per academic _____ or calendar year _____ (check one)

with _____ % FTE allocation.

Position number: _____

Appointment Type: 9 month _____ 12-month _____

Candidate's mailing address:

_____

_____

Telephone number: _____

Degree required for position: _____

Date degree received: _____ or expected: _____*

*** If the candidate does not complete the terminal degree by the date of appointment, the appointment will be at the rank of Instructor at a reduction in salary.**

This candidate has_____years of full-time college and/or university teaching experience as follows:

1. _____
2. _____
3. _____

SOURCE OF BASE SALARY FUNDS (Include information regarding salary sources for joint appointments, endowed chairs, etc.)

Source	Annual $ Amount

TENURE-TRACK APPOINTMENTS ONLY:

Based on the above record of experience, it is further recommended that * _____ (N) years be specified as a probationary period for tenure with the understanding that consideration of the tenure decision will be not later than the _____ (N-1) year.

*Example: 7 (N= number of years on tenure-track) years be specified as a probationary period for tenure with the understanding that the review for tenure will begin in the fall of the 6th (N-1) year.

START-UP COMMITMENTS: In order to secure start-up funding from the Office of the Vice Chancellor for Research, department heads should work through their deans, usually the associate dean for research (if applicable) about the level of support needed. The request must include the total amount requested and the level of support to be contributed by the college and department. Start-up requests involving support from central administration must be approved before the search begins. **If you would like to have the start-up commitment included in the official appointment letter from the Provost please state explicitly how you would like the commitment worded:**

_____

_____

MOVING EXPENSES: The department and/or college pays for all moving expenses negotiated with the new faculty member. Three estimates from approved movers must be acquired and sent to Purchasing (http://purchasing.tennessee.edu/procedure_for_movement.htm) for review. Regardless of the dollar amount involved, written prior approval to pay moving expenses must be obtained from the Provost in a separate memo.

OTHER: Attach memo of explanation of any unusual circumstances or agreements pertaining to this appointment.

Approved: _____ Date: _____
Department Head

Approved: _____ Date: _____
Dean or Director

Approved: _____ Date: _____
Provost or Vice Provost

THE UNIVERSITY OF TENNESSEE KNOXVILLE
CAMPUS REQUEST TO MAKE OFFER
FACULTY AND OTHER ACADEMIC POSITIONS

Department: _____ Contact Person, Phone, & Email: _____

Job Class Title: _____

Proposed effective date of Appointment: _____ Position Number: _____ AA File Number: _____

Proposed Employee

Name: _____

Gender: **Male** **Female** **Unknown**

Race: **Caucasian** **Black/African American** **Hispanic** **American Indian/Alaskan Native**

Asian **Hawaiin Pacific Islander** **Other/two or more** **Unknown**

Date of approvals by OED

Request to Search form: _____ Narrative Summary form: _____

Number of candidates who completed the Equal Employment Self-Identification form at the time of approval of the Narrative Summary or as an addendum to the Narrative Summary: _____

Candidate Pool Information

FOR OED USE ONLY

		GENDER			RACE/ETHNICITY								VETERAN AND OR DISABILITY STATUS				
	Total	Male	Female	Unknown	Caucasian	Black/ African American	Latino/ Hispanic	American Indian/Alaskan Native	Asian	*HPI	Other/2 or more	Unknown	Not a Vet	Viet Era	Other Vet	Unknown	Disabled
Candidate																	
Interviews																	
Proposed																	

***Hawaiian Pacific Islander**

If self-identified ethnic minority or female were interviewed, but are not being offered the position, please explain the reason (attach additional sheets if necessary):

If the position is offered to an internal candidate for whom the post would represent a promotion, please indicate his/her previous department, job class title and position number:

_____ _____ _____ _____

Approved by: Department Head Date Approved by: Chancellor/Provost/Vice President Date

_____ _____

Department Head Name (Print or Type) Chancellor/Provost/Vice President Name (Print or Type)

_____ _____ _____ _____

Approved by: Dean or Director Date Reviewed by: Office of Equity and Diversity Date

_____

Dean or Director Name (Print or Type)

Revised 2016

Clear Form

Certification of Competence to Communicate in English

THE UNIVERSITY OF TENNESSEE, KNOXVILLE,

ENGLISH COMPETENCY FORM

I have sufficient evidence to affirm that_____,

who has been recommended to a teaching position in the Department/Unit of

_____

at The University of Tennessee, Knoxville, is competent in communicating in the English Language.

_____ _____

Department/Unit Head Date

(On Department Letterhead)
Letter Announcing Search
(Modify to include information about your department and college)

Date

Name
College
University
Address
City, ST Zip

Re: Position Announcement

Dear Dr. (Last name): (or use Greetings: when not personalizing)

I am writing to solicit applications and nominations of highly qualified candidates for the position of _____ at the University of Tennessee, Knoxville. You will find enclosed a description of the position and application information. We are eager to recruit a [example: an assistant professor with demonstrated promise in research and teaching] to the University of Tennessee, Knoxville, the state's flagship, land-grant institution, and a Carnegie RU/VH (Research University/Very High Research Activity).

[Insert a paragraph here about the department, school or college.]

The University of Tennessee, Knoxville has bright prospects for the future. The UT-Battelle partnership manages the Oak Ridge National Laboratory and affords unparalleled opportunities for the University. With the help of lottery scholarships, the university attracts students who number among the best in the state, region, and nation. Its 27,000 students (21,000 undergraduate and 6,000 graduate and professional students) study on an attractive campus covering over 290 acres adjacent to the Tennessee River and downtown Knoxville.

I would be delighted to discuss the search with you.

Sincerely,

Name
Search Committee Chair

Enclosures

(On Department Letterhead)

Letter to Applicants with Complete Files

Date

Name
Address
Address
City, ST Zip

Re: Application for _____

Dear Name:

Thank you for your interest in the [position] at the University of Tennessee. We have received your application, and will begin the review process soon. I have enclosed an Equal Employment Opportunity Self-Identification Form. Completion of this form is completely voluntary, but I would encourage you to fill it out and return it in the enclosed postage-paid envelope to the Office of Equity and Diversity.

We will begin screening applications on _____, 20__ and continue our evaluation until the position is filled. Finalists will be contacted by telephone or e-mail.

[Put in a paragraph about the department or college and the importance of finding the right person for the position.]

Federal law requires institutions of higher learning to inform prospective students, faculty, and staff of financial information and other types of information about the institution. The University of Tennessee invites you to find that information on our web site at www.utk.edu.

Thank you once again for your interest in the position and in The University of Tennessee.

Sincerely,

Name
Search Committee Chair

Enclosure

(On Department Letterhead)
Letter to Applicants with Incomplete Files

Date

Name
Address
Address
City, ST Zip

Re: Application; Missing Information.

Dear Name:

This letter acknowledges receipt of your application materials for the position of _____ at The University of Tennessee. In order to consider your application, additional items are needed to complete the file, including:

(List needed materials)

We will begin screening applications on _____, 20__ and continue until the position is filled. We would like to receive these additional items no later than _____, 20__.

Enclosed please find an AA/EEO Self-Identification Form, which will assist us in assessing the scope of the search. Completion of this form is completely voluntary, but I would encourage you to fill it out and return it in the enclosed postage-paid envelope to the Office of Equity & Diversity.

Federal law requires institutions of higher learning to inform prospective students, faculty, and staff of financial information and other types of information about the institution. The University of Tennessee invites you to find that information on our web site at www.utk.edu.

We appreciate your interest in the position and employment at The University of Tennessee.

Sincerely,

Name
Search Committee Chair

Enclosure

(On Department Letterhead)
Letter to Nominators

Date

Name
Address
Address
City, ST Zip

Re: Nomination of Candidate for Open Position

Dear Name:

Thank you for nominating _____ as a potential candidate for the position of _____ at The University of Tennessee. We have written [nominee] to determine whether there is an interest in pursuing the position.

On behalf of our Search Committee, thank you for your interest in The University of Tennessee, and for your time and effort in submitting a nomination for this position.

Sincerely,

Name
Search Committee Chair

(On Department Letterhead)
Letter to Nominees

Date

Name
Address
City, ST Zip

Re: Your Nomination for a Position at The University of Tennessee

Dear Name:

You have been nominated as a candidate for the position of [state position] at the University of Tennessee, Knoxville. You will find enclosed a description of the position and application information. UTK is the state's flagship, land-grant institution, and a Carnegie RU/VH (Research University/Very High Research Activity).

[Add a paragraph about the department, college, and/or university.]

The University of Tennessee, Knoxville has bright prospects for the future. The UT-Battelle partnership manages the Oak Ridge National Laboratory and affords unparalleled opportunities for the University. With the help of lottery scholarships, the university attracts students who number among the best in the state, region, and nation. Its 27,000 students (21,000 undergraduate and 6,000 graduate and professional students) study on an attractive campus covering over 290 acres adjacent to the Tennessee River and downtown Knoxville.

I encourage your application. If you decide to apply, please include a cover letter which describes any experience you have pertinent to the position, as detailed curriculum vitae, and transcripts. We will need three letters of recommendation to be submitted under separate cover, as well as a list of three additional current references, including their addresses, phone numbers and e-mail.

All application materials should be received no later than _____, 20__, as we will begin screening applicants on _____, 20__ and want to fill the position as soon as possible.

Sincerely,

Name
Search Committee Chair

Enclosures

(On Department Letterhead)
Letter to References
(Often possible by e-mail or telephone)

Date

Name
Address
Address
City, ST Zip

Re: [Nominee], Candidate for the Position of _____.

Dear Name:

Your name was provided as a reference by _____, who is a candidate for _____ at The University of Tennessee. The position description is enclosed for your review.

The Search Committee requests your forthright and candid appraisal of this candidate's qualifications, experiences and personal attributes as they should relate to the pending position.

Please return your letter of reference to the Search Committee at the following address:

Name, Search Committee Chair
_____ Search Committee
The University of Tennessee
Address
Knoxville, TN 37996—xxxx

Sincerely,

Name
Search Committee Chair

Enclosure

(On Department Letterhead)
Letter to Candidates Advanced to Interview

Date

Name
Address
Address
City, ST Zip

Re: Scheduling of Interview, Travel Information

Dear Name:

This letter confirms our recent conversation regarding your candidacy for the position of _____ at The University of Tennessee. Your on-campus interview has been scheduled for [day], [date], at [time] in the [location]. An itinerary for your visit is attached.

Your contact person for making arrangements for getting to campus on that date is [name]. S/He may be reached at [office phone] or [cell phone]. Please keep [name] informed of your anticipated arrival time in Knoxville.

The interview will be conducted by the Search Committee, which consists of [#] professionals of the University. Moreover, you will meet the Department Chair, the Dean and other faculty members. [Note: Add information here about other presentations, introductions, etc. that are specific to the position.]

Expense reimbursement will be provided as follows:

1. Hotel room for one night. The University will make these arrangements for you so that we may ensure compliance with State requirements on rates.
2. Meal not provided by airline.
3. Lowest available airfare or [$.xx University rate] per mile for travel by car, whichever is more appropriate.
4. Other miscellaneous costs when accompanied by a paid receipt and acceptable under University policy.

Paid receipts must be submitted for all expenses, after which a check will be issued to you as soon as possible.

Please call me at [phone] or e-mail me at [e-mail address] in the event you have questions about the interview arrangements or schedule of activities. I look forward to meeting you and discussing your candidacy.

Sincerely,

Name
Search Committee Chair

(On Department Letterhead)
Letter to Candidates Not Selected
(Sorry Letter)

Date

Name
Address
Address
City, ST Zip

Re: Conclusion of Search for _____ at The University of Tennessee

Dear Name:

Thank you for applying for the position of [state position which has now been filled] at the University of Tennessee.

We were fortunate to be able to consider nearly [no.] applications. The candidate pool was very strong, and after careful consideration of all the candidates the [Search Committee or other deciding body] has determined that [Name of person hired and current position], was the candidate whose skills and qualifications most closely met our requirements for the position. [Name of person hired] will begin [her/his] term this [semester or month].

I want to thank you for your interest in the University of Tennessee, and I wish you success in your future endeavors.

Sincerely,

Name
Search Committee Chair

Sample Informal Letter to a Selected Candidate

This is a sample letter from the department head or dean to a successful candidate for a faculty position. This letter contains the kinds if information which might be included in a letter of this sort.

Dear XXXXXXXXXXXXXX:

I am writing to confirm the details of this position you and I have discussed at the University of Tennessee, Knoxville. Please note that this is not an official letter. The official letter will come from Provost XXXXXX.

You will be offered a tenure-track position at the rank of Assistant Professor in the Department of XXXX. The 9-month salary for this position will be XXXXXXXXX. In addition, you will be provided XXXXXXXXX in start-up funds for each of the first two years of your appointment. The department will provide suitable office/lab space in XXXX building. Your teaching responsibilities in the first year will be XXXX.

We look forward to having you join us…

Sincerely,

Dr. Department Chair

THE UNIVERSITY OF TENNESSEE
POSITION DESCRIPTION QUESTIONNAIRE (PDQ)

POSITION INFORMATION:

Name of Current Holder (if occupied): **Personnel No.:**

IRIS Position Number: **Pay Grade:**

Position Title:

Job Title:

Name of Supervisor: **Phone:**

Responsible Cost Center Number and Name:

Department Contact: **Email address:** **Phone:**

REASON FOR EVALUATION:

__ **New Position**

__ **Reclassification Request (Significant Change in Duties)**

__ **Reorganization**

__ **Standard Review Cycle**

__**Vacant Position**
Name of Last Incumbent:

__**Other (Please Specify):**

HR/PERSONNEL USE ONLY:

Analysis: **KH** _____ **PS**_____ **ACC**_____

Total Points: _____

Job Title: _____ **Pay Grade:** _____

Job Family: _____

FLSA Category: ___**Exempt** ___**Non-Exempt**

Comments:

Name of Current Holder (if occupied):	Position No.:

A. POSITION SUMMARY:

Why (or for what reason) does this position exist?

B. MEASURES OF IMPACT:

What areas does this position impact? (Mark all that apply):

- ☐ Program
- ☐ Department
- ☐ Division/College
- ☐ Campus/Institute
- ☐ University
- ☐ External to the University

Describe the level of responsibility this position has in the area(s) checked above.

What type of budget impact does this position have on the area(s) for which it is responsible?

- ☐ Full authority to commit funds (Explain)* Size of budget impacted _____
- ☐ Effective recommendations to commit funds (Explain)* Size of budget impacted _____
- ☐ Maintain or audit funds committed (Explain)* Size of budget impacted _____
- ☐ Little or no budget responsibility

***Explanation:**

C. POSITION DUTIES:

What are the essential functions and responsibilities of this position (please indicate approximate percentage of time devoted to each function)?

Function/Responsibility	% of Time

D. DECISIONS:

What types of decisions does this position make?

What types of decisions are referred to others?

How are decisions implemented?

E. SUPERVISION:

What types of supervisory responsibility does this position exercise?

- ☐ Hiring, disciplining, supervising, granting increases (Explain)*
- ☐ Effective recommendations in hiring, etc. (Explain)*
- ☐ Providing work direction to a group of employees (Explain)*
- ☐ Assisting others by providing guidance (Explain)*
- ☐ Little or no supervisory responsibility

***Explanation:**

Number or employees/students that this position supervises:

_____ Exempt employees _____ Students

_____ Non-exempt employees _____ Others (Explain)*

***Explanation:**

F. MINIMUM QUALIFICATIONS:

What are the minimum qualifications in terms of education, experience, job skills, and physical requirements of the job which would be required?

Education:

Experience:

Job Skills:

Physical Requirements: (Please complete attached chart)

G. ADDITIONAL INFORMATION:

Please provide any additional information you believe will assist in understanding this position:

***Attach the Departmental Organizational Chart prepared by your department with names and titles (include to whom this position reports, others who report to the same individual, and who reports to this position).**

H. APPROVAL:

This Position Description Questionnaire (PDQ) has been reviewed by the individuals whose signatures appear below, indicating that the PDQ accurately reflects the job content of the position:

_____	_____	_____	_____
Employee Signature	**Date**	**Supervisor's Signature**	**Date**

_____	_____
Dean, Director, or Dept Head	**Date**

PHYSICAL REQUIREMENTS DEFINITIONS

Climbing – Ascending or descending ladders, stairs, scaffolding, ramps, poles and the like, using feet and legs and/or hands and arms. Body agility is emphasized. This factor is important if the amount and kind of climbing required exceeds that required for ordinary locomotion.

Balancing – Maintaining body equilibrium to prevent falling when walking, standing or crouch on narrow, slippery or erratically moving surfaces. This factor is important if the amount and kind of balancing exceeds that needed for ordinary locomotion and maintenance of body equilibrium.

Stooping – Bending body downward and forward by bending spine at the waist. This factor is important as it occurs to a considerable degree and requires full use of the lower extremities and back muscles.

Kneeling – Bending legs at knee to come to a rest on knee or knees.

Crouching – Bending the body downward and forward by bending leg and spine.

Crawling – Moving about on hands and knees or hands and feet.

Reaching – Extending hand(s) and arm(s) in any direction.

Standing – Particularly for sustained periods of time.

Walking – Moving about on foot to accomplish tasks, particularly for long distances.

Static Position – Maintaining the same body position for a period of time in order to complete a task.

Pushing – Using upper extremities to press against something with steady force in order to thrust forward, downward or outward.

Pulling – Using upper extremities to exert force in order to draw, drag, haul or tug objects in a sustained motion.

Lifting – Raising objects from a lower to a higher position or moving objects horizontally from position to position. This factor is important if it occurs to a considerable degree and requires the substantial use of the upper extremities and back muscles.

Fingering – Picking, pinching, typing, or otherwise working, primarily with fingers rather than with the whole hand or arm as in handling.

Grasping – Applying pressure to an object with the fingers and palm.

Feeling – Perceiving attributes of objects, such as size, shape, temperature or texture by touching skin, particularly that of fingertips.

Talking – Expressing or exchanging ideas by means of spoken word. Those activities in which they must convey detailed or important spoken instructions to other workers accurately, loudly or quickly.

Hearing – Perceiving the nature of sounds with no less than 4 db loss @ 500 Hz, 1,000 Hz and 2,000 Hz with or without correction. Ability to receive detailed information through oral communication and to make fine discriminations in sound, such as when making fine adjustments on machined parts.

Seeing – The ability to perceive the nature of objects by the eye. Seeing is important for hazardous positions in which defective seeing would result in injury and positions in which special and minute accuracy, inspecting and sorting exist. A high degree of visual efficiency, placing intense and continuous demands on the eyes by moving machinery and other objects are also considered important. Other important factors of seeing are acuity (near and far), depth perception (three-dimensional vision), accommodation (adjustment of lens of eye to bring an object into sharp focus), field of vision (area that can be seen up and down or to the right or left while eyes are fixed on a given point) and color vision (ability to identify and distinguish colors).

Repetitive Motions – Frequent, sustained movement patterns of the upper extremities (fingers, hands, wrists, elbows, shoulders).

Carrying – The physical act of manually transporting objects from one to another.

Driving – The physical act of operating a motor vehicle.

PHYSICAL REQUIREMENTS

Check physical demands that must be met to perform the essential functions of this position. If a Requirement is not applicable, leave blank. (See Physical Requirements Definitions page.)

Amount of Time Spent per Work Day

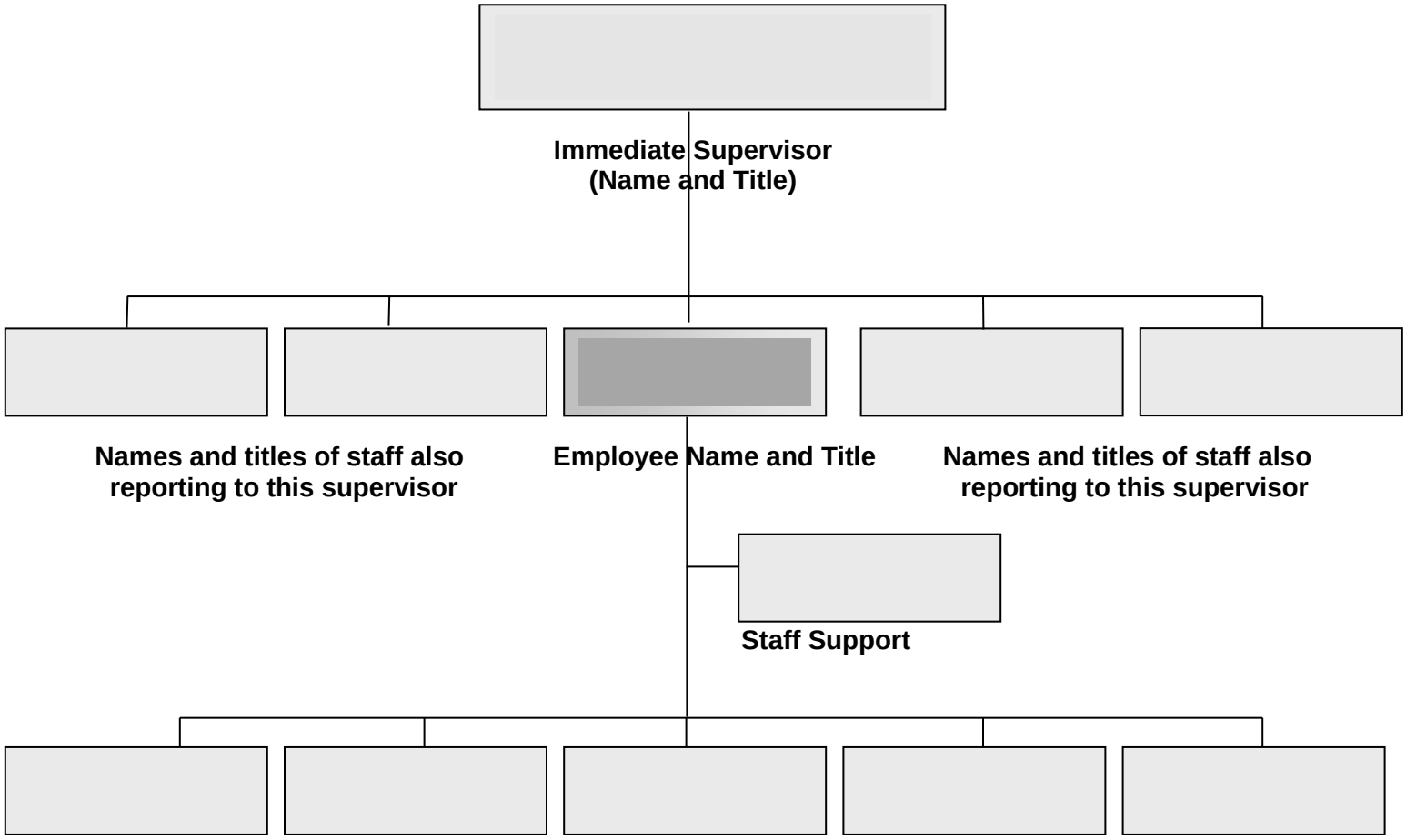
Requirements	Up to 1/3	1/3 – 2/3	2/3 or more
Climbing	☐	☐	☐
Balancing	☐	☐	☐
Stooping	☐	☐	☐
Kneeling	☐	☐	☐
Crouching	☐	☐	☐
Crawling	☐	☐	☐
Reaching	☐	☐	☐
Standing	☐	☐	☐
Walking	☐	☐	☐
Static Position	☐	☐	☐
Pushing	☐	☐	☐
Pulling	☐	☐	☐
Lifting	☐	☐	☐
Fingering	☐	☐	☐
Grasping	☐	☐	☐
Feeling	☐	☐	☐
Talking	☐	☐	☐
Hearing	☐	☐	☐
Seeing	☐	☐	☐
Repetitive Motions	☐	☐	☐
Carrying	☐	☐	☐
Driving	☐	☐	☐

If this position requires lifting and carrying, please complete the following chart.

Check Both Amount of Time Spent per Work Day and From Which Level

	|----------Time Spent per Work Day----------|				|----------Level----------|	
Weight	**None**	**Up to 1/3**	**1/3 - 2/3**	**2/3 or more**	**Waist**	**Knee**	**Floor**
Up to 10 lbs	☐	☐	☐	☐	☐	☐	☐
Up to 25 lbs	☐	☐	☐	☐	☐	☐	☐
Up to 50 lbs	☐	☐	☐	☐	☐	☐	☐
Up to 100 lbs	☐	☐	☐	☐	☐	☐	☐
More than 100 lbs	☐	☐	☐	☐	☐	☐	☐

DEPARTMENTAL ORGANIZATIONAL CHART



Job Safety Questionnaire

NAME: _____ DATE: _____

PERSONNEL NUMBER: _____ IRIS POSITION NUMBER: _____

IRIS POSITION TITLE: _____

During the course of my job, I:

YES	NO	
		1. Drill/saw/cut or otherwise penetrate walls, ceilings, floors, floor tile, ceiling tile, pipe insulation or roofing materials; or strip, buff, or refinish floors.
		2. Enter confined spaces such as manholes, valve pits, elevator pits, crawl spaces, tunnels or boilers.
		3. Work in situations that might require me to enter excavations greater than four feet deep, such as trenches.
		4. Work at unprotected heights (not having guard rails) greater that six feet, such as roofs.
		5. Operate powered platforms or man lifts
		6. Use ladders or scaffolds
		7. Operate machine shop equipment used for cutting, punching, shearing, or bending, such as table saw, drill press, band saw, lathe, surface grinder, or similar equipment.
		8. Routinely use hand or power tools such as hammers, chisels, wrenches, impact tools, drills, circular saws, etc.
		9. Operate agricultural tractors or riding mowers.
		10. Work with products that contain hazardous chemicals outside a laboratory setting (for example cleaning materials, pesticides, or paints.).
		11. Work in a continually, consistently, or periodically noisy environment (example - if you have to raise your voice to talk to the person next to you).
		12. Perform active work in excessive heat (in excess of 85 degrees Fahrenheit), especially for extended time.
		13. Scrape, sand, drill or cut on painted surfaces.
		14. Install or repair electrical circuits or equipment with electrical, pneumatic, mechanical or hydraulic components.

YES	NO	
		15. Work in an environment (even occasionally) where I might need safety glasses, gloves, hard hats or other personal protective equipment.
		16. Work in an environment (even occasionally) where I might need to wear a respirator (for example face masks, N95, cartridge respirator).
		17. Weld, cut, or braze metals.
		18. Operate a forklift.
		19. Use or move compressed gas cylinders.
		20. Work with ethylene oxide.
		21. Work with formaldehyde, other than in a laboratory.
		22. Identify, generate or label chemicals/materials designated as hazardous waste.
		23. Work with Class III or Class IV lasers.
		24. Work with chemicals in a laboratory setting.
		25. Perform tasks that may require me to come in contact with human blood or human trauma fluids. (Examples include: render first aid/medical services, cleanup human blood or trauma fluids, handle wastes labeled as "biohazard" in a health care facility, access plumbing for maintenance purposes in a health care facility or lab facility where human-derived materials are in use.)
		26. Work with human cell lines or unfixed (unpreserved) human tissues.
		27. Work with or around vertebrate animals, animal tissues or body fluids (other than consumer food products) in a research or teaching activity.
		28. Enter posted ionizing radiation or X-Ray areas.
		29. Work with radioactive material or X-Ray machines.
		30. During the course of my job, I will prepare, package, transport and/or ship Department of Transportation-regulated hazardous materials or IATA (by air) regulated dangerous goods. Examples of such materials include: flammables, corrosives, oxidizers, compressed gases, dry ice, radioactive materials and infectious substances (including diagnostic specimens).

THANK YOU FOR YOUR FEEDBACK!

(Departmental letterhead)

SAMPLE
MANDATORY ADMINISTRATIVE LEAVE WITH PAY

Date

Name
Street Address
City, State Zip

Name,

The purpose of this letter is to notify you that you will be placed on Administrative Leave with Pay from the position of (insert position title), effective (insert month/day/year), while we investigate (insert infraction/s).

This is a serious offense and, if proven true, may result in your termination. I will contact you regarding your continued employment status at the university.

If you have questions, please contact me at (insert phone number).

Sincerely,

(insert name)
(insert title)

cc: Human Resources

SAMPLE
PRE-TERMINATION/LAUDERMILL HEARING LETTER

Date

Name
Street Address
City, State Zip

Name,

On the basis of our review to date, the University has reason to believe that grounds exist to terminate your employment at The University of Tennessee for *(insert infraction – e.g., gross misconduct, inadequate work performance). (Restate the noted infraction – e.g., gross misconduct, inadequate work performance*) includes, without limitation, the following:

1.
2.
3.

This letter serves as notice to you that if you wish to hear more concerning the charges or to take advantage of the opportunity to present information which may impact the University's decision, you must appear for a meeting at *(insert time)* on *(insert month/day/year)* in *(insert location).* If you have any documentation to support your position, please be prepared to present it at that time.

Until this matter is resolved, you will be placed on administrative leave with pay from the position of *(insert position title)* effective *(insert month/day/year)* while we investigate the matter.

If you have any questions, please do not hesitate to call me at *(insert phone number).*

Sincerely,

(insert Dean/Director/Department Head)

cc: Human Resources

SAMPLE
TERMINATION LETTER
w/ Right to Hearing Notice

Date

Name
Street Address
City, State Zip

Name,

The purpose of this letter is to inform you that you are being terminated from your position as (insert title), from the (insert department name) at The University of Tennessee, effective (insert month/day/year).

Your termination is based on the following charge(s): (insert appropriate charge). You have the right to a hearing should you wish to challenge the disciplinary action taken against you. If you desire such a hearing, you must notify (insert HR contact name), Human Resources, Suite 224 Conference Center Building, 600 Henley Street, Knoxville, TN, 37996-4125 in writing on or before (insert month/day/year – 15 working days from above date of the letter).

If you have questions about this action, please let me know.

Sincerely,

(supervisor's name)
(supervisor's title)

Cc: Human Resources

SAMPLE
TERMINATION FOR GROSS MISCONDUCT

Date

Name
Street Address
City, State Zip

Name,

By this letter, I am informing you that your employment with the (insert department name) will be terminated effective (insert month/day/year). Your termination is based upon (insert reason for termination). As a result, you will be discharged for gross misconduct. As such, you are not eligible for payment of your accrued annual leave, nor are you eligible for COBRA benefits.

Should you wish to challenge the disciplinary action taken against you, you have the right to a hearing. If you desire such a hearing, you must notify Dr. Michael R. Herbstritt, Human Resources, Suite 224 Conference Center Building, 600 Henley Street, Knoxville, TN, 37996-4125 in writing within fifteen (15) working days following receipt of this letter.

If you decide to appeal or contest your termination, you may choose between a hearing under the Tennessee Uniform Administration Procedures Act (TUAPA), C.C.A., sections 4-5-301 through -325, or you may choose an informal hearing in accordance with University Personnel Policy 525, Disciplinary Actions.

If you desire a formal TUAPA hearing, you have the right to be represented by an attorney during the proceedings. If you choose an informal hearing, you will need to sign a waiver, which will waive your right to a formal hearing. At an informal hearing, you will also have the right to be represented by an attorney, provided that you notify Dr. Michael Herbstritt of your intention to have legal representation in the same letter by which you provide notice of your desire for an informal hearing. Should you elect to be represented by an attorney for an informal hearing, an attorney will also be present to represent the University.

I regret this action is necessary. Please let me know if you have questions.

Sincerely,

(Department Head)

cc: Dr. Michael R. Herbstritt, Human Resources

Attachment

UNIFORM ADMINISTRATIVE PROCEDURES ACT

HEARING WAIVER

I, _____, an employee at the University of Tennessee, request that my case be handled according to the university's informal hearing procedures as set forth in HR0525 Disciplinary Actions policy and voluntarily waive my right to receive a formal hearing under the 'contested case' provision of the Tennessee Uniform Administrative Procedures Act, T.C.A., sections 4-5-301 through –325.

_____ _____

Employee Signature Date

9/2013

Office of Student Conduct and Community Standards, The University of Tennessee
*****SAMPLE LETTER ONLY*****

March 12, 2001

Ms. Susan Q. Public (Student Identification Number: 000-00-0000)
100 Knoxville Road, #345
Knoxville, TN 37916

Dear Ms. Public:

The purpose of this correspondence is to officially inform you that I am assigning you the grade of "F" in Sociology 120 for the Spring 2000 academic semester. As you should be aware, I am assigning this letter grade based on the recent allegation of academic dishonesty I have made against you in the aforementioned course. Please be advised that I am forwarding this academic dishonesty case to the Office of Student Conduct and Community Standards for whatever additional action that office deems necessary.

On March 1, 2001, during the administering of Exam #1 for this course, I personally observed you utilizing an unauthorized sheet of paper containing numerous answers for this specific examination. You should recall from our course syllabus, class discussions, and the examination instructions that such aid was strictly prohibited. Furthermore, when I asked to speak with you during this examination, and then confronted you about this unauthorized aid, you admitted to this misconduct.

Should you wish to appeal this grade I have assigned as a penalty for academic dishonesty, you should consult and follow the procedure outlined in the Academic Policies and Procedures section of Hilltopics, The University of Tennessee Student Handbook. The Office of Student Conduct and Community Standards can provide you with additional information regarding your rights and options in this matter. They are located in 409 Student Services Building and can be contacted via telephone at (865) 974-3171 or via email at studentconduct@utk.edu.

Please know that while I regret the need for this action on my part, your behavior unfortunately leaves me with no other alternative.

Sincerely,

Dr. John B. Ethical, Associate Professor, Department of Sociology

CC: Dr. Anne Donotcheat, Department Head and Professor, Department of Sociology

Mary Behonest, Director of Student Conduct and Community Standards

Dr. Jay Academia, Dean, College of Arts and Sciences (college in which violation occurred)

Dr. Sandy Academia, Dean, College of Business Administration (college in which student is enrolled, if different from above)