

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES  
WINTER MEETING

12:45 p.m. CST  
Thursday  
February 27, 2014

University Center Ballroom  
11 Wayne Fisher Drive  
Martin, Tennessee

ORDER OF BUSINESS

- I. Call to Order and Invocation
- II. Roll Call
- III. Introductions
- IV. President’s Report..... Tab 1
- V. Introduction of the New Athletics Director for UT Martin
- VI. [Chancellor Rakes’ Update on UT Martin Gap Analysis](#) ..... Tab 2
- VII. Action Item from the Health Affairs Committee
  - A. [Designation of UT-Regional One Physicians as a Faculty Practice Plan for the College of Medicine in Memphis and Authorization for Execution of Associated Agreements](#) ..... Tab 3
- VIII. [Action Items from the Finance and Administration Committee](#) ..... Tab 4
  - A. [TUAPA Rule on Use of University Property – Roll Call Vote](#) ..... Tab 5
  - B. [TUAPA Rule on Use of University Property by Non-Affiliated Persons for Free Expression Activities – Roll Call Vote](#)..... Tab 6
- IX. Report of the Audit Committee
- X. Consent Agenda
  - A. [Minutes of the Last Meeting](#)..... Tab 7
  - B. [UT Knoxville Gas Line Easement for Steam Plant](#)..... Tab 8
  - C. [UTHSC Acquisition of 885 Madison Avenue](#) ..... Tab 9
  - D. [UTHSC Acquisition of 239 Dr. M.L. King Avenue](#) ..... Tab 10
  - E. [UTHSC Acquisition of 964 Union Avenue](#)..... Tab 11
  - F. [FY 2014 Revised Operating Budget](#)..... Tab 12
  - G. [Repurposing of UT Martin Student Publication Fee](#) ..... Tab 13

Board of Trustees Winter Meeting - Agenda

H.	Honorary Doctorate of Letters and Science, UT Knoxville.....	Tab 14
I.	Revisions to UT Knoxville Faculty Handbook and Manual for Faculty Evaluation .....	Tab 15
J.	Renaming the UTHSC College of Allied Health as College of Health Professions .....	Tab 16
K.	UT Health Science Center Strategic Plan, 2014-2018 .....	Tab 17
L.	Revised Compensation for the Executive Vice President/Vice President for Research and Economic Development .....	Tab 18
M.	Revisions to the Policy on Comprehensive Presidential Performance Reviews.....	Tab 19
N.	Naming of the Corporate Governance Center, College of Business Administration, UT Knoxville.....	Tab 20
XI.	Announcements .....	Tab 21
XII.	Adjournment	

# UT Martin Strategic Initiative Update



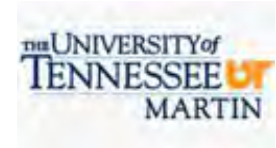
# Metrics

Metric	UTM Fall 2013	UTM Fall 2016	UTM Change 2013-2016
Undergraduate Enrollment	7025	7025	Maintain
Six-Year Graduation Rate	46.5%	48.0%	1.5%
Bachelor's Degrees Conferred	1248	1267	2.0%
Retention (1 <sup>st</sup> to 2 <sup>nd</sup> Year)	69.8%	72.0%	2.2%
Graduate Enrollment	398	410	3.0%
Master's Degrees Conferred	124	126	2.0%
Job Placement (Employed and/or Graduate/Professional School)	93.0%	93.0%	Maintain

# Metrics

Metric	UTM Fall 2013	UTM Fall 2016	UTM Change 2013-2016
CCTA 24 Hour Progression	1217	1229	1.0%
CCTA 48 Hour Progression	1155	1167	1.0%
CCTA 72 Hour Progression	1203	1215	1.0%
Operating Expenditures per Student FTE	\$18,989	\$20,888	10.0%
Endowment per Student FTE	\$4,237	\$4,279	1.0%
THEC Program Review Standards Met	95.0%	100%	5.0%
Academic Program Accreditation (Accredited or seeking accreditation)	100%	100%	Maintain

# #1 Undergraduate Enrollment



## Initiatives

- Re-recruit “stop outs” incorporating a “Return to UTM” website to target undergraduate and graduate students
- Target out-of-state prospects eligible for Honors Program waiver
- Continue branding campaign by expanding our media plan to highlight UTM as campus of choice for Best Value, Campus Safety, and Graduation Success

**SUCCESS**

**With an Out-of-State Tuition Waiver**

"When I found out that I was eligible to receive UT Martin's out-of-state tuition waiver, I knew I needed to apply in order to maximize the waiver. I attend Honors Seminars. Both the waiver and the Honors Program help make it possible for me to concentrate on my studies to prepare me for my future career."

Alysa Coonce, Chattanooga, Mo.  
Plant and Soil Science major

**THIS COULD BE YOU!**

**HONORS SEMINAR  
OUT-OF-STATE TUITION WAIVER**

> **Financial Award:**  
Waiver of out-of-state tuition  
approximate value of \$14,000 per year

> **Qualifications:**  
**ACT: 25-27 and GPA: 3.5+\***  
Must participate in Honors Seminar Program.  
Must be a U.S. citizen or permanent resident.

**ACT: 28+ and GPA: 3.5+\***  
Eligible for University Scholars Initiative or Davidson's Award.  
Must participate in University Scholars Program (selected) or Honors Seminar Program.  
Must be a U.S. citizen or permanent resident.

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THE UNIVERSITY of  
**TENNESSEE UT**  
MARTIN



# #2 Retention



## Initiatives

- Increase Admission Standards effective Fall 2014
- Redesign freshman orientation responsive to changing needs
- Utilize customized mentoring software to enhance strategically timed interventions among the student, faculty, staff, and parents
- Supplement academic advising with a mentoring model to facilitate students in negotiating non-academic barriers and challenges
- Create “exploratory majors” within colleges



# #3 Academic Quality



## Initiatives

- Implement MILE (Maximum Information Literacy Excellence) program
- Initiate Pre-Med Scholars Program
- Increase program specific admission standards
- Pursue a new Master of Strategic Communication degree
- Increase the internationalization of campus curricula
- Expand undergraduate research opportunities





# #4 Graduate Enrollment



## Initiatives

- Explore new graduate degrees and initiate needs assessments
- Coordinate efforts with the Return to UTM website to re-recruit graduate stop-outs
- Streamline the graduate school admission process for UTM alumni
- Increase financial incentives for out-of-state graduate students



# #5 Economic Development



## Initiatives

- Implement best practices to enhance student internship and experiential learning opportunities
- Consult with new and existing businesses and industries
- Support leadership development through WestStar, Leadership Challenge, and the Ned McWherter Institute
- Partnering with local government to provide region-specific educational centers (Jackson, Parsons, Ripley, Selmer)





# #6 Financial Model



## Initiatives

- Explore additional payment options to reduce student dependency on loans
- Restructure campus work programs to better facilitate student employment opportunities
- Contract with an outside source to provide customized analysis and enable data-driven services and infrastructure decisions
- Revise the position review process to determine best utilization of job openings
- Leverage the software capabilities that quantify faculty workload, productivity, and use of adjunct faculty



# Questions???





THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 27, 2014

COMMITTEE: Health Affairs

CAMPUS/UNIT: UT Health Science Center

ITEM: **Designation of UT-Regional One Physicians as a Faculty Practice Plan for the College of Medicine in Memphis and Authorization for Execution of Associated Agreements**

RECOMMENDATION: Approval

PRESENTED BY: Steve J. Schwab, Chancellor, UT Health Science Center

The following proposal concerns the designation of a new multi-specialty faculty practice plan for the College of Medicine in Memphis in conjunction with The Regional Medical Center.

The Health Affairs Committee reviewed the proposal at its meeting on January 17, 2014 and approved it for recommendation to the Board of Trustees.

**MOTION:**

**That the Board of Trustees authorize the administration to execute a Master Affiliation Agreement between the University and The Regional Medical Center (Shelby County Healthcare Corporation) and an Affiliation Agreement between the University and UT Regional One Physicians, under which UT Regional One Physicians will serve as a faculty practice plan for multi-specialty care, such authorization being subject to prior review and approval of the agreements by the Chair of the Health Affairs Committee on the recommendation of the University's President, Chief Financial Officer, and General Counsel and further subject to the prior review and approval of all required or appropriate state government officials.**

# UT- Regional One Physicians Practice Group

Presented to the  
UT Board of Trustees  
February 27, 2014



# UTHSC Faculty Practice Strategy

- ❖ UTHSC has pursued alignment of our large faculty practices with our core partner teaching hospitals
  - UT- Le Bonheur Pediatric Specialists (2011)
  - UT-West- Methodist Cancer Center (2012)
  - UT Methodist Physicians (2013)
  - UT-Regional One Physicians (Planned 2014)
  - Erlanger and St Thomas in discussion-planning

# Why Alignment ?

- ❖ Secures Hospital as Core Teaching Partner for UTHSC
- ❖ Brings value to Hospital with large integrated physician group
- ❖ Generates UTHSC Academic Payment to advance Research and Education
- ❖ Places financial liability for practice group with Hospital partner



## Core Concepts applied to UT-ROP

- ❖ Joint Venture Structure
  - UTHSC – The MED
- ❖ Governing Board
  - 1/3 UTHSC, 1/3 Hospital, 1/3 Physicians
- ❖ Dean and Hospital CEO alternate Chair Position
- ❖ UT gains seats on Hospital Board
  - Trustee, UTHSC Officer
- ❖ Academic Payment
  - \$3 Million Annually plus variable incentive payment
- ❖ Unwind Provisions

❖ UT- Regional One Physicians (UT-ROP)  
endorsed by the Health Affairs Committee  
on January 17, 2014

Questions?

# UT Regional One Physicians, Inc.

Development of a Faculty Practice Plan with The MED



Presented to the  
Health Affairs Committee  
January 17, 2013

# Core Objectives

- Respond to market forces and national trends requiring greater physician hospital alignment
- Develop a high-performing organization focused on supporting physicians in MED-based programs
- Enhance healthcare and educational services provided in the community
- Enhance clinical and translational research
- Further strengthen the financial position of MED-based programs
- Develop and differentiate key MED-based service lines and Centers-of-Excellence



# UTROP Faculty Composition

Approximately 121 faculty will transition from UTMG into UTROP

	Count	cFTE
OB/GYN	22	14.44
Anesthesiology	17	15.34
Radiology	13	7.95
Gastroenterology	9	1.65
Trauma	9	6.15
Emergency Medicine	8	6.50
Infectious Disease	8	2.65
Internal Medicine	7	2.81
Pulmonary	7	0.96
Hospitalist	5	3.60
Cardiology	4	2.50
CV Surgery	3	0.15
Hematology	3	1.70
ENT	2	0.79
Neurology	2	1.70
Rheumatology	1	0.13
Psychiatry	1	0.80
<b>TOTAL</b>	<b>121</b>	<b>69.82</b>

# Affiliation Agreement

## Notable Provisions/Sections (under review).



- Board/Governance
- Exclusivity and Program Development
- Leadership
- UT Representation on MED Board
- Financial Commitments

# Board/Governance

## Composition

- No fewer than 10, nor more than 16 members
  - Equal number from UT and The MED
  - Proposed by the Executive Dean, subject to approval by the Chancellor, as well as one person on the Chancellor's senior administrative staff not involved in clinical practice (the latter chosen by the Chancellor)
  - COM Exec Dean and The MED CEO will be members, *ex officio*
  - Must include at least 3 clinical faculty
  - Bylaws allow for addition of outside directors
- The COM Exec Dean and The MED CEO will serve as Chair and Vice Chair on an annual rotating basis

# Exclusivity and Program Development

3

- Mutual exclusivity and Right to First Offer for core programs:
  - OB/GYN
  - Trauma
  - Burn
  - Anesthesia
  
- In all cases, UTROP or another UT-affiliated practice will have Right to First Offer to be the provider of new clinical services at The MED.
- No physicians will be able to participate in UTROP without UT faculty appointment
- Commitment to coordination and joint strategic planning to further develop centers of excellence
- Same individual will fill role of academic department chair/division chief and clinical service chief for core programs in the hospital.



# UT Appointees to The MED Board of Directors

3

- UTHSC Chancellor will have the ability to nominate two individuals to The MED's Board of Directors
- Individuals will be full-time UT employees or current members of the UT Board and have full voting and governance rights for the MED
- Requires approval of The MED board and Shelby County

# Financial Commitments - GME

- The MED will support cost of ACGME accredited residents and fellows who train at MED-owned facilities, including
  - Resident Compensation
  - Faculty supervision
  - GME administration
- Total annual GME payment will be based on a dollar per resident funding formula (not tied to federal or state funding)
- Costs will be reviewed to ensure they are consistent across UT affiliated teaching hospitals.

# Financial Commitments – Mission Support

3

- The MED will provide a mission support payment to UT, which will provide annual funding for:
  - Clinical and basic science research
  - Faculty recruitment start-up packages
  - Non-clinical faculty salary support
  - UTCOM infrastructure needs.
- Base Mission Support will be \$3 million annually.
- UT will be eligible to receive an incentive payment based on the MED's financial performance and achievement of AMC-system wide performance metrics.

# Next Steps



# Transition Planning Process

The transition planning process is focused on the following key work streams.

- Credentialing/enrollment and Payor Strategy
- Faculty compensation and benefits
- Management and staffing
- Non-payor contracts and third party relationships
- Clinic operations
- Central billing office and practice management

# Definitive Agreements

Drafts of the following definitive agreements are being finalized.

- UTROP Charter and Bylaws
- UT/MED Master Affiliation Agreement.
- MED/UTROP Professional Services Agreement (PSA)
- Physician Employment Agreement



**QUESTIONS ??**

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Finance and Administration

CAMPUS/INSTITUTE: All

ITEM: **Tennessee Uniform Administrative Procedures Act Rules**

PRESENTED BY: Catherine S. Mizell, General Counsel and Secretary  
Matthew M. Scoggins, Assistant General Counsel

Under the Tennessee Uniform Administrative Procedures Act, certain rules of the University must be promulgated in accordance with the formal rulemaking provisions of the Act. As defined by the Act, a rule includes a statement of policy affecting private rights, privileges, or procedures available to the public. In the following pages, two rules are presented for adoption by the Board of Trustees as the first step in the rulemaking process.

The need for these rules arises out of the decision of the United States Court of Appeals for the Sixth Circuit in *McGlone v. Cheek*, a lawsuit filed against The University of Tennessee, Knoxville. The suit challenged the University's requirement that persons not affiliated with the University (members of the general public) obtain sponsorship to speak on campus. The plaintiff also sought a preliminary injunction to prevent the University from enforcing the sponsorship requirement. The University filed a motion to dismiss the suit, and the United States District Court for the Eastern District of Tennessee granted the University's motion and denied the plaintiff's motion for a preliminary injunction. The plaintiff appealed, and the Sixth Circuit reversed the District Court's judgment and remanded for further proceedings. The suit has been dismissed pursuant to a Consent Order and Judgment under which the University is permanently enjoined from enforcing a sponsorship requirement based on the particular policies in effect when the suit was filed.

Two Board-approved, system-wide policies were at issue in *McGlone*—the policy on "Access to University Property" and the "Speaker Policy" (also known as the "Freedom of Expression Policy"). These policies had been in existence for more than 40 years and



had never presented a significant issue before *McGlone*. The Sixth Circuit found, however, that the two policies were contradictory in terms of who has authority to grant sponsorship to non-affiliated persons to speak on campus. As a result, the Court held that *McGlone* likely would succeed on the merits of a vagueness challenge to the policies and therefore was entitled to a preliminary injunction. Although the suit was filed against The University of Tennessee, Knoxville, the Court's holding affects all campuses and institutes in the system and leaves the entire University without an enforceable policy in this area.

The Office of the General Counsel has worked with the system and campus administrations to develop two new policies to replace the policies at issue in *McGlone*. In developing the policies, we have consulted with Professor Rodney Smolla, a nationally recognized leading expert on issues relating to freedom of speech and author of a number of books and treatises relevant to the issue presented in this case. He has served as President of Furman University, Dean of the Washington and Lee School of Law, Dean of the University of Richmond School of Law, and Director of the Institute of Bill of Rights Law at the College of William and Mary. Professor Smolla is currently a visiting professor of law at the University of Georgia.

In our judgment, the proposed rules are legally sound and address the issues raised by the Sixth Circuit in *McGlone*. We therefore recommend adoption of the rule titled "Use of University Property" and the rule titled "Use of University Property by Non-Affiliated Persons for Free Expression Activities." Upon adoption by the Board, the rules will be promulgated in accordance with both the emergency rulemaking procedures and the ordinary rulemaking procedures of the Tennessee Uniform Administrative Procedures Act.

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Finance and Administration

CAMPUS/INSTITUTE: All

ITEM: Use of University Property

RECOMMENDATION: Approval

PRESENTED BY: Catherine S. Mizell, General Counsel and Secretary  
Matthew M. Scoggins, Assistant General Counsel

Proposed Chapter 1720-1-2 of the Rules of The University of Tennessee, titled "Use of University Property," is presented in the following pages. An Executive Summary precedes the rule.

Upon adoption by the Board, the rule will be promulgated in accordance with both the emergency rulemaking procedures and the ordinary rulemaking procedures of the Tennessee Uniform Administrative Procedures Act.

**MOTION:**

**That the Board of Trustees adopt the proposed Chapter 1720-1-2 of the Rules of The University of Tennessee, titled "Use of University Property," to supersede the current Chapter 1720-1-2, titled "Access to University Property."**

**RULES  
OF  
THE UNIVERSITY OF TENNESSEE**

**CHAPTER 1720-1-2  
USE OF UNIVERSITY PROPERTY**

**EXECUTIVE SUMMARY**

- The new rule titled “Use of University Property” will replace the current rule titled “Access to University Property.” The current rule is a one-sentence rule:

The University’s campuses and facilities shall be restricted to students, faculty, staff, guests, and invitees except on such occasions when all or part of the campuses, buildings, stadia, and other facilities are open to the general public.

- This executive summary is intended as a guide to the purpose and application of the rule. This is not a legal document, and the relevant parts of the rule itself, rather than this executive summary, actually govern the use of University property.
- **Section .01** provides that University property is dedicated to the advancement of the University’s principal missions of teaching, research, and service. The law allows the University, like a private owner of property, to preserve the property under its control for the uses to which it is dedicated.
- **Section .02** provides a more complete description than the current rule of the categories of persons generally authorized to use University property. The law does not require the University to make all of its property equally available to members of the University community and the general public alike or to grant free access to all of its property.
- **Section .03** resolves any potential ambiguities between this new rule and the new rule titled “Use of University Property for Free Expression Activities by Non-Affiliated Persons.”

**RULES  
OF  
THE UNIVERSITY OF TENNESSEE**

**CHAPTER 1720-1-2  
USE OF UNIVERSITY PROPERTY**

**1720-1-2-.01 DEDICATION OF UNIVERSITY PROPERTY.** The University of Tennessee dedicates its property to the advancement of the University’s principal missions of teaching, research, and service.

**1720-1-2-.02 AUTHORIZED USERS.** The following persons or groups may use University property, subject to other University rules, policies, or procedures adopted by a University campus, center, or institute, and federal, state, and local laws:

- (1) University students;
- (2) University employees;
- (3) Members of the Board of Trustees;
- (4) Government officials;
- (5) A person or entity invited by the University, including, but not limited to, a University contractor;
- (6) A person who has been invited by a student, a student organization, or an employee in his/her personal capacity, to join the student, student organization, or employee in the use of University property (e.g., friends and family);
- (7) Volunteers of the University, as defined by University policy;
- (8) Prospective students visiting University property and persons accompanying prospective students;
- (9) Alumni visiting University property and persons accompanying alumni;
- (10) A person who has a right of access to University property under Tennessee Code Annotated § 8-50-1001 or any other statutory provisions permitting access to University property;
- (11) Any person or entity engaged in one of the following uses of University property:
  - (a) The use of University property for the purpose of attending a University activity or event that is open to attendance by the members of the general public at a designated place and time (e.g., athletic contests, plays, lectures, concerts);
  - (b) The use of University-owned streets, or University-owned sidewalks bordering



University-owned streets, as thoroughfares while traveling from one location to another location;

- (c) The use of University property that is open to the general public (e.g., campus bookstore, library, museum);
- (d) The use of University property consistent with the terms of a lease agreement with the University; or
- (e) The use of University property for a purpose relating to obtaining medical treatment from the University.

**1720-1-2-.03 USE OF UNIVERSITY PROPERTY FOR FREE EXPRESSION ACTIVITIES.**

Chapter 1720-1-2-12 (Use of University Property for Free Expression Activities by Non-Affiliated Persons) governs the use of University property for free expression activities by persons who are not affiliated with the University. To the extent of any conflict between this Chapter and Chapter 1720-1-2-12, Chapter 1720-1-2-12 shall control.

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Finance and Administration

CAMPUS/INSTITUTE: All

ITEM: **Use of University Property by Non-Affiliated Persons for Free Expression Activities**

RECOMMENDATION: Approval

PRESENTED BY: Catherine S. Mizell, General Counsel and Secretary  
Matthew M. Scoggins, Assistant General Counsel

Proposed Chapter 1720-1-12 of the Rules of The University of Tennessee, titled "Use of University Property by Non-Affiliated Persons for Free Expression Activities," is presented in the following pages. An Executive Summary precedes the rule. The "Speaker Policy" adopted by the Board in 1969 follows the rule.

Upon adoption by the Board, the rule will be promulgated in accordance with both the emergency rulemaking procedures and the ordinary rulemaking procedures of the Tennessee Uniform Administrative Procedures Act.

**MOTION:**

**That the Board of Trustees adopt proposed Chapter 1720-1-12 of the Rules of The University of Tennessee, titled "Use of University Property by Non-Affiliated Persons for Free Expression Activities," to supersede the "Speaker Policy" adopted by the Board of Trustees on June 19, 1969.**

RULES  
OF  
THE UNIVERSITY OF TENNESSEE

CHAPTER 1720-1-12  
USE OF UNIVERSITY PROPERTY BY NON-AFFILIATED PERSONS  
FOR FREE EXPRESSION ACTIVITIES

EXECUTIVE SUMMARY

- This new rule regulates free expression activities on University property by persons other than University students, employees, and volunteers. Because the University is an instrumentality of the State of Tennessee, the rule must conform to the requirements of the First Amendment to the United States Constitution.
- This executive summary is intended as a guide to the purpose and application of the rule. This is not a legal document, and the relevant parts of the rule itself, rather than this executive summary, actually govern the regulation of free expression activities by non-affiliated persons on University property.
- **Section .01** describes the basic purpose of the rule and explains the relation of the rule to other University rules. Section .01 also notes that this rule replaces the “Speaker Policy” adopted by the University’s Board of Trustees on June 19, 1969, a copy of which is included in the meeting materials following the new rule. The Speaker Policy only addressed the subject of outside speakers invited by student organizations.
- **Section .02** sets forth definitions of key terms used in the rule. The rule uses common First Amendment terms like “traditional public forum,” “designated public forum,” “limited public forum,” “nonpublic forum,” and “free expression activities,” and defines those terms consistently with First Amendment jurisprudence.
- **Section .03** sets forth the general rule that University property is not open for free expression activities for persons who are not students, employees, or volunteers. Courts have rejected the proposition that a university must make all of its property equally available to students and nonstudents alike, or that a university must grant free access to all of its property. The University, no less than a private owner of property, has the legal right to preserve the property under its control for the use to which it is lawfully dedicated. Section .03 explains that University property, which

consists primarily of its many campus grounds and facilities, is dedicated to the advancement of the University's principal missions of teaching, research, and service. **The University's property is not open, either by tradition or by University policy, for the general public's free expression activities, in the sense that many public streets, sidewalks, parks, auditoriums, or meeting rooms are often available in society as public forums for expression.** Section .03 also explains that any free expression activity permitted under the rule is subject to the time, place, and manner restrictions in Section .08.

- **Section .04** recognizes that the University makes available limited public forums for use by its students and faculty members for free expression activities. Section .04 provides that a person not affiliated with the University may be invited by a student organization or a faculty member to participate in those free expression activities (for example, as a speaker, panelist, commentator, or performing artist). In such instances, the invited participant is not a guest *of the University*, and the invitation is not extended *by the University*, but rather the invited participant is a guest of the student organization or faculty member. In deciding whom to invite or not invite, the student organization or faculty member is not exercising the governmental authority of the University to decide who is allowed to use the limited public forum. Rather, they are the users of the forum with the First Amendment freedom to decide whom to include in the free expression activities. An invitation extended to a non-affiliated person under Section .04 does not imply approval or endorsement by the University of the views expressed by the non-affiliated person.

A person invited by a student organization or faculty member is subject to the same University campus/institute rules on the use of University property as are student organizations and faculty members. The student organization or faculty member who extended the invitation is responsible for informing the guest about University rules.

- **Section .05** provides that a person not affiliated with the University may be invited by a University unit to participate in free expression activities in connection with an official activity of the unit (for example, a lecture, presentation, debate, panel, or symposium) if the head of a University unit determines that the person's participation in the activity would advance one or more of the University's principal missions of teaching, research, and service.

- **Section .06** allows a person not affiliated with the University to use certain streets and sidewalks owned by the University for free expression activities.
  
- **Section .07** allows a person not affiliated with the University to use University property for the following free expression activities:
  1. Communicating a message on “The Rock” at the University of Tennessee, Knoxville;
  
  2. Private conversations, gesturing, operating a vehicle displaying written expression, standing, or wearing expressive clothing, accessories, buttons, or stickers (if the person is authorized to use University property under the University’s rule titled “Use of University Property” which the Board of Trustees is considering contemporaneously with this rule);
  
  3. Free expression activities germane to an activity or event open to attendance by persons not affiliated with the University, such as an athletic contest or concert (e.g., cheering at a football game, singing at a concert); and
  
  4. Free expression activities permitted under the terms of a lease agreement with the University.
  
- **Section .08** establishes reasonable regulations of the time, place, and manner of free expression activities permitted under other sections of the rule. These regulations serve such purposes as preventing substantial disruption of the advancement of the University’s missions; preventing the disruption of the use of University property by the University community; preventing the use of University property contrary to law or University policies; and protecting the health, safety, and welfare of persons the University community. For example, a person permitted to use University property for free expression activities is not allowed to block pedestrian traffic; block an entrance to a building; violate the law; disrupt a University activity; or damage the property.

**RULES  
OF  
THE UNIVERSITY OF TENNESSEE**

**CHAPTER 1720-1-12  
USE OF UNIVERSITY PROPERTY BY NON-AFFILIATED PERSONS  
FOR FREE EXPRESSION ACTIVITIES**

6

**1720-1-12-.01 PURPOSE AND APPLICATION OF THIS CHAPTER.** The purpose of this Chapter is to provide a uniform basis on which the University of Tennessee will regulate the use of University property by non-affiliated persons for free expression activities through reasonable, viewpoint neutral regulations consistent with and in furtherance of the University’s principal missions of teaching, research, and service. To the extent of any conflict between this Chapter and Chapter 1720-1-2 (Use of University Property), Chapter 1720-1-8 (Assembly Policy), or Chapter 1720-1-7 (Solicitation on University Property), this Chapter shall control. This Chapter supersedes and replaces the “Speaker Policy” adopted by the University of Tennessee Board of Trustees on June 19, 1969.

**1720-1-12-.02 DEFINITIONS.**

- (1) The term “academic freedom” means the academic freedom of a University faculty member described in the University of Tennessee Board of Trustees’ Policies Governing Academic Freedom, Responsibility, and Tenure.
- (2) The term “designated public forum” means property that has not traditionally been regarded as open to free expression activities but which has been intentionally opened by the University for the purpose of free expression activities by members of the general public.
- (3) The term “free expression activities” means expression and/or assemblies protected by the First Amendment, including, but not limited to, picketing, distributing printed materials, public speaking, demonstrations, rallies, vigils, parades, and marches.
- (4) The term “limited public forum” means property that has not traditionally been regarded as open to free expression activities but which has been intentionally opened by the University for the purpose of free expression activities by certain groups or opened by the University for the purpose of free expression activities that are dedicated solely to the discussion of certain subjects.
- (5) The term “non-affiliated person” means any person or entity who is not a University unit, student, student organization, employee, or volunteer.
- (6) The term “nonpublic forum” means property that is not by tradition or University designation a forum for free expression activities.
- (7) The term “printed materials” means publications, handbills, posters, leaflets, petitions, fliers and all other types of written matter.



- (8) The term “public speaking” means:
  - (a) orally and audibly expressing;
  - (b) a message, idea, opinion, concept, principle, or belief;
  - (c) to one or more other persons;
  - (d) in public; and
  - (e) in a manner other than through a private conversation.
- (9) The term “student organization” means a student organization registered with the University in accordance with University rules.
- (10) The term “traditional public forum” means property that by tradition or by government fiat is open to assembly and debate by members of the general public, such as city streets, sidewalks, and parks.
- (11) The term “University” means the campuses, centers, and institutes of the University of Tennessee, and all their constituent parts, and the University of Tennessee system administration.
- (12) The term “University unit” means any academic, administrative, or auxiliary department or division of the University or any other official entity of the University, functioning through University employees acting within the scope of their University employment.
- (13) The term “University property” means all land, grounds, structures, and any other physical property owned, controlled, or operated by the University.

**1720-1-12-.03 GENERAL RULES.**

- (1) The University’s property is dedicated to the advancement of the University’s principal missions of teaching, research, and service. The University’s property is not a traditional public forum or a designated public forum and thus is not open for use by non-affiliated persons, either by tradition or by University policy, for free expression activities, except as otherwise expressly provided in this Chapter. Rather, with the exception of the streets and sidewalks described in Section .06, University property consists of a variety of limited public forums and nonpublic forums.
- (2) Free expression activities permitted by this Chapter are subject to the time, place, and manner restrictions in Section .08.

**1720-1-12-.04 NON-AFFILIATED PERSONS INVITED TO PARTICIPATE IN THE FREE EXPRESSION ACTIVITIES OF STUDENT ORGANIZATIONS AND FACULTY MEMBERS USING LIMITED PUBLIC FORUMS.**

- (1) The University has opened many of its outdoor spaces and indoor facilities as limited public forums for use by students and by faculty members exercising academic freedom. In accordance with well-established First Amendment law, the University does not regulate these free expression activities on the basis of viewpoint.
- (2) A student organization using a University limited public forum may invite a non-affiliated person to participate in the student organization's free expression activities, subject to the terms of the invitation and subject to the applicable campus/institute policy on the use of University property by student organizations, which shall control in the event of a conflict between that policy and this Chapter. The student organization that invites the non-affiliated person shall be responsible for ensuring that the non-affiliated person is knowledgeable about the restrictions in this Chapter and the applicable campus/institute policy on the use of University property by student organizations.
- (3) A faculty member using a University limited public forum in the exercise of his or her academic freedom may invite a non-affiliated person to participate in the faculty member's free expression activities, subject to the terms of the invitation and subject to the applicable campus/institute policy on the use of University property by employees, which shall control in the event of a conflict between that policy and this Chapter. The faculty member who invites the non-affiliated person shall be responsible for ensuring that the non-affiliated person is knowledgeable about the restrictions in this Chapter and the applicable campus/institute policy on the use of University property by employees.
- (4) A non-affiliated person invited pursuant to this Section .04 is not a guest of the University. Rather, the non-affiliated person is a guest of the student organization or faculty member who is using the University's limited public forum.
- (5) A student organization or faculty member deciding whom to invite or not invite as a participant in free expression activities in a University limited public forum pursuant to this Section .04 does not exercise the governmental authority of the University or the State of Tennessee (i.e., the student organization or faculty member is not acting as a governmental official deciding who is allowed to use a limited public forum). Rather, the student organization or faculty member is the user of the forum, with First Amendment rights to decide whom to include in the free expression activities. An invitation extended to a non-affiliated person by a student organization or faculty member under this Section .04 shall not be construed to imply approval or endorsement by the University of the views expressed by the non-affiliated person.
- (6) The participation of a non-affiliated person in free expression activities under this Section .04 is by invitation initiated by a student organization or faculty member. Nothing in this Chapter shall be construed to grant a non-affiliated person a right to solicit such an invitation from a student organization or faculty member or require a student organization or faculty member to respond to such a solicitation from a non-affiliated person.

**1720-1-12-.05 NON-AFFILIATED PERSONS INVITED TO PARTICIPATE IN FREE EXPRESSION ACTIVITIES IN CONNECTION WITH AN OFFICIAL ACTIVITY OF A UNIVERSITY UNIT.**

- (1) A University unit may invite a non-affiliated person to participate in free expression activities in connection with an official activity of the University unit (e.g., lecture, presentation, debate, panel, symposium) if the head of the University unit determines that the non-affiliated person’s participation would advance one or more of the University’s principal missions of teaching, research, and service. In making such a determination, the head of the University unit is deciding how to use University property to advance the University’s mission. That decision is government speech, which is not subject to the restrictions of the First Amendment’s Free Speech Clause.
- (2) The participation of a non-affiliated person in free expression activities under this Section .05 is by invitation initiated by a University unit. Nothing in this Chapter shall be construed to grant non-affiliated persons a right to solicit such an invitation or to require a University unit to respond to such a solicitation from a non-affiliated person.

**1720-1-12-.06 UNIVERSITY STREETS AND SIDEWALKS.**

- (1) The following University property may be used by a non-affiliated person for free expression activities:
  - (a) A street owned or controlled by the University;
  - (b) A sidewalk owned or controlled by the University that runs parallel to a street owned or controlled by the University; or
  - (c) A sidewalk owned or controlled by the University that runs parallel to a street owned or controlled by a municipality, county, or the State of Tennessee.
- (2) Section .06(1) does not include: University access or service roads (i.e., roads with the primary function of providing for the movement of vehicular traffic between a street and a University facility or parking lot); parking lots; ramps; alleys; mass transit loading zones or waiting areas; driveways; or any property with the primary function of providing for the movement of pedestrian traffic, such as sidewalks not described in Section .06(1), pedestrian malls, pedestrian bridges, greenways, and trails.
- (3) This Chapter does not apply to streets, sidewalks, or other traditional or designated public forums owned by a municipality, county, or the State of Tennessee, the uses of which are subject to compliance with federal, state, or local law, rule, regulation, or ordinance.
- (4) For purposes of this Section .06, the term “State of Tennessee” does not include the University.

**1720-1-12-.07 OTHER FREE EXPRESSION ACTIVITIES.**

- (1) Subject to the time, place, and manner restrictions in Section .08, a non-affiliated person may communicate a message on “The Rock” at the University of Tennessee, Knoxville.
- (2) Subject to the time, place, and manner restrictions in Section .08, nothing in this Chapter

shall be construed to prohibit a non-affiliated person who is engaged in a use of University property permitted under Chapter 1720-1-2 (Use of University Property) from engaging in free expression activities such as a private conversation, gesturing, operating a vehicle displaying written expression, standing, or wearing expressive clothing, accessories, buttons, or stickers.

- (3) Certain University activities and events are open to attendance by non-affiliated persons at a designated place and time, such as athletic contests, plays, lectures, and concerts. Subject to the time, place, and manner restrictions in Section .08, nothing in this Chapter shall be construed to prohibit a non-affiliated person from attending and participating in such an activity or event and participating in free expression activities germane to the activity or event (e.g., cheering at a football game, singing at a concert).
- (4) The University may designate certain University property as available for lease to non-affiliated persons for free expression activities under standard terms and conditions and subject to the time, place, and manner restrictions in Section .08. In the event of any inconsistency between this Chapter and the terms of a lease agreement between the University and a non-affiliated person, the terms of the lease agreement shall control over this Chapter.

#### **1720-1-12-.08 TIME, PLACE, AND MANNER RESTRICTIONS.**

- (1) The University will regulate the time, place, and manner of free expression activities in order to prevent substantial disruption of the advancement of the University's teaching, research, or service missions; prevent substantial disruption of normal or scheduled uses of University property by persons affiliated with the University; facilitate traffic on University property; preserve residential tranquility for students; preserve an atmosphere conducive to learning; preserve University property and prevent the use of University property contrary to law or University policies; and protect the health, safety, and welfare of persons affiliated with the University.
- (2) A non-affiliated person using University property shall not:
  - (a) block or substantially impede vehicular, bicycle, pedestrian, or other traffic, as the right of way of streets, sidewalks, and pedestrian malls must be maintained;
  - (b) block or substantially impede entrances or exits to University property;
  - (c) substantially disrupt or interfere with University operations, events, or activities;
  - (d) substantially disrupt or interfere with the ability of a student to sleep or study in a University residence hall between the hours of 10:00 p.m. and 6:00 a.m. during an academic term, or the ability of a student to study in a University library;
  - (e) violate a federal, state, or local law, rule, regulation, or ordinance;
  - (f) engage in speech that is obscene; is defamatory; consists of fighting words; communicates an objectively serious expression of intent to commit an act of unlawful violence to a particular individual or group; or is directed to inciting or producing imminent lawless action and is likely to incite or produce such action;

- (g) engage in camping in violation of Tennessee law, the Equal Access to Public Property Act of 2012, unless the area on which camping occurs has been specifically designated by the University as available for camping;
  - (h) unreasonably threaten the health or safety of another person; or
  - (i) damage or deface University property, including, but not limited to, grass, shrubs, trees, or other landscaping.
- (3) A non-affiliated person permitted to distribute printed materials under this Chapter shall refrain from littering and may be held responsible for costs incurred as a result of littering.
- (4) A non-affiliated person shall not place any signs, banners, posters, or other displays on or against, attach them to, or write on any structure or natural feature of University property, including, but not limited to, doors, buildings, windows, walls, the surface of walkways or roads, fountains, utility poles, lampposts, waste receptacles, trees, street signs, ash urns, benches, bus stops, University-owned signage, emergency phones, railings, newsstands, and utility boxes. Nor may any chalk, paint, or permanent markings be placed on or against, attached to, or written on such structures or natural features. Signs, banners, posters, and other displays causing ground penetration are prohibited. This Section .08(4) shall not apply to “The Rock” at the University of Tennessee, Knoxville.
- (5) A non-affiliated person shall not place printed materials on motor vehicles parked on University property.

## **SPEAKER POLICY FOR THE UNIVERSITY OF TENNESSEE**

**Adopted by  
The University of Tennessee Board of Trustees  
June 19, 1969**

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The University of Tennessee considers freedom of inquiry and discussion essential to educational development and recognizes the right of students to engage in discussion, exchange thought and opinion, and speak freely on any subject in accord with guarantees of our state and national Constitutions. Additionally the University endeavors to develop in students a realization that citizens not only have the right but the obligation to inform themselves regarding issues and problems of the day, to formulate stands regarding these, and to give expression to their views. In discharging these rights and obligations, however, students must also recognize their responsibilities to other individuals, to the University, and to the state and nation. The University of Tennessee takes pride in the fact that its campus is open to free discussion and examination of views with the condition that such discussion be accompanied by peaceful methods and under peaceful conditions consistent with the scholarly nature of an academic community.

To these ends, recognized student organizations on campus may freely select, without prior restraints, persons they wish to invite as guest speakers for their programs. There are no restrictions to control the point of view expressed by speakers other than those imposed by local, state, and national laws. Any person sponsored by a recognized campus organization is free to speak, but this openness of forum does not release speakers and sponsors from accountability to campus and civil authorities under University regulations, local, state, and national laws; and does not countenance disruption of the University, injury to person or property, obscene or indecent behavior, or incitement to riot as defined by these regulations. The sponsoring organization shall be responsible for informing its guest speakers of these restrictions and advising them that violation of law may result in arrest and prosecution by appropriate authorities (and violation of University regulations may result in termination of the program). Granting of an invitation to a speaker does not imply approval or sponsorship of his views by the University.

Any student group inviting a speaker must register with the appropriate campus office the name of the speaker, the date and time of his appearance, and such pertinent information as will facilitate adequate physical preparations and adequate publicity for the event. Officers and program chairmen of all recognized organizations are advised that reasonable notice will be necessary to handle requests for facilities and security.

The criterion for a negative decision will be a demonstrable inability to make such physical arrangements; the events-scheduling procedure will not be used as a



device for prior restraint of speakers. When a negative decision on a particular speaker must be made, the sponsoring organization is free to seek a more suitable date. It shall be the responsibility of the appropriate campus agency to consider and dispose of procedural complaints.

The representative of the organization inviting the speaker shall at the time of the invitation provide the speaker with a copy of the University speaker policy and campus regulations.

In a situation attended by strong emotional feeling, or where there is a past history of violence, obscenity or indecency associated with a speaker selected by a recognized student organization, the appropriate campus agency, after a finding that such a situation or history exists, shall prescribe conditions for the orderly and scholarly conduct of the speaking event. These conditions may include limiting the audience to the inviting organization's membership or to members of the University's academic community, appointing an experienced senior professor to preside over the meeting, requiring a statement from the officers of the sponsoring organization certifying that they have discussed the appearance of the speaker with the senior student affairs officer, authorizing a search of all persons entering the arena of the speech, and such other conditions as the agency deems advisable.

If there appears to be a reasonable possibility that a speaker may violate the law during his presentation, or if a situation is attended by strong emotional feeling, a ranking Student Affairs Officer should attend the meeting and direct action in the event a violation occurs. The University's General Counsel or Assistant General Counsel should be consulted to render legal advice to the Student Affairs Officer.

It is recognized that in the area of speaker policy as in other areas, the administration has no legal power to delegate its basic authority and control over the University to any other person or group. In that connection it is possible that a situation might arise in which the above described speaker policy might have to be suspended and replaced with such action as seems needed and in accord with state and federal constitutional principles as applied to the concrete situation presented. Students representing various points of view, when exercising the privilege to invite outside speakers to the campus, are expected to act as a responsible part of the University community and to exercise this privilege with discretion. In that connection, the speaker's policy is not to be interpreted to concede any absolute autonomy to the student sector if a tense situation arises which clearly involves matters of proper concern to the academic community as a whole.

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

MINUTES OF THE FALL MEETING  
October 18, 2013  
Knoxville, Tennessee

The Fall Meeting of The University of Tennessee Board of Trustees was held at 1:30 p.m. EDT, Friday, October 18, 2013, in the Hollingsworth Auditorium on the campus of The University of Tennessee Institute of Agriculture in Knoxville, Tennessee.

**I. CALL TO ORDER AND INVOCATION**

Trustee J. Brian Ferguson, Vice Chair of the Board, called the meeting to order. Father Stephen Free, Campus Pastor with Orthodox Christian Fellowship, offered the invocation.

**II. ROLL CALL**

Secretary Catherine S. Mizell called the roll, and the following members were present:

J. Brian Ferguson, Vice Chair  
Charles C. Anderson, Jr.  
Joseph A. DiPietro  
Spruell Driver, Jr.  
John N. Foy  
D. Crawford Gallimore  
Vicky B. Gregg  
Monice Moore Hagler  
Raja J. Jubran  
Brad A. Lampley  
Bonnie E. Lynch  
James L. Murphy, III  
Sharon Miller Pryse  
Richard G. Rhoda  
Karl A. Schledwitz  
Shalin N. Shah  
Don C. Stansberry, Jr.  
Victoria S. Steinberg  
Betty Ann Tanner  
Charles E. Wharton  
Tommy G. Whittaker  
Thaddeus A. Wilson

The Secretary announced the presence of a quorum. Governor Haslam, Commissioners Huffman and Johnson, and Mr. Cates were unable to attend the meeting. Members of the administrative staff and media representatives were present. The meeting was also webcast for the convenience of the University community, the general public, and the media.

### III. INTRODUCTIONS

Vice Chair Ferguson welcomed Emeriti Trustees Anne Blackburn and Doug Horne. He then introduced new Trustees Brad Lampley and Sharon Pryse and presented each with a Trustee lapel pin.

### IV. ADOPTION OF HONORARY RESOLUTIONS

The Vice Chair recognized Trustee Tanner, who presented the Resolution honoring Anne Holt Blackburn for her service (Exhibit 1). Trustee Tanner moved adoption of the Resolution, Trustee Driver seconded the motion, and the Resolution was adopted unanimously. Trustee Tanner presented Mrs. Blackburn with a copy of the Resolution and a framed photograph of the Board of Trustees.

In accepting the Resolution, Mrs. Blackburn shared her story of humble beginnings and how The University of Tennessee has made dreams come true for three generations in her family. She challenged the Trustees to break the iron triangle of cost, quality, and access to higher education and to remember that affordable education changes lives.

The Vice Chair next recognized Trustee Schledwitz, who presented the Resolution honoring Doug Horne for his service (Exhibit 2). Trustee Schledwitz moved adoption of the Resolution, Trustee Stansberry seconded the motion, and the Resolution was adopted unanimously. Trustee Schledwitz presented Mr. Horne with a copy of the Resolution and a framed photograph of the Board of Trustees.

In accepting the Resolution, Mr. Horne encouraged Trustees to speak their mind and continue moving the University forward. He thanked faculty, staff, and students, as well as President DiPietro and the administrative staff for the privilege of working together.

### V. PRESIDENT'S REPORT

President DiPietro presented a report on the status of implementing the Strategic Plan (Exhibit 3). A summary of the report follows:

Enhancing Educational Excellence. The implementation team is reinforcing retention rate initiatives and looking forward to receiving action plans from the September workshop at the Winter Meeting. Securing funding to increase professional advising is an important goal. New facilities are improving the education experience on all campuses.

Expanding Research Capacities. The System Research Committee analyzed overlapping opportunities and ways each unit can help focus the overall growth of research to develop a system-wide research plan. The UT Research Foundation budget has stabilized. Staff resources have been increased to assist commercialization, a strategic plan is in place, and President Dave Washburn has UTRF headed in the right direction. A system-wide Industry Advisory Council was recommended initially, but after further consideration, it was determined that this function should be at the campus level. A spike in invention disclosures for the Institute of Agriculture in 2011-12 was due to contractual disclosures from one faculty member and reporting joint disclosures with ORNL, which have been resolved. UTRF has recently honored faculty of UT Knoxville, UTIA, UTSL, UTHSC, and the Graduate School of Medicine for patents or technology licenses.

Fostering Outreach and Engagement. The implementation team has established parameters for each campus and institute and has held training sessions for faculty and staff on use of the data depository. The drop in non-credit programming participants 2011-12 was due to a staffing reduction. Equine and large animal hospitals are open after renovation and expansion, improving the clinical experience for veterinary medicine students and benefitting animal owners across the state. The Tennessee Government Executive Institute is celebrating 30 years of connecting UT with industry and government. The UT Health Science Center is expanding its relationship with Saint Thomas Health in Nashville, phasing in accreditation for internal medicine, emergency medicine, family medicine, surgery, and obstetrics and gynecology.

Ensuring Effectiveness and Efficiency. The implementation team continues to look at cost-saving measures. The Treasurer's Office has recently changed to a system that allows payment to vendors by direct deposit. Based on FY12 checks written, savings would be \$425,000. Knoxville, Chattanooga, and Martin are all below their peer groups in mandatory tuition and fees.

Advocating for The University of Tennessee System. Vice President Tonja Johnson has demonstrated an ability to raise awareness and engagement with the University in her first three months. The upcoming budget hearing with the Governor will provide an opportunity to discuss retention and graduation initiatives, cost of living increases, funding for non-formula units, an approach to closing the market gap for employees, capital outlay and capital maintenance, and the supercomputing re-compete. The UT Alumni Association continues to advocate for the University, especially through the tireless efforts of its current President Jennifer Stanley and former Presidents Kim Cross and Debbie Ingram. Le Bonheur Children's Hospital, one of the Health Science Center's affiliated hospitals, has been ranked Best Children's Hospital by *U.S. News & World Report* for the third consecutive year; UT Chattanooga was named to the 2013 President's Higher Education Community Service Honor Roll for connection with the City of Chattanooga to advance programs; UT Martin is a Best Value College in the Southeast by *The Princeton Review*; and UT Knoxville has been recognized by *The Chronicle of Higher Education* as having the 36<sup>th</sup> best year in fundraising among public and private institutions.

The President closed by expressing the continued renewal of hope which he sees in the students we have the privilege and honor of serving at The University of Tennessee.

#### **VI. CHANCELLOR CHEEK'S REPORT ON UT KNOXVILLE'S TOP-25 INITIATIVE**

Chancellor Cheek presented a progress report on UT Knoxville's Rise to the Top 25 (Exhibit 4). Dr. Cheek was joined by Dr. Hap McSween, 2013 SEC Teacher of the Year; Diane Tate, a student with a double major in Communications and Political Science; and Adam Roddy, a 2013 Torchbearer and now a first-year student in the College of Law. They discussed the impact of the journey to become a Top 25 public institution, including advancements in facilities, morale, recruitment, and student services.

#### **VII. THE STATE OF TENNESSEE'S ECONOMY AND FISCAL CONDITIONS**

Dr. William F. Fox, Director of the Center for Business and Economic Research, reported on the State of Tennessee's economy and fiscal conditions (Exhibit 5). He briefly reviewed the national economic outlook including growth in GDP, federal deficit, personal consumption, investment growth, interest rates, and inflation. Dr. Fox compared Tennessee's rate of employment growth and unemployment rate to the national rates. Next, he presented his view of the fiscal outlook for the State of Tennessee. As a share of the economy, taxes are down; tax revenue is historically low. Revenue is not growing at a pace that will allow the

state to fund all programs at the current rate. Internet sales tax revenue could help some, but firms with less than a million dollars internet sales are not required to collect the tax.

Dr. Fox informed the Trustees that he had been working with THEC to identify ways in which higher education can contribute to the state's economic growth. The number of degrees needed to meet the Governor's Drive to 55 initiative has been estimated, and Dr. Fox emphasized the importance of reaching that goal for Tennessee to be a more value-added state.

### VIII. CONSENT AGENDA

The Vice Chair directed the Board's attention to the Consent Agenda and called for any requests to remove items from the Consent Agenda. Hearing none, the Vice Chair called for a motion to approve the Consent Agenda, consisting of the following items:

- A. Minutes of the Last Meeting
- B. Ratification of Vice Chair's Appointment of Standing Committees, Committee Chairs, and Trustee Members of the Athletics Board (Exhibit 6)
- C. Real Property Transactions (Exhibit 7)
- D. Closure of Glocker Renovation Quasi-Endowment (Exhibit 8)
- E. FY 2014-15 Operating Budget Appropriations Request for Non-Formula Units (Exhibit 9)
- F. FY 2014-15 Capital Outlay and Capital Maintenance Projects (Exhibit 10)
- G. FY 2014-15 Revenue/Institutionally Funded Projects (Exhibit 11)
- H. FY 2013 Annual Flight Operations Report (Exhibit 12)
- I. Honorary Doctor of Science and Letters in Ecology and Evolutionary Biology, UT Knoxville (Exhibit 13)
- J. Annual Report to the General Assembly (Exhibit 14)
- K. Revised Dates for the 2014 Fall Meeting of the Board of Trustees (Exhibit 15)



Trustee Murphy moved approval of the Consent Agenda; the motion was seconded and carried unanimously.

## **IX. REPORT OF THE AUDIT COMMITTEE**

The Audit Committee held a meeting on August 12, 2013, and Committee Chair Gallimore highlighted some of the issues addressed at that meeting and ongoing work of the Internal Audit Department:

### **Academic Advising Audit**

The audit was completed and the reports were included in materials for the summer workshop.

### **Endowment Compliance Audit**

The objective of the audit was to determine if UT Knoxville awarded scholarship funds in accordance with donor stipulations. While some inconsistency was found in the use of selection committees, auditors found that over 97 percent of scholarship recipients tested met the qualifications outlined by the donors. During the planning of the engagement, auditors learned of monitoring done by the Vice Chancellor of Finance and Administration's office to help ensure that funds are used appropriately.

### **External IT Audit**

The firm BerryDunn is conducting an IT Security Assessment. The purpose of the work is to have an independent review of the information security program and to identify gaps that may put the University at risk. The deliverables will include a written summary of findings and concerns, including a plan that prioritizes the corrective actions the University should use to improve its information security program. The Audit Committee will receive the report at the December 18 meeting in Nashville.

## **XIII. ANNOUNCEMENTS**

The Vice Chair announced upcoming meetings of the Board and various committees. He thanked Chancellor Cheek for hosting the reception and dinner and the staff for coordinating the meeting logistics.

**XIV. ADJOURNMENT**

With no further business to come before the Board, the meeting was adjourned.

Respectfully Submitted,

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Catherine S. Mizell, Secretary

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Finance and Administration

CAMPUS/INSTITUTE: UT Knoxville

ITEM: **UT Knoxville Gas Line Easement for Steam Plant**

RECOMMENDATION: Approval

PRESENTED BY: Charles M. Peccolo, Treasurer and Chief Financial Officer

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Knoxville Utilities Board (KUB) is constructing a new gas distribution main to serve The University of Tennessee, Knoxville and facilitate conversion of the University's coal-fired steam plant to a natural gas based facility. The conversion is mandated by the EPA and will reduce the University's carbon footprint and be pivotal in becoming a leader in sustainability and clean energy.

Once the design is finalized, approximately 11.2+/- acres will become a permanent joint utility easement and approximately 30.2+/- acres will be necessary for a temporary construction easement. The irregularly shaped easements will authorize KUB to enter upon, construct, operate, repair and maintain utilities within the defined area. The University reserves the right to relocate the easements in the future at the expense of the University.

The line will provide gas service to University property, and no further consideration is requested by the University. Upon approval by the Board of Trustees, the University will seek all required state government approvals.



THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Finance and Administration

CAMPUS/INSTITUTE: UT Health Science Center

ITEM: Acquisition of 885 Madison Avenue

RECOMMENDATION: Approval

PRESENTED BY: Charles M. Peccolo, Treasurer and Chief Financial Officer

The University of Tennessee Health Science Center seeks approval to acquire property that contains a total gross land area of approximately 5.50+/- acres and improvements located at 885 Madison Avenue in Memphis, Tennessee (see attached map).

The property is located in the core of the campus. It is improved with a pedestrian plaza and a truck court that contains approximately 38,000+/- square feet. This property is currently programmed to be the location for a future research incubator facility.

The University administration requests approval to:

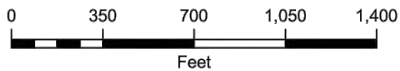
1. acquire the property located at 885 Madison Avenue in Memphis, Tennessee at a purchase price equal to or less than the appraised value; and
2. revise the Health Science Center's Master Plan to include these properties.

Upon approval by the Board of Trustees, the administration will seek all necessary state government approvals.

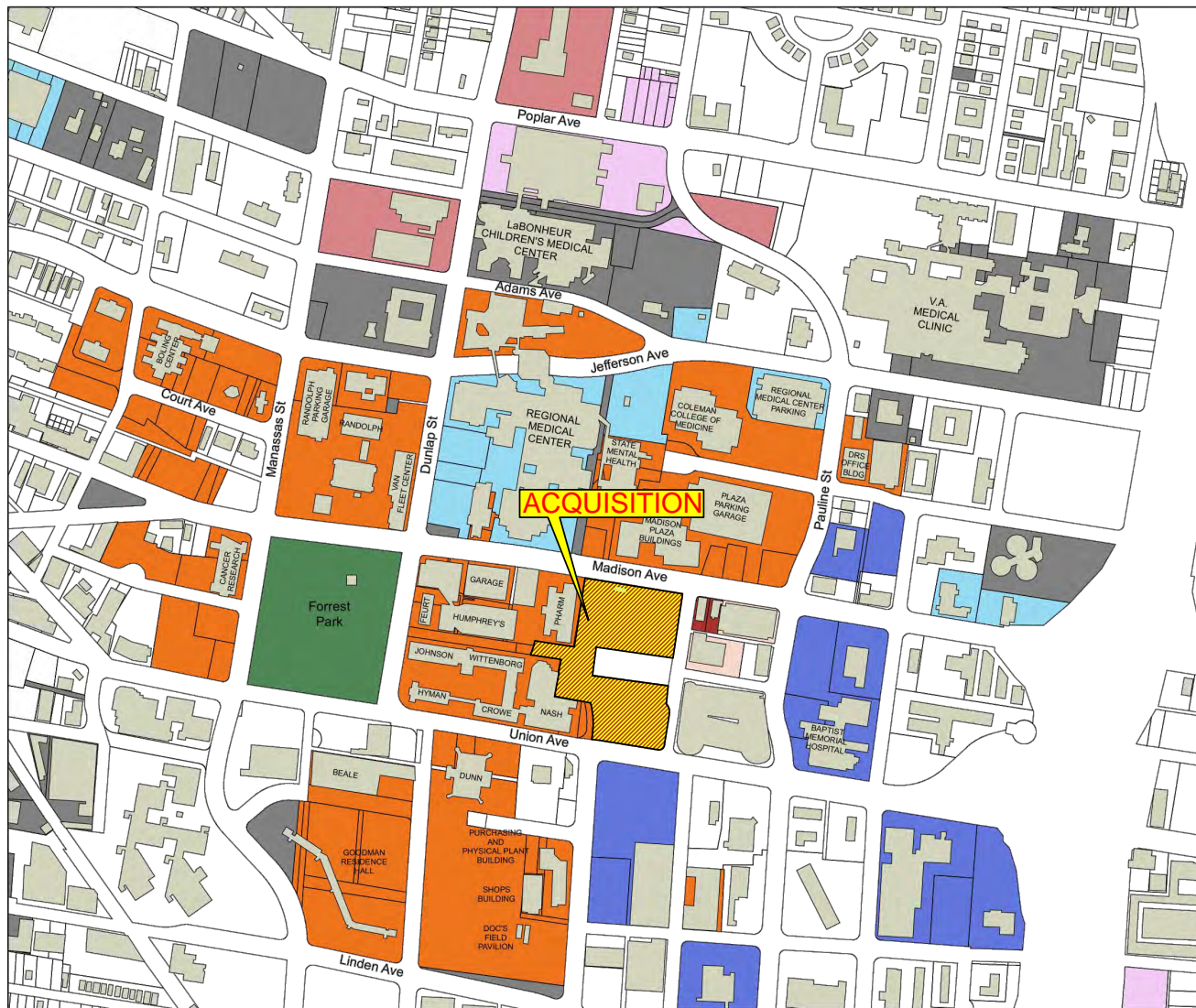
# The UT Memphis Health Science Center



- Baptist Hospital
- State/University Owned
- Forrest Park
- City of Memphis
- LeBonheur
- Memphis Bioworks
- Shelby County
- Methodist Healthcare
- Memphis Biotech Foundation



**Disclaimers:**  
 - Parcel geometry current 1/1/2012  
 - Ownership data current 4/1/2012  
 - Data provided by Shelby County ReGIS





THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Finance and Administration

CAMPUS/INSTITUTE: UT Health Science Center

ITEM: Acquisition of 239 Dr. M. L. King Avenue

RECOMMENDATION: Approval

PRESENTED BY: Charles M. Peccolo, Treasurer and Chief Financial Officer

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The University of Tennessee Health Science Center seeks approval to acquire properties that contains a total gross land area of approximately 2.19+/- acres and building improvements located at 239 Dr. M.L. King Avenue in Memphis, Tennessee (see attached map).

The properties are located on the southern central edge of campus. They are improved with a storage/warehouse facility that contains approximately 31,000+/- square feet. The warehouse was constructed in approximately 1948. This facility is currently identified for development of the Good Manufacturing Process Facility (College of Pharmacy) that will be funded from a Plough Foundation grant and institutional funds.

The University administration requests approval to:

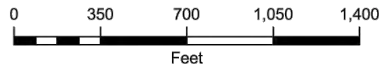
1. acquire the properties located at 239 Dr. M.L. King Avenue in Memphis, Tennessee at a purchase price equal to or less than the appraised value; and
2. revise the Health Science Center's Master Plan to include these properties.

Upon approval by the Board of Trustees, the administration will seek all necessary state government approvals.

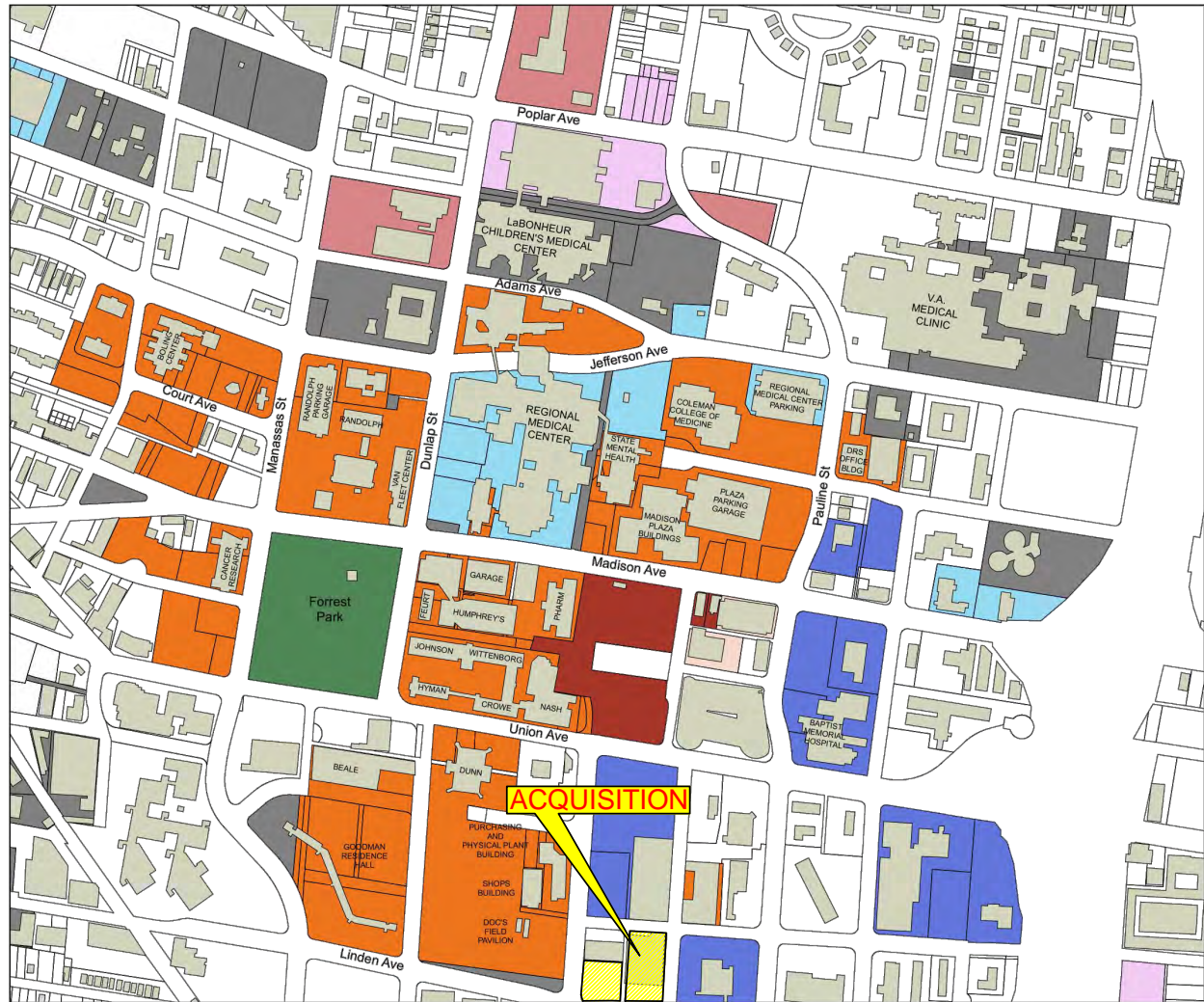
# The UT Memphis Health Science Center



- Baptist Hospital
- State/University Owned
- Forrest Park
- City of Memphis
- LeBonheur
- Memphis Bioworks
- Shelby County
- Methodist Healthcare
- Memphis Biotech Foundation



**Disclaimers:**  
 - Parcel geometry current 1/1/2012  
 - Ownership data current 4/1/2012  
 - Data provided by Shelby County ReGIS



THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Finance and Administration

CAMPUS/INSTITUTE: UT Health Science Center

ITEM: Acquisition of 964 Union Avenue

RECOMMENDATION: Approval

PRESENTED BY: Charles M. Peccolo, Treasurer and Chief Financial Officer

The University of Tennessee Health Science Center seeks approval to acquire properties that contain a total gross land area of approximately 2.69+/- acres and building improvements located at 0 and 964 Union Avenue in Memphis, Tennessee (see attached map).

The properties are located on the eastern central edge of the campus. They are improved with a parking garage/deck that contains approximately 268,000+/- square feet. The parking structure was constructed in approximately 1987. The urban location of the campus restricts available land for future development and expansion opportunities. The properties are close to the core of campus and are proposed to be used for campus parking.

The University administration requests approval to:

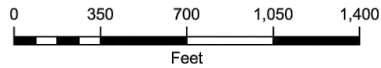
1. acquire the properties located at 0 and 964 Union Avenue in Memphis, Tennessee at a purchase price equal to or less than the appraised value; and
2. revise the Health Science Center's Master Plan to include these properties.

Upon approval by the Board of Trustees, the administration will seek all necessary state government approvals.

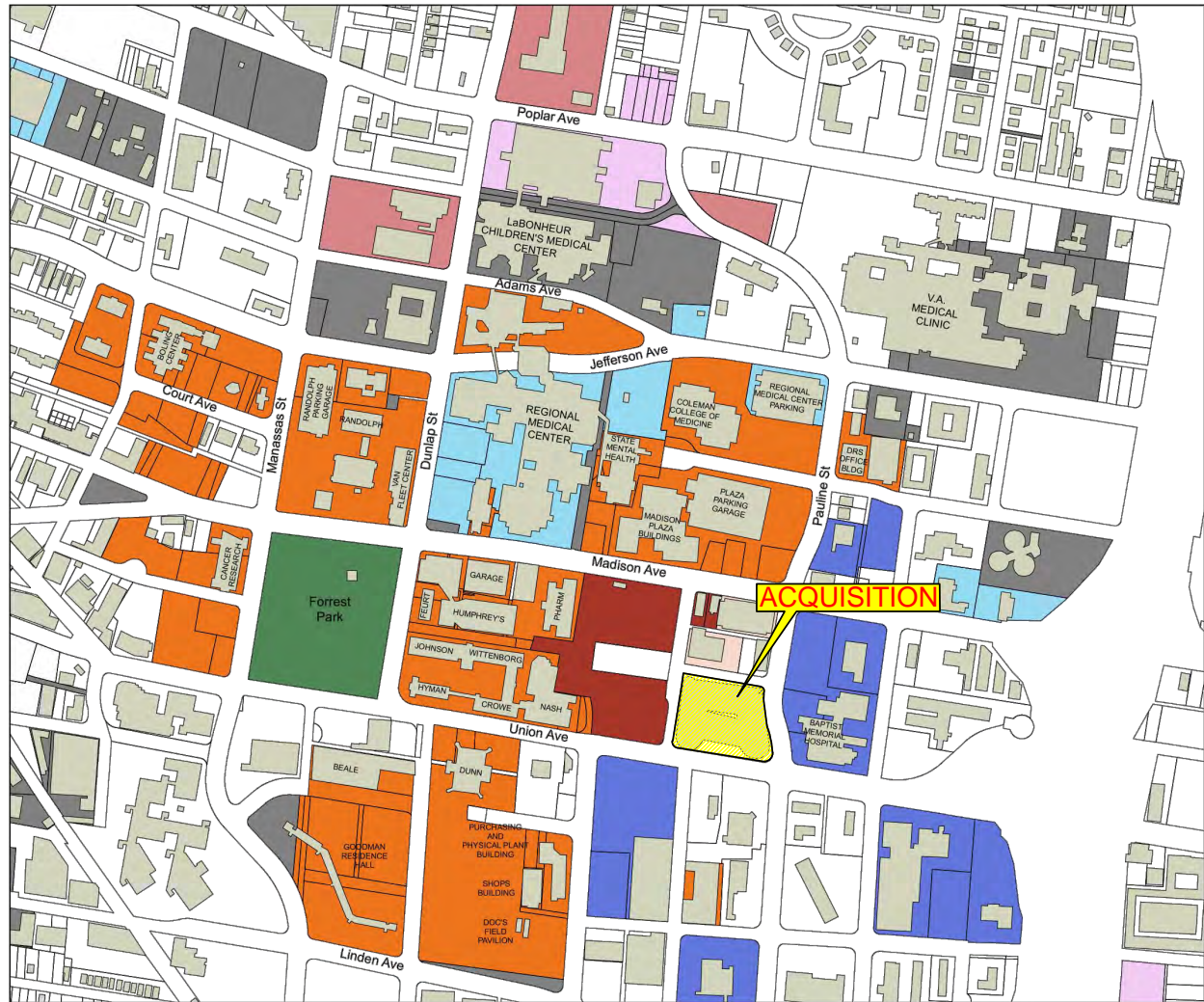
### The UT Memphis Health Science Center



- Baptist Hospital
- State/University Owned
- Forrest Park
- City of Memphis
- LeBonheur
- Memphis Bioworks
- Shelby County
- Methodist Healthcare
- Memphis Biotech Foundation



**Disclaimers:**  
 - Parcel geometry current 1/1/2012  
 - Ownership data current 4/1/2012  
 - Data provided by Shelby County ReGIS



THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Finance and Administration

CAMPUS/UNIT: All

ITEM: **FY 2014 Revised Operating Budget**

RECOMMENDATION: Approval

PRESENTED BY: Charles M. Peccolo, Treasurer and Chief Financial Officer

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The University of Tennessee budget requires revision each year to update revenue and expenditure projections. The FY 2014 revised budget takes into consideration final fall enrollments (estimated at the time the original budget is prepared), the effect of any prior year's activities carried forward into the current year, and adjustments in state appropriations occurring since the FY 2014 budget was prepared and approved in June 2013.

The complete revised budget is presented in a separate document following this memorandum. An overview with summary information regarding the principal revisions appears at the beginning of the document. It includes adjustments to allocate significant carry-overs from FY 2013 and minor revisions to budgeted revenues.

The FY 2014 Educational and General (E&G) and Auxiliary Enterprises revised budgets are balanced and within available resources. The Revised Budget complies with all applicable policies and guidelines. Therefore, the University administration recommends Board approval of the revised budget for FY 2014 as follows:

1. The FY 2014 Revised Budget is approved with the understanding that if the General Assembly or the Department of Finance and Administration further alter the FY 2014 appropriations or if changes in estimated resources require, the budgets shall be modified accordingly so expenditures will not exceed available resources.

2. The Board of Trustees authorizes the campus, institute, and unit administrations, in response to budget reductions or a budgetary shortfall, to implement mandatory furloughs without pay, reduction of time worked, across-the-board salary reductions, and similar salary-related measures during the remainder of FY 2014, subject to approval by the Executive and Compensation Committee, the President, and the Treasurer and Chief Financial Officer in consultation with the General Counsel and Human Resources.
3. Any remaining balance of Unrestricted Net Assets may be considered as a reserve for contingencies to be used for:
  - a) Employing additional staff where enrollments and reorganization requirements warrant;
  - b) Modifying departmental operating budgets where changing conditions during the year require funding adjustments;
  - c) Funding to make salary adjustments for personnel as may be necessary during the year in keeping with state and university salary guidelines;
  - d) Improving physical facilities for academic and research departments as opportunities arise;
  - e) Mandated cost increases; and
  - f) State impoundment of funds or appropriations rescission during the budget year.

A formal Resolution incorporating this recommendation follows the revised budget document.

**MOTION:**

**That the Resolution on the Revised FY 2014 Operating Budget be adopted.**

# FY 2013-2014 Revised Budget

February 26 – 27, 2014



# FY2013-2014 Revised Budget

## Significant Adjustments:

1. No significant changes in tuition or state appropriations
2. Carryovers from FY2013 added to FY2014 non-recurring expense budgets

## Unrestricted E&G Funds

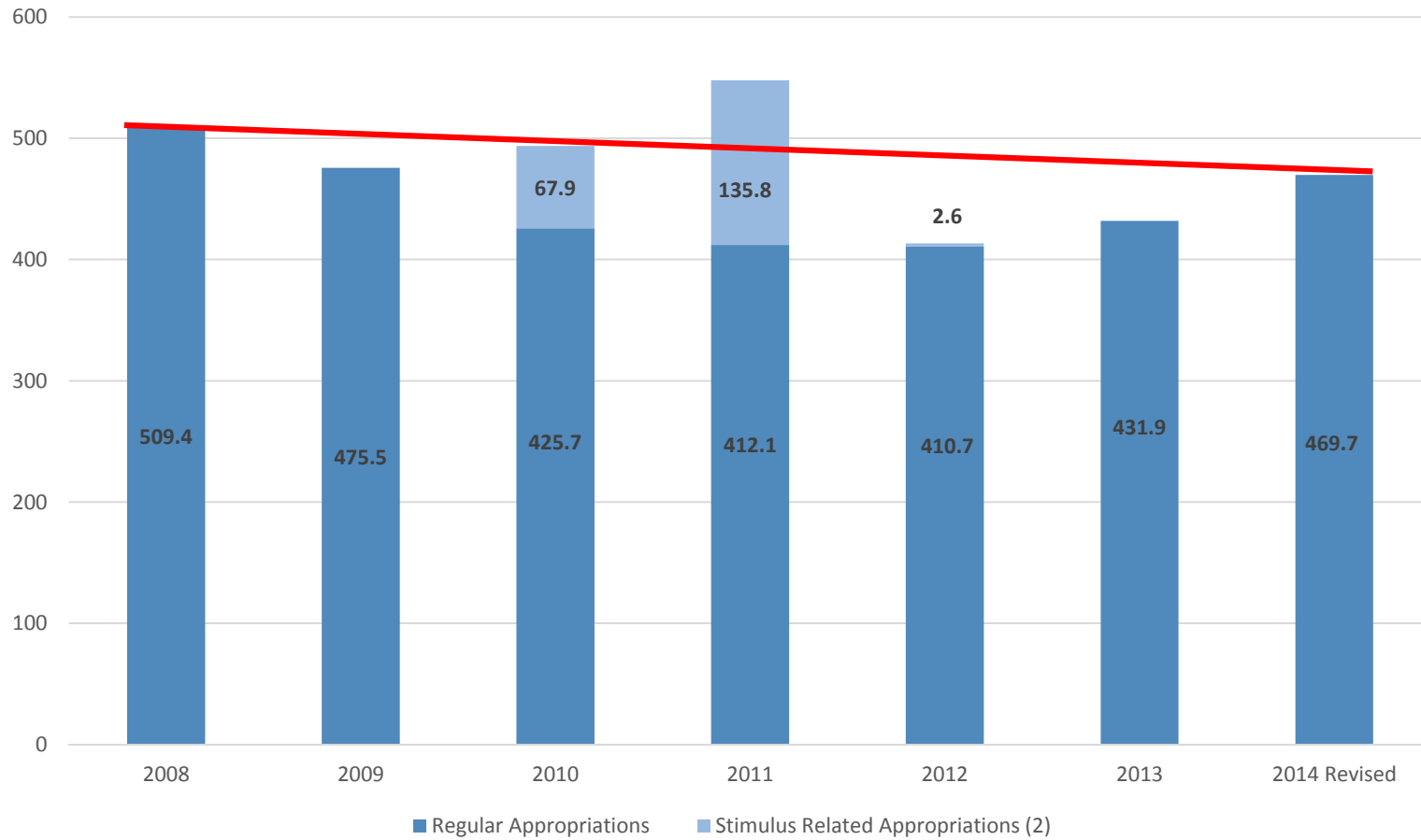
Fund Balance Summary (\$ Millions)	FY2014 Original Budget	FY2014 Revised Budget	Change from Original to Revised
Revenues	\$ 1,178.3	\$ 1,179.7	\$ 1.4
Recurring Expenditures	\$ 1,176.6	\$ 1,176.3	\$ (0.3)
Non-Recurring Expenditures	8.9	96.8	87.9
Transfers	<u>(3.5)</u>	<u>(41.4)</u>	<u>(37.9)</u>
<u>Total Expenditures &amp; Transfers</u>	<u>1,182.0</u>	<u>1,231.7</u>	<u>49.7</u>
<b>Fund Balance Addition/(Reduction)</b>	<b><u>\$ (3.7)</u></b>	<b><u>\$ (52.0)</u></b>	<b><u>\$ (48.3)</u></b>
Beginning Balance (July 1)	\$ 114.7	\$ 157.7	\$ 43.0
<u>Addition/(Reduction)</u>	<u>(3.7)</u>	<u>(52.0)</u>	<u>(48.3)</u>
<b><u>Ending Balance (June 30)</u></b>	<b><u>\$ 111.0</u></b>	<b><u>\$ 105.7</u></b>	<b><u>\$ (5.3)</u></b>

FY 2013-2014 Revised Budget

## Unrestricted E&G Fund Revenues

Unrestricted E&G Funds (millions)	FY2014 Original Budget	FY2014 Revised Budget	Change from Original to Revised
Tuition & Fees	\$ 565.3	\$ 565.9	\$ 0.6
State Appropriations	469.9	469.7	(0.2)
Other Revenues	143.1	144.1	1.0
<b>Total Revenues</b>	<b>\$ 1,178.3</b>	<b>\$ 1,179.7</b>	<b>\$ 1.4</b>
Beginning Balance (July 1)	114.7	157.7	43.0
<b>Available Funds</b>	<b>\$ 1,293.0</b>	<b>\$ 1,337.4</b>	<b>\$ 44.4</b>

## Unrestricted E&G Fund Revenues State Appropriations



FY 2013-2014 Revised Budget

## Unrestricted E&G Expenditures (Recurring Only)

Functional Area	FY2014 Original Budget (\$millions)	FY2014 Revised Budget (\$millions)	Change from FY2014 Original Budget	
Instruction	\$ 499.2	\$ 495.2	\$ (4.0)	(0.8)%
Research	68.0	70.7	2.7	4.0%
Public Service	70.9	70.9	0.0	0.0%
Academic Support	134.0	134.3	0.3	0.2%
Student Services	72.8	74.0	1.2	1.6%
Institutional Support	127.6	127.6	0.0	0.0%
Operation & Maintenance of Plant	128.0	127.5	(0.5)	(0.4)%
Scholarships/Fellowships	76.0	76.0	0.0	0.0%
<b>TOTAL</b>	<b>\$ 1,176.6</b>	<b>\$ 1,176.3</b>	<b>\$ (0.3)</b>	<b>0.0%</b>

FY 2013-2014 Revised Budget

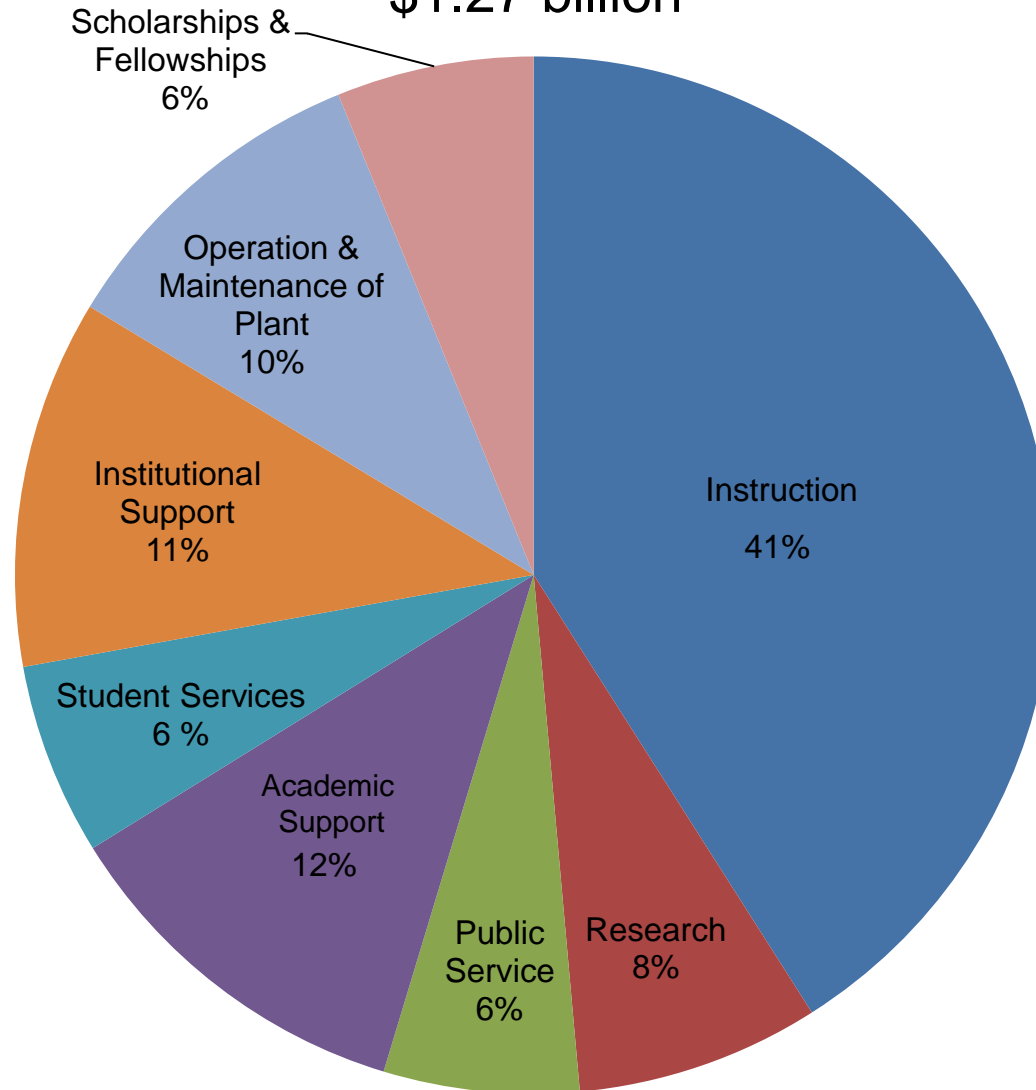
## Unrestricted E&G Expenditures (Recurring and Non-Recurring)

Functional Area	FY2014 Original Budget <i>(\$millions)</i>	FY2014 Revised Budget <i>(\$millions)</i>	Change from FY2014 Original Budget	
Instruction	\$ 505.7	\$ 522.2	\$ 16.4	3.3%
Research	69.1	96.5	27.3	39.6%
Public Service	71.0	77.7	6.7	9.5%
Academic Support	134.3	146.7	12.4	9.2%
Student Services	72.8	76.8	4.0	5.5%
Institutional Support	127.7	145.8	18.1	14.1%
Operation & Maint of Plant	128.0	129.8	1.8	1.4%
Scholarships/Fellowships	76.8	77.7	0.9	1.2%
<b>TOTAL</b>	<b>\$ 1,185.5</b>	<b>\$ 1,273.1</b>	<b>\$ 87.6</b>	<b>7.4%</b>

FY 2013-2014 Revised Budget

# Unrestricted E&G Expenditures

\$1.27 billion



FY 2013-2014 Revised Budget

## Unrestricted E&G Expenditures

Functional Area	FY 2009 Actual	FY 2014 Revised Budget
Instruction	42%	41%
Research	8%	8%
Public Service	6%	6%
Academic Support	11%	12%
Student Services	7%	6%
Institutional Support	10%	11%
Operation & Maintenance of Plant	10%	10%
Scholarships/Fellowships	5%	6%
<b>TOTAL \$ AMOUNT</b>	<b>\$ 1,024.6</b>	<b>\$ 1,273.1</b>

FY 2013-2014 Revised Budget



## Current Fund Revenues (Unrestricted & Restricted)

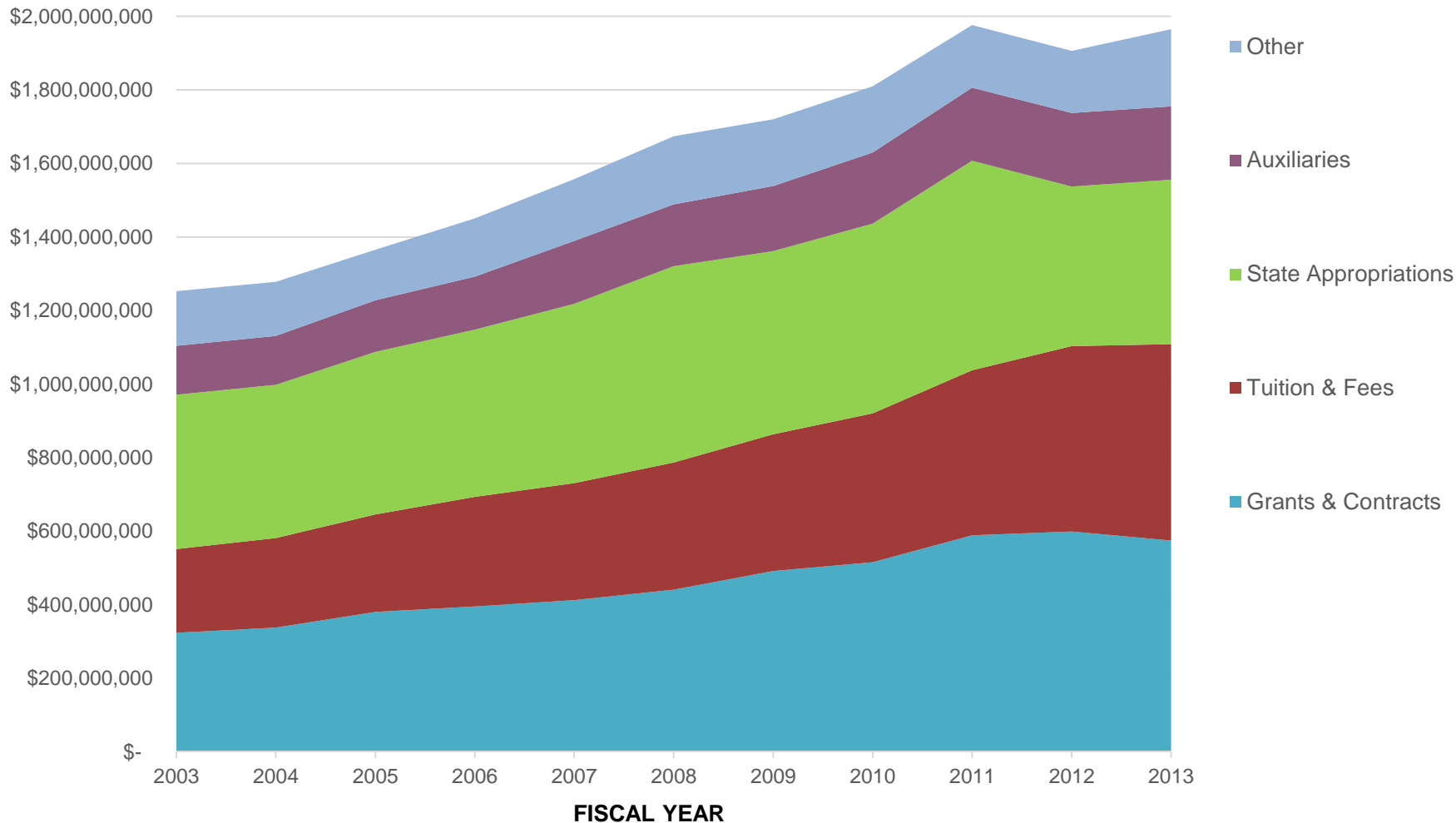
All Current Funds (millions)	FY2014 Original Budget	FY2014 Revised Budget	Change	
Unrestricted E&G	\$ 1,178.4	\$ 1,179.7	\$ 1.3	0.1%
Restricted E&G	622.4	621.7	(0.7)	(0.1%)
Auxiliary	195.0	194.0	(1.0)	(0.6%)
<b>Total Revenues</b>	<b>\$ 1,995.8</b>	<b>\$ 1,995.4</b>	<b>\$ (0.4)</b>	<b>0.0%</b>
Beginning Balance (July 1)	\$ 129.6	\$ 178.3	\$ 48.7	37.6%
<b>Available Funds</b>	<b>\$ 2,125.4</b>	<b>\$ 2,173.7</b>	<b>\$ 48.3</b>	<b>2.3%</b>

FY 2013-2014 Revised Budget

## Revenue Trends

Current Unrestricted & Restricted E&G and Auxiliary Funds

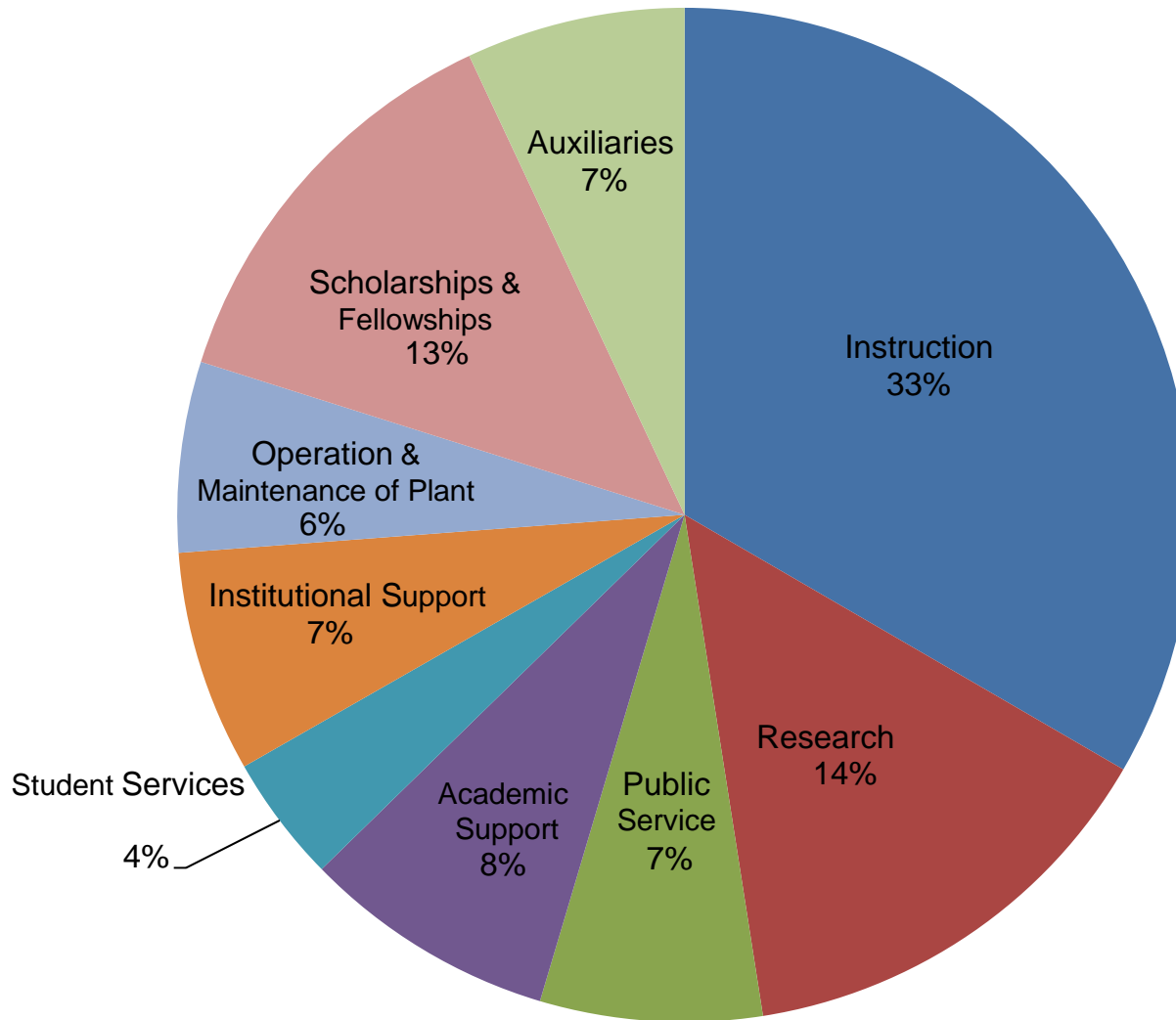
REVENUE CATEGORY



FY 2013-2014 Revised Budget

# Unrestricted & Restricted Expenditures

\$2.04 billion



FY 2013-2014 Revised Budget

## Current Fund Expenditures (Restricted & Unrestricted)

Functional Area	FY2014 Original Budget (\$millions)	FY2014 Revised Budget (\$millions)	Change from FY2014 Original Budget	
			\$	%
Instruction	\$ 660.9	\$ 676.4	\$ 15.5	2.3%
Research	263.9	288.5	24.6	9.3%
Public Service	132.9	139.9	7.0	5.3%
Academic Support	160.4	172.7	12.3	7.7%
Student Services	74.4	78.4	4.0	5.4%
Institutional Support	129.4	147.4	18.0	13.9%
Operation & Maint of Plant	128.5	130.1	1.7	1.3%
Scholarships/Fellowships	257.8	260.4	2.5	1.0%
Auxiliary Enterprises	148.0	147.0	-1.0	-0.7%
<b>TOTAL</b>	<b>\$ 1,956.2</b>	<b>\$ 2,040.8</b>	<b>\$ 84.6</b>	<b>4.3%</b>

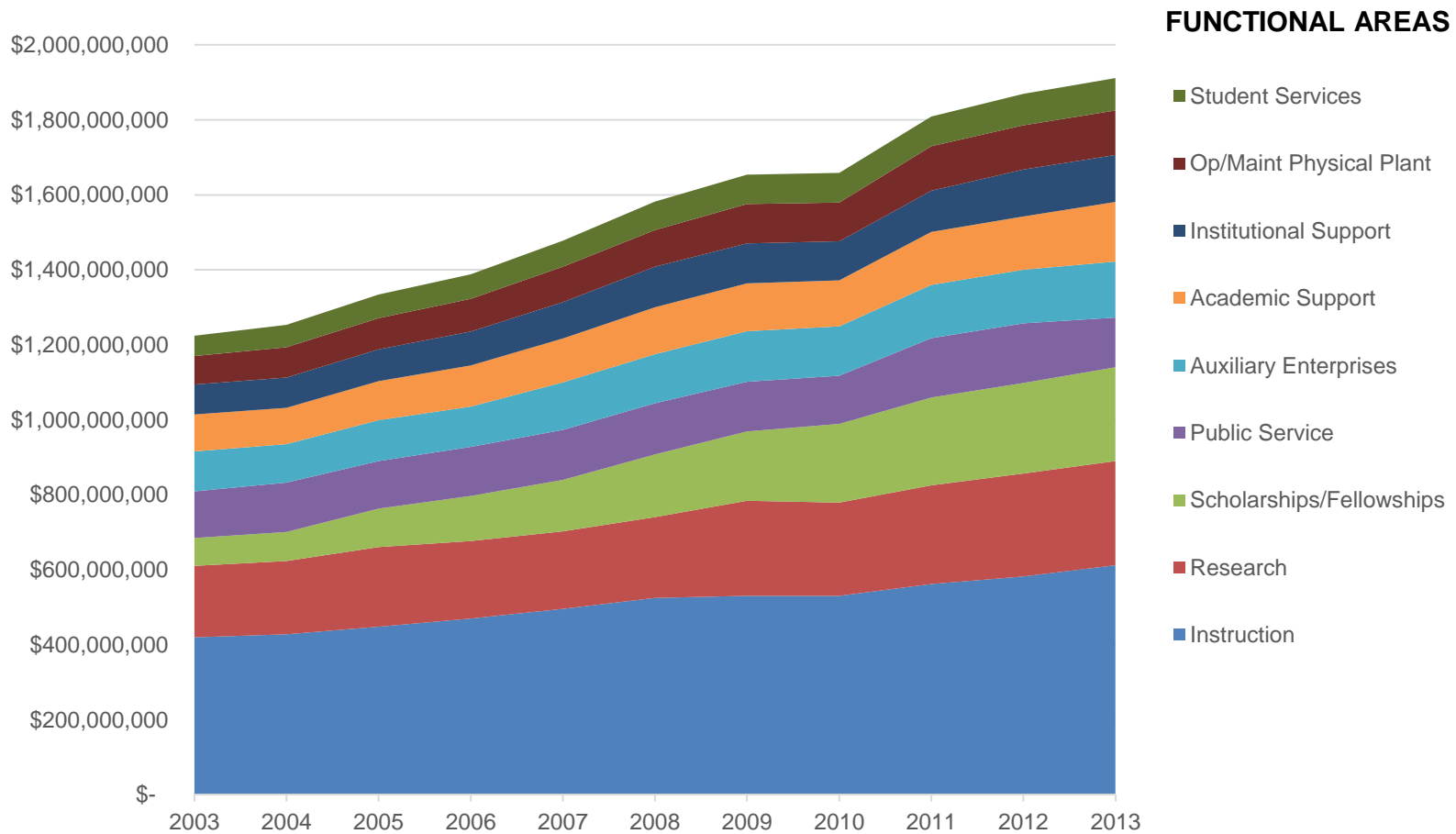
## Current Fund Expenditures (Restricted & Unrestricted)

Functional Area	FY 2009 Actual	FY 2014 Revised Budget
Instruction	32%	33%
Research	15%	14%
Public Service	8%	7%
Academic Support	8%	8%
Student Services	5%	4%
Institutional Support	6%	7%
Operation & Maint of Plant	6%	6%
Scholarships/Fellowships	11%	13%
Auxiliary Enterprises	8%	7%
<b>TOTAL \$ AMOUNT</b>	<b>\$1,653.6</b>	<b>\$2,040.8</b>

FY 2013-2014 Revised Budget

## Expenditure Trends

### Current Unrestricted & Restricted E&G and Auxiliary Funds



FY 2013-2014 Revised Budget

- The FY2014 Revised Budget is balanced & within available resources.
  
- FY2015 challenges and priorities:
  - Governor's Budget Proposal:
    - ?
  - ?
  - ?

# Revised Budget Document

## FY 2013 – 2014

12.1





# **THE UNIVERSITY *of* TENNESSEE**

University of Tennessee at Chattanooga

University of Tennessee, Knoxville

University of Tennessee at Martin

University of Tennessee Space Institute

University of Tennessee Health Science Center

Memphis Other Specialized Units

College of Medicine Units

Family Medicine Units

University of Tennessee Institute of Agriculture

Agricultural Experiment Station

Extension

College of Veterinary Medicine

University of Tennessee Institute for Public Service

Institute for Public Service

Municipal Technical Advisory Service

County Technical Assistance Service

University of Tennessee System Administration

12.1

# FY2014 REVISED BUDGET

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## THE UNIVERSITY OF TENNESSEE

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## Message from the CFO

### *Message from the CFO*

The FY 2014 revised operating budget reflects operating plans and financial projections as of October 31, 2013. The University develops a revised budget each fiscal year to adjust to the following changes that occur during the year after the original budget is adopted in June:

1. The university's original budget is developed before the end of the previous fiscal year and uses **budgeted** net assets as its starting point. The revised budget uses **actual** net assets as its starting point.
2. State appropriations are adjusted in September, requiring minor adjustments in most years.
3. Other adjustments may be needed if there are material changes to operating plans, organizational structure, revenue projections, or fixed costs.

Revised total revenues are \$1.995 billion, a 0.02% decrease from the original budget. Revised expenses total \$2.041 billion, a 4.3% increase. These revisions include all current funds: unrestricted educational and general (E&G) funds, restricted E&G funds, and auxiliary funds.

Unrestricted E&G funds finance the University's core operations. The revised unrestricted E&G revenue budget increased only \$1.4 million or 0.1%. It is common to see revenue adjustments in this range between original and revised budgets. Budgets for recurring unrestricted E&G expenditures and transfers showed a decrease of \$ 0.6 million, but total recurring and non-recurring expenditures and transfers are up \$49.7 million (4.2%), reflecting carry-overs of unspent non-recurring funds from FY2013.

The revised budget unrestricted E&G beginning balance is \$43.0 million higher than original budget. These include one-time funds that were budgeted to be spent in FY2013 that have been carried over to be

spent in FY2014 and a modest reserve to absorb year-to-year fluctuations. Campuses and institutes are using these one time funds to upgrade technology in classrooms, fund energy efficiency projects, and address critical maintenance needs; prudent one-time investments that increase capacity and improve long-term effectiveness and efficiency.

There is some evidence that these kinds of investments are making a difference. Base appropriations for UT's three formula units (Chattanooga, Knoxville, and Martin) have been increased by \$5,691,000 for the next fiscal year. This is the result of productivity gains in student progression and completion as calculated by the Tennessee Higher Education Commission's (THEC) outcomes based funding formula.

Beyond this, the outlook for state funding in FY 2015 is mixed. State revenue growth slowed over the last year while financial obligations continued to grow, putting pressure on discretionary line items including higher education. The Governor's budget proposal includes funding for projected health insurance premium increases and partial funding for a 1% salary increase, but there is no new money to address general inflation and fixed cost increases. While this creates a challenging financial environment for the upcoming year, UT is grateful to be spared the budget reductions proposed for many state agencies.

Revenue and expenditure data for each operating unit is provided in this budget document. Also included is information on athletics and auxiliary budgets. A separate publication containing detailed supporting schedules is available in printed or electronic format.

Respectfully,



Charles M. Peccolo  
Treasurer & Chief Financial Officer

# FY2014 REVISED BUDGET

*“THE FY 2014 EDUCATIONAL AND GENERAL (E&G) AND AUXILIARY ENTERPRISES REVISED BUDGETS ARE BALANCED AND WITHIN AVAILABLE RESOURCES.”*

### FY 2014 Quick Facts

Enrollment (Fall 2013)	49,127
Total Revenues	\$ 1.99B
Positions	15,069
Capital Maintenance	\$ 26.0M

### Unrestricted E&G

E&G Revenues	\$1.180B
State Appropriations	\$469.7M
St. Appr. as % of Revenues	39.8%
Tuition & Fees	\$565.9M
Tuition & Fees - % of Revenues	48.0%
Salaries & Benefits	\$824.6M
Sal. & Ben. % of Expenditures	64.8%

## Overview

The University of Tennessee FY 2014 Revised Budget revenues total \$1.995 billion: \$1.180 billion in unrestricted Educational and General (E&G), \$621.7 million in restricted funds and \$193.9 million in auxiliary funds. That represents a \$0.4 million decrease from the FY 2014 Original Budget. Unrestricted E&G revenues increased \$1.4 million, while budgets for Restricted E&G decreased \$0.7 million. Auxiliary revenues decreased \$1.1 million. These adjustments ensure that our revised expenditure budgets for FY 2014 remain within available resources.

### TOTAL REVENUE

Revenues (Millions)	FY2014 Original	FY2014 Revised	Change Amt.	Change %
Unrestricted E&G	\$ 1,178.4	\$ 1,179.8	\$ 1.4	0.1%
Restricted E&G	622.4	621.7	(0.7)	(0.1)%
Auxiliaries	195.0	193.9	(1.1)	(0.1)%
<b>Total</b>	<b>\$ 1,995.8</b>	<b>\$ 1,995.4</b>	<b>\$ (.4)</b>	<b>(0.0)%</b>

Amounts are in millions and may not add due to rounding

Unrestricted Education and General Funds (Unrestricted E&G) support the core operations of the university: instruction, research, public service, academic support, student services, institutional support, facilities operations and maintenance, and scholarships and fellowships. They are funded primarily through tuition and student fees, state appropriations, and other sources including grants and contracts, federal and local appropriations, sales and services, investment income, and endowment distributions.

Restricted funds must be used in accordance with purposes established by an external party; primarily grants, contracts, gift funds and endowments. Auxiliaries are self-supporting enterprises which furnish services to students, faculty, and staff such as housing, bookstores, food service and UTK Athletics.

# FY2014 REVISED BUDGET

## Unrestricted E&G Revenues

The following table shows the change in unrestricted E&G revenues.

### Unrestricted E&G Revenues Summary

Revenues (Millions)	FY2014 Original	FY 2014 Revised	Change Amount	Change %
Tuition & Fees	\$ 565.3	\$ 565.9	\$ 0.6	0.1%
State Appropriations	469.9	469.7	(0.2)	0.0%
Other Revenues	143.2	144.1	0.9	0.0%
<b>Total E&amp;G Revenues</b>	<b>\$ 1,178.4</b>	<b>\$ 1,179.7</b>	<b>\$ 1.4</b>	<b>0.0%</b>

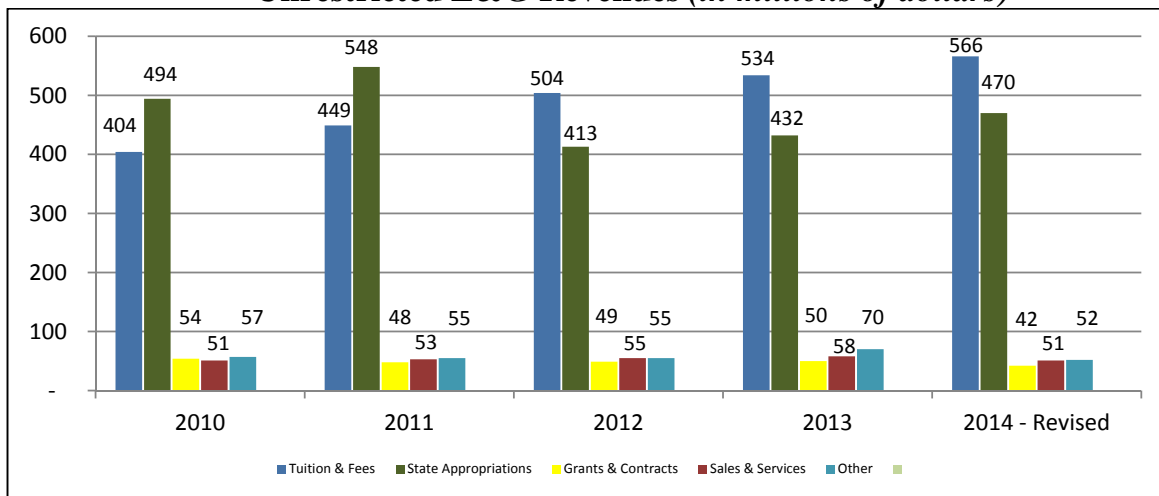
Revenues are rounded to millions and may not add due to the rounding

FY 2014 unrestricted E&G revenues are \$1.4 million higher than the original budget, due to modest increases in Tuition & Fees and Other Revenues. These kinds of minor adjustments to budgeted revenues are routinely reflected in the University's revised budget.

Unrestricted E&G revenues are categorized into five distinct areas, with state appropriations and tuition and fees making up 87.8 percent, or \$1.036 million. The graph below shows the comparative revenue sources and the trends of those sources over the past five years. The most striking trend is the reversed relationship between tuition and fees versus state appropriations. In FY 2010, appropriations exceeded tuition and fees by \$90 million. In FY 2014, tuition and fees exceed appropriations by \$96 million.

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### Unrestricted E&G Revenues (in millions of dollars)



## FY2014 REVISED BUDGET

### Unrestricted E&G Revenues (Continued)

#### State Appropriations

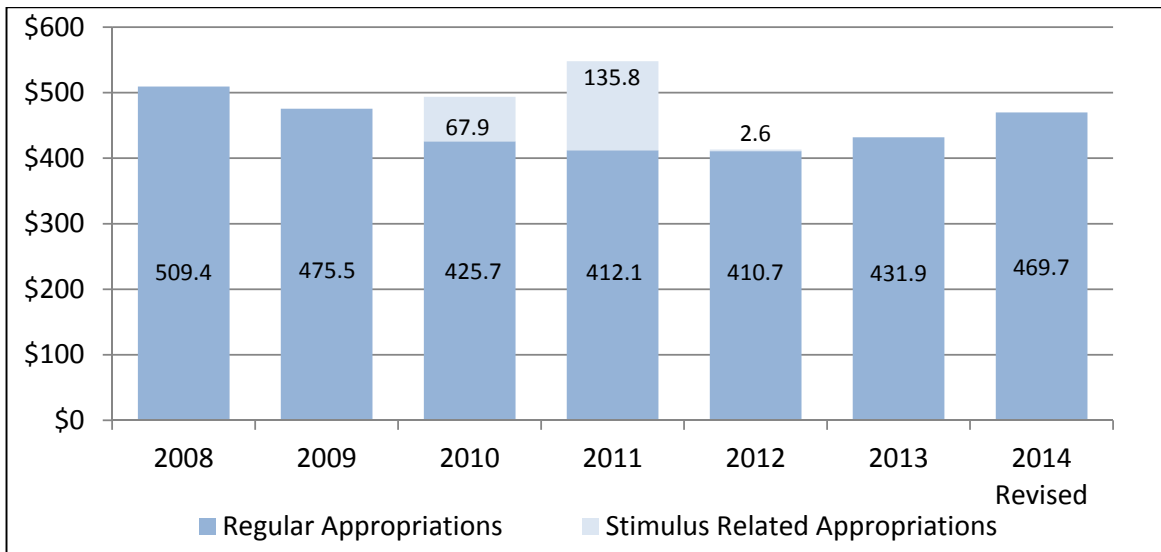
##### Detail Change in Unrestricted E&G State Appropriations

State Appropriations Adjustments	Base (Recurring)	Non-Recurring	Total
<b>FY 2014 Original Budget</b>	<b>\$ 464,672,646</b>	<b>\$ 5,218,977</b>	<b>\$ 469,891,623</b>
Fee Waiver Estimate Adjustment		153,200	153,200
Decrease Claims Adjustments	(139,400)		(139,400)
Insurance Premium Adjustment	(223,000)		(223,000)
<b>FY 2014 Revised Budget</b>	<b>\$ 464,310,246</b>	<b>\$ 5,218,977</b>	<b>\$469,682,423</b>

Minor adjustments made to state appropriations since the FY 2014 original budget was approved include claims and insurance premium adjustments of (\$362,400) for all units. There was also an adjustment to estimated fee waivers based on FY 2013 actuals.

FY 2014 revised state appropriations are \$40 million (7.8 %) less than FY 2008. Base recurring reductions from FY 2008 to FY 2011 period exceeded \$120 million. These are offset somewhat by funding added each year to fund increases in employee group insurance and state retirement system costs. The state also added funds in FY 2012, FY 2013, and FY 2014 to partially fund salary increases. Base appropriations increased in both FY 2013 and FY2014.

#### State Appropriations (in millions)



- (1) Unrestricted E&G only. Does not include appropriations restricted for Centers of Excellence & Governor's Chairs.
- (2) Stimulus related appropriations include federal ARRA funding, MOE appropriations, and regular non-recurring state funds used to replace 2011 ARRA.

## **FY2014 REVISED BUDGET**

### **Unrestricted E&G Revenues (Continued)**

#### **Tuition and Fees**

There is little change in budgeted tuition and fees. As shown in the table below, tuition and fees revenue totals \$565.9 million, a \$ 0.63 million, or 0.1% increase from the FY 2014 Original Budget of \$565.3 million. Most of the increase is the result of higher than expected enrollments and revised expectations for various student fees.

#### **Tuition and Fee Revenues**

<b>TUITION AND FEE REVENUE</b>	<b>FY14 Original</b>	<b>FY14 Revised</b>	<b>Change Amount</b>	<b>Change %</b>
Tuition	\$ 473,934,936	\$ 474,348,534	\$ 413,598	0.1%
Program and Service Fees	55,148,313	54,462,773	(685,540)	(1.2)%
Extension Enrollment Fees	7,753,790	8,010,549	256,759	3.3%
Other Student Fees	28,440,845	29,086,908	646,063	2.3%
<b>Total Tuition and Fees</b>	<b>\$ 565,277,884</b>	<b>\$ 565,908,764</b>	<b>\$ 630,880</b>	<b>0.1%</b>

#### **Other Revenues**

There is little change in budgeted revenues from other sources; the revised budget is up 0.7%. Sales and service revenues were adjusted up by 2.0%. Grant and contract revenues are up 0.2%. The revised budget for other miscellaneous revenues is down 0.3% from Original Budget.

#### **Other Revenues**

<b>OTHER REVENUE</b>	<b>FY14 Original</b>	<b>FY14 Revised</b>	<b>Change Amount</b>	<b>Change %</b>
Grants & Contracts	\$ 41,661,154	\$ 41,762,792	\$ 101,638	0.2%
Sales & Services	49,534,483	50,511,546	977,063	2.0%
Other Sources	51,990,420	51,858,603	(131,817)	(0.3)%
<b>Total Revenues</b>	<b>\$ 143,186,057</b>	<b>\$ 144,132,941</b>	<b>\$ 946,884</b>	<b>0.7%</b>



## FY2014 REVISED BUDGET

### Unrestricted E&G Expenditures

The Revised FY 2014 budget for unrestricted E&G expenditures and transfers is \$1,231.7 million, a \$49.7 million (4.2 percent) increase from the Original FY 2014 budget. The increase is funded by revenue adjustments (\$1.4 million) and an increase in non-recurring funds carried forward from FY2013 (\$43.0 million). Base budgets for recurring expenditures decreased by only \$0.3 million. This is often seen in mid-year budget revisions: non-recurring budgets for one-time projects are added after the close of the previous fiscal year, while recurring budgets for core operations show little change.

Below is a summary of all unrestricted E&G fund budgets including revenues, expenditures, transfers and fund balances. Changes to fund balances are often the most important component of revised budgets. These balances are composed of one-time nonrecurring funds allocated to renewal and replacement of equipment and facilities, encumbrances carried over from the previous fiscal year, revolving funds needed to manage self-supporting service centers, funding for projects that carry over from one fiscal year to the next, and the university's "rainy day fund" needed to absorb minor year-to-year fluctuations in revenues and expenditures. The university's original budget is based on an estimate of the fiscal year's beginning fund balance while the revised budget ties to the fiscal year's actual beginning fund balance. Prudent budgeting practices based on conservative estimates of revenues and expenditures result in actual fund balances that are typically larger than budgeted fund balances.

### Summary of Unrestricted E&G Funds (in millions)

<b>Fund Balance Summary</b>	<b>FY 2014 Original Budget</b>	<b>FY 2014 Revised Budget</b>	<b>Change From Original to Revised</b>
<b>Revenues</b>	<b>\$ 1,178.3</b>	<b>\$ 1,179.7</b>	<b>\$ 1.4</b>
<b>Expenditures and Transfers</b>			
Recurring	\$ 1,176.6	\$ 1,176.3	\$ (0.3)
Non-Recurring	8.9	96.8	87.9
Transfers	(3.5)	(41.4)	(37.9)
<b>Total Expenditures and Transfers</b>	<b>\$ 1,182.0</b>	<b>\$ 1,231.7</b>	<b>\$ 49.7</b>
<b>Fund Balance Addition / (Reduction)</b>	<b>\$ (3.7)</b>	<b>\$ (52.0)</b>	<b>\$ (48.3)</b>
Beginning Balance (July 1)	\$ 114.7	\$ 157.7	\$ 43.0
Addition / (Reduction)	(3.7)	(52.0)	(48.3)
<b>Ending Balance (June 30)</b>	<b>\$ \$111.0</b>	<b>\$ 105.7</b>	<b>\$ (5.3)</b>

## FY2014 REVISED BUDGET

### Unrestricted E&G Expenditures (continued)

Below are *recurring* unrestricted E&G expenditure budgets. There are no material changes. This is typical for the revised budget where changes in recurring expense budgets often reflect minor adjustments. The largest percentage increase is for Research (4.0%), but this represents only 0.2% of total recurring expenditures.

### Unrestricted E&G Recurring Expenditures By Functional Category

(in millions)

Functional Category	FY 2014 Original	FY 2014 Revised	Change Amount	Change %
Instruction	\$ 499.2	\$ 495.2	\$ (4.0)	(0.8)%
Research	68.0	70.7	2.7	4.0%
Public Service	70.9	70.9	0.0	0.0%
Academic Support	134.0	134.3	0.3	0.2%
Student Services	72.8	74.0	1.2	1.6%
Institutional Support	127.6	127.6	0.0	0.0%
Operations and Maintenance of Plant	128.0	127.5	(0.5)	(0.4)%
Scholarships and Fellowships	76.0	76.0	0.0	0.0%
<b>Sub-Total E&amp;G Expenditures</b>	<b>\$ 1,176.6</b>	<b>\$ 1,176.3</b>	<b>\$ (0.3)</b>	<b>0.0%</b>
Transfers	(3.4)	(3.7)	(0.3)	8.7%
<b>Total Transfers and E&amp;G Expenditures</b>	<b>\$ 1,173.2</b>	<b>\$ 1,172.6</b>	<b>\$ (0.6)</b>	<b>0.0%</b>

Amounts are in millions and may not add due to rounding

Total Unrestricted E&G expenditure budgets (recurring and non-recurring) increased \$87.6 million (7.4%). This increase is funded mostly by the increase in carry-overs discussed above plus funds of \$38 million from non-mandatory transfers. Most of these transfers are non-recurring renewal and replacement funds that may be added to current fund carry-overs for one-time uses such as faculty start-ups and improvements to campus infrastructure. The large increase in Research (39.6%) is typical since a good portion of these non-recurring funds come from facilities and administration recoveries (indirect costs) charged to grants and contracts. These funds will be used for equipment replacement, repairs and maintenance, wireless internet upgrades, bridge funding for research operations, adjunct faculty, electronic medical records systems, energy conservation projects, lab upgrades, and graduate student fee waivers.

The functional distribution of these funds is shown in the table and the chart on the following page.

# FY2014 REVISED BUDGET

## Unrestricted E&G Expenditures (continued)

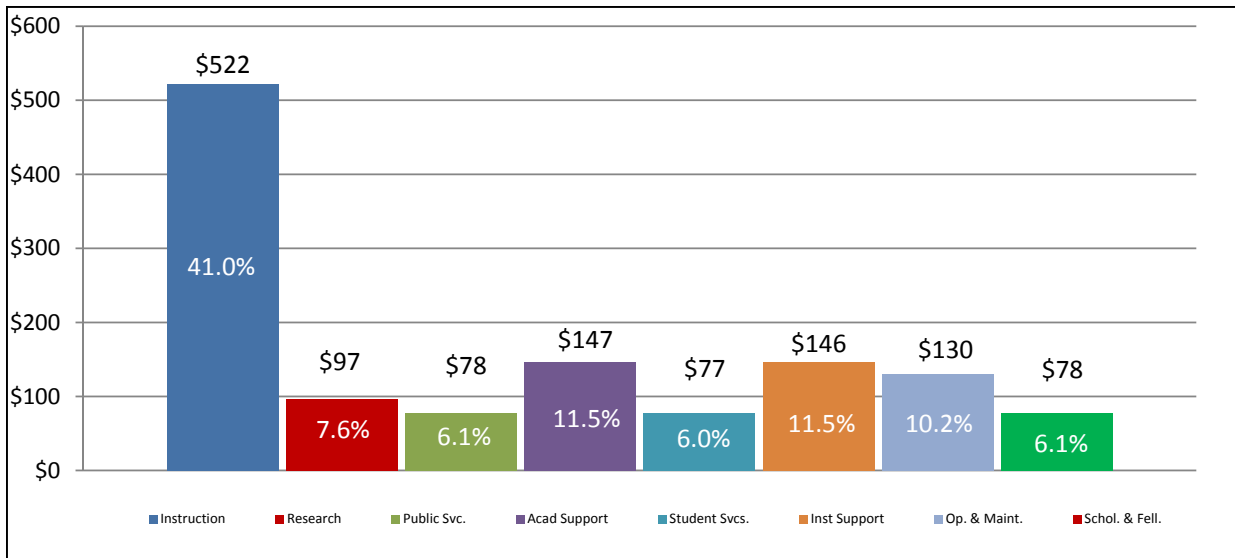
**Total Unrestricted E&G Expenditures By Functional Category**  
**(Includes Recurring and Non-Recurring Funds)**  
*(in millions)*

Functional Category	FY 2014 Original	FY 2014 Revised	Change Amount	Change %
Instruction	\$ 505.7	\$ 522.2	\$ 16.4	3.3%
Research	69.1	96.5	27.3	39.6%
Public Service	71.0	77.7	6.7	9.5%
Academic Support	134.3	146.7	12.4	9.2%
Student Services	72.8	76.8	4.0	5.5%
Institutional Support	127.7	145.8	18.1	14.1%
Operations and Maintenance of Plant	128.0	129.8	1.8	1.4%
Scholarships and Fellowships	76.8	77.7	0.9	1.2%
<b>Sub-Total E&amp;G Expenditures</b>	<b>\$ 1,185.5</b>	<b>\$ 1,273.1</b>	<b>\$ 87.6</b>	<b>7.4%</b>
Transfers	(3.5)	(41.4)	(37.9)	10.8%
<b>Total Transfers and E&amp;G Expenditures</b>	<b>\$ 1,182.0</b>	<b>\$ 1,231.7</b>	<b>\$ 49.7</b>	<b>4.2%</b>

Amounts are in millions and may not add due to rounding

12.1

**Unrestricted E&G Expenditures by Function** *(in millions)*

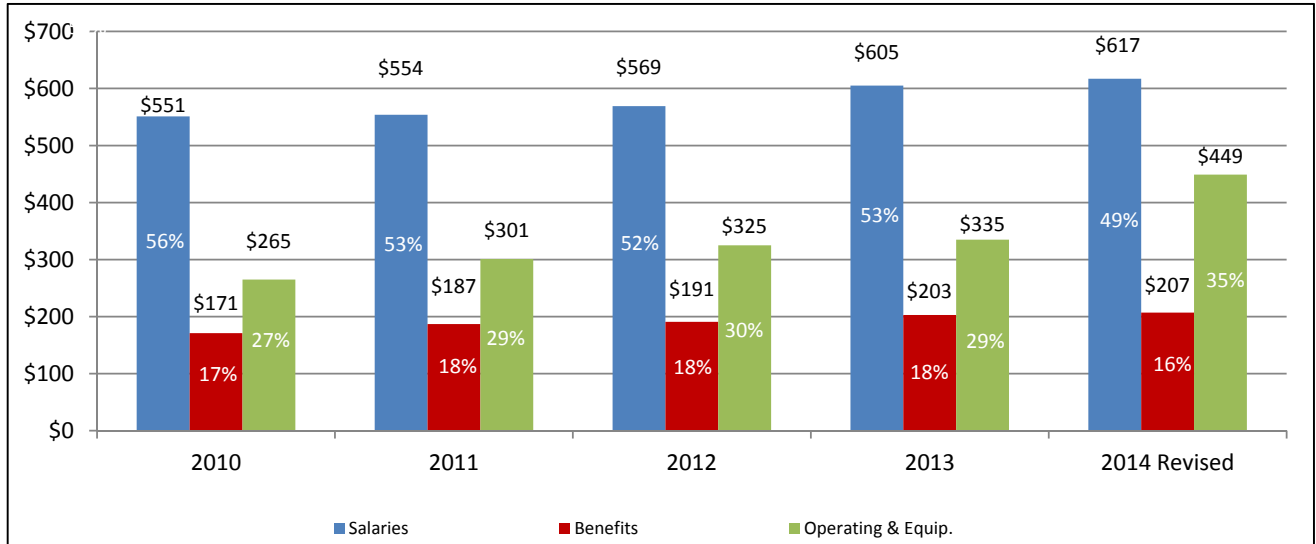


## FY2014 REVISED BUDGET

### Unrestricted E&G Expenditures (continued)

The chart below shows expenditures by natural classification for five years. Natural classification categories include salaries, benefits, operating expense, and equipment. Operating expense and equipment are combined.

**Unrestricted Expenditures by Natural Classification (in millions)**



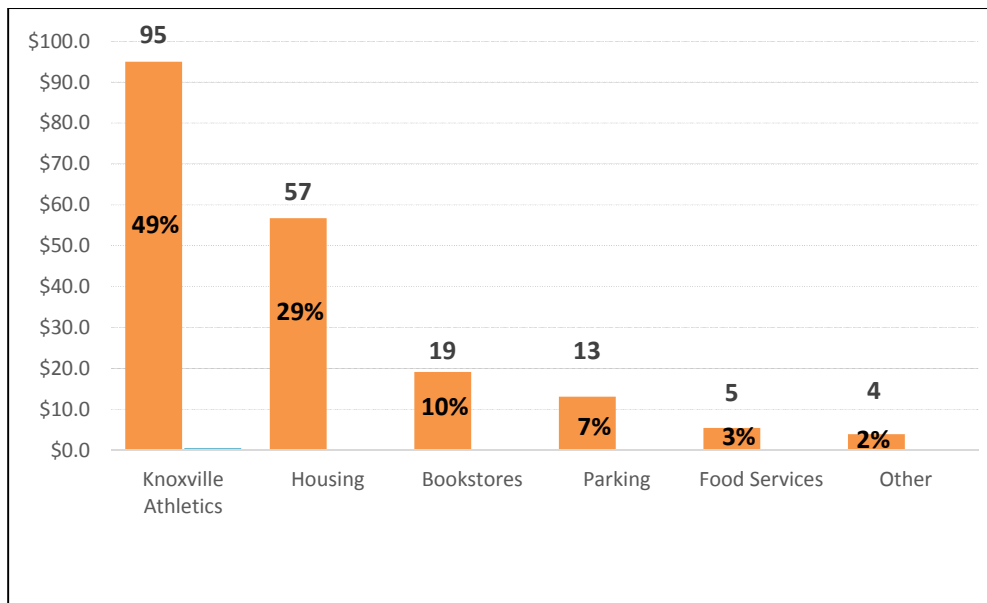
12.1

## FY2014 REVISED BUDGET

### Auxiliary Enterprises

Auxiliary Enterprises furnish services to the students, faculty, and staff. Each is a business that is self funded through sales, fees, and private gifts. These stand-alone operations include Housing, Food Services, Bookstores, Parking, and Other miscellaneous operations. It also includes UTK Athletics since it is a self-supporting operation. Total Auxiliary FY 2014 revenues are \$193.3 million, down \$1.1 million (0.5%) from Original Budget. This is reflected in offsetting reductions to budgeted expenditures. The charts below reveal the relative size of each auxiliary enterprise and the change in revenue and expense from FY 2014 Original to 2014 Revised Budgets.

**Auxiliary Revenues – FY 2014 Revised Budget**  
(in millions)



12.1

**Auxiliaries Summary**  
(in millions)

REVENUES AND EXPENSES	FY 2014 ORIGINAL	FY 2014 REVISED	\$ CHANGE	% CHANGE
<b>Revenues</b>	\$ 194.4	\$ 193.3	\$ (1.1)	(0.5)%
<b>Expense and Transfers</b>				
Expense	147.4	146.4	(1.0)	(0.7)%
Transfers	47.0	47.0	0.0	0.0%
<b>Total Expenditures and Transfers</b>	\$ 194.4	\$ 193.3	\$ (1.1)	(0.5)%

## FY2014 REVISED BUDGET



### Unrestricted Net Assets

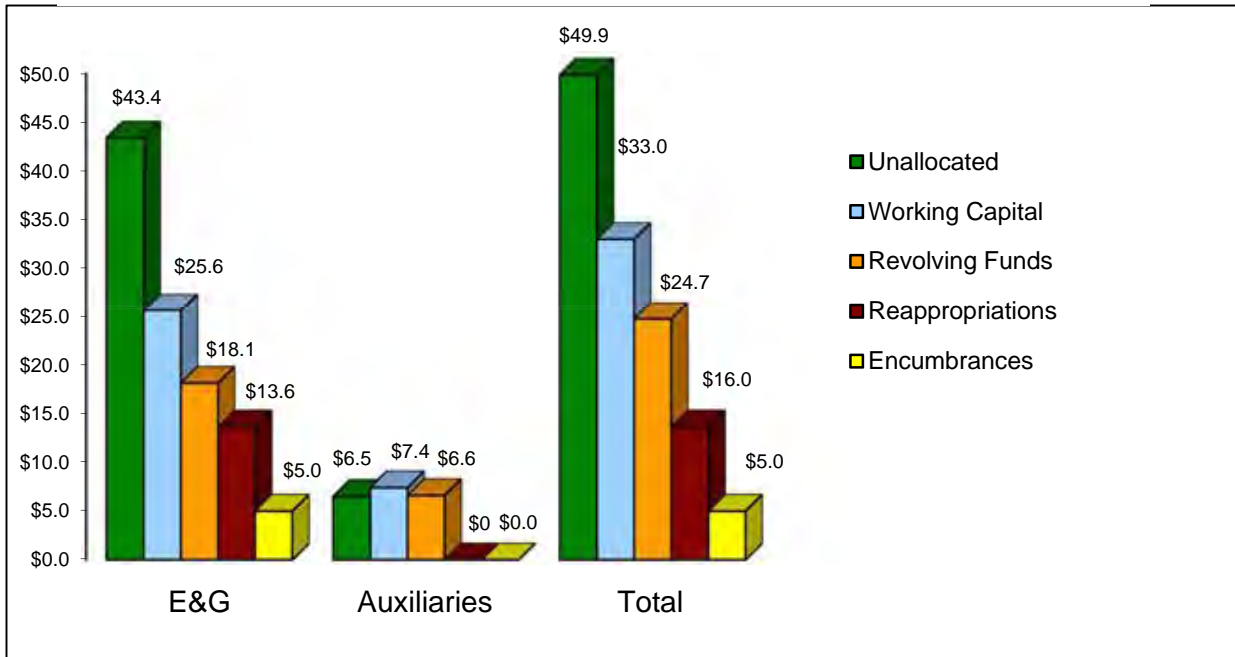
The University’s practice is to maintain 2-5 percent of unrestricted Educational and General (E&G) expenditures and 3-5 percent of unrestricted auxiliary enterprise funds in its unallocated fund balance as a “rainy day” fund. It is needed in case of a downturn in enrollment, sharp decline in appropriations, or other situations that cause expenditures to exceed available revenues to provide short-term funding while adjustments are made to bring the budget back into balance.

Encumbrances are funds carried over from the previous fiscal year for purchases and commitments that were not received before the close of the fiscal year. These funds are budgeted in the appropriate expenditure accounts as the items or services are received. Reappropriations are funds reserved from FY 2013 for allocation to specific programs and initiatives in FY 2014 or in subsequent fiscal years.

The FY 2014 Revised Budget projects a June 30, 2014 unrestricted E&G unallocated fund balance of \$43.4 million, or 3.53 percent of expenditures. The unrestricted auxiliary enterprises unallocated balance is \$6.5 million, or 3.38 percent of expenditures. The total unallocated balance projected at June 30, 2014, is \$49.9 million, which is 3.51 percent of expenditures.

12.1

### **FY 2014 Revised Budget Unrestricted Net Assets (*in millions*)**



**\$43.4 million**

**3.53%**

**\$6.5 million**

**3.38%**

**\$49.9 million**

**3.51%**

**Unallocated Balance**

**Percent Unallocated**

## **FY2014 REVISED BUDGET**

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### **Recommendation**

The FY 2014 Educational and General (E&G) and Auxiliary Enterprises revised budgets are balanced and within available resources. The Revised Budget complies with all applicable policies and guidelines. The following action by the Board of Trustees is recommended:

1. The FY 2014 revised budget be approved with the understanding that if the General Assembly or the Department of Finance and Administration further alters the FY 2014 appropriations or if changes in estimated resources require, the budget shall be modified accordingly so expenditures will not exceed available resources.
2. The Board of Trustees expressly authorizes the campus, institute, and unit administrations, in response to budget reductions or a budgetary shortfall, to implement mandatory furloughs without pay, reduction of time worked, across-the-board salary reductions, and similar salary-related measures during FY 2014, subject to approval by the Executive and Compensation Committee, the President, and the Treasurer and Chief Financial Officer in consultation with the General Counsel and Human Resources.
3. Any remaining balance of Net Assets may be considered as reserve for contingencies to be used for:
  - a) Employing additional staff where enrollments and reorganization requirements warrant;
  - b) Modifying departmental operating budgets where changing conditions during the year require funding adjustments;
  - c) Funding to make salary adjustments for personnel as may be necessary during the year in keeping with state and university salary guidelines;
  - d) Improving physical facilities as opportunities arise;
  - e) Mandated cost increases; and
  - f) State impoundment of funds or appropriations rescission during the budget year.

## FY2014 REVISED BUDGET

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<b>Schedule Number</b>	<b>FY 2014 Revised Budget Schedule Description</b>	<b>Page #</b>
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<b>15</b>	<b>Revised Budget Summaries – Total University System, Campuses, and Institutes</b>	
	<b>Total University of Tennessee System</b>	<b>31</b>
	<b>Chattanooga</b>	<b>32</b>
	<b>Knoxville</b>	<b>33</b>
	<b>Martin</b>	<b>34</b>
	<b>Space Institute</b>	<b>35</b>
	<b>Health Science Center (TOTAL, MOSU, COMU, FMU)</b>	<b>36</b>
	<b>Institute of Agriculture (TOTAL, AG EXP STAT, AG EXT, VET MED)</b>	<b>40</b>
	<b>Institute for Public Service (TOTAL, IPS, MTAS, CTAS)</b>	<b>44</b>
	<b>System Administration</b>	<b>48</b>



# University of Tennessee System

## FY 2013-14 Revenues Unrestricted and Restricted *(In Millions)*

Tuition & Fees	\$ 565.9
State Appropriations	490.6
Grants & Contracts	575.6
Sales & Services	50.5
Other	118.9
Auxiliaries	<u>193.9</u>
<b>Total Revenue</b>	<b><u>\$ 1,995.4</u></b>

## Fall 2013 Headcount Enrollment

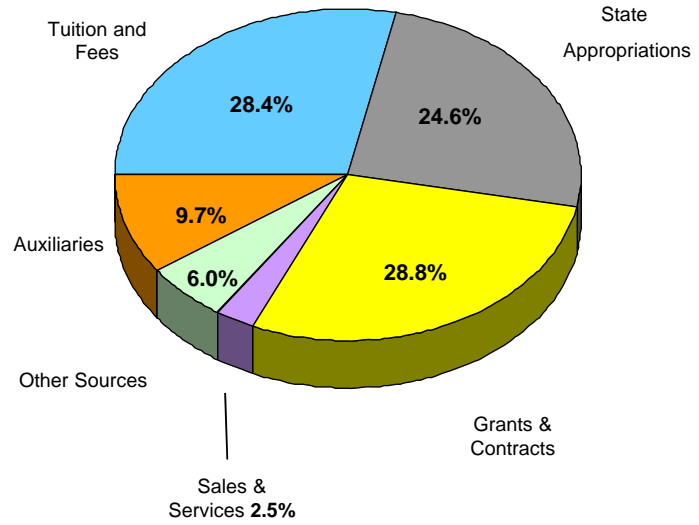
Knoxville	26,707
Chattanooga	11,674
Martin	7,423
Space Institute	112
Health Science Center	2,859
Veterinary Medicine	<u>352</u>
<b>TOTAL</b>	<b><u>49,127</u></b>

## FTE Positions (Unrestricted & Restricted) October 31, 2013

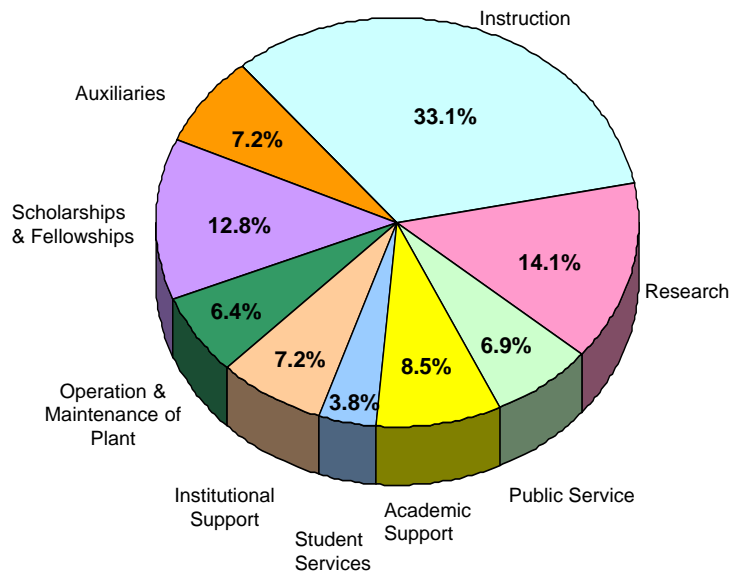
Faculty	4,137
Administrative	830
Professional	4,050
Cler/Tech/Maint	<u>6,052</u>
<b>TOTAL</b>	<b><u>15,069</u></b>

## FY 2013-14 REVISED BUDGET Total Unrestricted and Restricted Current Funds

### Revenues



### Expenditures



12.1

# University of Tennessee System

## FY 2013-14 Revenues Unrestricted E&G *(In Millions)*

Tuition & Fees	\$ 565.9
State Appropriations	469.7
Grants & Contracts	41.8
Sales & Services	50.5
Other	<u>51.8</u>
<b>Total Revenue</b>	<b><u>\$ 1,179.7</u></b>

## Fall 2013 Headcount Enrollment

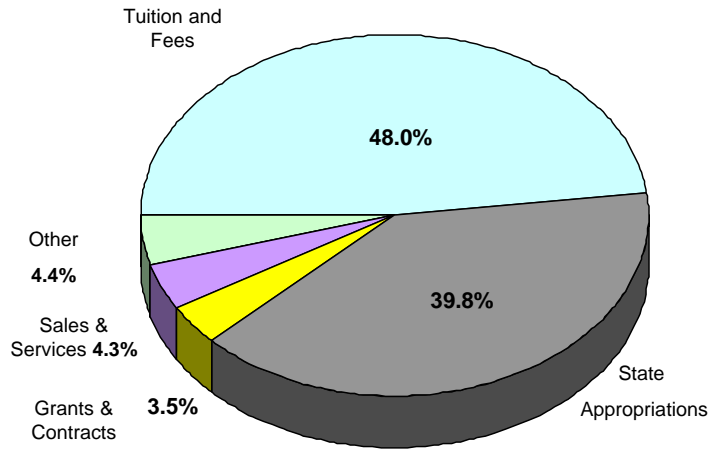
Knoxville	26,707
Chattanooga	11,674
Martin	7,423
Space Institute	112
Health Science Center	2,859
Veterinary Medicine	<u>352</u>
<b>TOTAL</b>	<b><u>49,127</u></b>

## FTE Positions (Unrestricted E&G) October 31, 2013

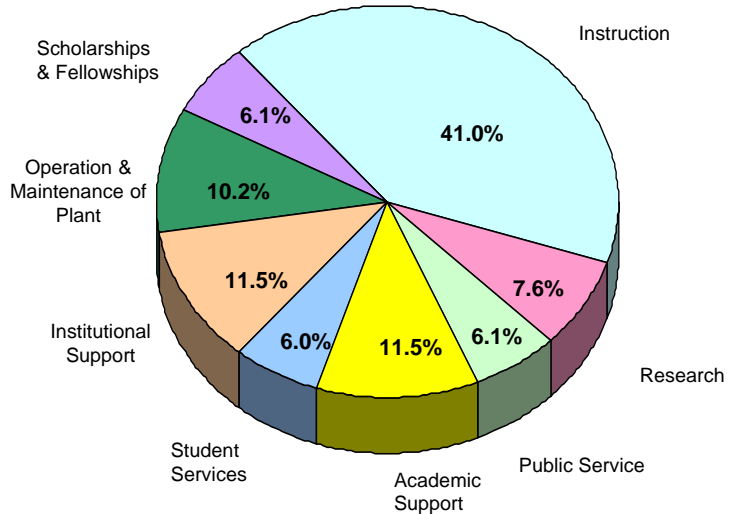
Faculty	3,180
Administrative	676
Professional	1,915
Cler/Tech/Maint	<u>3,890</u>
<b>TOTAL</b>	<b><u>9,661</u></b>

## FY 2013-14 REVISED BUDGET Unrestricted E&G Only Total Unrestricted Current Funds

### Revenues



### Expenditures



12.1

**University of Tennessee System**  
**FY 2014 Revised State Appropriations Summary**  
 Unrestricted Current Funds (Educational and General)

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				Amount	%
<b>STATE APPROPRIATIONS</b>					
Chattanooga	\$ 35,523,864	\$ 37,427,681	\$ 37,449,681	\$ 22,000	0.1%
Knoxville	156,439,550	177,446,543	177,486,343	39,800	0.0%
Martin	26,186,217	26,374,167	26,337,767	(36,400)	-0.1%
Space Institute	7,700,101	8,012,812	7,995,512	(17,300)	-0.2%
Health Science Center					
<i>Memphis Other Specialized Units</i>	\$ 67,383,999	74,840,051	74,840,751	700	0.0%
<i>College of Medicine Units</i>	44,934,400	47,273,300	47,116,500	(156,800)	-0.3%
<i>Family Medicine Units</i>	9,882,100	10,470,400	10,470,800	400	0.0%
Sub-Total Health Science Center	\$ 122,200,499	\$ 132,583,751	\$ 132,428,051	\$ (155,700)	(0.0)
Agricultural Units					
<i>Agricultural Experiment Station</i>	\$ 24,480,573	25,612,386	25,579,486	(32,900)	-0.1%
<i>Extension</i>	29,580,016	31,013,967	30,987,767	(26,200)	-0.1%
<i>College of Veterinary Medicine</i>	15,720,772	16,795,854	16,796,354	500	0.0%
Sub-Total Agricultural Units	\$ 69,781,361	\$ 73,422,207	\$ 73,363,607	\$ (58,600)	-0.1%
Public Service Units					
<i>Institute for Public Service</i>	\$ 5,058,459	5,250,298	5,249,898	(400)	0.0%
<i>Municipal Technical Advisory Service</i>	2,737,969	2,892,013	2,892,013		
<i>County Technical Assistance Service</i>	1,650,969	1,757,913	1,758,013	100	0.0%
Sub-Total Public Service Units	\$ 9,447,397	\$ 9,900,224	\$ 9,899,924	\$ (300)	0.0%
System Administration	4,571,278	4,724,238	4,721,538	(2,700)	-0.1%
State Appropriations	\$ 431,850,267	\$ 469,891,623	\$ 469,682,423	\$ (209,200)	0.0%

Does not include appropriations for Centers of Excellence or Research Initiatives.

**University of Tennessee System****State Appropriations Five Year History**

Unrestricted Current Funds (Educational and General)

	FY 2010 ACTUAL	FY 2011 ACTUAL	FY 2012 ACTUAL	FY 2013 ACTUAL	FY 2014 REVISED	CHANGE FY 2010 TO FY 2014	
						AMOUNT	%
<b>STATE APPROPRIATIONS</b>							
Chattanooga	\$ 45,848,095	\$ 48,591,279	\$ 35,088,738	\$ 35,523,864	\$ 37,449,681	\$ (8,398,414)	-18.3%
Knoxville	190,749,695	226,416,954	147,947,704	156,439,550	177,486,343	(13,263,352)	-7.0%
Martin	33,629,883	35,319,979	25,195,511	26,186,217	26,337,767	(7,292,116)	-21.7%
Space Institute	8,304,400	9,013,601	7,392,569	7,700,101	7,995,512	(308,888)	-3.7%
Health Science Center							
<i>Memphis Other Specialized Units</i>	\$ 70,224,887	\$ 77,546,026	\$ 64,831,856	\$ 67,383,999	\$ 74,840,751	\$ 4,615,864	6.6%
<i>College of Medicine Units</i>	46,280,784	51,848,114	44,093,363	44,934,400	47,116,500	835,716	1.8%
<i>Family Medicine Units</i>	9,929,437	11,096,225	9,386,338	9,882,100	10,470,800	541,363	5.5%
Sub-Total Health Science Center	\$ 126,435,108	\$ 140,490,365	\$ 118,311,557	\$ 122,200,499	\$ 132,428,051	\$ 5,992,943	4.7%
Agricultural Units							
<i>Agricultural Experiment Station</i>	\$ 26,753,807	\$ 25,635,108	\$ 23,333,760	\$ 24,480,573	\$ 25,579,486	\$ (1,174,321)	-4.4%
<i>Extension</i>	31,614,019	31,082,557	28,160,380	29,580,016	30,987,767	(626,252)	-2.0%
<i>Veterinary Medicine</i>	16,219,185	17,416,903	14,823,603	15,720,772	16,796,354	577,169	3.6%
Sub-Total Agricultural Units	\$ 74,587,011	\$ 74,134,568	\$ 66,317,743	\$ 69,781,361	\$ 73,363,607	\$ (1,223,404)	-1.6%
Public Service Units							
<i>Institute for Public Service</i>	\$ 5,150,772	\$ 4,920,285	\$ 4,368,582	\$ 5,058,459	\$ 5,249,898	\$ 99,126	1.9%
<i>Municipal Technical Advisory Service</i>	2,796,101	2,925,338	2,571,285	2,737,969	2,892,013	95,912	3.4%
<i>County Technical Assistance Service</i>	1,669,011	1,708,028	1,534,985	1,650,969	1,758,013	89,002	5.3%
Sub-Total Public Service Units	\$ 9,615,884	\$ 9,553,651	\$ 8,474,852	\$ 9,447,397	\$ 9,899,924	\$ 284,040	3.0%
System Administration	4,485,900	4,384,283	4,614,770	4,571,278	4,721,538	235,638	5.3%
Total State Appropriations	\$ 493,655,976	\$ 547,904,680	\$ 413,343,444	\$ 431,850,267	\$ 469,682,423	\$ (23,973,553)	-4.9%

Does not include appropriations for Centers of Excellence and Research Initiatives or ARRA appropriations spent or budgeted on plant fund projects.

**University of Tennessee System**  
**FY 2014 Revised State Appropriations Summary**  
 Access & Diversity (Educational and General)

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				Amount	%
<b>STATE APPROPRIATIONS (Access &amp; Diversity)</b>					
Chattanooga	\$ 632,464	\$ 648,281	\$ 648,281		
Knoxville	2,214,950	2,270,343	2,270,343		
Martin	533,817	547,167	547,167		
Space Institute	84,401	86,512	86,512		
Health Science Center					
<i>Memphis Other Specialized Units</i>	\$ 1,467,332	\$ 1,504,028	\$ 1,504,028		
<i>College of Medicine Units</i>					
<i>Family Medicine Units</i>					
Sub-Total Health Science Center	\$ 1,467,332	\$ 1,504,028	\$ 1,504,028		
Agricultural Units					
<i>Agricultural Experiment Station</i>	\$ 108,473	\$ 111,186	\$ 111,186		
<i>Extension</i>	106,016	108,667	108,667		
<i>College of Veterinary Medicine</i>	311,172	318,954	318,954		
Sub-Total Agricultural Units	\$ 525,661	\$ 538,807	\$ 538,807		
Public Service Units					
<i>Institute for Public Service</i>	\$ 13,559	\$ 13,898	\$ 13,898		
<i>Municipal Technical Advisory Service</i>	1,769	1,813	1,813		
<i>County Technical Assistance Service</i>	1,769	1,813	1,813		
Sub-Total Public Service Units	\$ 17,097	\$ 17,524	\$ 17,524		
System Administration	74,378	76,238	76,238		
Total State Appropriations - Access & Diversity	\$ 5,550,100	\$ 5,688,900	\$ 5,688,900		

12.1

**University of Tennessee System**  
Educational and General Unrestricted Net Assets

	Total System	Chattanooga	Knoxville	Martin	Space Institute	Health Science Center	Institute of Agriculture	Institute for Public Service	University-Wide Administration
<b>FY 2011-12 ACTUAL</b>									
Estimated Net Assets at Beginning of Year	\$ 159,180,466	\$ 9,783,988	\$ 26,758,864	\$ 13,801,247	\$ 555,561	\$ 53,713,605	\$ 22,143,617	\$ 1,222,570	\$ 31,201,014
Operating Funds									
Revenue	\$ 1,075,944,729	121,422,086	484,607,071	83,342,196	9,383,600	223,570,831	115,502,448	\$ 15,532,363	22,584,136
Less: Expenditures and Transfers	(1,089,231,971)	(122,638,346)	(482,513,686)	(87,885,870)	(9,427,724)	(226,026,302)	(117,819,155)	(15,305,240)	(27,615,648)
Carryover Funds To/(From) Net Assets	\$ (13,287,242)	\$ (1,216,260)	\$ 2,093,385	\$ (4,543,674)	\$ (44,124)	\$ (2,455,471)	\$ (2,316,707)	\$ 227,123	\$ (5,031,512)
<b>Net Assets Detail:</b>									
<b>ALLOCATED</b>									
Working Capital	\$ 22,930,461	\$ 3,203,156	\$ 8,448,428	\$ 923,610	\$ 78,773	\$ 5,881,237	\$ 990,036	\$ 106,841	\$ 3,298,379
Revolving Funds	24,315,982		644,510			3,119,955			20,551,517
Encumbrances	5,915,349	25,571	1,927,537	369,553		2,286,799	1,305,890		
Unexpended Gifts									
Reserve for Reappropriations	49,047,440			4,500,000		30,189,000	12,826,700	750,000	781,740
Total Allocated Net Assets	102,209,232	3,228,727	11,020,475	5,793,163	78,773	41,476,991	15,122,626	856,841	24,631,636
<b>UNALLOCATED</b>									
Total Net Assets	\$ 43,683,992	\$ 5,339,000	\$ 17,831,776	\$ 3,464,409	\$ 432,664	\$ 9,781,143	\$ 4,704,284	\$ 592,852	\$ 1,537,866
Percent Unallocated of Expend. & Transfers *	4.01%	4.35%	3.70%	3.94%	4.59%	4.33%	3.99%	3.87%	3.96%
<b>FY 2012-13 ACTUAL</b>									
Estimated Net Assets at Beginning of Year	\$ 145,893,224	\$ 8,567,727	\$ 28,852,251	\$ 9,257,572	\$ 511,437	\$ 51,258,134	\$ 19,826,910	\$ 1,449,693	\$ 26,169,502
Operating Funds									
Revenue	\$ 1,143,156,781	\$ 127,974,032	\$ 513,650,550	\$ 86,575,908	\$ 9,750,584	\$ 247,913,602	\$ 122,561,132	\$ 16,450,311	\$ 18,280,662
Less: Expenditures and Transfers	(1,131,358,644)	(128,023,972)	(516,116,447)	(87,306,819)	(9,755,043)	(230,745,771)	(119,573,183)	(16,806,725)	(23,030,684)
Carryover Funds To/(From) Net Assets	\$ 11,798,137	\$ (49,940)	\$ (2,465,897)	\$ (730,911)	\$ (4,459)	\$ 17,167,831	\$ 2,987,949	\$ (356,414)	\$ (4,750,022)
<b>Net Assets Detail:</b>									
<b>ALLOCATED</b>									
Working Capital	\$ 25,696,185	\$ 2,815,312	\$ 6,116,269	\$ 1,356,161	\$ 30,821	\$ 5,850,208	\$ 5,564,625	\$ 70,685	\$ 3,892,104
Revolving Funds	18,079,674		459,848			2,182,042			15,437,784
Encumbrances	5,994,570	2,474	1,750,075	414,347		2,504,881	1,322,793		
Unexpended Gifts									
Reserve for Reappropriations	65,483,404			3,000,000		48,724,440	12,210,000	\$ 350,000	1,198,964
Total Allocated Net Assets	\$ 115,253,833	\$ 2,817,786	\$ 8,326,192	\$ 4,770,508	\$ 30,821	\$ 59,261,571	\$ 19,097,418	\$ 420,685	\$ 20,528,852
<b>UNALLOCATED</b>									
Total Net Assets	\$ 42,437,530	\$ 5,700,000	\$ 18,060,163	\$ 3,756,153	\$ 476,157	\$ 9,164,394	\$ 3,717,441	\$ 672,594	\$ 890,628
Percent Unallocated of Expend. & Transfers *	3.75%	4.45%	3.50%	4.30%	4.88%	3.97%	3.11%	4.00%	2.50%
<i>* Recommended percent unallocated of expenditures and transfers is 2% to 5%. For UWA, transfers-in for system charge is excluded from this calculation.</i>									
<b>FY 2013-14 REVISED BUDGET</b>									
Estimated Net Assets at Beginning of Year	\$ 157,691,361	\$ 8,517,786	\$ 26,386,355	\$ 8,526,661	\$ 506,978	\$ 68,425,965	\$ 22,814,859	\$ 1,093,279	\$ 21,419,480
Operating Funds									
Revenue	\$ 1,179,724,128	\$ 133,275,658	\$ 543,119,329	\$ 89,161,105	\$ 10,227,412	\$ 242,352,880	\$ 123,612,387	\$ 16,891,319	\$ 21,084,038
Less: Expenditures and Transfers	(1,231,744,319)	(133,209,078)	(543,119,329)	(89,161,105)	(10,227,412)	(281,399,088)	(136,345,796)	(17,079,886)	(21,202,625)
Carryover Funds To/(From) Net Assets	\$ (52,020,191)	\$ 66,580	\$ -	\$ -	\$ -	\$ (39,046,208)	\$ (12,733,409)	\$ (188,567)	\$ (118,587)
<b>Net Assets Detail:</b>									
<b>ALLOCATED</b>									
Working Capital	\$ 25,625,501	\$ 2,815,312	\$ 6,116,269	\$ 1,356,161	\$ 30,821	\$ 5,850,209	\$ 5,564,625		\$ 3,892,104
Revolving Funds	18,079,674		459,848			2,182,042			15,437,784
Encumbrances	4,964,120	2,474	1,750,075	414,347		1,875,579	921,645		
Unexpended Gifts									
Reserve for Reappropriations	13,557,534			2,500,000		10,307,534		\$ 350,000	400,000
Total Allocated Net Assets	\$ 62,226,829	\$ 2,817,786	\$ 8,326,192	\$ 4,270,508	\$ 30,821	\$ 20,215,364	\$ 6,486,270	\$ 350,000	\$ 19,729,888
<b>UNALLOCATED</b>									
Total Net Assets	\$ 43,444,341	\$ 5,766,580	\$ 18,060,163	\$ 4,256,153	\$ 476,157	\$ 9,164,393	\$ 3,595,180	\$ 554,712	\$ 1,571,005
Percent Unallocated of Expend. & Transfers *	3.53%	4.33%	3.33%	4.77%	4.66%	3.26%	2.64%	3.25%	4.56%
<i>* Recommended percent unallocated of expenditures and transfers is 2% to 5%. For UWA, transfers-in for system charge is excluded from this calculation.</i>									

## University of Tennessee System

### Auxiliary Unrestricted Net Assets

	Total System	Chattanooga	Knoxville	Martin	Space Institute	Health Science Center
<b>FY 2011-12 ACTUAL</b>						
<b>Estimated Net Assets at Beginning of Year</b>	\$ 21,372,684	\$ 1,445,969	\$ 18,674,442	\$ 1,129,889	\$ 20,764	\$ 101,620
Operating Funds						
Revenue	\$ 199,764,805	\$ 11,998,166	\$ 172,129,555	\$ 12,869,324	\$ 159,336	\$ 2,608,424
Less: Expenditures and Transfers	(206,239,967)	(12,239,749)	(178,186,832)	(13,058,080)	(157,521)	(2,597,785)
Carryover Funds To/(From) Net Assets	\$ (6,475,162)	\$ (241,583)	\$ (6,057,277)	\$ (188,756)	\$ 1,815	\$ 10,639
<b>ALLOCATED</b>						
Working Capital	\$ 7,355,847	\$ 746,386	\$ 6,225,020	\$ 360,585	\$ 7,794	\$ 16,062
Revolving Funds	1,915,596		1,915,596			
Encumbrances	118,213			106,988		11,225
Total Allocated Net Assets	\$ 9,389,656	\$ 746,386	\$ 8,140,616	\$ 467,573	\$ 7,794	\$ 27,287
<b>UNALLOCATED</b>						
<b>Total Net Assets</b>	<b>\$ 14,897,522</b>	<b>\$ 1,204,386</b>	<b>\$ 12,617,165</b>	<b>\$ 941,133</b>	<b>\$ 22,579</b>	<b>\$ 112,259</b>
<i>Percent Unallocated of Expend. &amp; Transfers</i>	2.67%	3.74%	2.51%	3.63%	9.39%	3.27%
<b>FY 2012-13 ACTUAL</b>						
<b>Estimated Net Assets at Beginning of Year</b>	\$ 14,897,522	\$ 1,204,386	\$ 12,617,165	\$ 941,133	\$ 22,579	\$ 112,259
Operating Funds						
Revenue	\$ 199,171,124	\$ 12,457,401	\$ 173,429,399	\$ 10,830,742	\$ 206,244	\$ 2,247,338
Less: Expenditures and Transfers	(193,507,343)	(12,393,610)	(167,674,306)	(10,975,800)	(216,159)	(2,247,468)
Carryover Funds To/(From) Net Assets	\$ 5,663,781	\$ 63,791	\$ 5,755,093	\$ (145,058)	\$ (9,915)	\$ (130)
<b>ALLOCATED</b>						
Working Capital	\$ 7,302,481	\$ 818,021	\$ 6,198,724	\$ 257,035	\$ 5,428	\$ 23,273
Revolving Funds	6,633,689		6,633,689			
Encumbrances	31,723			31,518		205
Total Allocated Net Assets	\$ 13,967,893	\$ 818,021	\$ 12,832,413	\$ 288,553	\$ 5,428	\$ 23,478
<b>UNALLOCATED</b>						
<b>Total Net Assets</b>	<b>\$ 6,593,410</b>	<b>\$ 450,156</b>	<b>\$ 5,539,845</b>	<b>\$ 507,522</b>	<b>\$ 7,236</b>	<b>\$ 88,651</b>
<i>Percent Unallocated of Expend. &amp; Transfers</i>	3.41%	3.63%	3.30%	4.62%	3.35%	3.94%
<b>FY 2013-14 REVISED BUDGET</b>						
<b>Estimated Net Assets at Beginning of Year</b>	\$ 20,561,303	\$ 1,268,177	\$ 18,372,258	\$ 796,075	\$ 12,664	\$ 112,129
Operating Funds						
Revenue	\$ 193,337,830	\$ 8,451,931	\$ 171,291,952	\$ 11,551,952	\$ 197,000	\$ 1,844,995
Less: Expenditures and Transfers	(193,337,830)	(8,451,931)	(171,291,952)	(11,551,952)	(197,000)	(1,844,995)
Carryover Funds To/(From) Net Assets	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>ALLOCATED</b>						
Working Capital	\$ 7,355,913	\$ 871,453	\$ 6,198,724	\$ 257,035	\$ 5,428	\$ 23,273
Revolving Funds	6,633,689		6,633,689			
Encumbrances	31,723			31,518		205
Total Allocated Net Assets	\$ 14,021,325	\$ 871,453	\$ 12,832,413	\$ 288,553	\$ 5,428	\$ 23,478
<b>UNALLOCATED</b>						
<b>Total Net Assets</b>	<b>\$ 6,539,978</b>	<b>\$ 396,724</b>	<b>\$ 5,539,845</b>	<b>\$ 507,522</b>	<b>\$ 7,236</b>	<b>\$ 88,651</b>
<i>Percent Unallocated of Expend. &amp; Transfers</i>	3.38%	4.69%	3.23%	4.39%	3.67%	4.80%

12.1

\* Recommended percent unallocated of expenditures and transfers is 3% to 5%

**University of Tennessee System**  
**FY 2014 Revised Budget Summary**  
**Current Funds Revenues, Expenditures, and Transfers - UNRESTRICTED**

	Total System	Chattanooga	Knoxville	Martin	Space Institute	Health Science Center	Institute of Agriculture	Institute for Public Service	University-Wide Administration
<b>EDUCATIONAL AND GENERAL</b>									
<b>Revenues</b>									
Tuition & Fees	\$ 565,908,764	\$ 90,632,148	\$ 330,656,359	\$ 58,534,954	\$ 1,653,900	\$ 73,170,744	\$ 11,260,659		
State Appropriations	469,682,423	37,449,681	177,486,343	26,337,767	7,995,512	132,428,051	73,363,607	\$ 9,899,924	\$ 4,721,538
Grants & Contracts	41,762,792	616,230	20,560,000	310,500	461,000	15,209,047	4,327,794	278,221	
Sales & Service	50,511,546	4,340,172	4,332,641	3,321,084	100,000		18,661,256		
Other Sources	51,858,603	237,427	10,083,986	656,800	17,000	2,883,782	14,903,934	6,713,174	16,362,500
<b>Total Revenues</b>	<b>\$ 1,179,724,128</b>	<b>\$ 133,275,658</b>	<b>\$ 543,119,329</b>	<b>\$ 89,161,105</b>	<b>\$ 10,227,412</b>	<b>\$ 242,352,880</b>	<b>\$ 123,612,387</b>	<b>\$ 16,891,319</b>	<b>\$ 21,084,038</b>
<b>Expenditures and Transfers</b>									
Instruction	\$ 522,157,755	\$ 60,690,230	\$ 245,415,965	\$ 42,203,839	\$ 3,778,263	\$ 136,263,447	\$ 33,806,011		
Research	96,477,561	2,020,402	35,186,883	396,828	2,050,276	10,886,730	45,936,442		
Public Service	77,682,916	2,424,023	10,960,509	609,274		40,321	48,414,149	\$ 15,234,640	
Academic Support	146,722,452	10,180,296	68,666,664	10,762,525	319,317	48,672,536	7,807,528	313,586	
Student Services	76,802,244	20,826,081	39,199,763	10,761,255	48,404	5,966,741			
Institutional Support	145,777,259	10,718,253	41,074,340	5,902,761	1,451,232	36,823,188	2,505,235	1,165,125	\$ 46,137,125
Op/Maint Physical Plant	129,779,757	17,601,122	68,337,397	11,528,805	2,007,718	26,800,748	3,503,967		
Scholarships & Fellowships	77,741,340	10,773,407	49,742,431	8,055,619	280,944	8,849,881	39,058		
Sub-total Expenditures	\$ 1,273,141,284	\$ 135,233,814	\$ 558,583,952	\$ 90,220,906	\$ 9,936,154	\$ 274,303,592	\$ 142,012,390	\$ 16,713,351	\$ 46,137,125
Mandatory Transfers	7,380,997	774,165	1,701,536	746,700		4,023,596			135,000
Non Mandatory Transfers	(48,777,962)	(2,798,901)	(17,166,159)	(1,806,501)	291,258	3,071,900	(5,666,594)	366,535	(25,069,500)
Total Expenditures & Transfers	\$ 1,231,744,319	\$ 133,209,078	\$ 543,119,329	\$ 89,161,105	\$ 10,227,412	\$ 281,399,088	\$ 136,345,796	\$ 17,079,886	\$ 21,202,625
<b>Fund Balance Addition/(Reduction)</b>	<b>\$ (52,020,191)</b>	<b>\$ 66,580</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ (39,046,208)</b>	<b>\$ (12,733,409)</b>	<b>\$ (188,567)</b>	<b>\$ (118,587)</b>
<b>AUXILIARIES</b>									
<b>Revenues</b>	\$ 193,337,830	\$ 8,451,931	\$ 171,291,952	\$ 11,551,952	\$ 197,000	\$ 1,844,995			
<b>Expenditures and Transfers</b>									
Expenditures	\$ 146,379,773	\$ 4,648,962	\$ 132,197,162	\$ 7,799,281	\$ 254,110	\$ 1,480,258			
Mandatory Transfers	27,030,511	1,948,402	21,537,220	3,180,152		364,737			
Non-Mandatory Transfers	19,927,546	1,854,567	17,557,570	572,519	(57,110)				
Total Expenditures & Transfers	\$ 193,337,830	\$ 8,451,931	\$ 171,291,952	\$ 11,551,952	\$ 197,000	\$ 1,844,995			
<b>Fund Balance Addition/(Reduction)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>TOTALS</b>									
<b>Revenues</b>	\$ 1,373,061,958	\$ 141,727,589	\$ 714,411,281	\$ 100,713,057	\$ 10,424,412	\$ 244,197,875	\$ 123,612,387	\$ 16,891,319	\$ 21,084,038
<b>Expenditures and Transfers</b>									
Expenditures	\$ 1,419,521,057	\$ 139,882,776	\$ 690,781,114	\$ 98,020,187	\$ 10,190,264	\$ 275,783,850	\$ 142,012,390	\$ 16,713,351	\$ 46,137,125
Mandatory Transfers	34,411,508	2,722,567	23,238,756	3,926,852		4,388,333			135,000
Non-Mandatory Transfers	(28,850,416)	(944,334)	391,411	(1,233,982)	234,148	3,071,900	(5,666,594)	366,535	-25,069,500
Total Expenditures & Transfers	\$ 1,425,082,149	\$ 141,661,009	\$ 714,411,281	\$ 100,713,057	\$ 10,424,412	\$ 283,244,083	\$ 136,345,796	\$ 17,079,886	\$ 21,202,625
<b>Fund Balance Addition/(Reduction)</b>	<b>\$ (52,020,191)</b>	<b>\$ 66,580</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ (39,046,208)</b>	<b>\$ (12,733,409)</b>	<b>\$ (188,567)</b>	<b>\$ (118,587)</b>



## University of Tennessee System FY 2014 Revised Budget Summary

Current Funds Revenues, Expenditures and Transfers - UNRESTRICTED AND RESTRICTED

	Total System	Chattanooga	Knoxville	Martin	Space Institute	Health Science Center	Institute of Agriculture	Institute for Public Service	University-Wide Administration
<b>EDUCATIONAL AND GENERAL</b>									
<b>Revenues</b>									
Tuition & Fees	\$ 565,908,764	\$ 90,632,148	\$ 330,656,359	\$ 58,534,954	\$ 1,653,900	\$ 73,170,744	\$ 11,260,659		
State Appropriations	490,641,141	38,241,742	187,995,143	26,642,265	8,849,614	135,003,987	74,286,928	\$ 9,899,924	\$ 9,721,538
Grants & Contracts	575,428,350	48,435,824	244,851,200	33,880,500	1,383,000	198,829,047	43,400,958	3,447,821	1,200,000
Sales & Service	50,511,546	4,340,172	4,332,641	3,321,084	100,000	18,661,256	19,756,393		
Other Sources	118,927,531	9,754,926	40,383,986	3,416,988	63,000	22,102,023	19,161,088	7,298,020	16,747,500
<b>Total Revenues</b>	<b>\$ 1,801,417,332</b>	<b>\$ 191,404,812</b>	<b>\$ 808,219,329</b>	<b>\$ 125,795,791</b>	<b>\$ 12,049,514</b>	<b>\$ 447,767,057</b>	<b>\$ 167,866,026</b>	<b>\$ 20,645,765</b>	<b>\$ 27,669,038</b>
<b>Expenditures and Transfers</b>									
Instruction	\$ 676,438,624	\$ 67,530,628	\$ 255,415,965	\$ 44,051,025	\$ 3,778,263	\$ 269,863,447	\$ 35,799,296		
Research	288,522,904	5,792,643	148,186,883	428,328	3,820,378	57,186,730	68,107,942		\$ 5,000,000
Public Service	139,921,861	3,499,822	38,460,509	1,629,974		9,045,321	67,097,149	\$ 18,989,086	1,200,000
Academic Support	172,730,590	13,206,089	80,466,664	10,856,425	319,317	59,677,536	7,890,973	313,586	
Student Services	78,369,144	21,576,081	39,599,763	11,180,655	48,404	5,964,241			
Institutional Support	147,380,523	10,991,917	41,224,340	5,920,061	1,491,232	36,973,188	3,132,535	1,165,125	46,482,125
Op/Maint Physical Plant	130,144,706	17,715,321	68,587,397	11,528,805	2,007,718	26,800,748	3,504,717		
Scholarships/Fellowships	260,322,870	52,717,237	151,742,431	41,260,319	292,944	14,049,881	220,058		40,000
<b>Sub-Total Expenditures</b>	<b>\$ 1,893,831,222</b>	<b>\$ 193,029,738</b>	<b>\$ 823,683,952</b>	<b>\$ 126,855,592</b>	<b>\$ 11,758,256</b>	<b>\$ 479,561,092</b>	<b>\$ 185,752,670</b>	<b>\$ 20,467,797</b>	<b>\$ 52,722,125</b>
Mandatory Transfers	7,380,997	774,165	1,701,536	746,700		4,023,596			135,000
Non Mandatory Transfers	(48,777,962)	(2,798,901)	(17,166,159)	(1,806,501)	291,258	3,071,900	(5,666,594)	366,535	(25,069,500)
<b>Total Expenditures &amp; Transfers</b>	<b>\$ 1,852,434,257</b>	<b>\$ 191,005,002</b>	<b>\$ 808,219,329</b>	<b>\$ 125,795,791</b>	<b>\$ 12,049,514</b>	<b>\$ 486,656,588</b>	<b>\$ 180,086,076</b>	<b>\$ 20,834,332</b>	<b>\$ 27,787,625</b>
<b>Fund Balance Addition/(Reduction)</b>	<b>\$ (51,016,925)</b>	<b>\$ 399,810</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ (38,889,531)</b>	<b>\$ (12,220,050)</b>	<b>\$ (188,567)</b>	<b>\$ (118,587)</b>
<b>AUXILIARIES</b>									
<b>Revenues</b>	\$ 193,937,830	\$ 8,451,931	\$ 171,891,952	\$ 11,551,952	\$ 197,000	\$ 1,844,995			
<b>Expenditures &amp; Transfers</b>									
Expenditures	146,979,773	4,648,962	132,797,162	7,799,281	254,110	1,480,258			
Mandatory Transfers	27,030,511	1,948,402	21,537,220	3,180,152		364,737			
Non Mandatory Transfers	19,927,546	1,854,567	17,557,570	572,519	(57,110)				
<b>Total Expenditures &amp; Transfers</b>	<b>\$ 193,937,830</b>	<b>\$ 8,451,931</b>	<b>\$ 171,891,952</b>	<b>\$ 11,551,952</b>	<b>\$ 197,000</b>	<b>\$ 1,844,995</b>			
<b>Fund Balance Addition/(Reduction)</b>									
<b>TOTALS</b>									
<b>Revenues</b>	\$ 1,995,355,162	\$ 199,856,743	\$ 980,111,281	\$ 137,347,743	\$ 12,246,514	\$ 449,612,052	\$ 167,866,026	\$ 20,645,765	\$ 27,669,038
<b>Expenditures &amp; Transfers</b>									
Expenditures	\$ 2,040,810,995	\$ 197,678,700	\$ 956,481,114	\$ 134,654,873	\$ 12,012,366	\$ 481,041,350	\$ 185,752,670	\$ 20,467,797	\$ 52,722,125
Mandatory Transfers	34,411,508	2,722,567	23,238,756	3,926,852		4,388,333			135,000
Non Mandatory Transfers	(28,850,416)	(944,334)	391,411	(1,233,982)	234,148	3,071,900	(5,666,594)	366,535	(25,069,500)
<b>Total Expenditures &amp; Transfers</b>	<b>\$ 2,046,372,087</b>	<b>\$ 199,456,933</b>	<b>\$ 980,111,281</b>	<b>\$ 137,347,743</b>	<b>\$ 12,246,514</b>	<b>\$ 488,501,583</b>	<b>\$ 180,086,076</b>	<b>\$ 20,834,332</b>	<b>\$ 27,787,625</b>
<b>Fund Balance Addition/(Reduction)</b>	<b>\$ (51,016,925)</b>	<b>\$ 399,810</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ (38,889,531)</b>	<b>\$ (12,220,050)</b>	<b>\$ (188,567)</b>	<b>\$ (118,587)</b>

**University of Tennessee System**

**Five Year Budget Summary Comparison**

Current Funds Revenues, Expenditures and Transfers - UNRESTRICTED

	FY 2010 ACTUAL	FY 2011 ACTUAL	FY 2012 ACTUAL	FY 2013 ACTUAL	FY 2014 REVISED	FIVE YEAR CHANGE	
						AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>							
<b>Revenues</b>							
Tuition & Fees	\$ 404,492,792	\$ 448,985,458	\$ 503,560,202	\$ 533,809,389	\$ 565,908,764	\$ 161,415,972	39.9 %
State Appropriations	493,655,975	547,904,679	413,343,445	431,850,267	469,682,423	(23,973,552)	-4.9 %
Grants & Contracts	53,956,891	48,030,770	49,090,830	49,542,582	41,762,792	(12,194,099)	-22.6 %
Sales & Service	51,284,074	53,401,514	55,117,066	57,856,330	50,511,546	(772,528)	-1.5 %
Other Sources	56,569,899	54,598,020	54,833,187	70,098,212	51,858,603	(4,711,296)	-8.3 %
Total Revenues	\$ 1,059,959,631	\$ 1,152,920,441	\$ 1,075,944,729	\$ 1,143,156,780	\$ 1,179,724,128	\$ 119,764,497	11.3 %
<b>Expenditures and Transfers</b>							
Instruction	\$ 406,155,354	\$ 416,108,737	\$ 427,881,549	\$ 455,174,572	\$ 522,157,755	\$ 116,002,401	28.6 %
Research	71,473,144	71,584,378	81,768,794	86,634,810	96,477,561	25,004,417	35.0 %
Public Service	64,376,209	67,160,007	65,533,281	70,315,078	77,682,916	13,306,707	20.7 %
Academic Support	109,822,900	123,213,093	118,367,805	130,694,151	146,722,452	36,899,552	33.6 %
Student Services	76,029,939	76,356,504	82,788,622	84,118,134	76,802,244	772,305	1.0 %
Institutional Support	101,730,693	107,386,429	122,428,550	122,698,075	145,777,259	44,046,566	43.3 %
Op/Maint Physical Plant	103,430,455	118,655,716	117,451,028	118,493,896	129,779,757	26,349,302	25.5 %
Scholarships & Fellowships	53,293,356	61,243,822	68,903,135	74,479,780	77,741,340	24,447,984	45.9 %
Sub-Total Expenditures	\$ 986,312,050	\$ 1,041,708,686	\$ 1,085,122,764	\$ 1,142,608,497	\$ 1,273,141,284	\$ 286,829,234	29.1 %
Mandatory Transfers	6,920,547	7,226,436	7,159,721	6,273,292	7,380,997	460,450	6.7 %
Non Mandatory Transfers	29,839,063	93,802,280	(3,050,514)	(17,523,145)	(48,777,962)	(78,617,025)	-263.5 %
Total Expenditures & Transfers	\$ 1,023,071,660	\$ 1,142,737,402	\$ 1,089,231,971	\$ 1,131,358,644	\$ 1,231,744,319	\$ 208,672,659	20.4 %
<b>Fund Balance Addition/(Reduction)</b>	\$ 36,887,971	\$ 10,183,039	\$ (13,287,242)	\$ 11,798,136	\$ (52,020,191)		
<b>AUXILIARIES</b>							
<b>Revenues</b>	\$ 192,521,124	\$ 197,856,791	\$ 199,764,806	\$ 199,171,124	\$ 193,337,830	\$ 816,706	0.4 %
<b>Expenditures and Transfers</b>							
Expenditures	\$ 131,386,312	\$ 141,182,612	\$ 142,431,466	\$ 148,395,318	\$ 146,379,773	\$ 14,993,461	11.4 %
Mandatory Transfers	22,428,283	23,923,901	26,171,577	27,857,526	27,030,511	4,602,228	20.5 %
Non-Mandatory Transfers	37,786,131	31,328,085	37,636,923	17,254,499	19,927,546	(17,858,585)	-47.3 %
Total Expenditures & Transfers	\$ 191,600,726	\$ 196,434,598	\$ 206,239,966	\$ 193,507,343	\$ 193,337,830	\$ 1,737,104	0.9 %
<b>Fund Balance Addition/(Reduction)</b>	\$ 920,398	\$ 1,422,193	\$ (6,475,161)	\$ 5,663,782	\$ -		
<b>TOTALS</b>							
<b>Revenues</b>	\$ 1,252,480,755	\$ 1,350,777,232	\$ 1,275,709,534	\$ 1,342,327,905	\$ 1,373,061,958	\$ 120,581,203	9.6 %
<b>Expenditures and Transfers</b>							
Expenditures	\$ 1,117,698,362	\$ 1,182,891,298	\$ 1,227,554,230	\$ 1,291,003,814	\$ 1,419,521,057	\$ 301,822,695	27.0 %
Mandatory Transfers	29,348,830	31,150,337	33,331,298	34,130,818	34,411,508	5,062,678	17.3 %
Non-Mandatory Transfers	67,625,194	125,130,365	34,586,409	(268,646)	(28,850,416)	(96,475,610)	-142.7 %
Total Expenditures & Transfers	\$ 1,214,672,386	\$ 1,339,172,000	\$ 1,295,471,937	\$ 1,324,865,986	\$ 1,425,082,149	\$ 210,409,763	17.3 %
<b>Fund Balance Addition/(Reduction)</b>	\$ 37,808,369	\$ 11,605,231	\$ (19,762,402)	\$ 17,461,918	\$ (52,020,191)		

**University of Tennessee System**

**Five Year Budget Summary Comparison**

Current Funds Revenues, Expenditures and Transfers - UNRESTRICTED AND RESTRICTED

	FY 2010 ACTUAL	FY 2011 ACTUAL	FY 2012 ACTUAL	FY 2013 ACTUAL	FY 2014 REVISED	FIVE YEAR CHANGE	
						AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>							
<b>Revenues</b>							
Tuition & Fees	\$ 404,492,792	\$ 448,985,458	\$ 503,560,202	\$ 533,809,389	\$ 565,908,764	\$ 161,415,972	39.9 %
State Appropriations	516,305,505	569,824,231	434,160,502	447,473,296	490,641,141	(25,664,364)	(5.0) %
Grants & Contracts	515,893,622	588,820,147	599,409,965	574,519,330	575,428,350	59,534,728	11.5 %
Sales & Service	51,284,074	53,401,514	55,117,066	57,856,330	50,511,546	(772,528)	(1.5) %
Other Sources	128,964,941	116,974,367	113,360,279	152,144,385	118,927,531	(10,037,410)	(7.8) %
<b>Total Revenues</b>	<b>\$ 1,616,940,934</b>	<b>\$ 1,778,005,717</b>	<b>\$ 1,705,608,013</b>	<b>\$ 1,765,802,731</b>	<b>\$ 1,801,417,332</b>	<b>\$ 184,476,398</b>	<b>11.4 %</b>
<b>Expenditures and Transfers</b>							
Instruction	\$ 530,487,274	\$ 561,323,284	\$ 581,734,237	\$ 611,569,394	\$ 676,438,624	\$ 145,951,350	27.5 %
Research	248,046,615	263,910,986	275,074,925	277,762,160	288,522,904	40,476,289	16.3 %
Public Service	128,580,177	158,439,054	159,006,576	133,120,201	139,921,861	11,341,685	8.8 %
Academic Support	122,912,761	141,363,492	142,495,203	158,683,987	172,730,590	49,817,829	40.5 %
Student Services	79,291,734	79,778,059	84,436,897	86,057,765	78,369,144	(922,590)	(1.2) %
Institutional Support	103,937,697	109,799,114	125,005,498	125,048,887	147,380,523	43,442,826	41.8 %
Op/Maint Physical Plant	103,490,676	118,763,902	117,662,170	119,145,974	130,144,706	26,654,030	25.8 %
Scholarships & Fellowships	210,221,367	234,191,230	241,007,048	250,331,559	260,322,870	50,101,503	23.8 %
Sub-Total Expenditures	\$ 1,526,968,301	\$ 1,667,569,122	\$ 1,726,422,554	\$ 1,761,719,928	\$ 1,893,831,222	\$ 366,862,921	24.0 %
Mandatory Transfers	6,920,547	7,226,436	7,159,721	6,273,292	7,380,997	460,450	6.7 %
Non Mandatory Transfers	29,839,063	93,802,280	(3,050,514)	(17,523,145)	(48,777,962)	(78,617,025)	(263.5) %
<b>Total Expenditures &amp; Transfers</b>	<b>\$ 1,563,727,911</b>	<b>\$ 1,768,597,838</b>	<b>\$ 1,730,531,761</b>	<b>\$ 1,750,470,075</b>	<b>\$ 1,852,434,257</b>	<b>\$ 288,706,346</b>	<b>18.5 %</b>
<b>Fund Balance Addition/(Reduction)</b>	<b>\$ 53,213,023</b>	<b>\$ 9,407,879</b>	<b>\$ (24,923,748)</b>	<b>\$ 15,332,656</b>	<b>\$ (51,016,925)</b>		
<b>AUXILIARIES</b>							
<b>Revenues</b>	\$ 193,135,354	\$ 198,601,840	\$ 200,291,433	\$ 199,645,425	\$ 193,937,830	\$ 802,476	0.4 %
<b>Expenditures and Transfers</b>							
Expenditures	\$ 131,713,944	\$ 141,571,262	\$ 143,122,269	\$ 149,454,826	\$ 146,979,773	\$ 15,265,829	11.6 %
Mandatory Transfers	22,428,283	23,923,901	26,171,577	27,857,526	27,030,511	4,602,228	20.5 %
Non-Mandatory Transfers	37,786,131	31,328,085	37,636,923	17,254,499	19,927,546	(17,858,585)	(47.3) %
<b>Total Expenditures &amp; Transfers</b>	<b>\$ 191,928,357</b>	<b>\$ 196,823,248</b>	<b>\$ 206,930,769</b>	<b>\$ 194,566,851</b>	<b>\$ 193,937,830</b>	<b>\$ 2,009,473</b>	<b>1.0 %</b>
<b>Fund Balance Addition/(Reduction)</b>	<b>\$ 1,206,997</b>	<b>\$ 1,778,592</b>	<b>\$ (6,639,336)</b>	<b>\$ 5,078,574</b>	<b>\$ -</b>		
<b>TOTALS</b>							
<b>Revenues</b>	\$ 1,810,076,288	\$ 1,976,607,557	\$ 1,905,899,446	\$ 1,965,448,156	\$ 1,995,355,162	\$ 185,278,874	10.2 %
<b>Expenditures and Transfers</b>							
Expenditures	\$ 1,658,682,245	\$ 1,809,140,384	\$ 1,869,544,823	\$ 1,911,174,754	\$ 2,040,810,995	\$ 382,128,750	23.0 %
Mandatory Transfers	29,348,830	31,150,337	33,331,298	34,130,818	34,411,508	5,062,678	17.3 %
Non-Mandatory Transfers	67,625,194	125,130,365	34,586,409	(268,646)	(28,850,416)	(96,475,610)	(142.7) %
<b>Total Expenditures &amp; Transfers</b>	<b>\$ 1,755,656,268</b>	<b>\$ 1,965,421,086</b>	<b>\$ 1,937,462,530</b>	<b>\$ 1,945,036,926</b>	<b>\$ 2,046,372,087</b>	<b>\$ 290,715,819</b>	<b>16.6 %</b>
<b>Fund Balance Addition/(Reduction)</b>	<b>\$ 54,420,020</b>	<b>\$ 11,186,471</b>	<b>\$ (31,563,084)</b>	<b>\$ 20,411,230</b>	<b>\$ (51,016,925)</b>		

# University of Tennessee System

## FY 2014 Revised Budget Summary

Unrestricted and Restricted Current Funds Revenues, Expenditures and Transfers

	FY 2013 Actual			FY 2014 Original			FY 2014 Revised			CHANGE	
	Unrestricted	Restricted	Total	Unrestricted	Restricted	Total	Unrestricted	Restricted	Total	Original to Revised Amount	%
<b>EDUCATION AND GENERAL</b>											
<b>Revenues</b>											
Tuition & Fees	\$ 533,809,389		\$ 533,809,389	\$ 565,277,884		\$ 565,277,884	\$ 565,908,764		\$ 565,908,764	\$ 630,880	0.1%
State Appropriations	431,850,267	\$ 15,623,029	447,473,296	469,891,623	\$ 20,883,978	490,775,601	469,682,423	\$ 20,958,718	490,641,141	(134,460)	0.0%
Grants & Contracts	49,542,582	524,976,748	574,519,330	41,661,154	538,170,255	579,831,409	41,762,792	533,665,558	575,428,350	(4,403,059)	-0.8%
Sales & Service	57,856,330		57,856,330	49,534,483		49,534,483	50,511,546		50,511,546	977,063	2.0%
Other Sources	70,098,212	82,046,173	152,144,385	51,990,420	63,393,433	115,383,853	51,858,603	67,068,928	118,927,531	3,543,678	3.1%
<b>Total Revenues</b>	<b>\$ 1,143,156,780</b>	<b>\$ 622,645,951</b>	<b>\$ 1,765,802,731</b>	<b>\$ 1,178,355,564</b>	<b>\$ 622,447,666</b>	<b>\$ 1,800,803,230</b>	<b>\$ 1,179,724,128</b>	<b>\$ 621,693,204</b>	<b>\$ 1,801,417,332</b>	<b>\$ 614,102</b>	<b>0.0%</b>
<b>Expenditures and Transfers</b>											
Instruction	\$ 455,174,572	\$ 156,394,823	\$ 611,569,394	\$ 505,720,486	\$ 155,142,359	\$ 660,862,845	\$ 522,157,755	\$ 154,280,869	\$ 676,438,624	\$ 15,575,779	2.4%
Research	86,634,810	191,127,350	277,762,160	69,129,676	194,784,551	263,914,227	96,477,561	192,045,343	288,522,904	24,608,677	9.3%
Public Service	70,315,078	62,805,123	133,120,201	70,973,102	61,954,445	132,927,547	77,682,916	62,238,945	139,921,861	6,994,314	5.3%
Academic Support	130,694,151	27,989,836	158,683,987	134,311,788	26,058,132	160,369,920	146,722,452	26,008,138	172,730,590	12,360,670	7.7%
Student Services	84,118,134	1,939,631	86,057,765	72,823,106	1,602,420	74,425,526	76,802,244	1,566,900	78,369,144	3,943,618	5.3%
Institutional Support	122,698,075	2,350,811	125,048,887	127,723,651	1,698,444	129,422,095	145,777,259	1,603,264	147,380,523	17,958,428	13.9%
Operation & Maintenance of Plant	118,493,896	652,078	119,145,974	128,019,649	390,056	128,409,705	129,779,757	364,949	130,144,706	1,735,001	1.4%
Scholarships & Fellowships	74,479,780	175,851,779	250,331,559	76,812,910	181,022,889	257,835,799	77,741,340	182,581,530	260,322,870	2,487,071	1.0%
Sub-Total Expenditures	\$ 1,142,608,497	\$ 619,111,431	\$ 1,761,719,928	\$ 1,185,514,368	\$ 622,653,296	\$ 1,808,167,664	\$ 1,273,141,284	\$ 620,689,938	\$ 1,893,831,222	\$ 85,663,558	4.7%
Mandatory Transfers	6,273,292		6,273,292	7,380,997		7,380,997	7,380,997		7,380,997		
Non-Mandatory Transfers	(17,523,145)		(17,523,145)	(10,878,453)		(10,878,453)	(48,777,962)		(48,777,962)	(37,899,509)	348.4%
Total Expenditures & Transfers	\$ 1,131,358,644	\$ 619,111,431	\$ 1,750,470,075	\$ 1,182,016,912	\$ 622,653,296	\$ 1,804,670,208	\$ 1,231,744,319	\$ 620,689,938	\$ 1,852,434,257	\$ 47,764,049	2.6%
<b>Fund Balance Addition / (Reduction)</b>	<b>\$ 11,798,136</b>	<b>\$ 3,534,520</b>	<b>\$ 15,332,656</b>	<b>\$ (3,661,348)</b>	<b>\$ (205,630)</b>	<b>\$ (3,866,978)</b>	<b>\$ (52,020,191)</b>	<b>\$ 1,003,266</b>	<b>\$ (51,016,925)</b>		
<b>AUXILIARIES</b>											
<b>Revenues</b>											
	\$ 199,171,124	\$ 474,301	\$ 199,645,425	\$ 194,400,723	\$ 600,000	\$ 195,000,723	\$ 193,337,830	\$ 600,000	\$ 193,937,830	\$ (1,062,893)	-0.5%
<b>Expenditures and Transfers</b>											
Expenditures	\$ 148,395,318	\$ 1,059,509	\$ 149,454,826	\$ 147,445,931	\$ 600,000	\$ 148,045,931	\$ 146,379,773	\$ 600,000	\$ 146,979,773	\$ (1,066,158)	-0.7%
Mandatory Transfers	27,857,526		27,857,526	27,404,860		27,404,860	27,030,511		27,030,511	(374,349)	-1.4%
Non-Mandatory Transfers	17,254,499		17,254,499	19,549,932		19,549,932	19,927,546		19,927,546	377,614	1.9%
Total Expenditures & Transfers	\$ 193,507,343	\$ 1,059,509	\$ 194,566,851	\$ 194,400,723	\$ 600,000	\$ 195,000,723	\$ 193,337,830	\$ 600,000	\$ 193,937,830	\$ (1,062,893)	-0.5%
<b>Fund Balance Addition / (Reduction)</b>	<b>\$ 5,663,782</b>	<b>\$ (585,208)</b>	<b>\$ 5,078,574</b>								
<b>TOTALS</b>											
<b>Revenues</b>											
	\$ 1,342,327,905	\$ 623,120,252	\$ 1,965,448,156	\$ 1,372,756,287	\$ 623,047,666	\$ 1,995,803,953	\$ 1,373,061,958	\$ 622,293,204	\$ 1,995,355,162	\$ (448,791)	0.0%
<b>Expenditures and Transfers</b>											
Expenditures	\$ 1,291,003,814	\$ 620,170,940	\$ 1,911,174,754	\$ 1,332,960,299	\$ 623,253,296	\$ 1,956,213,595	\$ 1,419,521,057	\$ 621,289,938	\$ 2,040,810,995	\$ 84,597,400	4.3%
Mandatory Transfers	34,130,818		34,130,818	34,785,857		34,785,857	34,411,508		34,411,508	(374,349)	-1.1%
Non-Mandatory Transfers	(268,646)		(268,646)	8,671,479		8,671,479	(28,850,416)		(28,850,416)	(37,521,895)	-432.7%
Total Expenditures & Transfers	\$ 1,324,865,986	\$ 620,170,940	\$ 1,945,036,926	\$ 1,376,417,635	\$ 623,253,296	\$ 1,999,670,931	\$ 1,425,082,149	\$ 621,289,938	\$ 2,046,372,087	\$ 46,701,156	2.3%
<b>Fund Balance Addition / (Reduction)</b>	<b>\$ 17,461,918</b>	<b>\$ 2,949,312</b>	<b>\$ 20,411,230</b>	<b>\$ (3,661,348)</b>	<b>\$ (205,630)</b>	<b>\$ (3,866,978)</b>	<b>\$ (52,020,191)</b>	<b>\$ 1,003,266</b>	<b>\$ (51,016,925)</b>		

**University of Tennessee System**  
**FY 2014 Revised Budget - Natural Classifications**  
 Unrestricted Current Funds Expenditures

	Total System	Chattanooga	Knoxville	Martin	Space Institute	Health Science Center	Institute of Agriculture	Institute for Public Service	University-Wide Administration
<b>EDUCATIONAL AND GENERAL</b>									
<b>Salaries and Benefits</b>									
Salaries									
Academic	\$ 317,923,127	\$ 38,974,304	\$ 145,061,128	\$ 23,771,030	\$ 1,972,113	\$ 79,545,467	\$ 28,104,331	\$ 300,139	\$ 194,615
Non-Academic	291,092,199	29,935,163	108,340,881	19,243,155	2,968,469	57,741,217	40,906,049	9,219,364	22,737,901
Students	8,180,985	638,858	4,362,203	1,636,784		949,759	396,468	40,860	156,053
Total Salaries	\$ 617,196,311	\$ 69,548,325	\$ 257,764,212	\$ 44,650,969	\$ 4,940,582	\$ 138,236,443	\$ 69,406,848	\$ 9,560,363	\$ 23,088,569
Staff Benefits	207,434,740	24,123,478	84,211,752	17,024,034	1,731,895	43,538,111	26,370,020	3,149,099	7,286,351
Total Salaries and Benefits	\$ 824,631,051	\$ 93,671,803	\$ 341,975,964	\$ 61,675,003	\$ 6,672,477	\$ 181,774,554	\$ 95,776,868	\$ 12,709,462	\$ 30,374,920
Operating	415,992,837	39,758,469	201,989,033	27,154,135	3,190,793	78,577,093	45,790,405	3,870,704	15,662,205
Equipment and Capital Outlay	32,517,396	1,803,542	14,618,955	1,391,768	72,884	13,951,945	445,117	133,185	100,000
Total Expenditures	\$ 1,273,141,284	\$ 135,233,814	\$ 558,583,952	\$ 90,220,906	\$ 9,936,154	\$ 274,303,592	\$ 142,012,390	\$ 16,713,351	\$ 46,137,125

**AUXILIAIRES**

**Salaries and Benefits**

Salaries									
Academic	\$ 600,604	\$ 7,000	\$ 590,541	\$ 3,063					
Non-Academic	42,483,349	1,367,305	39,098,720	1,516,905	134,568	365,851			
Students	4,121,969	80,498	3,480,452	561,019					
Total Salaries	\$ 47,205,922	\$ 1,454,803	\$ 43,169,713	\$ 2,080,987	\$ 134,568	\$ 365,851			
Staff Benefits	12,582,593	459,261	11,274,827	680,960	24,000	143,545			
Total Salaries and Benefits	\$ 59,788,515	\$ 1,914,064	\$ 54,444,540	\$ 2,761,947	\$ 158,568	\$ 509,396			
Operating	85,888,388	2,724,928	77,076,422	5,020,634	95,542	970,862			
Equipment and Capital Outlay	702,870	9,970	676,200	16,700					
Total Expenditures	\$ 146,379,773	\$ 4,648,962	\$ 132,197,162	\$ 7,799,281	\$ 254,110	\$ 1,480,258			

**TOTALS**

**Salaries and Benefits**

Salaries									
Academic	\$ 318,523,731	\$ 38,981,304	\$ 145,651,669	\$ 23,774,093	\$ 1,972,113	\$ 79,545,467	\$ 28,104,331	\$ 300,139	\$ 194,615
Non-Academic	333,575,548	31,302,468	147,439,601	20,760,060	3,103,037	58,107,068	40,906,049	9,219,364	22,737,901
Students	12,302,954	719,356	7,842,655	2,197,803		949,759	396,468	40,860	156,053
Total Salaries	\$ 664,402,233	\$ 71,003,128	\$ 300,933,925	\$ 46,731,956	\$ 5,075,150	\$ 138,602,294	\$ 69,406,848	\$ 9,560,363	\$ 23,088,569
Staff Benefits	220,017,333	24,582,739	95,486,579	17,704,994	1,755,895	43,681,656	26,370,020	3,149,099	7,286,351
Total Salaries and Benefits	\$ 884,419,566	\$ 95,585,867	\$ 396,420,504	\$ 64,436,950	\$ 6,831,045	\$ 182,283,950	\$ 95,776,868	\$ 12,709,462	\$ 30,374,920
Operating	501,881,225	42,483,397	279,065,455	32,174,769	3,286,335	79,547,955	45,790,405	3,870,704	15,662,205
Equipment and Capital Outlay	33,220,266	1,813,512	15,295,155	1,408,468	72,884	13,951,945	445,117	133,185	100,000
Total Expenditures	\$ 1,419,521,057	\$ 139,882,776	\$ 690,781,114	\$ 98,020,187	\$ 10,190,264	\$ 275,783,850	\$ 142,012,390	\$ 16,713,351	\$ 46,137,125

**University of Tennessee System**  
**FY 2014 Revised Budget Summary - Natural Classifications**  
 Unrestricted Current Funds Expenditures

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE	
				ORIGINAL TO REVISED AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Salaries and Benefits</b>					
Salaries					
Academic	\$ 309,583,652	\$ 317,395,704	\$ 317,923,127	\$ 527,423	0.2 %
Non-Academic	285,407,559	286,063,312	291,092,199	5,028,887	1.8 %
Students	10,197,839	7,309,499	8,180,985	871,486	11.9 %
Total Salaries	\$ 605,189,049	\$ 610,768,515	\$ 617,196,311	\$ 6,427,796	1.1 %
Staff Benefits	202,864,792	206,221,308	207,434,740	1,213,432	0.6 %
Total Salaries and Benefits	\$ 808,053,841	\$ 816,989,823	\$ 824,631,051	\$ 7,641,228	0.9 %
Operating	302,198,952	345,877,010	415,992,837	70,115,827	20.3 %
Equipment and Capital Outlay	32,355,704	22,647,535	32,517,396	9,869,861	43.6 %
Total Expenditures	\$ 1,142,608,497	\$ 1,185,514,368	\$ 1,273,141,284	\$ 87,626,916	7.4 %

**AUXILIARIES****Salaries and Benefits**

Salaries					
Academic	\$ 562,213	\$ 602,779	\$ 600,604	\$ (2,175)	(0.4) %
Non-Academic	47,033,236	42,674,964	42,483,349	(191,615)	(0.4) %
Students	4,063,827	4,154,681	4,121,969	(32,712)	(0.8) %
Total Salaries	\$ 51,659,276	\$ 47,432,424	\$ 47,205,922	\$ (226,502)	(0.5) %
Staff Benefits	12,570,919	12,541,979	12,582,593	40,614	0.3 %
Total Salaries and Benefits	\$ 64,230,195	\$ 59,974,403	\$ 59,788,515	\$ (185,888)	(0.3) %
Operating	83,973,206	86,768,658	85,888,388	(880,270)	(1.0) %
Equipment and Capital Outlay	191,917	702,870	702,870		
Total Expenditures	\$ 148,395,318	\$ 147,445,931	\$ 146,379,773	\$ (1,066,158)	(0.7) %

**TOTALS****Salaries and Benefits**

Salaries					
Academic	\$ 310,145,865	\$ 317,998,483	\$ 318,523,731	\$ 525,248	0.2 %
Non-Academic	332,440,794	328,738,276	333,575,548	4,837,272	1.5 %
Students	14,261,665	11,464,180	12,302,954	838,774	7.3 %
Total Salaries	\$ 656,848,324	\$ 658,200,939	\$ 664,402,233	\$ 6,201,294	0.9 %
Staff Benefits	215,435,711	218,763,287	220,017,333	1,254,046	0.6 %
Total Salaries and Benefits	\$ 872,284,036	\$ 876,964,226	\$ 884,419,566	\$ 7,455,340	0.9 %
Operating	386,172,157	432,645,668	501,881,225	69,235,557	16.0 %
Equipment and Capital Outlay	32,547,621	23,350,405	33,220,266	9,869,861	42.3 %
Total Expenditures	\$ 1,291,003,814	\$ 1,332,960,299	\$ 1,419,521,057	\$ 86,560,758	6.5 %

## University of Tennessee System FY 2014 Revised Budget Summary

Auxiliary Enterprises Funds Revenues, Expenditures and Transfers

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>HOUSING</b>					
<b>Revenues</b>	\$ 60,987,902	\$ 57,834,048	\$ 56,754,516	\$ (1,079,532)	-1.9%
<b>Expenditures and Transfers</b>					
Expenditures	\$ 33,792,359	\$ 35,175,923	\$ 34,143,777	\$ (1,032,146)	-2.9%
Mandatory Transfers	11,899,956	11,427,549	11,002,549	(425,000)	-3.7%
Non-Mandatory Transfers	16,042,378	11,280,368	11,657,982	377,614	3.3%
Total Expenditures and Transfers	<u>\$ 61,734,693</u>	<u>\$ 57,883,840</u>	<u>\$ 56,804,308</u>	<u>\$ (1,079,532)</u>	<u>-1.9%</u>
<b>Fund Balance Addition/(Reduction)</b>	\$ (746,790)	\$ (49,792)	\$ (49,792)		
<b>FOOD SERVICE</b>					
<b>Revenues</b>	\$ 5,823,515	\$ 5,435,665	\$ 5,437,060	\$ 1,395	0.0%
<b>Expenditures and Transfers</b>					
Expenditures	\$ 2,831,942	\$ 2,243,413	\$ 2,244,808	\$ 1,395	0.1%
Mandatory Transfers	67,958				
Non-Mandatory Transfers	3,416,846	2,848,647	2,848,647		
Total Expenditures and Transfers	<u>\$ 6,316,746</u>	<u>\$ 5,092,060</u>	<u>\$ 5,093,455</u>	<u>\$ 1,395</u>	<u>0.0%</u>
<b>Fund Balance Addition/(Reduction)</b>	\$ (493,231)	\$ 343,605	\$ 343,605		
<b>BOOKSTORES</b>					
<b>Revenues</b>	\$ 20,457,482	\$ 19,121,958	\$ 19,121,958		
<b>Expenditures and Transfers</b>					
Expenditures	\$ 18,401,037	\$ 17,713,673	\$ 17,713,673		
Mandatory Transfers	0	109,418	109,418		
Non-Mandatory Transfers	1,931,801	1,032,596	1,032,596		
Total Expenditures and Transfers	<u>\$ 20,332,838</u>	<u>\$ 18,855,687</u>	<u>\$ 18,855,687</u>		
<b>Fund Balance Addition/(Reduction)</b>	\$ 124,644	\$ 266,271	\$ 266,271		
<b>PARKING</b>					
<b>Revenues</b>	\$ 11,735,275	\$ 13,090,519	\$ 13,105,763	\$ 15,244	0.1%
<b>Expenditures and Transfers</b>					
Expenditures	\$ 6,867,055	\$ 7,828,756	\$ 7,793,349	\$ (35,407)	-0.5%
Mandatory Transfers	2,915,564	3,167,893	3,218,544	50,651	1.6%
Non-Mandatory Transfers	1,994,508	2,080,310	2,080,310		
Total Expenditures and Transfers	<u>\$ 11,777,127</u>	<u>\$ 13,076,959</u>	<u>\$ 13,092,203</u>	<u>\$ 15,244</u>	<u>0.1%</u>
<b>Fund Balance Addition/(Reduction)</b>	\$ (41,852)	\$ 13,560	\$ 13,560		
<b>ATHLETICS</b>					
<b>Revenues</b>	\$ 93,594,169	\$ 95,077,500	\$ 95,077,500		
<b>Expenditures and Transfers</b>					
Expenditures	\$ 81,321,971	\$ 80,508,500	\$ 80,508,500		
Mandatory Transfers	12,974,047	12,700,000	12,700,000		
Non-Mandatory Transfers	(1,532,979)	1,869,000	1,869,000		
Total Expenditures and Transfers	<u>\$ 92,763,039</u>	<u>\$ 95,077,500</u>	<u>\$ 95,077,500</u>		
<b>Fund Balance Addition/(Reduction)</b>	\$ 831,130				
<b>OTHER</b>					
<b>Revenues</b>	\$ 6,572,780	\$ 3,841,033	\$ 3,841,033		
<b>Expenditures and Transfers</b>					
Expenditures	\$ 5,180,954	\$ 3,975,666	\$ 3,975,666		
Mandatory Transfers	0				
Non-Mandatory Transfers	(4,598,054)	439,011	439,011		
Total Expenditures and Transfers	<u>\$ 582,900</u>	<u>\$ 4,414,677</u>	<u>\$ 4,414,677</u>		
<b>Fund Balance Addition/(Reduction)</b>	\$ 5,989,880	\$ (573,644)	\$ (573,644)		
<b>TOTAL</b>					
<b>Revenues</b>	\$ 199,171,124	\$ 194,400,723	\$ 193,337,830	\$ (1,062,893)	-0.5%
<b>Expenditures and Transfers</b>					
Expenditures	\$ 148,395,319	\$ 147,445,931	\$ 146,379,773	\$ (1,066,158)	-0.7%
Mandatory Transfers	27,857,525	27,404,860	27,030,511	(374,349)	-1.4%
Non-Mandatory Transfers	17,254,500	19,549,932	19,927,546	377,614	1.9%
Total Expenditures and Transfers	<u>\$ 193,507,344</u>	<u>\$ 194,400,723</u>	<u>\$ 193,337,830</u>	<u>\$ (1,062,893)</u>	<u>-0.5%</u>
<b>Fund Balance Addition/(Reduction)</b>	\$ 5,663,780				

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**University of Tennessee System**  
**Athletics Five Year Budget Summary Comparison**  
 E&G and Auxiliary Funds for Men's and Women's Athletics

	FY 2010 ACTUAL	FY 2011 ACTUAL	FY 2012 ACTUAL	FY 2013 ACTUAL	FY 2014 REVISED	FIVE YEAR CHANGE	
						AMOUNT	%
<b>KNOXVILLE</b>							
<b>Revenues</b>							
General Funds							
Student Fees for Athletics	\$ 1,000,000	\$ 1,000,000	\$ 1,000,000	\$ 1,000,000	\$ 1,000,000		
Ticket Sales	37,689,669	34,799,207	33,156,097	32,291,776	32,384,000	\$ (5,305,669)	-14.1%
Gifts	25,508,512	26,554,657	25,038,370	24,189,845	24,000,000	(1,508,512)	-5.9%
Other	36,532,258	40,141,340	42,693,539	52,443,730	40,116,000	3,583,742	9.8%
Total Revenues	\$ 100,730,439	\$ 102,495,204	\$ 101,888,006	\$ 109,925,350	\$ 97,500,000	\$ (3,230,439)	-3.2%
<b>Expenditures and Transfers</b>							
Salaries and Benefits	\$ 35,844,160	\$ 38,361,583	\$ 37,285,629	\$ 37,284,852	\$ 36,442,500	\$ 598,340	1.7%
Travel	6,505,978	6,835,168	6,617,308	5,787,589	7,810,500	1,304,522	20.1%
Student Aid	8,105,044	8,873,639	9,529,062	10,338,711	11,040,000	2,934,956	36.2%
Other Operating	28,495,090	28,958,686	33,801,080	39,913,529	25,632,000	(2,863,090)	-10.0%
Sub-Total Expenditures	\$ 78,950,272	\$ 83,029,076	\$ 87,233,079	\$ 93,324,680	\$ 80,925,000	\$ 1,974,728	2.5%
Debt Service Transfers	7,657,353	10,142,066	10,523,880	11,772,046	14,375,000	6,717,647	87.7%
Other Transfers	12,513,832	9,309,616	8,112,322	4,803,035	2,200,000	(10,313,832)	-82.4%
Total Expenditures and Transfers	\$ 99,121,457	\$ 102,480,758	\$ 105,869,281	\$ 109,899,762	\$ 97,500,000	\$ (1,621,457)	-1.6%
Fund Balance Addition / (Reduction)	\$ 1,608,982	\$ 14,446	\$ (3,981,275)	\$ 25,589			
<b>CHATTANOOGA</b>							
<b>Revenues</b>							
General Funds	\$ 4,668,862	\$ 5,034,581	\$ 5,072,219	\$ 5,636,090	\$ 5,833,588	\$ 1,164,726	24.9%
Student Fees for Athletics	3,033,232	3,070,180	4,127,744	5,180,579	5,170,817	2,137,585	70.5%
Ticket Sales	620,608	637,888	712,167	709,642	817,000	196,392	31.6%
Gifts	1,515,486	1,285,002	1,305,324	1,096,841	1,430,000	(85,486)	-5.6%
Other	1,748,433	1,747,848	1,758,309	1,576,653	1,446,200	(302,233)	-17.3%
Total Revenues	\$ 11,586,621	\$ 11,775,499	\$ 12,975,763	\$ 14,199,805	\$ 14,697,605	\$ 3,110,984	26.8%
<b>Expenditures and Transfers</b>							
Salaries and Benefits	\$ 4,529,881	\$ 4,726,977	\$ 5,130,281	\$ 5,587,489	\$ 5,179,790	\$ 649,909	14.3%
Travel	784,372	833,639	1,003,626	1,089,801	1,648,116	863,744	110.1%
Student Aid	3,199,843	3,287,149	3,895,434	4,291,836	5,271,521	2,071,678	64.7%
Other Operating	2,799,975	2,460,702	2,554,483	2,996,823	2,428,178	(371,797)	-13.3%
Sub-Total Expenditures	\$ 11,314,071	\$ 11,308,467	\$ 12,583,824	\$ 13,965,949	\$ 14,527,605	\$ 3,213,534	28.4%
Debt Service Transfers	168,879	168,680	169,610	165,136	170,000	\$ 1,121	0.7%
Other Transfers							
Total Expenditures and Transfers	\$ 11,482,950	\$ 11,477,147	\$ 12,753,434	\$ 14,131,085	\$ 14,697,605	\$ 3,214,655	28.0%
Fund Balance Addition / (Reduction)	\$ 103,671	\$ 298,352	\$ 222,329	\$ 68,720			
<b>MARTIN</b>							
<b>Revenues</b>							
General Funds	\$ 4,009,783	\$ 4,431,339	\$ 4,959,761	\$ 5,173,844	\$ 5,433,478	\$ 1,423,695	35.5%
Student Fees for Athletics	2,000,630	2,081,875	2,011,149	1,981,413	1,970,000	\$ (30,630)	-1.5%
Ticket Sales	109,873	107,596	136,237	123,245	147,469	\$ 37,596	34.2%
Gifts	418,092	669,728	474,787	512,187	430,000	\$ 11,908	2.8%
Other	1,057,866	1,384,606	1,357,216	1,604,348	1,631,200	\$ 573,334	54.2%
Total Revenues	\$ 7,596,244	\$ 8,675,144	\$ 8,939,150	\$ 9,395,037	\$ 9,612,147	\$ 2,015,903	26.5%
<b>Expenditures and Transfers</b>							
Salaries and Benefits	\$ 2,767,981	\$ 2,812,169	\$ 3,060,136	\$ 3,210,920	\$ 3,237,543	\$ 469,562	17.0%
Travel	558,947	757,178	735,058	781,674	886,289	327,342	58.6%
Student Aid	2,816,472	3,431,486	3,724,320	3,860,770	3,949,209	1,132,737	40.2%
Other Operating	1,385,060	1,567,162	1,643,789	1,450,467	1,314,106	(70,954)	-5.1%
Sub-Total Expenditures	\$ 7,528,460	\$ 8,567,995	\$ 9,163,303	\$ 9,303,830	\$ 9,387,147	\$ 1,858,687	24.7%
Debt Service Transfers	129,326	24,203	72,489	160,137	225,000	95,674	74.0%
Other Transfers							
Total Expenditures and Transfers	\$ 7,657,786	\$ 8,592,198	\$ 9,235,792	\$ 9,463,967	\$ 9,612,147	\$ 1,954,361	25.5%
Fund Balance Addition / (Reduction)	\$ (61,542)	\$ 82,946	\$ (296,642)	\$ (68,930)			
<b>TOTAL ATHLETICS</b>							
<b>Revenues</b>							
General Funds	\$ 8,678,645	\$ 9,465,920	\$ 10,031,980	\$ 10,809,934	\$ 11,267,066	\$ 2,588,421	29.8%
Student Fees for Athletics	6,033,862	6,152,055	7,138,893	8,161,992	8,140,817	2,106,955	34.9%
Ticket Sales	38,420,150	35,544,691	34,004,501	33,124,663	33,348,469	(5,071,681)	-13.2%
Gifts	27,442,090	28,509,387	26,818,481	25,798,873	25,860,000	(1,582,090)	-5.8%
Other	39,338,557	43,273,794	45,809,064	55,624,731	43,193,400	3,854,843	9.8%
Total Revenues	\$ 119,913,304	\$ 122,945,847	\$ 123,802,919	\$ 133,520,192	\$ 121,809,752	\$ 1,896,448	1.6%
<b>Expenditures and Transfers</b>							
Salaries and Benefits	\$ 43,142,022	\$ 45,900,729	\$ 45,476,046	\$ 46,083,261	\$ 44,859,833	\$ 1,717,811	4.0%
Travel	7,849,297	8,425,985	8,355,992	7,659,063	10,344,905	2,495,608	31.8%
Student Aid	14,121,359	15,592,274	17,148,816	18,491,316	20,260,730	6,139,371	43.5%
Other Operating	32,680,125	32,986,550	37,999,352	44,360,819	29,374,284	(3,305,841)	-10.1%
Sub-Total Expenditures	\$ 97,792,803	\$ 102,905,538	\$ 108,980,206	\$ 116,594,460	\$ 104,839,752	\$ 7,046,949	7.2%
Debt Service Transfers	7,955,558	10,334,949	10,765,979	12,097,319	14,770,000	6,814,442	85.7%
Other Transfers	12,513,832	9,309,616	8,112,322	4,803,035	2,200,000	(10,313,832)	-82.4%
Total Expenditures and Transfers	\$ 118,262,193	\$ 122,550,103	\$ 127,858,507	\$ 133,494,814	\$ 121,809,752	\$ 3,547,559	3.0%
Fund Balance Addition / (Reduction)	\$ 1,651,111	\$ 395,744	\$ (4,055,588)	\$ 25,379			

NOTES: Data includes unrestricted and restricted funds. Other revenue sources include NCAA conference income, tournament income, program sales, concessions, parking, broadcasting, television, radio, internet, endowments, investments, royalties, advertisements, sponsorships, game guarantees, licensing fees, and sports camps.

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**University of Tennessee System**  
**FY 2014 Revised Budget Summary**  
 Unrestricted Current Funds Revenues, Expenditures, and Transfers

	FY 2013 ACTUALS	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees	\$ 533,809,389	\$ 565,277,884	\$ 565,908,764	\$ 630,880	0.1 %
State Appropriations	431,850,267	469,891,623	469,682,423	(209,200)	0.0 %
Grants & Contracts	49,542,582	41,661,154	41,762,792	101,638	0.2 %
Sales & Service	57,856,330	49,534,483	50,511,546	977,063	2.0 %
Other Sources	70,098,212	51,990,420	51,858,603	(131,817)	-0.3 %
Total Revenues	<u>\$ 1,143,156,780</u>	<u>\$ 1,178,355,564</u>	<u>\$ 1,179,724,128</u>	<u>\$ 1,368,564</u>	<u>0.1 %</u>
<b>Expenditures and Transfers</b>					
Instruction	\$ 455,174,572	\$ 505,720,486	\$ 522,157,755	\$ 16,437,269	3.3 %
Research	86,634,810	69,129,676	96,477,561	27,347,885	39.6 %
Public Service	70,315,078	70,973,102	77,682,916	6,709,814	9.5 %
Academic Support	130,694,151	134,311,788	146,722,452	12,410,664	9.2 %
Student Services	84,118,134	72,823,106	76,802,244	3,979,138	5.5 %
Institutional Support	122,698,075	127,723,651	145,777,259	18,053,608	14.1 %
Op/Maint Physical Plant	118,493,896	128,019,649	129,779,757	1,760,108	1.4 %
Scholarships & Fellowships	74,479,780	76,812,910	77,741,340	928,430	1.2 %
Sub-total Expenditures	<u>\$ 1,142,608,497</u>	<u>\$ 1,185,514,368</u>	<u>\$ 1,273,141,284</u>	<u>\$ 87,626,916</u>	<u>7.4 %</u>
Mandatory Transfers	6,273,292	7,380,997	7,380,997		
Non Mandatory Transfers	(17,523,145)	(10,878,453)	(48,777,962)	(37,899,509)	-348.4 %
Total Expenditures & Transfers	<u>\$ 1,131,358,644</u>	<u>\$ 1,182,016,912</u>	<u>\$ 1,231,744,319</u>	<u>\$ 49,727,407</u>	<u>4.2 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ 11,798,136</u>	<u>\$ (3,661,348)</u>	<u>\$ (52,020,191)</u>		
<b>AUXILIARIES</b>					
<b>Revenues</b>	\$ 199,171,124	\$ 194,400,723	\$ 193,337,830	\$ (1,062,893)	-0.5 %
<b>Expenditures and Transfers</b>					
Expenditures	148,395,318	147,445,931	146,379,773	(1,066,158)	-0.7 %
Mandatory Transfers	27,857,526	27,404,860	27,030,511	(374,349)	-1.4 %
Non-Mandatory Transfers	17,254,499	19,549,932	19,927,546	377,614	1.9 %
Total Expenditures & Transfers	<u>\$ 193,507,343</u>	<u>\$ 194,400,723</u>	<u>\$ 193,337,830</u>	<u>\$ (1,062,893)</u>	<u>-0.5 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ 5,663,782</u>	<u>\$ -</u>	<u>\$ -</u>		
<b>TOTALS</b>					
<b>Revenues</b>	\$ 1,342,327,905	\$ 1,372,756,287	\$ 1,373,061,958	\$ 305,671	0.0 %
<b>Expenditures and Transfers</b>					
Expenditures	\$ 1,291,003,814	\$ 1,332,960,299	\$ 1,419,521,057	\$ 86,560,758	6.5 %
Mandatory Transfers	34,130,818	34,785,857	34,411,508	(374,349)	-1.1 %
Non-Mandatory Transfers	(268,646)	8,671,479	(28,850,416)	(37,521,895)	-432.7 %
Total Expenditures & Transfers	<u>\$ 1,324,865,986</u>	<u>\$ 1,376,417,635</u>	<u>\$ 1,425,082,149</u>	<u>\$ 48,664,514</u>	<u>3.5 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ 17,461,918</u>	<u>\$ (3,661,348)</u>	<u>\$ (52,020,191)</u>		

**Chattanooga**  
**FY 2014 Revised Budget Summary**  
 Unrestricted Current Funds Revenues, Expenditures, and Transfers

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE	
				ORIGINAL TO REVISED AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees	\$ 86,525,109	\$ 90,358,614	\$ 90,632,148	\$ 273,534	0.3 %
State Appropriations	35,523,864	37,427,681	37,449,681	22,000	0.1 %
Grants & Contracts	891,905	453,856	616,230	162,374	35.8 %
Sales & Service	4,698,919	4,248,524	4,340,172	91,648	2.2 %
Other Sources	334,235	481,533	237,427	(244,106)	(50.7) %
Total Revenues	\$ 127,974,032	\$ 132,970,208	\$ 133,275,658	\$ 305,450	0.2 %
<b>Expenditures and Transfers</b>					
Instruction	\$ 55,186,168	\$ 59,922,806	\$ 60,690,230	\$ 767,424	1.3 %
Research	3,498,130	1,902,900	2,020,402	117,502	6.2 %
Public Service	2,331,469	2,257,032	2,424,023	166,991	7.4 %
Academic Support	10,136,131	8,624,913	10,180,296	1,555,383	18.0 %
Student Services	22,960,974	20,053,007	20,826,081	773,074	3.9 %
Institutional Support	9,668,887	10,277,110	10,718,253	441,143	4.3 %
Op/Maint Physical Plant	14,046,694	17,248,630	17,601,122	352,492	2.0 %
Scholarships & Fellowships	10,019,162	10,744,607	10,773,407	28,800	0.3 %
Sub-total Expenditures	\$ 127,847,614	\$ 131,031,005	\$ 135,233,814	\$ 4,202,809	3.2 %
Mandatory Transfers	686,465	774,165	774,165		
Non Mandatory Transfers	(510,107)	1,098,458	(2,798,901)	(3,897,359)	(354.8) %
Total Expenditures & Transfers	\$ 128,023,972	\$ 132,903,628	\$ 133,209,078	\$ 305,450	0.2 %
<b>Fund Balance Addition/(Reduction)</b>	\$ (49,940)	\$ 66,580	\$ 66,580		
<b>AUXILIARIES</b>					
<b>Revenues</b>	\$ 12,457,401	\$ 8,402,485	\$ 8,451,931	\$ 49,446	0.6 %
<b>Expenditures and Transfers</b>					
Expenditures	8,260,043	4,601,108	4,648,962	47,854	1.0 %
Mandatory Transfers	1,393,599	2,373,402	1,948,402	(425,000)	(17.9) %
Non-Mandatory Transfers	2,739,968	1,427,975	1,854,567	426,592	29.9 %
Total Expenditures & Transfers	\$ 12,393,610	\$ 8,402,485	\$ 8,451,931	\$ 49,446	0.6 %
<b>Fund Balance Addition/(Reduction)</b>	\$ 63,791	\$ -	\$ -		
<b>TOTALS</b>					
<b>Revenues</b>	\$ 140,431,432	\$ 141,372,693	\$ 141,727,589	\$ 354,896	0.3 %
<b>Expenditures and Transfers</b>					
Expenditures	\$ 136,107,657	\$ 135,632,113	\$ 139,882,776	\$ 4,250,663	3.1 %
Mandatory Transfers	2,080,064	3,147,567	2,722,567	(425,000)	(13.5) %
Non-Mandatory Transfers	2,229,861	2,526,433	(944,334)	(3,470,767)	(137.4) %
Total Expenditures & Transfers	\$ 140,417,582	\$ 141,306,113	\$ 141,661,009	\$ 354,896	0.3 %
<b>Fund Balance Addition/(Reduction)</b>	\$ 13,850	\$ 66,580	\$ 66,580		

**Knoxville****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE	
				ORIGINAL TO REVISED AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees	\$ 305,640,162	\$ 330,546,609	\$ 330,656,359	\$ 109,750	0.0 %
State Appropriations	156,439,550	177,446,543	177,486,343	39,800	0.0 %
Grants & Contracts	29,036,239	20,560,000	20,560,000		
Sales & Service	9,587,584	4,324,470	4,332,641	8,171	0.2 %
Other Sources	12,947,014	10,063,987	10,083,986	19,999	0.2 %
Total Revenues	\$ 513,650,550	\$ 542,941,609	\$ 543,119,329	\$ 177,720	0.0 %
<b>Expenditures and Transfers</b>					
Instruction	\$ 218,498,737	\$ 238,932,202	\$ 245,415,965	\$ 6,483,763	2.7 %
Research	35,594,360	20,687,843	35,186,883	14,499,040	70.1 %
Public Service	13,677,751	10,054,983	10,960,509	905,526	9.0 %
Academic Support	61,399,810	70,418,959	68,666,664	(1,752,295)	(2.5) %
Student Services	45,269,568	37,698,592	39,199,763	1,501,171	4.0 %
Institutional Support	37,038,944	39,436,700	41,074,340	1,637,640	4.2 %
Op/Maint Physical Plant	59,694,101	68,268,029	68,337,397	69,368	0.1 %
Scholarships & Fellowships	48,114,597	48,838,357	49,742,431	904,074	1.9 %
Sub-total Expenditures	\$ 519,287,869	\$ 534,335,665	\$ 558,583,952	\$ 24,248,287	4.5 %
Mandatory Transfers	2,165,669	1,701,536	1,701,536		
Non Mandatory Transfers	(5,337,091)	6,904,408	(17,166,159)	(24,070,567)	(348.6) %
Total Expenditures & Transfers	\$ 516,116,447	\$ 542,941,609	\$ 543,119,329	\$ 177,720	0.0 %
<b>Fund Balance Addition/(Reduction)</b>	\$ (2,465,897)	\$ -	\$ -		
<b>AUXILIARIES</b>					
<b>Revenues</b>	\$ 173,429,399	\$ 172,423,130	\$ 171,291,952	\$ (1,131,178)	(0.7) %
<b>Expenditures and Transfers</b>					
Expenditures	130,374,337	133,279,362	132,197,162	(1,082,200)	(0.8) %
Mandatory Transfers	23,308,614	21,537,220	21,537,220		
Non-Mandatory Transfers	13,991,355	17,606,548	17,557,570	(48,978)	(0.3) %
Total Expenditures & Transfers	\$ 167,674,306	\$ 172,423,130	\$ 171,291,952	\$ (1,131,178)	(0.7) %
<b>Fund Balance Addition/(Reduction)</b>	\$ 5,755,093	\$ -	\$ -		
<b>TOTALS</b>					
<b>Revenues</b>	\$ 687,079,949	\$ 715,364,739	\$ 714,411,281	\$ (953,458)	(0.1) %
<b>Expenditures and Transfers</b>					
Expenditures	\$ 649,662,206	\$ 667,615,027	\$ 690,781,114	\$ 23,166,087	3.5 %
Mandatory Transfers	25,474,283	23,238,756	23,238,756		
Non-Mandatory Transfers	8,654,264	24,510,956	391,411	(24,119,545)	(98.4) %
Total Expenditures & Transfers	\$ 683,790,753	\$ 715,364,739	\$ 714,411,281	\$ (953,458)	(0.1) %
<b>Fund Balance Addition/(Reduction)</b>	\$ 3,289,196	\$ -	\$ -		

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**Martin****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE	
				ORIGINAL TO REVISED AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees	\$ 56,196,472	\$ 58,468,077	\$ 58,534,954	\$ 66,877	0.1 %
State Appropriations	26,186,217	26,374,167	26,337,767	(36,400)	(0.1) %
Grants & Contracts	76,902	310,500	310,500		
Sales & Service	3,392,805	2,826,470	3,321,084	494,614	17.5 %
Other Sources	723,513	656,800	656,800		
Total Revenues	<u>\$ 86,575,908</u>	<u>\$ 88,636,014</u>	<u>\$ 89,161,105</u>	<u>\$ 525,091</u>	<u>0.6 %</u>
<b>Expenditures and Transfers</b>					
Instruction	\$ 38,745,983	\$ 41,315,948	\$ 42,203,839	\$ 887,891	2.1 %
Research	380,704	295,482	396,828	101,346	34.3 %
Public Service	599,720	550,058	609,274	59,216	10.8 %
Academic Support	10,787,500	10,824,345	10,762,525	(61,820)	(0.6) %
Student Services	10,561,948	9,570,271	10,761,255	1,190,984	12.4 %
Institutional Support	4,925,375	5,612,983	5,902,761	289,778	5.2 %
Op/Maint Physical Plant	10,941,993	11,063,235	11,528,805	466,570	4.2 %
Scholarships & Fellowships	7,580,315	8,068,343	8,055,619	(12,724)	(0.2) %
Sub-total Expenditures	<u>\$ 84,523,537</u>	<u>\$ 87,300,665</u>	<u>\$ 90,220,906</u>	<u>\$ 2,920,241</u>	<u>3.3 %</u>
Mandatory Transfers	666,114	746,700	746,700		
Non Mandatory Transfers	2,117,168	588,649	(1,806,501)	(2,395,150)	(406.9) %
Total Expenditures & Transfers	<u>\$ 87,306,819</u>	<u>\$ 88,636,014</u>	<u>\$ 89,161,105</u>	<u>\$ 525,091</u>	<u>0.6 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (730,911)</u>	<u>\$ -</u>	<u>\$ -</u>		
<b>AUXILIARIES</b>					
<b>Revenues</b>	\$ 10,830,742	\$ 11,551,952	\$ 11,551,952		
<b>Expenditures and Transfers</b>					
Expenditures	6,793,824	7,799,281	7,799,281		
Mandatory Transfers	2,935,777	3,180,152	3,180,152		
Non-Mandatory Transfers	1,246,199	572,519	572,519		
Total Expenditures & Transfers	<u>\$ 10,975,800</u>	<u>\$ 11,551,952</u>	<u>\$ 11,551,952</u>		
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (145,058)</u>	<u>\$ -</u>	<u>\$ -</u>		
<b>TOTALS</b>					
<b>Revenues</b>	\$ 97,406,650	\$ 100,187,966	\$ 100,713,057	\$ 525,091	0.5 %
<b>Expenditures and Transfers</b>					
Expenditures	\$ 91,317,361	\$ 95,099,946	\$ 98,020,187	\$ 2,920,241	3.1 %
Mandatory Transfers	3,601,891	3,926,852	3,926,852		
Non-Mandatory Transfers	3,363,367	1,161,168	(1,233,982)	(2,395,150)	(206.3) %
Total Expenditures & Transfers	<u>\$ 98,282,619</u>	<u>\$ 100,187,966</u>	<u>\$ 100,713,057</u>	<u>\$ 525,091</u>	<u>0.5 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (875,968)</u>	<u>\$ -</u>	<u>\$ -</u>		

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## *Space Institute*

### FY 2014 Revised Budget Summary

#### Unrestricted Current Funds Revenues, Expenditures, and Transfers

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees	\$ 1,354,039	\$ 1,653,900	\$ 1,653,900		
State Appropriations	7,700,101	8,012,812	7,995,512	\$ (17,300)	(0.2) %
Grants & Contracts	432,524	461,000	461,000		
Sales & Service	248,855	100,000	100,000		
Other Sources	15,064	17,000	17,000		
Total Revenues	<u>\$ 9,750,584</u>	<u>\$ 10,244,712</u>	<u>\$ 10,227,412</u>	<u>\$ (17,300)</u>	<u>(0.2) %</u>
<b>Expenditures and Transfers</b>					
Instruction	\$ 4,348,223	\$ 4,505,014	\$ 3,778,263	\$ (726,751)	(16.1) %
Research	1,229,780	1,319,539	2,050,276	730,737	55.4 %
Public Service					
Academic Support	309,950	338,177	319,317	(18,860)	(5.6) %
Student Services	35,684	73,821	48,404	(25,417)	(34.4) %
Institutional Support	1,490,197	1,497,365	1,451,232	(46,133)	(3.1) %
Op/Maint Physical Plant	2,029,949	2,002,560	2,007,718	5,158	0.3 %
Scholarships & Fellowships	345,476	272,664	280,944	8,280	3.0 %
Sub-total Expenditures	<u>\$ 9,789,257</u>	<u>\$ 10,009,140</u>	<u>\$ 9,936,154</u>	<u>\$ (72,986)</u>	<u>(0.7) %</u>
Mandatory Transfers					
Non Mandatory Transfers	(34,214)	235,572	291,258	55,686	23.6 %
Total Expenditures & Transfers	<u>\$ 9,755,043</u>	<u>\$ 10,244,712</u>	<u>\$ 10,227,412</u>	<u>\$ (17,300)</u>	<u>(0.2) %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (4,459)</u>	<u>\$ -</u>	<u>\$ -</u>		
<b>AUXILIARIES</b>					
<b>Revenues</b>	\$ 206,244	\$ 197,000	\$ 197,000		
<b>Expenditures and Transfers</b>					
Expenditures	439,083	254,110	254,110		
Mandatory Transfers					
Non-Mandatory Transfers	(222,924)	(57,110)	(57,110)		
Total Expenditures & Transfers	<u>\$ 216,159</u>	<u>\$ 197,000</u>	<u>\$ 197,000</u>		
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (9,915)</u>	<u>\$ -</u>	<u>\$ -</u>		
<b>TOTALS</b>					
<b>Revenues</b>	\$ 9,956,828	\$ 10,441,712	\$ 10,424,412	\$ (17,300)	(0.2) %
<b>Expenditures and Transfers</b>					
Expenditures	\$ 10,228,340	\$ 10,263,250	\$ 10,190,264	\$ (72,986)	(0.7) %
Mandatory Transfers					
Non-Mandatory Transfers	(257,138)	178,462	234,148	55,686	31.2 %
Total Expenditures & Transfers	<u>\$ 9,971,202</u>	<u>\$ 10,441,712</u>	<u>\$ 10,424,412</u>	<u>\$ (17,300)</u>	<u>(0.2) %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (14,374)</u>	<u>\$ -</u>	<u>\$ -</u>		

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**Health Science Center Total**  
**FY 2014 Revised Budget Summary**  
 Unrestricted Current Funds Revenues, Expenditures, and Transfers

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees	\$ 72,145,924	\$ 73,162,504	\$ 73,170,744	\$ 8,240	0.0 %
State Appropriations	122,200,499	132,583,751	132,428,051	(155,700)	(0.1) %
Grants & Contracts	13,954,817	15,169,783	15,209,047	39,264	0.3 %
Sales & Service	19,788,611	18,593,459	18,661,256	67,797	0.4 %
Other Sources	19,823,751	2,915,748	2,883,782	(31,966)	(1.1) %
Total Revenues	\$ 247,913,602	\$ 242,425,245	\$ 242,352,880	\$ (72,365)	(0.0) %
<b>Expenditures and Transfers</b>					
Instruction	\$ 112,653,589	\$ 130,104,258	\$ 136,263,447	\$ 6,159,189	4.7 %
Research	7,053,638	6,259,576	10,886,730	4,627,154	73.9 %
Public Service	29,264	35,029	40,321	5,292	15.1 %
Academic Support	39,196,623	36,588,125	48,672,536	12,084,411	33.0 %
Student Services	5,289,960	5,427,415	5,966,741	539,326	9.9 %
Institutional Support	19,464,973	21,966,537	36,823,188	14,856,651	67.6 %
Op/Maint Physical Plant	28,560,685	26,098,928	26,800,748	701,820	2.7 %
Scholarships & Fellowships	8,345,309	8,849,881	8,849,881		
Sub-total Expenditures	\$ 220,594,042	\$ 235,329,749	\$ 274,303,592	\$ 38,973,843	16.6 %
Mandatory Transfers	2,620,096	4,023,596	4,023,596		
Non Mandatory Transfers	7,531,633	3,071,900	3,071,900		
Total Expenditures & Transfers	\$ 230,745,771	\$ 242,425,245	\$ 281,399,088	\$ 38,973,843	16.1 %
<b>Fund Balance Addition/(Reduction)</b>	\$ 17,167,831	\$ -	\$ (39,046,208)		
<b>AUXILIARIES</b>					
<b>Revenues</b>	\$ 2,247,338	\$ 1,826,156	\$ 1,844,995	\$ 18,839	1.0 %
<b>Expenditures and Transfers</b>					
Expenditures	2,528,031	1,512,070	1,480,258	(31,812)	(2.1) %
Mandatory Transfers	219,536	314,086	364,737	50,651	16.1 %
Non-Mandatory Transfers	(500,099)				
Total Expenditures & Transfers	\$ 2,247,468	\$ 1,826,156	\$ 1,844,995	\$ 18,839	1.0 %
<b>Fund Balance Addition/(Reduction)</b>	\$ (130)	\$ -	\$ -		
<b>TOTALS</b>					
<b>Revenues</b>	\$ 250,160,940	\$ 244,251,401	\$ 244,197,875	\$ (53,526)	(0.0) %
<b>Expenditures and Transfers</b>					
Expenditures	\$ 223,122,073	\$ 236,841,819	\$ 275,783,850	\$ 38,942,031	16.4 %
Mandatory Transfers	2,839,632	4,337,682	4,388,333	50,651	1.2 %
Non-Mandatory Transfers	7,031,534	3,071,900	3,071,900		
Total Expenditures & Transfers	\$ 232,993,239	\$ 244,251,401	\$ 283,244,083	\$ 38,992,682	16.0 %
<b>Fund Balance Addition/(Reduction)</b>	\$ 17,167,701	\$ -	\$ (39,046,208)		

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**Health Science Center - Memphis Other Specialized Units****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE	
				ORIGINAL TO REVISED AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees	\$ 49,879,624	\$ 47,919,204	\$ 47,927,444	\$ 8,240	0.0 %
State Appropriations	67,383,999	74,840,051	74,840,751	700	0.0 %
Grants & Contracts	13,353,919	12,959,580	12,997,136	37,556	0.3 %
Sales & Service	7,449,415	6,813,586	6,945,873	132,287	1.9 %
Other Sources	14,036,982	2,363,748	2,331,782	(31,966)	(1.4) %
Total Revenues	\$ 152,103,940	\$ 144,896,169	\$ 145,042,986	\$ 146,817	0.1 %
<b>Expenditures and Transfers</b>					
Instruction	\$ 42,501,951	\$ 50,387,472	\$ 52,341,417	\$ 1,953,945	3.9 %
Research	4,271,115	5,569,176	9,094,499	3,525,323	63.3 %
Public Service		25,000	25,000		
Academic Support	34,798,101	32,109,966	38,753,460	6,643,494	20.7 %
Student Services	4,796,975	4,672,580	5,201,951	529,371	11.3 %
Institutional Support	19,090,790	21,629,843	35,610,919	13,981,076	64.6 %
Op/Maint Physical Plant	28,347,766	25,896,222	26,525,564	629,342	2.4 %
Scholarships & Fellowships	6,438,373	6,858,881	6,858,881		
Sub-total Expenditures	\$ 140,245,071	\$ 147,149,140	\$ 174,411,691	\$ 27,262,551	18.5 %
Mandatory Transfers	2,520,733	3,924,077	3,924,077		
Non-Mandatory Transfers	(6,584,797)	(6,177,048)	4,943,943	11,120,991	180.0 %
Total Expenditures & Transfers	\$ 136,181,007	\$ 144,896,169	\$ 183,279,711	\$ 38,383,542	26.5 %
<b>Fund Balance Addition/(Reduction)</b>	\$ 15,922,933	\$ -	\$ (38,236,725)		
<b>AUXILIARIES</b>					
<b>Revenues</b>	\$ 2,247,338	\$ 1,826,156	\$ 1,844,995	\$ 18,839	1.0 %
<b>Expenditures and Transfers</b>					
Expenditures	2,528,031	1,512,070	1,480,258	(31,812)	(2.1) %
Mandatory Transfers	219,536	314,086	364,737	50,651	16.1 %
Non-Mandatory Transfers	(500,099)				
Total Expenditures & Transfers	\$ 2,247,468	\$ 1,826,156	\$ 1,844,995	\$ 18,839	1.0 %
<b>Fund Balance Addition/(Reduction)</b>	\$ (130)	\$ -	\$ -		
<b>TOTALS</b>					
<b>Revenues</b>	\$ 154,351,278	\$ 146,722,325	\$ 146,887,981	\$ 165,656	0.1 %
<b>Expenditures and Transfers</b>					
Expenditures	\$ 142,773,102	\$ 148,661,210	\$ 175,891,949	\$ 27,230,739	18.3 %
Mandatory Transfers	2,740,269	4,238,163	4,288,814	50,651	1.2 %
Non-Mandatory Transfers	(7,084,896)	(6,177,048)	4,943,943	11,120,991	180.0 %
Total Expenditures & Transfers	\$ 138,428,475	\$ 146,722,325	\$ 185,124,706	\$ 38,402,381	26.2 %
<b>Fund Balance Addition/(Reduction)</b>	\$ 15,922,803	\$ -	\$ (38,236,725)		

12.1

**Health Science Center - College of Medicine****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE	
				ORIGINAL TO REVISED AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees	\$ 22,266,300	\$ 25,243,300	\$ 25,243,300		
State Appropriations	44,934,400	47,273,300	47,116,500	\$ (156,800)	(0.3) %
Grants & Contracts	600,898	2,210,203	2,211,911	1,708	0.1 %
Sales & Service	1,890,109	2,040,043	2,042,259	2,216	0.1 %
Other Sources	5,283,011				
Total Revenues	<u>\$ 74,974,718</u>	<u>\$ 76,766,846</u>	<u>\$ 76,613,970</u>	<u>\$ (152,876)</u>	<u>(0.2) %</u>
<b>Expenditures and Transfers</b>					
Instruction	\$ 51,433,724	\$ 59,660,275	\$ 63,771,284	\$ 4,111,009	6.9 %
Research	2,782,523	690,400	1,792,231	1,101,831	159.6 %
Public Service	29,264	10,029	15,321	5,292	52.8 %
Academic Support	4,398,522	4,478,159	9,919,076	5,440,917	121.5 %
Student Services	492,985	754,835	764,790	9,955	1.3 %
Institutional Support	138,089	97,400	326,302	228,902	235.0 %
Op/Maint Physical Plant			70,209	70,209	100.0 %
Scholarships & Fellowships	1,906,937	1,991,000	1,991,000		
Sub-total Expenditures	<u>\$ 61,182,045</u>	<u>\$ 67,682,098</u>	<u>\$ 78,650,213</u>	<u>\$ 10,968,115</u>	<u>16.2 %</u>
Mandatory Transfers					
Non Mandatory Transfers	13,792,673	9,084,748	(2,036,243)	(11,120,991)	(122.4) %
Total Expenditures & Transfers	<u>\$ 74,974,718</u>	<u>\$ 76,766,846</u>	<u>\$ 76,613,970</u>	<u>\$ (152,876)</u>	<u>(0.2) %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>		

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**Health Science Center - Family Medical Units****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE	
				ORIGINAL TO REVISED AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees					
State Appropriations	\$ 9,882,100	\$ 10,470,400	\$ 10,470,800	\$ 400	0.0 %
Grants & Contracts					
Sales & Service	10,449,086	9,739,830	9,673,124	(66,706)	(0.7) %
Other Sources	503,758	552,000	552,000		
Total Revenues	<u>\$ 20,834,944</u>	<u>\$ 20,762,230</u>	<u>\$ 20,695,924</u>	<u>\$ (66,306)</u>	<u>(0.3) %</u>
<b>Expenditures and Transfers</b>					
Instruction	\$ 18,717,914	\$ 20,056,511	\$ 20,150,746	\$ 94,235	0.5 %
Research					
Public Service					
Academic Support					
Student Services					
Institutional Support	236,094	239,294	885,967	646,673	270.2 %
Op/Maint Physical Plant	212,919	202,706	204,975	2,269	1.1 %
Scholarships & Fellowships					
Sub-total Expenditures	<u>\$ 19,166,927</u>	<u>\$ 20,498,511</u>	<u>\$ 21,241,688</u>	<u>\$ 743,177</u>	<u>3.6 %</u>
Mandatory Transfers	99,363	99,519	99,519		
Non Mandatory Transfers	323,757	164,200	164,200		
Total Expenditures & Transfers	<u>\$ 19,590,047</u>	<u>\$ 20,762,230</u>	<u>\$ 21,505,407</u>	<u>\$ 743,177</u>	<u>3.6 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ 1,244,898</u>	<u>\$ -</u>	<u>\$ (809,483)</u>		

12.1

**Agricultural Units Total****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees	\$ 11,947,683	\$ 11,088,180	\$ 11,260,659	\$ 172,479	1.6 %
State Appropriations	69,781,361	73,422,207	73,363,607	(58,600)	(0.1) %
Grants & Contracts	4,836,798	4,427,794	4,327,794	(100,000)	(2.3) %
Sales & Service	20,139,556	19,441,560	19,756,393	314,833	1.6 %
Other Sources	15,855,733	14,846,878	14,903,934	57,056	0.4 %
Total Revenues	<u>\$ 122,561,132</u>	<u>\$ 123,226,619</u>	<u>\$ 123,612,387</u>	<u>\$ 385,768</u>	<u>0.3 %</u>
<b>Expenditures and Transfers</b>					
Instruction	\$ 25,741,872	\$ 30,940,258	\$ 33,806,011	\$ 2,865,753	9.3 %
Research	38,407,900	38,664,336	45,936,442	7,272,106	18.8 %
Public Service	39,080,945	42,825,553	48,414,149	5,588,596	13.0 %
Academic Support	8,581,426	7,209,925	7,807,528	597,603	8.3 %
Student Services					
Institutional Support	2,307,312	2,539,805	2,505,235	(34,570)	(1.4) %
Op/Maint Physical Plant	3,220,475	3,338,267	3,503,967	165,700	5.0 %
Scholarships & Fellowships	74,921	39,058	39,058		
Sub-total Expenditures	<u>\$ 117,414,850</u>	<u>\$ 125,557,202</u>	<u>\$ 142,012,390</u>	<u>\$ 16,455,188</u>	<u>13.1 %</u>
Mandatory Transfers					
Non Mandatory Transfers	2,158,333	1,075,914	(5,666,594)	(6,742,508)	(626.7) %
Total Expenditures & Transfers	<u>\$ 119,573,183</u>	<u>\$ 126,633,116</u>	<u>\$ 136,345,796</u>	<u>\$ 9,712,680</u>	<u>7.7 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ 2,987,949</u>	<u>\$ (3,406,497)</u>	<u>\$ (12,733,409)</u>		

12.1

**Agricultural Experiment Station****FY 2014 Revised Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees					
State Appropriations	\$ 24,480,573	\$ 25,612,386	\$ 25,579,486	\$ (32,900)	(0.1) %
Grants & Contracts	2,942,751	2,720,000	2,720,000		
Sales & Service	4,231,830	3,227,443	3,257,660	30,217	0.9 %
Other Sources	10,704,293	6,152,876	6,152,876		
Total Revenues	<u>\$ 42,359,447</u>	<u>\$ 37,712,705</u>	<u>\$ 37,710,022</u>	<u>\$ (2,683)</u>	<u>(0.0) %</u>
<b>Expenditures and Transfers</b>					
Instruction	\$ 511				
Research	34,694,962	\$ 34,265,427	\$ 40,975,804	\$ 6,710,377	19.6 %
Public Service	29,976				
Academic Support	1,492,175	1,445,992	1,473,311	27,319	1.9 %
Student Services					
Institutional Support	918,286	1,079,946	1,054,871	(25,075)	(2.3) %
Op/Maint Physical Plant	446,965	442,540	447,503	4,963	1.1 %
Scholarships & Fellowships					
Sub-total Expenditures	<u>\$ 37,582,876</u>	<u>\$ 37,233,905</u>	<u>\$ 43,951,489</u>	<u>\$ 6,717,584</u>	<u>18.0 %</u>
Mandatory Transfers					
Non Mandatory Transfers	70,530	478,800	(6,241,467)	(6,720,267)	(1,403.6) %
Total Expenditures & Transfers	<u>\$ 37,653,406</u>	<u>\$ 37,712,705</u>	<u>\$ 37,710,022</u>	<u>\$ (2,683)</u>	<u>(0.0) %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ 4,706,042</u>	<u>\$ -</u>	<u>\$ -</u>		

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**UT Extension****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees					
State Appropriations	\$ 29,580,016	\$ 31,013,967	\$ 30,987,767	\$ (26,200)	(0.1) %
Grants & Contracts	556,988	530,000	530,000		
Sales & Service	4,161,248	4,509,045	4,509,045		
Other Sources	4,903,715	8,489,056	8,546,112	57,056	0.7 %
Total Revenues	<u>\$ 39,201,967</u>	<u>\$ 44,542,068</u>	<u>\$ 44,572,924</u>	<u>\$ 30,856</u>	<u>0.1 %</u>
<b>Expenditures and Transfers</b>					
Instruction					
Research					
Public Service	\$ 38,941,284	\$ 42,747,080	\$ 48,333,294	\$ 5,586,214	13.1 %
Academic Support	1,001,865	771,471	776,569	5,098	0.7 %
Student Services					
Institutional Support	724,511	681,965	688,006	6,041	0.9 %
Op/Maint Physical Plant					
Scholarships & Fellowships					
Sub-total Expenditures	<u>\$ 40,667,660</u>	<u>\$ 44,200,516</u>	<u>\$ 49,797,869</u>	<u>\$ 5,597,353</u>	<u>12.7 %</u>
Mandatory Transfers					
Non Mandatory Transfers	1,014,769	459,300	468,180	8,880	1.9 %
Total Expenditures & Transfers	<u>\$ 41,682,429</u>	<u>\$ 44,659,816</u>	<u>\$ 50,266,049</u>	<u>\$ 5,606,233</u>	<u>12.6 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (2,480,463)</u>	<u>\$ (117,748)</u>	<u>\$ (5,693,125)</u>		

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**College of Veterinary Medicine****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees	\$ 11,947,683	\$ 11,088,180	\$ 11,260,659	\$ 172,479	1.6 %
State Appropriations	15,720,772	16,795,854	16,796,354	500	0.0 %
Grants & Contracts	1,337,059	1,177,794	1,077,794	(100,000)	(8.5) %
Sales & Service	11,746,479	11,705,072	11,989,688	284,616	2.4 %
Other Sources	247,725	204,946	204,946		
Total Revenues	<u>\$ 40,999,718</u>	<u>\$ 40,971,846</u>	<u>\$ 41,329,441</u>	<u>\$ 357,595</u>	<u>0.9 %</u>
<b>Expenditures and Transfers</b>					
Instruction	\$ 25,741,361	\$ 30,940,258	\$ 33,806,011	\$ 2,865,753	9.3 %
Research	3,712,938	4,398,909	4,960,638	561,729	12.8 %
Public Service	109,685	78,473	80,855	2,382	3.0 %
Academic Support	6,087,386	4,992,462	5,557,648	565,186	11.3 %
Student Services					
Institutional Support	664,515	777,894	762,358	(15,536)	(2.0) %
Op/Maint Physical Plant	2,773,510	2,895,727	3,056,464	160,737	5.6 %
Scholarships & Fellowships	74,921	39,058	39,058		
Sub-total Expenditures	<u>\$ 39,164,314</u>	<u>\$ 44,122,781</u>	<u>\$ 48,263,032</u>	<u>\$ 4,140,251</u>	<u>9.4 %</u>
Mandatory Transfers					
Non Mandatory Transfers	1,073,034	137,814	106,693	(31,121)	(22.6) %
Total Expenditures & Transfers	<u>\$ 40,237,348</u>	<u>\$ 44,260,595</u>	<u>\$ 48,369,725</u>	<u>\$ 4,109,130</u>	<u>9.3 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ 762,370</u>	<u>\$ (3,288,749)</u>	<u>\$ (7,040,284)</u>		

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***Institute for Public Service Total*****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees					
State Appropriations	\$ 9,447,397	\$ 9,900,224	\$ 9,899,924	\$ (300)	0.0 %
Grants & Contracts	313,398	278,221	278,221		
Sales & Service					
Other Sources	6,689,516	6,645,974	6,713,174	67,200	1.0 %
Total Revenues	<u>\$ 16,450,311</u>	<u>\$ 16,824,419</u>	<u>\$ 16,891,319</u>	<u>\$ 66,900</u>	<u>0.4 %</u>
<b>Expenditures and Transfers</b>					
Instruction					
Research					
Public Service	\$ 14,595,929	\$ 15,250,447	\$ 15,234,640	\$ (15,807)	-0.1 %
Academic Support	282,712	307,344	313,586	6,242	2.0 %
Student Services					
Institutional Support	1,102,865	1,153,803	1,165,125	11,322	1.0 %
Op/Maint Physical Plant					
Scholarships & Fellowships					
Sub-total Expenditures	<u>\$ 15,981,506</u>	<u>\$ 16,711,594</u>	<u>\$ 16,713,351</u>	<u>\$ 1,757</u>	<u>0.0 %</u>
Mandatory Transfers					
Non Mandatory Transfers	825,218	301,092	366,535	65,443	21.7 %
Total Expenditures & Transfers	<u>\$ 16,806,724</u>	<u>\$ 17,012,686</u>	<u>\$ 17,079,886</u>	<u>\$ 67,200</u>	<u>0.4 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (356,413)</u>	<u>\$ (188,267)</u>	<u>\$ (188,567)</u>		

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***Institute for Public Service*****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees					
State Appropriations	\$ 5,058,459	\$ 5,250,298	\$ 5,249,898	\$ (400)	(0.0) %
Grants & Contracts	298,292	272,806	272,806		
Sales & Service					
Other Sources	660,979	520,950	588,150	67,200	12.9 %
Total Revenues	<u>\$ 6,017,730</u>	<u>\$ 6,044,054</u>	<u>\$ 6,110,854</u>	<u>\$ 66,800</u>	<u>1.1 %</u>
<b>Expenditures and Transfers</b>					
Instruction					
Research					
Public Service	\$ 4,380,723	\$ 4,394,400	\$ 4,450,278	\$ 55,878	1.3 %
Academic Support					
Student Services					
Institutional Support	1,093,964	1,137,468	1,148,790	11,322	1.0 %
Op/Maint Physical Plant					
Scholarships & Fellowships					
Sub-total Expenditures	<u>\$ 5,474,687</u>	<u>\$ 5,531,868</u>	<u>\$ 5,599,068</u>	<u>\$ 67,200</u>	<u>1.2 %</u>
Mandatory Transfers					
Non Mandatory Transfers	612,219	509,542	509,542		
Total Expenditures & Transfers	<u>\$ 6,086,906</u>	<u>\$ 6,041,410</u>	<u>\$ 6,108,610</u>	<u>\$ 67,200</u>	<u>1.1 %</u>
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (69,176)</u>	<u>\$ 2,644</u>	<u>\$ 2,244</u>		

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**Municipal Technical Advisory Service****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE	
				ORIGINAL TO REVISED AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees					
State Appropriations	\$ 2,737,969	\$ 2,892,013	\$ 2,892,013		
Grants & Contracts	15,067	5,415	5,415		
Sales & Service					
Other Sources	2,940,078	3,035,877	3,035,877		
Total Revenues	<u>\$ 5,693,114</u>	<u>\$ 5,933,305</u>	<u>\$ 5,933,305</u>		
<b>Expenditures and Transfers</b>					
Instruction					
Research					
Public Service	\$ 5,327,551	\$ 5,949,941	\$ 5,878,256	\$ (71,685)	(1.2) %
Academic Support	282,712	307,344	313,586	6,242	2.0 %
Student Services					
Institutional Support	5,329	8,500	8,500		
Op/Maint Physical Plant					
Scholarships & Fellowships					
Sub-total Expenditures	<u>\$ 5,615,592</u>	<u>\$ 6,265,785</u>	<u>\$ 6,200,342</u>	<u>\$ (65,443)</u>	<u>(1.0) %</u>
Mandatory Transfers					
Non Mandatory Transfers	265,563	(186,127)	(120,684)	65,443	35.2 %
Total Expenditures & Transfers	<u>\$ 5,881,155</u>	<u>\$ 6,079,658</u>	<u>\$ 6,079,658</u>		
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (188,040)</u>	<u>\$ (146,353)</u>	<u>\$ (146,353)</u>		

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**County Technical Assistance Service****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees					
State Appropriations	\$ 1,650,969	\$ 1,757,913	\$ 1,758,013	\$ 100	0.0 %
Grants & Contracts	38				
Sales & Service					
Other Sources	3,088,459	3,089,147	3,089,147		
Total Revenues	<u>4,739,467</u>	<u>4,847,060</u>	<u>4,847,160</u>	100	0.0 %
<b>Expenditures and Transfers</b>					
Instruction					
Research					
Public Service	\$ 4,887,656	\$ 4,906,106	\$ 4,906,106		
Academic Support					
Student Services					
Institutional Support	3,572	7,835	7,835		
Op/Maint Physical Plant					
Scholarships & Fellowships					
Sub-total Expenditures	<u>\$ 4,891,228</u>	<u>\$ 4,913,941</u>	<u>\$ 4,913,941</u>		
Mandatory Transfers					
Non Mandatory Transfers	(52,564)	(22,323)	(22,323)		
Total Expenditures & Transfers	<u>\$ 4,838,664</u>	<u>\$ 4,891,618</u>	<u>\$ 4,891,618</u>		
<b>Fund Balance Addition/(Reduction)</b>	<u>\$ (99,197)</u>	<u>\$ (44,558)</u>	<u>\$ (44,458)</u>		

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**University-Wide Administration****FY 2014 Revised Budget Summary****Unrestricted Current Funds Revenues, Expenditures, and Transfers**

	FY 2013 ACTUAL	FY 2014 ORIGINAL	FY 2014 REVISED	CHANGE ORIGINAL TO REVISED	
				AMOUNT	%
<b>EDUCATIONAL AND GENERAL</b>					
<b>Revenues</b>					
Tuition & Fees					
State Appropriations	\$ 4,571,278	\$ 4,724,238	\$ 4,721,538	\$ (2,700)	(0.1) %
Grants & Contracts					
Sales & Service					
Other Sources	13,709,384	16,362,500	16,362,500		
Total Revenues	\$ 18,280,662	\$ 21,086,738	\$ 21,084,038	\$ (2,700)	(0.0) %
<b>Expenditures and Transfers</b>					
Instruction					
Research	\$ 470,299				
Public Service					
Academic Support					
Student Services					
Institutional Support	46,699,522	\$ 45,239,348	\$ 46,137,125	\$ 897,777	2.0 %
Op/Maint Physical Plant					
Scholarships & Fellowships					
Sub-total Expenditures	\$ 47,169,821	\$ 45,239,348	\$ 46,137,125	\$ 897,777	2.0 %
Mandatory Transfers	134,948	135,000	135,000		
Non Mandatory Transfers	(24,274,085)	(24,154,446)	(25,069,500)	(915,054)	(3.8) %
Total Expenditures & Transfers	\$ 23,030,684	\$ 21,219,902	\$ 21,202,625	\$ (17,277)	(0.1) %
<b>Fund Balance Addition/(Reduction)</b>	\$ (4,750,023)	\$ (133,164)	\$ (118,587)		

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RESOLUTION  
OF  
THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES  
February 27, 2014

**REVISED FY 2014 Operating Budget**

WHEREAS, the Bylaws require the Board of Trustees to approve an annual operating budget for the University; and

WHEREAS, the Board approved the FY 2014 operating budget in June 2013; and

WHEREAS, the operating budget must be revised during the year to update revenue and expenditure projections for the remainder of the fiscal year, taking into consideration final fall enrollments (which are estimated when the original budget is prepared), the impact of the prior year's activities carried forward into the current year, and adjustments in state appropriations occurring since the budget was approved in June 2013; and

WHEREAS, the FY 2014 Revised Operating Budget includes adjustments allocating minor revisions to budgeted revenues and a significant carry forward of unexpended non-recurring funds from FY 2013; and

WHEREAS, the administration needs to be able to respond quickly and effectively to a significant budget shortfall due to any state impoundment of funds or appropriation rescission; and

WHEREAS, mandatory furloughs without pay, reduction of time worked, across-the-board salary reductions, and similar salary-related measures may be required to address budget reductions or a budgetary shortfall; and

WHEREAS, the FY 2014 Revised Budgets for Education and General (E&G) and Auxiliary Enterprises are balanced and within available resources and comply with all applicable policies and guidelines;

NOW THEREFORE BE IT RESOLVED that:

1. The FY 2014 Revised Budget is approved with the understanding that if the General Assembly or the Department of Finance and Administration further alter the FY 2014 appropriations, or if changes in estimated resources require, the budget shall be modified accordingly so expenditures will not exceed available resources.
2. The Board of Trustees expressly authorizes the campus, institute, and unit administrations, in response to budget reductions or a budgetary shortfall, to implement mandatory furloughs without pay, reduction of time worked, across-

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the-board salary reductions, and similar salary-related measures during the remainder of FY 2014, subject to approval by the Executive and Compensation Committee, the President, and the Treasurer and Chief Financial Officer, in consultation with the General Counsel and Human Resources.

3. Any remaining balance of Unrestricted Net Assets may be considered as a reserve for contingencies to be used for:
  - a. Employing additional staff where enrollments and reorganization requirements warrant;
  - b. Modifying departmental operating budgets where changing conditions during the year require funding adjustments;
  - c. Funding to make salary adjustments for personnel as may be necessary during the year in keeping with state and university salary guidelines;
  - d. Improving physical facilities for academic and research departments as opportunities arise;
  - e. Mandated cost increases; and
  - f. State impoundment of funds or appropriations rescission during the budget year

Adopted by the Board of Trustees, this 27<sup>th</sup> day of February, 2014.

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Finance and Administration

CAMPUS/INSTITUTE: UT Martin

ITEM: **Repurposing UT Martin Student Publication Fee**

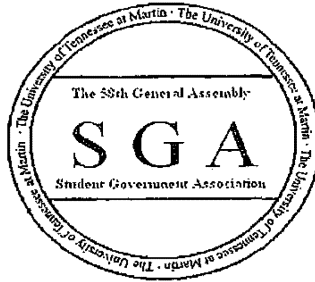
RECOMMENDATION: Approval

PRESENTED BY: Charles M. Peccolo, Treasurer and Chief Financial Officer

The Board of Trustees previously approved assessment of a yearbook publication fee of \$7.00/academic term on all full-time undergraduate students at UT Martin. The fee helps offset the production costs of the annual student yearbook. The yearbook was not published in fiscal years 2008-09 and 2009-10 resulting in an unexpended surplus. The UT Martin Student Senate has asked to re-appropriate \$100,000 of the surplus to repair and replace fitness equipment in the campus student recreation center (see attached resolution).

**MOTION:**

**That the Board of Trustees approve a non-recurring transfer of \$100,000 from the UT Martin student yearbook publication fee reserves to the UT Martin student recreation center for the purpose of repairing and replacing fitness equipment.**



**The Student Senate  
62<sup>nd</sup> General Assembly  
University of Tennessee at Martin**

**Recommendation:**

**Introduced By: Chelsea Boyd**

**Action Taken** Passed  
**By:** SGA Senate

**Certified** Alex Wilson  
Alex Wilson  
Student Body Vice President

**Duly Approved:** Rick Drewry  
Rick Drewry  
Student Body President

**An Act to Re-appropriate Surplus Publications Fee Funds to Provide Funding for the Repair and Replacement of Fitness Equipment for the UT-Martin Student Recreation Center**

**Whereas:** There was a surplus of accrued Publication Fee funds at the University of Tennessee at Martin due to not printing a yearbook from 2008 to 2010.

**Whereas:** The University of Tennessee at Martin Student Recreation Center needs sufficient funding to be able to replace and repair fitness equipment used to serve the students' recreational and fitness needs.

**Therefore Let it Be Enacted by the 62nd General Assembly of UT-Martin's Student Government Association:**

**Section I:** A portion of the unused surplus money accumulated by the Publication Fund be used as a one-time means of providing the UT-Martin Student Recreation Center with the needed funds to replace and repair fitness equipment.

**Section II:** The amount of the surplus Publication Fund to be used to replace and repair the fitness equipment shall equal \$100,000.

10/31/13

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**Section III:** The UT-Martin Student Recreation Center will only use the provided funding for the replacement and repair of fitness equipment.

**Section IV:** This act shall take place immediately upon passage as public welfare requires it.

**Respectfully submitted,**

Chelsea Boyd  
Committee Chairperson of Student Affairs

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 27, 2014

COMMITTEE: Academic Affairs and Student Success

CAMPUS/UNIT: UT Knoxville

ITEM: **Honorary Doctorate of Letters and Science, UT Knoxville**

RECOMMENDATION: Approval

PRESENTED BY: Jimmy G. Cheek, Chancellor, UT Knoxville

The Board of Trustees Policy on Awarding Honorary Degrees allows each campus to award up to three honorary degrees each year. In accordance with the Board policy, each campus developed specific procedures for nominating and considering honorary degrees. The nominating committee includes a representative faculty group, the campus Chancellor, and the Chair of the Academic Affairs and Student Success Committee of the Board. The awarding of honorary degrees must be approved by the Board of Trustees upon the recommendation of the President.

UT Knoxville proposes to award an Honorary Doctorate of Letters and Science to John Noble Wilford. Mr. Wilford graduated from UT Knoxville with a degree in Journalism in 1955 and is the most distinguished alumnus of the College of Communication and Information. Over the last 40 years, he has been widely regarded as the best science journalist.

As a reporter, Mr. Wilford covered nearly all major missions of the U.S. space program over a period of three decades, including all flights to the moon and planets. He flew through the eye of a hurricane to get a story on cloud seeding, he submerged in research submarines, he operated lunar landing and space shuttle training simulators, flew with the International Ice Patrol out of Newfoundland and Greenland, endured a wilderness survival school in Utah, and searched Loch Ness for its legendary monster.

For his newspaper writing, Mr. Wilford won two Pulitzer prizes, one for his reporting of science topics and the other, as a team effort with other *New York Times* reporters, for



their stories on the 1987 Challenger explosion and its aftermath. Mr. Wilford has received two awards from the Aviation-Space Writers Association, he is the recipient of the Westinghouse Science Writing Award, the National Space Club Press Award, the AAAS Science Journalism Award, and numerous others. He has been a visiting professor and lecturer at Princeton, Syracuse, Duke, Yale, and UT Knoxville. In 1986, he was a finalist in NASA's Journalist-in-Space Project to fly aboard the space shuttle, but the project was postponed indefinitely.

Mr. Wilford is an internationally known figure who has had a major impact on his profession. He is the most accomplished and best known science writer in the world. Moreover, Mr. Wilford has never forgotten UT Knoxville. He has generously donated his time, talent, and treasure to the College of Communication and Information. He served on the CCI Board of Visitors and was the first holder of the UT Knoxville Chair of Excellence in Science Journalism.

This proposal has been approved at all administrative levels and is in accordance with Board policy and campus procedures. Upon the Board's approval, the degree will be conferred at the Spring 2014 commencement ceremony. Supporting documentation on awarding an honorary degree to this outstanding individual is provided in the following materials.

**MOTION:**

**That an Honorary Doctorate of Letters and Science from The University of Tennessee, Knoxville be awarded to John Noble Wilford.**

February 12, 2014

President Joseph A. DiPietro  
University of Tennessee System  
800 Andy Holt Tower  
Knoxville, TN 37996-0180

Dear President DiPietro:

I am pleased to nominate author and award-winning journalist, Mr. John Wilford to receive an Honorary Doctorate of Letters and Science from the University of Tennessee, Knoxville at the spring 2014 commencement ceremony. We are honored to recognize his career and accomplishments with this honorary degree.

Mr. Wilford graduated from the University of Tennessee, Knoxville in 1955 with a bachelor's degree in journalism. He began his career in 1956 at the *Wall St. Journal*, where he was a general assignment reporter and medical reporter. In 1962, he joined *TIME Magazine* to work as a contributing science editor. In 1965, he began his long-standing career with the *New York Times*. He would become a two-time Pulitzer Prize winner, with the first being in 1984 for his national reporting of science topics such as the space war weaponry competition between the United States and Soviet Union. He was awarded his second Pulitzer Prize in 1987 with other *Times* reporters for the coverage of the *Challenger* explosion and its aftermath. Because of his distinguished career, Mr. Wilford is widely regarded as one of the best science journalists over the last forty years.

Mr. Wilford has also received numerous awards throughout his career, including two awards from the Aviation-Space Writers Association, the Westinghouse Science Writing Award, the G.M. Loeb Achievement Award of the University of Connecticut, the National Space Club Press Award, the AAAS Science Journalism Award, the Sagan Award from the Council of Scientific Society Presidents, the Chancellor's Medal at Syracuse University, Honorary Doctor of Letters at Rhode Island College, a Distinguished Alumnus Award from Columbia University's Graduate School of Journalism, an Honorary Doctor of Science from Middlebury College, the American Geological Institute's Award for Outstanding Contribution to Public Understanding of the Geosciences, and a Fellow of the American Academy of Arts & Sciences. In addition, Mr. Wilford has authored, co-authored, or edited numerous books including the following: *We Reach the Moon* (1969), *Scientists at Work* (1979), *The Mapmakers* (1981), *Spaceliner* (1981), *The Riddle of the Dinosaur* (1985), *The New York Times Guide to the Return of Halley's Comet* (1985), *Mars Beckons* (1990), and *The Mysterious History of Columbus* (1991). He has been a visiting professor and lecturer at Princeton, Yale, Syracuse, Duke, and here at the University of Tennessee, Knoxville.

Along with his many achievements as a reporter, author, and professor, Mr. Wilford has a distinguished record of service and generosity to the University of Tennessee. He is an emeritus

member of the College of Communication & Information Board of Visitors and served as the first holder of the UT Knoxville Chair of Excellence in Science Journalism. Along with his service to the University, Mr. Wilford has also been a distinguished lecturer on multiple occasions, including the Alfred and Julia Hill lectures in the College of Communication & Information. In 2009, he received the College's highest alumni honor, the Donald G. Hileman Distinguished Alumni Award.

In the process set forth by the University of Tennessee Board of Trustees, the Honorary Degree Nominating Committee considered the nomination of John Wilford, which was submitted by the Dean of the College of Communication & Information, Dr. Michael Wirth. The Nominating Committee is chaired by Dr. Lee Han and consists of the following four additional faculty members, with all of them selected by the Faculty Senate: Drs. Agricola Odoi, Martin Griffen, and Catherine Luther, as well as Professor Joan Heminway. Ms. Vicky Gregg, chair of the Academic Affairs and Student Success Committee of the Board of Trustees, is also a member of the committee. The Nominating Committee unanimously approved the nomination for Mr. John Wilford.

Furthermore, a Special Committee received the recommendation from the Honorary Degree Nominating Committee. The Special Committee consisted of five individuals: Provost Susan Martin, and four tenured faculty members, who are not members of the Nominating Committee and who are appointed by the Chair of the Graduate Council. The faculty members included the following: Drs. Peter Gross, Jon Shefner, Stephen Kania, and Russel Hirst. The Special Committee, chaired by Dr. Shefner, was unanimous in its recommendation of Mr. Wilford for an honorary degree as well.

The entire nomination process is set out on the Chancellor's website (<http://chancellor.utk.edu/honorary/>) and is modeled on, and consistent with, the UT Board of Trustees' policy for granting honorary degrees.

I request approval to honor Mr. John Wilford with this distinction.

Sincerely,

  
Jimmy G. Cheek  
Chancellor

Enclosures (3)

Approved:   
Joseph A. DiPietro  
President, University of Tennessee System



COLLEGE of ARTS & SCIENCES  
Department of Sociology  
901 McClung Tower  
1115 Volunteer Blvd.  
Knoxville, TN 37996-0490  
Phone: (865) 974-6021  
Fax: (865) 974-7013  
<http://web.utk.edu/utsocdep/>

Feb. 17, 2014

Jimmy Cheek, Chancellor

University of Tennessee, Knoxville

Dear Chancellor Cheek,

The Special Committee met on Wednesday, February 12<sup>th</sup>, to discuss the positive recommendation from the Nominating Committee regarding the College of Communication and Information's recommendation of John Noble Wilford for an honorary degree.

The Special Committee, which includes Provost and Senior Vice Chancellor Susan Martin, Peter Gross (Journalism & Electronic Media), Stephen Kania (Veterinary Medicine), Russel Hirst (English), and myself, is pleased to forward this nomination to you with our unanimous support.

I appreciate the opportunity to participate in this important process and am happy to answer any questions or provide additional information if needed.

Sincerely,

A handwritten signature in black ink, appearing to read "Jon D. Shefner".

Jon D. Shefner, Chair

Special Committee

Professor and Head, Department of Sociology

February 7, 2014

Dr. Susan Martin  
Provost and Senior Vice Chancellor  
525 Andy Holt Tower  
CAMPUS

Dear Provost Martin,

The Honorary Degree Nominating Committee met this afternoon with Russ Swafford, representing Chancellor Cheek, and Trustee Vicky Gregg, member of the University of Tennessee Board of Trustees, to discuss the nomination of John Noble Wilford for an honorary doctorate as submitted by Dr. Mike Wirth, Dean of the College of Communication and Information. I am pleased to report that the Committee voted unanimously in favor of awarding the degree of Honorary Doctor of Letters and Science to Mr. Wilford. Please let me know if you needed any additional information as you move forward with this recommendation. Thank you for the opportunity to participate in this process.

Sincerely,

  
Lee D. Han, Chair  
Honorary Degree Nominating Committee





COLLEGE of COMMUNICATION & INFORMATION

Office of the Dean  
1345 Circle Park Dr.  
302 Communications-UEB  
Knoxville, TN 37996-0332  
Phone: 865-974-3031  
865-974-3896  
cci@utk.edu  
<http://www.cci.utk.edu>

UT Knoxville Honorary Doctorate Letter of Nomination for John Noble Wilford

December 9, 2013

Dear UTK Honorary Degree Nominating Committee:

This letter serves as my nomination of John Noble Wilford (B.S./Journalism '55) for a University of Tennessee, Knoxville Honorary Degree. My reasons for nominating Mr. Wilford are as follows.

John Noble Wilford is CCI's most distinguished alumnus. He is widely regarded as the best science journalist over the last 40 years and has been presented with a large number of awards in recognition of his excellence. He has devoted his life to covering science and helping non-scientists gain a better understanding of the scientific world. In short, he has had an incredible career.

A summary list of the national and international recognition received by Mr. Wilford includes the following. For his newspaper writing, Mr. Wilford won two Pulitzer Prizes, the first in 1984 for his national reporting of science topics ranging from the tug of "Planet X" on Uranus and Neptune to the competition over space war weaponry between the U.S. and the Soviet Union. In 1987, he shared the prize with other *Times* reporters for their team achievement in reporting on the Challenger explosion and its aftermath. In addition to the Pulitzer Prizes, Mr. Wilford has been honored with two awards from the Aviation-Space Writers Association (1970, 1983), the G.M. Loeb Achievement Award of the University of Connecticut (1972), the Westinghouse Science Writing Award (1983), the National Space Club Press Award (1974), the AAAS Science Journalism Award (1983), the Chancellor's Medal – Syracuse University (1983), a Doctor of Letters (Hon.), Rhode Island College (1987), a Distinguished Alumnus Award – Columbia University Graduate School of Journalism (1988), and a Doctor of Science (Hon.) – Middlebury College (1991). He has been a visiting professor and lecturer at Princeton, Syracuse, Duke, Yale, and UT Knoxville. In 1986, he was a finalist in NASA's Journalist-in-Space Project to fly aboard the space shuttle, but the project was postponed indefinitely. Other honors include: the Ralph Coats Roe Medal of the American Society of Mechanical Engineers (1995), the Mayor's Award for Excellence in Science and Technology (New York City – 2001), the American Geological Institute's Award for Outstanding Contribution to Public Understanding of the Geosciences (2001), the Sagan Award from the Council of Scientific Society Presidents (2001), Phi Beta Kappa, and a Fellow of the American Academy of Arts and Sciences.

The skills and characteristics that make John Noble Wilford an outstanding choice for an honorary degree are as follows. He is the College of Communication and Information's most honored and distinguished alumnus. He is an internationally known figure who has had a major impact on his profession. He is the most accomplished and best known science writer in the world. In addition to his incredible career accomplishments, Mr. Wilford has never forgotten UTK. He has generously donated his time, talent and treasure to the College of Communication and Information and the University of Tennessee. In particular, he is an emeritus member of the CCI Board of Visitors; he served as the first holder of the UT Knoxville Chair of Excellence in Science Journalism (1989-90); and he is the only individual to give two Alfred and Julia Hill Lectures at UT (1989 and 2000). As a reporter, Mr. Wilford covered nearly all major missions of U. S. space program over three decades, including all flights to the Moon and the planets. He traveled on assignment throughout the United States and to Europe, the Soviet Union, Turkey, North Africa, China and Mongolia (member, American Museum-Mongolian Gobi Expedition, summer 1991; returned in 2005 to report on Ukhaa Tolgod, a spectacularly rich fossil site), Canada's Northwest Territories, Mexico and the Caribbean, Central America, the Amazon of Brazil, Chile and Easter Island, and the Pacific atolls of Eniwetok and Bikini (reporting on the restoration of these nuclear test sites). He flew through the eye of a hurricane to get a story on cloud seeding, submerged in research submarines off Florida and Bermuda, operated lunar-landing and space shuttle training simulators, flew with the International Ice Patrol out of Newfoundland and Greenland, endured a wilderness survival school in Utah, searched Loch Ness for its legendary monster, worked with a mapping party on the floor of the Grand Canyon and ran the rapids of the Colorado River for a magazine story. In 1972, he was the first Western correspondent to visit and report from Star City, the Soviet cosmonaut training center. In short, John Noble Wilford, epitomizes what it means to be outstanding.

Honors already received by Mr. Wilford from the University of Tennessee include the following. He was a charter inductee into the Alumni Academic Hall of Fame at the University of Tennessee (1994). He also received a Distinguished Alumni Award from the UT Knoxville School of Journalism and Electronic Media (2006) and the College of Communication and Information's highest alumni honor, the Donald G. Hileman Distinguished Alumni Award (2008).

Mr. Wilford has also authored, co-authored, or edited eight books including: *We Reach the Moon* (1969), *Scientists at Work* (1979), *The Mapmakers* (1981), *Spaceliner* (1981), *The Riddle of the Dinosaur* (1985), *The New York Times Guide to the Return of Halley's Comet* (1985), *Mars Beckons* (1990), and *The Mysterious History of Columbus* (1991).

In sum, John Noble Wilford is an outstanding individual who is very deserving of receiving an honorary doctorate from the University of Tennessee.

Sincerely,

A handwritten signature in black ink that reads "Mike Wirth". The signature is written in a cursive style with a large, sweeping initial "M".

Mike Wirth, Ph.D.  
Dean and Professor  
College of Communication and Information  
University of Tennessee, Knoxville



John Noble Wilford  
Science Correspondent/Senior Writer (retired)  
The New York Times  
620 Eighth Avenue  
New York, N. Y. 10018

212-556-7485  
wilford@nytimes.com

Born on Oct. 4, 1933. Murray, Kentucky.

Married to Nancy Watts Paschall. One daughter, Nona.

EDUCATION: University of Tennessee, Knoxville--B. S., Journalism, 1955. Syracuse University (Maxwell School)--M. A., Political Science, 1956. Columbia University (Graduate School of Journalism)--International Reporting Fellow, 1961-62.

MILITARY: U.S. Army Counter-Intelligence Corps, 1957-59. Served in West Germany.

EMPLOYMENT: The Parisian, Paris, Tenn.--Reporter in summers of 1952 and 1953, while in college. The Commercial Appeal, Memphis, Tenn.--Reporter in summers of 1954 and 1955.

Wall Street Journal, New York--Staff reporter, 1956 and 1959-61. Covered medicine the last two years.

Time Magazine, New York--Contributing Editor 1962-65. Specialized in science the last year, writing several cover articles.

The New York Times, 1965 to present (retired but still has an office and writes occasional columns)

- Science news reporter, 1965-73--Covered space exploration, primarily the Apollo Moon project.
- Assistant National News Editor, 1973-75.
- Director of Science News, 1975-79--Headed 10-person staff of science, medicine and technology reporters. Highlight of this period was the start in 1978 of Science Times, the weekly science section. In 2000, the Lasker Foundation, which makes prestigious awards for medical research, presented its Public Understanding of Science Award to Science Times "for sustained, comprehensive and high-quality coverage about science, disease and human health."
- Science Correspondent, 1979 to present: Coverage of space exploration, astronomy, paleontology, archaeology and other fields of science.

- Senior Writer, 1990 to present.

OTHER EMPLOYMENT: Director, Corpcom, Inc., 1962-88. Visiting Journalist, Duke University, Fall 1984. McGraw Lecturer in Writing, Princeton University, Spring 1985 (First holder of this lectureship, since designated a professorship). WQXR Radio Station -- Science and Technology Times, a daily commentary, 1987-92.

Chair of Excellence in Science Journalism, University of Tennessee, Knoxville, 1989-90. (First holder of the endowed professorship). Director's Visitor, Institute for Advanced Study, Princeton, 1995. Consultant, American Museum of Natural History exhibition, "Scientists and Journalists--One Story, Two Voices," 1996. Instructor, Santa Fe Science Writing Workshop, June 2000.

BOOKS: We Reach the Moon (1969). Bantam (softcover) and W. W. Norton (expanded edition in hardcover). Story of the Apollo Project. Translated into German, Italian, Spanish, Japanese and other languages. Winner of Aviation/Space Writers Association annual book award, 1970.

Scientists at Work (1978). Dodd, Mead. (Editor) Collection of articles by Wilford and other Times science reporters.

The Mapmakers (1981). Alfred A. Knopf. Translated into Japanese. Paperback edition by Vintage Books (1982). American Book Award finalist. Expanded, revised edition (2000). Vintage paperback of revised edition (2001).

Spaceliner (1981). Times Books. (Co-author, with William Stockton) Story of the space shuttle development and first flight.

New York Times Guide to the Return of Halley's Comet (1985). Times Books. (Co-author, with Richard Flaste, Holcomb Noble and Walter Sullivan).

The Riddle of the Dinosaur (1985). Knopf. Translated into Japanese and Spanish. Vintage Books (1987).

Mars Beckons (1990). Knopf. Translated into Japanese and German. Vintage Books (1991).

The Mysterious History of Columbus (1991). Knopf. Vintage Books (1992).

Cosmic Dispatches: The New York Times Reports on Astronomy and Cosmology (2000). W. W. Norton. (Editor). Collection of articles, mainly by Wilford, covering a decade of significant and sometimes startling discovery. Norton paperback edition

(2002).

ARTICLES: Various science and related articles in National Geographic, Wilson Quarterly, Reader's Digest, Popular Science Annual, Saturday Review, Science Digest, New York Times Magazine, Discovery. Book reviews for the journal Nature, Biblical Archaeology Review and The New York Times Book Review.

Contributing author for the following books and anthologies: The Soviet Union: The Fifty Years, edited by Harrison E. Salisbury, 1967. A Field Guide for Science Writers, edited by Deborah Blum and Mary Knudson, 1997. Israel: The Historical Atlas, by New York Times correspondents, 1997. The Science Times Book of Fossils and Evolution, edited by Nicholas Wade, 1998. The Science Times Book of Archaeology, edited by Nicholas Wade, 1999. The Princeton Anthology of Writing, edited by John McPhee and Carol Rigolot, 2001. Written into History: Pulitzer Prize Reporting of the 20th Century, edited by Anthony Lewis, 2001. The Best American Science Writing: 2004, edited by Dava Sobel.

SPECIAL LECTURES: Alfred and Julia Hill Lecture, University of Tennessee, 1989 and 2000. John Hamilton Fulton Memorial Lecture, Middlebury College, 1992. Walter Mattson-N. Y. Times Lecture, University of Southern Maine, 1994. Roe Medal Lecture, American Society of Mechanical Engineers, 1995. Axinn Library Lecture, Hofstra University, 1996. American Philosophical Society, 1997. Lyndon B. Johnson Library, University of Texas, 1999. Yoder Public Affairs Lecture, Goshen College, 2001. Loren Eiseley Society of the University of Pennsylvania Museum, 2002. Johnson Lecture in Scientific Communication, Penn State, 2002. Neilly Series Lecture, University of Rochester, 2003. Pompeu Fabra University, Barcelona, 2004. Cisler Lecture, Lawrence Technological U., 2008.

PROFESSIONAL SOCIETIES: National Association of Science Writers. Society of Professional Journalists. Authors Guild. American Geographical Society (Council member 1994-2000, secretary 2000-).

COMMITTEES: Advisory Panel for NOVA, the PBS science program, 1977-79. Selection Committee, Vannevar Bush Fellows in Science Writing (since renamed the Knight Fellows), Massachusetts Institute of Technology, 1983-4. Board of Visitors, University of Tennessee College of Communications, 1984-2004. Co-chairman, Mercator Society of the New York Public Library, 1985-2006. Advisory Committee for "Space Age," television project of the National Academy of Sciences and WQED Pittsburgh (PBS), 1991-2. Committee for the Study of Science and the Media, American Academy of Arts and Sciences, 2006-.

HONORS: National Space Club Press Award, 1974. AAAS Science Journalism Award, 1983. Pulitzer Prize for National Reporting (articles on space science and

planetary exploration), 1984. Pulitzer Prize for National Reporting, 1987; shared the award as a member of the New York Times reporting team covering the aftermath of the Challenger accident.

Chancellor's Medal, Syracuse University, 1983. Doctor of Letters (Hon.), Rhode Island College, 1987. Distinguished Alumnus Award, Columbia University Graduate School of Journalism, 1988. Doctor of Science (Hon.), Middlebury College, 1991. Charter inductee in Alumni Academic Hall of Fame, University of Tennessee, 1994. Distinguished Alumni Award, U. of Tennessee School of Journalism and Electronic Media, 2006. Donald G. Hileman Distinguished Alumni Award, U. of Tennessee College of Communication and Information (2008).

Ralph Coats Roe Medal of American Society of Mechanical Engineers, 1995. Mayor's Award for Excellence in Science and Technology (New York City), 2001. American Geological Institute's Award for Outstanding Contribution to Public Understanding of the Geosciences, 2001. Sagan Award, Council of Scientific Society Presidents, 2001.

Phi Beta Kappa. Fellow of the American Academy of Arts and Sciences.

CLUB: Century Association, New York City.

BIOGRAPHICAL LISTINGS: Who's Who in the World. Who's Who in America. Who's Who in Science and Engineering.

GENERAL: As a reporter, he covered nearly all major missions of U. S. space program over three decades, including all flights to the Moon and the planets. In 1986, was selected as a finalist in NASA's Journalist-in-Space Project to fly aboard the Space Shuttle (project was postponed indefinitely). Traveled on assignment throughout the United States and to Europe, the Soviet Union, Turkey, North Africa, China and Mongolia (member, American Museum-Mongolian Gobi Expedition, summer 1991; returned in 2005 to report on Ukhaa Tolgod, a spectacularly rich fossil site), Canada's Northwest Territories, Mexico and the Caribbean, Central America, the Amazon of Brazil, Chile and Easter Island, and the Pacific atolls of Enewetak and Bikini (reporting on the restoration of these nuclear test sites). Flew through the eye of a hurricane to get a story on cloud seeding, submerged in research submarines off Florida and Bermuda, operated lunar-landing and space shuttle training simulators, flew with the International Ice Patrol out of Newfoundland and Greenland, endured a wilderness survival school in Utah, searched Loch Ness for its legendary monster, worked with a mapping party on the floor of Grand Canyon and ran the rapids of the Colorado River for a magazine story. In 1972, was the first Western correspondent to visit and report from Star City, the Soviet cosmonaut training center.

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 27, 2014

COMMITTEE: Academic Affairs and Student Success

CAMPUS/UNIT: UT Knoxville

ITEM: **Revisions to UT Knoxville Faculty Handbook and Manual for Faculty Evaluation**

RECOMMENDATION: Approval

PRESENTED BY: Katherine N. High, Vice President for Academic Affairs and Student Success

The UT Knoxville Faculty Handbook (applicable also to the faculty of UTIA and UTSI) includes the framework for appointment, renewal, and evaluation of non-tenure-track faculty, who typically have a primary responsibility in teaching, research, or clinical roles. The Faculty Senate and campus administration have been working through a series of handbook updates to clarify appropriate titles, ranks, and promotional opportunities for these valued faculty members. The proposed revisions to the Faculty Handbook codify the eligibility, criteria, and process for promotion of Lecturers to the advanced ranks of Senior Lecturer and Distinguished Lecturer. Companion revisions to the Manual for Faculty Evaluation provide more detailed information about the departmental, college, and campus procedures through which such promotions are sought.

The proposed revisions presented on the following pages have been approved by the Faculty Senate and Chancellors Arrington and Cheek. The proposed revisions have been further reviewed and are recommended for approval by the General Counsel and Secretary, the Vice President for Academic Affairs and Student Success, and the President.

**Revisions to the  
UTK Faculty Handbook<sup>1</sup> and the Manual for Faculty Evaluation  
Monday, February 18, 2013 for meeting March 4, 2013.**

New language = underlined

Deleted language = ~~strikethrough~~

**Additions and changes to the Faculty Handbook:**

Chapter 4. Non-Tenure-Track Faculty

4.1 Appointment and Renewal of Faculty to Non-Tenure-Track Positions

4.2 Criteria for Appointment to Faculty Rank

4.3 Evaluation

4.4 Promotion of Lecturers

Promotion of non-tenure track teaching faculty to the ranks of senior lecturer or distinguished lecturer (Handbook §§ 4.1.1 and 4.2.1) will follow the process described below and further detailed in the *Manual for Faculty Evaluation*.

4.4.1 Eligibility

After serving at the rank of lecturer, typically for a minimum of five years, a lecturer who has satisfied the criteria described in Section 4.4.2, immediately below, and specified in Section VI.A.2.a. of the *Manual for Faculty Evaluation* may apply for promotion to the rank of senior lecturer. Promotion to the rank of senior lecturer may be accompanied by an appointment that is automatically renewed for up to three years and may be recognized by a base salary adjustment.

After serving at the rank of senior lecturer, typically for a period of three to five years, a senior lecturer who has satisfied the criteria described in Section 4.4.2, immediately below, and specified in Section VI.A.2.b. of the *Manual for Faculty Evaluation* may apply for promotion to

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<sup>1</sup> The UTK Faculty Handbook applies to UTK, UTIA, UTSI faculty. Revisions were proposed by the Faculty Affairs Committee of the Faculty Senate in coordination with campus administration; adopted by the Faculty Senate on March 4, 2013.

the rank of distinguished lecturer. Promotion to the rank of distinguished lecturer may be accompanied by an appointment that is automatically renewed for up to five years and may be recognized by a base salary adjustment.

Like all academic appointments, these multi-year appointments consist of annual appointments that are automatically renewed for the specified term, unless terminated for cause, or by operation of some other provision in the *Faculty Handbook* (such as relinquishment, forfeiture, or other extraordinary circumstances, as those terms are defined in Board Policies Governing Academic Freedom, Responsibility, and Tenure and in the *Handbook*).

#### 4.4.2 Lecturer Promotion Criteria

The principal criterion for promotion is excellence in teaching. Because lecturers may perform research and / or service, as needed, research and / or service may be considered when recommending a lecturer for promotion. However, even in cases where there is evidence of excellence in research and / or service, excellence in teaching will remain the principal criterion for promotion of lecturers. The criteria are specified in greater detail in Section VI.A.2.a. and VI.A.2.b. of the *Manual for Faculty Evaluation*.

#### 4.4.3 Lecturer Promotion Process

The lecturer promotion process begins when the candidate submits a dossier for consideration. Review occurs in turn at the departmental, college, and campus levels; the candidate shall be notified in writing of the decision at each level. For colleges without departments, the review should follow the same procedure used for the promotion and tenure process. Candidates denied promotion at the departmental level may appeal the decision to the college. Candidates denied promotion at the college level may appeal the decision to the chief academic officer. Sections VI.A.3. and VI.A.5. of the *Manual for Faculty Evaluation* specify the promotion process, notification process, and appeal process.

#### 4.4.4 Contents of the dossier

A cover sheet that records the decisions at the various levels of review must accompany the dossier. Section VI.A.4. of the *Manual for Faculty Evaluation* specifies in detail the required contents of the dossier, which should not exceed 50 pages, excluding the cover sheet and the candidate's *curriculum vitae*.

#### 4.45 Salaries

#### 4.56 Appeals

## **Additions to the Manual for Faculty Evaluation:**

### **PART VI: PROMOTION OF NON-TENURE TRACK TEACHING FACULTY**

#### **A. LECTURER PROMOTION PROCESS**

A lecturer is eligible for promotion to senior lecturer typically after a minimum of five years of regular (full-time) service at the rank of lecturer. A senior lecturer is eligible for promotion to distinguished lecturer typically after three to five years of regular (full-time) service at the rank of senior lecturer.

**1. Expectations for Instructional Faculty.** “Non-tenure-track teaching faculty are hired for specific teaching assignments. They generally are not expected to conduct research or perform public or disciplinary service as a condition of their employment. However, research or service activities may be included as part of their effort, depending on the needs of the department and the skills and desires of the faculty member.” (Faculty Handbook Section 4.2.1.). Lecturers at the University of Tennessee are expected to provide excellent instruction. Among the characteristics of excellent instruction are the following practices: establishing, applying, and maintaining rigorous expectations for student performance; facilitating student learning through effective pedagogical techniques; using instructional materials appropriate to the program and discipline; providing current information and materials in the classroom and / or laboratory; engaging students in an active learning process; incorporating collaborative and experiential learning in regular classroom instruction; constructing appropriate and challenging assessment activities; providing timely and useful feedback to students; revising course content and scope as required by advances in disciplinary knowledge or changes in curriculum; revising teaching strategies in accord with innovations in instructional technology.

**2. Criteria for Promotion to Lecturer Ranks.** The principal criterion for promotion is excellence in teaching; however, research and / or service may be considered when recommending a lecturer for promotion. Even in cases where there is evidence of excellence in research and / or service, excellence in teaching will remain the principal criterion for evaluation of instructional faculty.

a. Promotion to Senior Lecturer: After serving at the rank of lecturer, typically for a minimum of five years, a lecturer who has satisfied the following criteria may apply for promotion to the rank of senior lecturer:

i. Evidence of excellence in teaching, typically of undergraduate courses, as documented in student evaluations, peer evaluations, and annual supervisor / departmental evaluations;

ii. Professional development, as evidenced by appropriate activities in support of the expected instructional practices listed in Section VI.A.1. above;



iii. evidence of notable contributions to the university's instructional mission, within the faculty member's assigned role.

b. Promotion to Distinguished Lecturer: After serving at the rank of senior lecturer, typically for a period of three to five years, a senior lecturer who has satisfied the following criteria may apply for promotion to the rank of distinguished lecturer:

i. Evidence of consistent excellence in teaching, typically of undergraduate courses, as documented by student evaluations, peer evaluations, and annual supervisor / departmental evaluations;

ii. Continuing professional development, including some or all of the following activities: attendance at campus, regional, national, or international meetings directed at improving instruction; development of new courses and / or revision of existing courses; incorporation of innovative course materials or instructional techniques; scholarly or creative work in the scholarship of teaching as well as in the discipline; awards or other recognition for teaching;

iii. Evidence of outstanding contributions to the university's instructional mission, within the faculty member's assigned role.

iv. Evidence of institutional or disciplinary service, within the faculty member's assigned role, such as advising and mentoring undergraduate students, supervising GTAs, course coordination, or other forms of institutional service, such as serving on committees.

**3. Process for Promotion.** An effective evaluation of a promotion candidate's qualifications and professional contributions requires the academic judgment of both the candidate's faculty colleagues and responsible administrators. When the faculty member's position is in a department within a college, there are three levels of review: the department or other unit level, headed by the faculty member's immediate supervisor; the dean of the college in which that unit sits; and the chief academic officer. For colleges without departments, the review should follow the same procedure used for the promotion and tenure process. In the description below, the department head is understood to refer to the supervisor of the unit in which the faculty member is appointed.

a. Departmental Level Review and Recommendation. The faculty member and department head or designee should discuss promotion as part of the annual performance review, well in advance of the suggested dates for submission of the application for promotion in order to give the candidate sufficient time to gather the required materials and assemble the dossier.

i. The promotion process begins when a dossier is submitted for consideration for promotion to senior or distinguished lecturer. According to the *Faculty Handbook*, "A departmentally designated group of faculty will review and evaluate appointments to the rank of senior [and distinguished] lecturer, in

accordance with departmental and college bylaws” (4.2.1.). Typically, all tenure-track and tenured faculty members are eligible to be members of this group, as are non-tenure-track instructional faculty who hold higher rank than the candidate, unless otherwise specified by college or departmental bylaws. They shall review the candidacy and record a vote in favor or against promotion by majority vote (unless some other voting mechanism is established by college or departmental bylaws). The vote of the departmentally designated faculty group is advisory to the department head or his/her designee.

ii. After making an independent judgment on the promotion candidacy, the department head shall either insert a positive written recommendation in the dossier and advance it to the next level of review or notify the candidate in writing that the department declines to recommend promotion.

iii. Candidates not recommended for promotion by their departments may appeal that decision to the next level. If a candidate chooses not to appeal, the application is considered to be withdrawn and the promotion process ends. (See Section VI.A.5. below.)

**b. College Level Review and Recommendation.** The dean may establish a college-wide committee for review and recommendation regarding promotion of non-tenure-track faculty. The recommendation of any college-wide committee shall be advisory to the dean. After making an independent judgment on the promotion candidacy, the dean shall either insert a positive written recommendation in the dossier and advance it to the next level of review or notify the candidate in writing that the college declines to recommend promotion. Candidates not recommended for promotion by their colleges may appeal that decision to the chief academic officer. If a candidate chooses not to appeal, the application is considered to be withdrawn and the promotion process ends. (See Section VI.A.5. below.)

**c. Campus Level Review and Final Promotion Decision.** The chief academic officer reviews recommendations forwarded by the dean and serves as the final decision maker regarding promotion to senior/distinguished lecturer. The chief academic officer will notify successful and unsuccessful candidates in writing of his/her decision regarding promotion. Candidates not recommended for promotion by the chief academic officer may appeal to the Chancellor.

**4. Contents of the Dossier.** A cover sheet that records the decisions at the various levels of review must accompany the dossier. Candidates for promotion must provide a complete curriculum vitae and assemble a dossier in advance of the process. The candidate will work with the department head or designee to assemble a promotion dossier according to the guidelines listed below. This dossier must describe the responsibilities assigned to the lecturer/senior lecturer and must include an appropriate subset of the following materials. The dossier, excluding the cover sheet and the candidate’s curriculum vitae, should not exceed 50 pages.

a. Items to be supplied by the candidate (Asterisks indicate required items):

i. A complete *curriculum vitae*\*

ii. Statement of teaching philosophy and professional goals\*

iii. A summary of student evaluations and grade distributions (listed in chronological order, earliest to most recent) consisting of a table of responses to the first four questions from the SAIS from all classes taught during the five years prior to the date of the application for promotion and a table of final grade distributions from all classes taught during the five years prior to the date of the application for promotion.\*

iv. Evidence of teaching excellence such as:

- narrative comments from student evaluations (Note: If a candidate submits narrative comments, all comments received during the review period shall be provided to the department head or designee, who will make a selection that includes both “best liked” and “least liked” qualities. The selection should be broadly representative of the entire body of student comments.);
- a list of honors and awards for teaching, advising, and mentoring; a representative syllabus, ideally from the most recent instance of the candidate’s most frequently taught course;
- evidence of course or curricular development; evidence of pedagogical innovation;
- an account of supervision of undergraduate research;
- a description of mentoring or coordinating GTAs for large-enrolling, multi-section classes;
- a description of participation in teaching workshops or pedagogical training.

v. Evidence of excellence in contributing to the university’s instructional mission such as:

- administrative responsibilities within the program or unit;
- program or course-coordination across multiple sections;
- support for extra-curricular student organizations and activities;
- participation in the unit’s governance activities and committees;
- professional outreach activities in the campus, community, or discipline;
- other evidence of professional excellence.

b. Items to be supplied by the department head (Asterisks indicate required items):

i. Description of the candidate’s responsibilities\*

ii. Copies of annual evaluations during the review period (since the last promotion or for the last five years, as applicable)\*;

iii. Copies of at least two separate peer/faculty evaluations of instruction during the review period for promotion to senior lecturer. For promotion to distinguished lecturer, one peer/faculty evaluation performed after promotion to senior lecturer is required\*;

iv. Any other annual evaluations.

**5. Notification of Candidates during the Process and Candidates' Right to Respond.**

a. Candidates will be notified upon completion of review at each level (department, college, campus).

b. A candidate whose application for promotion is denied will be provided a written explanation of the grounds for the denial at the time of notification.

c. A promotion application that is not approved will not be forwarded to the next level of review unless the candidate submits a written appeal to the next level within ten working days of the date of the written notification of a negative promotion decision. The appeal must make an explicit request for further review of the application and give reasons for that request.

d. A candidate has a right to submit a written response to each level of review, whether the recommendation is positive or negative. The candidate must submit any response within ten working days of notification. The response will be inserted in the dossier.

e. Candidates not recommended for promotion at any level must wait one academic year following the end of the promotion cycle before re-applying.

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 27, 2014

COMMITTEE: Academic Affairs and Student Success

CAMPUS/UNIT: UT Health Science Center

ITEM: **Renaming the College of Allied Health as the College of Health Professions**

RECOMMENDATION: Approval

PRESENTED BY: Steve J. Schwab, Chancellor, UT Health Science Center

In keeping with national trends, and to align better with the missions of the University and the college, the College of Allied Health Sciences proposes to change its name to the College of Health Professions. The term “allied health” is a term first used in the 1930’s and was based on the idea that the disciplines and professions in the college were “ancillary” to healthcare. Over the past several decades, the scope of practice, autonomy, and education of healthcare professionals have evolved. The entry-level education requirements for most healthcare professions are at the graduate and post-baccalaureate level.

This proposed name change originated in part from a committee representing faculty from each of the seven departments in the college. In 2011-12, this “visioning” committee recommended a name change to more accurately reflect the mission of the college. In 2012, a survey was sent to all college faculty, staff, and students and an overwhelming percentage recommended changing the name, with a majority of respondents in favor of the name “College of Health Professions.” Alumni were also surveyed, and 58.6% of the respondents agreed or strongly agreed with the name change.

The name change has been approved at all administrative levels. If approved by the Board of Trustees, it will be submitted to THEC for information.

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 27, 2014

COMMITTEE: Academic Affairs and Student Success

CAMPUS/UNIT: UT Health Science Center

ITEM: **UT Health Science Center Strategic Plan, 2014-2018**

RECOMMENDATION: Approval

PRESENTED BY: Steve J. Schwab, Chancellor, UT Health Science Center

The UTHSC Strategic Plan for 2014-2018 consists of four fundamental goals:

1. Student Access and Success;
2. Research and Economic Development;
3. Clinical Care and Research; and
4. Effective and Efficient Use of Resources.

The plan is supported by six Strategic Priorities:

1. Educate outstanding graduates who meet the needs of the state and its communities;
2. Grow the research portfolio focusing on targeted areas;
3. Create areas of Clinical Prominence while expanding outreach;
4. Increase visibility and recognition of UTHSC contributions;
5. Align UTHSC resources with Areas of Excellence; and
6. Expand and strengthen key partnerships.

The plan includes a scorecard and a strategic map for monitoring and reporting progress.

As more fully explained in the following memorandum, the process used to develop the plan was extensive and institution-wide, involving faculty, staff, and students and was approved by the UTHSC Strategic Planning Committee and the Faculty Senate leadership. President DiPietro and the Office of Academic Affairs and Student Success have reviewed and approved the plan.

**MOTION:**

**That the UT Health Science Center Strategic Plan, 2014-2018, be approved.**

# UT Health Science Center: 2014 – 2018 Strategic Plan

Presented to the UT Board of Trustees, Feb. 2014

# UT Health Science Center Mission Statement

*The mission of the University of Tennessee Health Science Center is to bring the benefits of the health sciences to the achievement and maintenance of human health, with a focus on the citizens of Tennessee and the region, by pursuing an integrated program of education, research, clinical care, and public service.*



# UTHSC GOALS

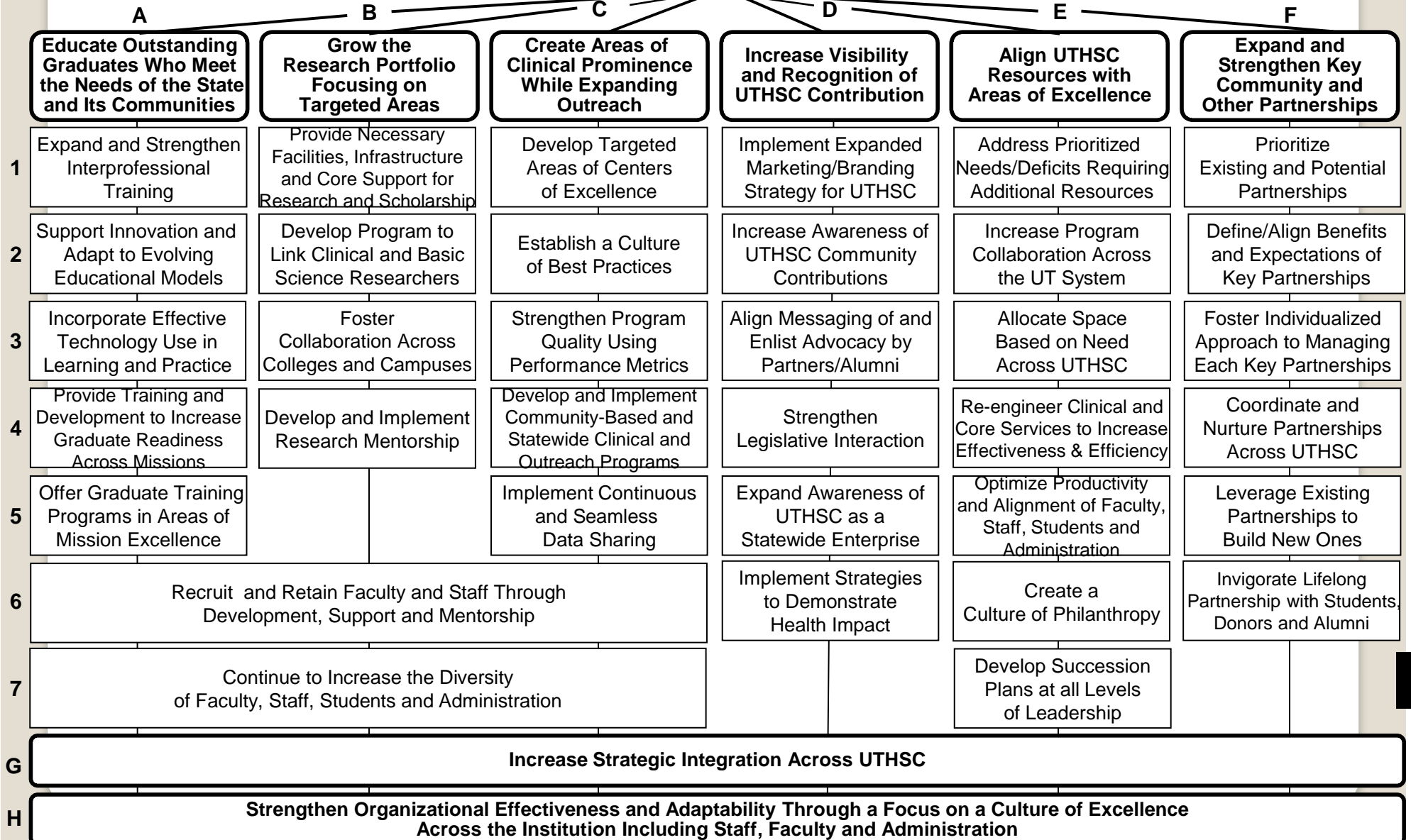
Perform at top Quartile Level of AHCs

Education  
Clinical Care  
Research

## University of Tennessee Health Science Center Strategic Map: 2014-2018

### Position UTHSC as a National Leader in Targeted Areas of Excellence Across Missions, Campuses and Colleges

Approved, 01/09/14  
Pending Final Board of Trustees Approval



## Tracking Success of Strategic Plan: Metrics for 2014 - 2018

- Priority A: Educating Outstanding Graduates
  - Total Degrees and Specialty Certificates Awarded
  - First attempt and ultimate national board pass rates
- Priority B: Growing the Research Portfolio
  - State Sponsored Program Revenue Totals
    - Restricted research and sponsored program expenditures
    - Level of research funding and expenditures by targeted areas of excellence
- Priority C: Creating areas of Clinical Prominence
  - Charges or RVUs by UTHSC practices
  - National Rankings of Hospitals and Programs in targeted areas of clinical prominence

- UTHSC STRATEGIC PLAN

Questions?



Office of the Chancellor  
Memphis, Knoxville, Chattanooga Campuses  
62 South Dunlap Street  
Memphis, TN 38163  
Phone: (901) 448-4796  
Fax: (901) 448-7750

February 3, 2014

Joseph A. DiPietro, DVM  
President  
The University of Tennessee  
800 Andy Holt Tower  
Knoxville, TN

RE: Request for Review and Approval of the UTHSC Strategic Plan

Dear Dr. DiPietro:

In January, 2014, we completed a 10-month strategic planning process for the UT Health Science Center. The mission of our institution, *to bring the benefits of the health sciences to the achievement and maintenance of human health, with a focus on the citizens of Tennessee and the region, by pursuing an integrated program of education, research, clinical care, and public service* was reviewed and remains unchanged. Likewise, our four fundamental goals, that align with those set forward by you for the UT system, remain unchanged and are as follows:

1. Student Access and Success – to educate professionals prepared to address the health and well-being of the citizens of Tennessee and beyond;
2. Research and Economic Development – to conduct a program of scientific discovery and scholarship with the goal of promoting, achieving and maintaining human health and to contribute to the economic development of the state and region through research efforts;
3. Clinical Care and Outreach – to contribute to the improvement and maintenance of the health of citizens in Tennessee and the region; and,
4. Effective and Efficient Use of Resources – to seek and maintain the resources (human, physical and financial) needed to accomplish our mission.

The attached documents summarize our Strategic Map for the next five years (2014- 2018). This map reflects what we believe to be our central strategic challenge – *to position the UT Health Science Center as a national leader in targeted areas of excellence across missions, campuses and colleges*. This central challenge will serve to focus the strategic priorities, objectives and resource allocation for our institution. The one-page Strategic Map and accompanying documents further outlines what we have identified as our strategic priorities and objectives we believe to be necessary in order to meet this strategic challenge.

The process followed to reach this 5-year vision was extensive and institution wide. Through the assistance of a strategic planning consulting firm (TSI Consulting Partners, Inc.), we engaged faculty, staff, students and administrators from across our colleges and campuses and campus administration throughout the process. We

17.1

established a Strategic Planning Committee comprised of myself and the vice chancellors, the deans of each of the colleges, the officers of the faculty senate, representatives from each of the colleges faculty organizations

and a representative specifically from our clinical enterprise. Going forward, I have added the president of the Student Government Association as well as the chairs of both the exempt and nonexempt staff organizations and established the committee as a standing committee for the institution. The final version, as presented in the attached documents, was approved by the Strategic Planning Committee along with the leadership of the Faculty Senate.

Overall, I was quite pleased with the process, the engagement of our leadership and faculty from across the institution, and the strategic plan ultimately developed. As soon as the plan is reviewed and approved by you and the Board of Trustees we will move forward in identifying priorities and targeted initiatives for the remainder of 2014. We have also begun the process of linking items on our scorecard, previously reviewed and approved by you in 2012 and identifying additional metrics to be included on our strategic plan dashboard. In combination, these metrics will help us track annually our progress in fulfilling the strategic priorities and meeting our central strategic challenge over the course of the next five years.

I look forward to your review and final approval of our 2014-2018 Strategic Plan.

Sincerely,



Steve Schwab, MD  
Chancellor  
University of Tennessee Health Science Center



## UT Health Science Center Strategic Plan 2014 - 2018

### UTHSC Mission Statement

The mission of the University of Tennessee Health Science Center is ***to bring the benefits of the health sciences to the achievement and maintenance of human health, with a focus on the citizens of Tennessee and the region, by pursuing an integrated program of education, research, clinical care, and public service.***

As an institution, we are committed to four fundamental goals in alignment with the University of Tennessee System Strategic Goals:

- **Goal 1: Student Access and Success;**
- **Goal 2: Research and Economic Development** (related to our research enterprise);
- **Goal 3: Clinical Care and Outreach;** and,
- **Goal 4: Effective and Efficient Use of Resources.**

### UTHSC Strategic Plan 2014 - 2018: The Strategic Challenge and Priorities

The central **Strategic Challenge** facing the UTHSC over the next five years (2014 – 2018) is ***to position the UTHSC as a national leader in targeted areas of excellence across missions, campuses and colleges.*** This central challenge serves to focus the strategic priorities, objectives and resource allocation for the institution.

Efforts to meet this Strategic Challenge are supported by six identified **Strategic Priorities**. Two “cross cutting” strategic priorities serve as the foundation for the strategic plan and are embedded in all other strategic priorities. In combination, these strategic priorities define the critical things the institution must achieve in order to meet the Strategic Challenge:

- **Strategic Priority A: Educate outstanding graduates who meet the needs of the state and its communities.**
- **Strategic Priority B: Grow the Research Portfolio focusing on targeted areas.**
- **Strategic Priority C: Create areas of Clinical Prominence while expanding Outreach.**
- **Strategic Priority D: Increase Visibility and Recognition of UTHSC contributions.**
- **Strategic Priority E: Align UTHSC resources with Areas of Excellence.**
- **Strategic Priority F: Expand and Strengthen Key Community and Other Partnerships.**

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- **Cross-cutting Strategic Priority H: Increase Strategic Integration Across UTHSC.**
- **Cross-cutting Strategic Priority I: Strengthen Organizational Effectiveness and Adaptability through Focus on a Culture of Excellence across the Institution including Faculty, Staff and Administration.**

Finally, a series of **Strategic Objectives** outline in more detail what must be accomplished in order to achieve the strategic priorities. Each of these Strategic Objectives is summarized on the accompanying **Strategic Map** (see attached), which serves as the roadmap for 2014 through 2018.

### **Monitoring Progress in Meeting the Strategic Challenge and Identified Strategic Priorities**

Progress toward achieving the Strategic Challenge and the Strategic Priorities is reviewed annually with adjustments made to priorities and objectives as warranted. The **UTHSC Scorecard** (see attached) and the **Strategic Map Dashboard** (i.e., additional Strategic Map-specific metrics; see attached for additional data to be included) are the foundation for biannual reviews.

The measures and targets presented on both the *UTHSC Scorecard* and the *UTHSC Strategic Map Dashboard* are dynamic in nature and thus likely to evolve as the data and changes in the environment indicate. They reflect the collective priorities and commitment of the faculty, staff and leadership across the institution. Of note however, although they reflect the priorities of the collective, the ultimate responsibility for the identification and appropriation of resources, and the achievement of goals and priorities indicated, rests with campus administration and the chancellor of the institution.

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## University of Tennessee Health Science Center “Scorecard”<sup>1</sup>

### Goal 1: Access and Success

#### Access

- Number, race/ethnicity and gender of applicants, admitted students, and entering students by academic program
- Total student enrollment by academic program
- Race/ethnicity and gender for total student enrollment by academic program
- Financial aid awarded to students by academic program and type of award (grant/scholarship, loan, work-study); total financial aid awarded per student (simple mean)
- Race/ethnicity and gender of faculty by College and by classification (tenured, tenure track, non-tenure track, and part-time)

#### Success

- Results of the annual student survey (specific questions regarding student satisfaction with academic and academic support programs)
- Number of degrees awarded by program and level (bachelors, professional masters, professional doctorates, etc.)
- Number of advanced specialty certificates awarded
- First time pass rates on licensure exams by academic program
- Total number of degrees awarded

#### Related UT Executive Officer Performance & Retention Plan Goals

- Total degrees awarded Goal FY15: 1,104

#### Strategic Priority A<sup>2</sup>: Educate Outstanding Graduates Who Meet the Needs of the State and Its Communities

- Qualitative feedback on clinical readiness of our graduates from key clinical partners

### Goal 2: Research and Economic Development

#### Research

- Number of research grant proposals submitted to National Institutes of Health (NIH) and non-NIH federal funding agencies
- Number of research grant awards and overall level of NIH funding and non-NIH funding

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<sup>1</sup> Metrics presented below as specifically related to the four goals of UTHSC were originally submitted to (and approved by) the UT Office of the President, Sept., 2012.

<sup>2</sup> Additional metrics (beyond those identified on the UTHSC Scorecard) specifically related to the UTHSC 5-year Strategic Map 2014-2018 are under development (i.e., the Strategic Map Dashboard). Provided here are examples of additional data that will be gathered to track progress on the identified priorities.

- Number of research grant proposals submitted to non-federal funding sources
- Number of research grant awards and overall level of funding from non-federal sources
- Number of UTHSC faculty members who participate in either the UT Research Foundation seed grant initiatives or the Technology Transfer Accelerator program

*Economic Development*

- Number of executed license agreements between UTHSC and commercial ventures per \$100M in research and sponsored programs expenditures
- Number of start-up companies established by UTHSC researchers per \$100M in research and sponsored program expenditures

*Related UT Executive Officer Performance & Retention Plan Goals*

- Restricted research and sponsored program expenditures Goal FY15: \$221.17 million
- Total number of research and sponsored program proposals Goal FY15: 697
- Number of disclosures (inventions; 3-year average) Goal FY15: 29
- Revenue from executed license agreements (between UTHSC and commercial ventures; 3-year average) Goal FY15: \$469,000

*Strategic Priority B: Grow the Research Portfolio Focusing on Targeted Areas*

- Success rate of all research grant proposals submitted (compare to success rate of our peers)
- Level of research funding/expenditures by targeted areas of excellence
- Number of research grant proposals submitted by targeted areas of excellence
- Success rate of research grant proposals submitted by targeted areas of excellence (compared to success rate of peer institutions in targeted areas)

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**Goal 3: Clinical Care and Outreach**

*Clinical Care*

- Volume of care provided in university governed health care practices (as measured by Relative Value Units or other comparable measures)
- Gross revenue of all university governed health care practices

*Outreach*

- Number of health fairs and other outreach opportunities sponsored or primarily supported by UTHSC
- Number of participants in community-based activities

*Related UT Executive Officer Performance & Retention Plan Goals*

- Number of patient billings or clients served
  - Goal FY15 RVU's: \$3 billion
  - Goal FY15 Billing: \$459 million
- Number of participants in all outreach and engagement activities Goal FY15: To increase

*Strategic Priority C: Create Areas of Clinical Prominence While Expanding Outreach*

- Number of patients served by UTHSC governed practices in targeted areas of clinical prominence
- Relative Value Unit's or other comparable measure by targeted areas of clinical prominence

**Goal 4: Efficient and Effective Use of Resources**

- Average faculty salaries by program and by classification (tenured, tenure track, non-tenure track, and part-time)
- Average staff salaries by job classification
- The results of faculty satisfaction surveys (specific questions about faculty satisfaction with the overall working environment)
- The results of staff satisfaction surveys (specific questions about staff satisfaction with the overall working environment)
- Annual expenditures for campus administration (includes Academic Support, Student Services, Institutional Support, and Operations/Maintenance of Physical Plant); gross and share of total institutional expenditures
- Number of donors to UTHSC
- Number and value of outright gifts, new pledges, and new planned commitments
- Number of donor proposals submitted to corporations, foundations, agencies and other organizations
- Number of donor proposals submitted to individuals at or above \$50,000

*Related UT Executive Officer Performance & Retention Plan Goals*

- Unrestricted Educational & General expenditure per full time equivalent student (FTE) Goal FY15: \$78,607
- Capital maintenance funded Goal FY15: to enhance
- Number of alumni who donate Goal FY15: 3,459
- Fundraising progress (includes new gifts, pledges and bequests) Goal FY15: \$14.167 million

*Strategic Priority E: Align UTHSC Resources with Areas of Excellence*

- Academic payments by clinical partners in target areas of clinical prominence

**Strategic Priority D: Increase Visibility and Recognition of UTHSC Contribution**

- Overall visibility and recognition by key target audiences (including the Governor, the Legislature, community leaders, the media, alumni, donors, and other audiences)
- Demonstrated economic impact/recognition by key target audiences

**Strategic Priority F: Expand and Strengthen Key Community and Other Partnerships**

- Number of mutually advantageous partnerships (with hospitals, clinics, foundations, community agencies, etc.)
- Demonstrated value/contribution of partnerships
- Total alumni gifts
- Number of new, and total amount of, academic payments by clinical partners to support the academic and research missions of UTHSC
- Number of new clinical partners statewide

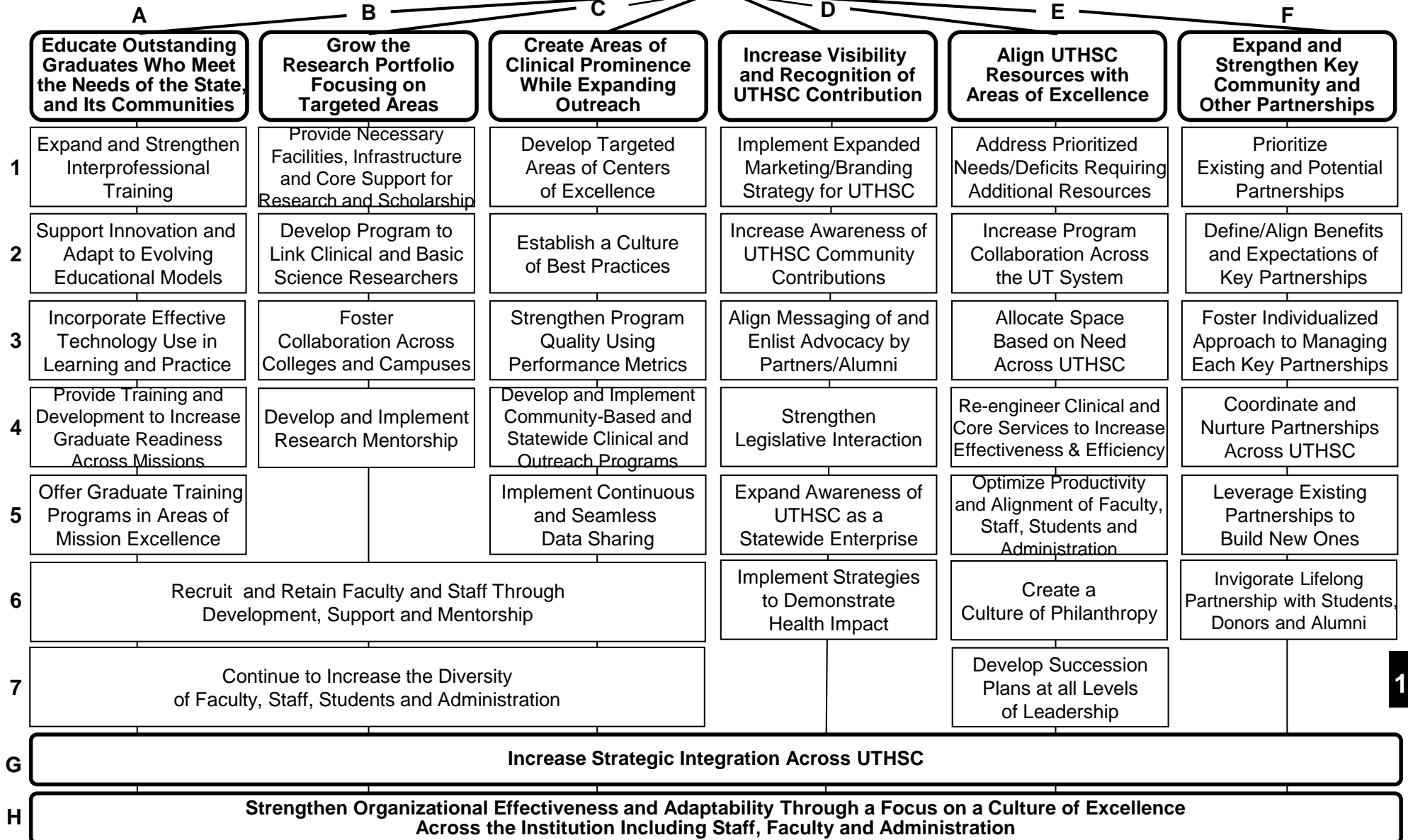
**Overall Strategic Measures**

- National ranking of UTHSC compared to other academic health science centers in education, research, clinical care and outreach
- Change in national ranking
- National ranking in targeted areas of excellence
- Change in ranking in targeted areas of excellence

# University of Tennessee Health Science Center Strategic Map: 2014-2018

Approved, 01/09/14  
Pending Final Board of  
Trustees Approval

**Position UTHSC as a National Leader in Targeted Areas of Excellence Across Missions, Campuses and Colleges**



THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Executive and Compensation

ITEM: **Revised Compensation for the Executive Vice President/Vice President for Research and Economic Development**

RECOMMENDATION: Approval

PRESENTED BY: Joseph A. DiPietro, President

Dave Washburn recently resigned as President of the UT Research Foundation to accept a position at Michigan State University. Under the UTRF bylaws, the position of President is elected by the UTRF board of directors upon the nomination of the President of the University. President DiPietro nominated Dr. David Millhorn, and on January 28, 2014, the UTRF board elected Dr. Millhorn as President, effective February 1, 2014. It is expected that Dr. Millhorn will serve as UTRF President until the UTRF board decides to fill the position on a full-time basis. The UTRF board also voted to reimburse the University for a \$50,000 annual administrative stipend to compensate Dr. Millhorn for accepting this assignment of additional duties.

As an elected officer of the University, Dr. Millhorn's compensation is subject to approval by the Board of Trustees upon the recommendation of the Executive and Compensation Committee. President DiPietro recommends approval of a \$50,000 annual administrative stipend, payable in twelve equal monthly installments, effective February 1, 2014, as compensation for the assignment of additional duties associated with the position of UTRF President. The administrative stipend will terminate when Dr. Millhorn ceases to serve as President of UTRF.

**MOTION:**

**That an annual administrative stipend of \$50,000, payable in twelve equal monthly installments, effective February 1, 2014, be approved as a supplement to the compensation of the Executive Vice President/Vice President for Research and Economic Development in recognition of the assignment of additional duties as President of the UT Research Foundation, with the understanding that the administrative stipend will terminate when Dr. Millhorn ceases to serve as President of UTRF.**

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 26, 2014

COMMITTEE: Executive and Compensation

ITEM: **Revisions to the Policy on Comprehensive Presidential Performance Reviews**

RECOMMENDATION: Approval

PRESENTED BY: J. Brian Ferguson, Vice Chair of the Board

In March 2004, the Board first adopted a Policy on Presidential Performance Reviews. The policy describes separate processes for an annual performance review and a comprehensive performance review, with the comprehensive review to be conducted in the fifth year of a President's service, or earlier as the Board may decide. Although the annual review process has been used routinely since adoption of the policy, circumstances have not allowed completion of the comprehensive review process. Consequently, the Board and the administration have not had an opportunity to test the effectiveness and efficiency of the comprehensive review process.

The Vice Chair and President DiPietro have concluded that a comprehensive performance review should be completed this year before the term of the President's current employment agreement ends on December 31, 2014. Furthermore, national best practices suggest that a comprehensive performance review should occur every three or four years, and President DiPietro has completed three full years in office.

The current policy requires that a comprehensive performance review be conducted with the assistance of an external advisor. In consultation with the Association of Governing Boards (AGB), the Vice Chair identified Dr. Terry MacTaggart, a Senior Fellow with AGB, as an excellent choice to serve as the external advisor. Dr. MacTaggart has worked with the University in the past and is familiar with The University of Tennessee System.

Before starting an untested process, the Vice Chair asked Dr. MacTaggart for any recommended revisions to the comprehensive review process based on his experience

in conducting such reviews and his knowledge of best practices. Dr. MacTaggart made some excellent recommendations, which have been incorporated in proposed revisions to the comprehensive performance review process appearing in the following pages. Revisions to the annual performance review process are not presented at this time, but that process will be reviewed and any proposed revisions presented for consideration at a future meeting.

**MOTION:**

**That proposed revisions to the Policy on Presidential Performance Reviews concerning the comprehensive presidential performance review process be approved.**



**BOARD OF TRUSTEES  
THE UNIVERSITY OF TENNESSEE**

**POLICY ON PRESIDENTIAL PERFORMANCE REVIEWS**

**Adopted by the Board of Trustees March 4, 2004**

**Revised March 7, 2007**

**Revised February 27, 2014**

**PURPOSES**

The purposes of the annual performance review are: (1) to enable the President to ~~strengthen~~ enhance his or her performance and leadership; (2) to promote good communications and strong working relationships between the President, the Board, and University constituencies; (3) to enable the President and Board to set mutually agreeable goals; and (4) to inform board decisions on compensation and other terms of employment for the President.

Periodic comprehensive performance reviews have the following additional purposes: (1) to solicit the informed perceptions of the Trustees and members of the University's major stakeholder groups on broader aspects of institutional health, management, and governance; (2) to engage and inform a wide range of University constituencies; (3) to enable the President to develop plans for his or her professional development; and ~~(3)~~ (4) to enable the President and the Board to determine whether they have the basis for an extended commitment to each other.

**RESPONSIBILITY**

The Board of Trustees is responsible for assessing the President's performance and, in doing so, to solicit the views of other leaders within and outside the University.

The Board delegates to the Vice Chair of the board the responsibility for organizing and conducting an annual performance review of the President. This delegation of authority to the Vice Chair is subject to the provisions of this policy and to the Board's ultimate authority to approve or modify the Vice Chair's evaluation of the President's performance.

Every ~~fifth~~ third or fourth year, or earlier as the Board in its sole discretion may determine, the ~~Board, or its delegate,~~ Vice Chair shall conduct a comprehensive review of the President's performance with the assistance of at least one external advisor.

**PROCESS FOR THE ANNUAL PERFORMANCE REVIEW**

The President shall prepare a written self-assessment statement in a format and according to a timetable mutually agreed-upon by the President and the Vice Chair. In addition to a retrospective review of goals previously agreed upon by the President and the Board and of other achievements, disappointments, or problems of the preceding year, the self-assessment statement shall include a prospective statement of challenges and opportunities facing the University and the President's proposed goals for the coming year.

The Executive and Compensation Committee of the Board, which is composed of Vice Chair of the Board and the chairs of the other standing committees, shall designate two of its members to participate in the annual review process as outlined hereinafter. After receipt of the President's self-assessment statement, the Vice Chair and the two standing committee chairs shall interview the senior administrative staff concerning the President's performance. The Vice Chair and the two standing committee chairs shall also solicit views of the President's performance from faculty, student, staff, and alumni leadership. The Vice Chair shall then interview the President concerning the President's self-assessment statement and the President's proposed goals for the coming year. The two standing committee chairs shall be present during the Vice Chair's interview of the President only as observers and not as participants. The Vice Chair shall prepare a written assessment of the President's performance, including an aggregate summary of the views of the senior administrative staff and of faculty, student, staff, and alumni leadership.

The Vice Chair shall then submit the following materials to the Executive and Compensation Committee: (1) the President's self-assessment statement and any additional information the Vice Chair may have requested of the President; (2) the Vice Chair's written assessment of the President's performance; (3) the President's proposed goals for the coming year and the Vice Chair's recommendation concerning those goals; and (4) any recommendation of the Vice Chair concerning the President's compensation or other terms of employment. After reviewing the Vice Chair's written assessment and recommended goals, the two standing committee chairs designated by the Executive and Compensation Committee may submit a separate written assessment of the President's performance to the Executive and Compensation Committee.

In a previously scheduled or a called meeting, the Executive and Compensation Committee shall approve or modify the Vice Chair's assessment of the President's performance and recommendations concerning goals, compensation, and other terms of employment. The Committee's action shall then be submitted to the full Board of Trustees for approval or modification. The President shall be present at the meetings of the Executive and

Compensation Committee and the Board of Trustees to answer questions about his or her performance and the proposed goals for the coming year. The President shall be excused from the meetings prior to discussion and voting on the President's performance, goals, and compensation or other terms of employment.

## **PROCESS FOR THE COMPREHENSIVE PERFORMANCE REVIEW**

Every ~~fi~~third or fourth year of the President's employment, or earlier as the Board in its sole discretion may determine, the Vice Chair shall conduct a comprehensive review of the President's performance with the assistance of one or more external advisors. ~~and one or more standing committee chairs.~~ If feasible, at least one external advisor should be a former chief executive with experience as head of an enterprise similar in scope and mission outside the State of Tennessee.

Early in the year of the comprehensive performance review, the Vice Chair, in consultation with the President and the external advisor(s), shall develop a written plan and timetable for the comprehensive review and present it to the Executive and Compensation Committee or the full Board for approval. The plan shall include at least the elements outlined below.

The President shall prepare a comprehensive self-assessment statement covering the period of service under review. This ~~comprehensive statements~~self-assessment should present a clear picture of the state of the University in relation to strategic goals approved by the Board~~University's academic and financial progress and condition, using appropriate qualitative and quantitative benchmarks,~~ and should highlight the President's view of his or her major achievements and concerns.

The external advisor(s) shall conduct personal interviews with the President, members of the Board, and ~~with~~ a broad array of individuals or groups internal and external to the University, including but not limited to the University's senior administrative staff, faculty, students, staff, alumni, and other major stakeholder groups. ~~The Vice Chair and one or more standing committee chairs designated by the Executive and Compensation Committee shall conduct personal interviews with the University's senior administrative staff. At his discretion, the Vice Chair may participate in these interviews.~~

The external advisor(s) shall prepare a draft written report of findings and recommendations including, but not limited to, the following:~~in draft form detailing the University's progress and the President's performance.~~ (1) a summary of the views of the various internal and external constituencies interviewed by the external advisor(s); (2)The report shall include specific

recommendations for ~~strengthening~~enhancing the President's performance, professional development, and ~~his or her~~ relationships with the Board, University constituent groups, and other major stakeholder groups; and (3) any recommendations concerning institutional or governance issues or other matters relevant to the President's future leadership performance. The external advisor(s) shall present the draft report ~~shall be presented~~ to the President for review and comment.

~~After receiving the President's comments, the external advisor(s) shall present a draft report. The final report of the external advisor(s) shall be presented to the Vice Chair. The Vice Chair and the external advisor(s) shall review the report and the President's self-assessment statement with the President and work with the President to develop a set of short term and long term goals for recommendation to the Executive and Compensation Committee and the Board. The external advisor(s) shall then prepare a final written report, which shall include the recommended goals in addition to the matters outlined in the immediately preceding paragraph of this policy. The standing committee chairs designated by the Executive and Compensation Committee shall be present during this session only as observers and not as participants.~~

~~The Vice Chair, with the assistance of the external advisor(s), shall then prepare and submit the external advisor(s) final written report to the Executive and Compensation Committee, a written comprehensive assessment of the President's performance and a statement of the recommended short term and long term goals. The written assessment shall include an aggregate summary of the views of the senior administrative staff and of major stakeholder groups. The Vice Chair shall also submit to the Executive and Compensation Committee any recommendation concerning the President's compensation or other terms of employment. The Executive and Compensation Committee shall receive copies of the report of the external advisor(s), the President's self-assessment statement, and any other information the Vice Chair or external advisor(s) may have requested of the President. After reviewing the Vice Chair's written assessment of the President's performance and recommended goals, the two standing committee chairs designated by the Executive and Compensation Committee may submit a separate written assessment of the President's performance to the Committee.~~

In a previously scheduled or a called meeting, the Executive and Compensation Committee shall approve or modify the Vice Chair's ~~assessment of the President's performance and~~ recommendations concerning goals, compensation, and other terms of employment. The Committee's action shall then be submitted to the full Board of Trustees for approval or modification. The President shall be present at the meetings of the Executive and Compensation Committee and the Board of Trustees to answer questions about his or her performance and the proposed goals. The President shall be excused

from the meeting prior to discussion and vote on the President's performance, goals, and compensation or other terms of employment.

**BOARD OF TRUSTEES  
THE UNIVERSITY OF TENNESSEE**

**POLICY ON PRESIDENTIAL PERFORMANCE REVIEWS**

**Adopted by the Board of Trustees March 4, 2004**

**Revised March 7, 2007**

**Revised February 27, 2014**

**PURPOSES**

The purposes of the annual performance review are: (1) to enable the President to enhance his or her performance and leadership; (2) to promote good communications and strong working relationships between the President, the Board, and University constituencies; (3) to enable the President and Board to set mutually agreeable goals; and (4) to inform board decisions on compensation and other terms of employment for the President.

Periodic comprehensive performance reviews have the following additional purposes: (1) to solicit the informed perceptions of the Trustees and members of the University's major stakeholder groups on broader aspects of institutional health, management, and governance; (2) to engage and inform a wide range of University constituencies; (3) to enable the President to develop plans for his or her professional development; and (4) to enable the President and the Board to determine whether they have the basis for an extended commitment to each other.

**RESPONSIBILITY**

The Board of Trustees is responsible for assessing the President's performance and, in doing so, to solicit the views of other leaders within and outside the University.

The Board delegates to the Vice Chair of the board the responsibility for organizing and conducting an annual performance review of the President. This delegation of authority to the Vice Chair is subject to the provisions of this policy and to the Board's ultimate authority to approve or modify the Vice Chair's evaluation of the President's performance.

Every third or fourth year, or earlier as the Board in its sole discretion may determine, the Vice Chair shall conduct a comprehensive review of the President's performance with the assistance of at least one external advisor.

## **PROCESS FOR THE ANNUAL PERFORMANCE REVIEW**

The President shall prepare a written self-assessment statement in a format and according to a timetable mutually agreed-upon by the President and the Vice Chair. In addition to a retrospective review of goals previously agreed upon by the President and the Board and of other achievements, disappointments, or problems of the preceding year, the self-assessment statement shall include a prospective statement of challenges and opportunities facing the University and the President's proposed goals for the coming year.

The Executive and Compensation Committee of the Board, which is composed of Vice Chair of the Board and the chairs of the other standing committees, shall designate two of its members to participate in the annual review process as outlined hereinafter. After receipt of the President's self-assessment statement, the Vice Chair and the two standing committee chairs shall interview the senior administrative staff concerning the President's performance. The Vice Chair and the two standing committee chairs shall also solicit views of the President's performance from faculty, student, staff, and alumni leadership. The Vice Chair shall then interview the President concerning the President's self-assessment statement and the President's proposed goals for the coming year. The two standing committee chairs shall be present during the Vice Chair's interview of the President only as observers and not as participants. The Vice Chair shall prepare a written assessment of the President's performance, including an aggregate summary of the views of the senior administrative staff and of faculty, student, staff, and alumni leadership.

The Vice Chair shall then submit the following materials to the Executive and Compensation Committee: (1) the President's self-assessment statement and any additional information the Vice Chair may have requested of the President; (2) the Vice Chair's written assessment of the President's performance; (3) the President's proposed goals for the coming year and the Vice Chair's recommendation concerning those goals; and (4) any recommendation of the Vice Chair concerning the President's compensation or other terms of employment. After reviewing the Vice Chair's written assessment and recommended goals, the two standing committee chairs designated by the Executive and Compensation Committee may submit a separate written assessment of the President's performance to the Executive and Compensation Committee.

In a previously scheduled or a called meeting, the Executive and Compensation Committee shall approve or modify the Vice Chair's assessment of the

President's performance and recommendations concerning goals, compensation, and other terms of employment. The Committee's action shall then be submitted to the full Board of Trustees for approval or modification. The President shall be present at the meetings of the Executive and Compensation Committee and the Board of Trustees to answer questions about his or her performance and the proposed goals for the coming year. The President shall be excused from the meetings prior to discussion and voting on the President's performance, goals, and compensation or other terms of employment.

### **PROCESS FOR THE COMPREHENSIVE PERFORMANCE REVIEW**

Every third or fourth year of the President's employment, or earlier as the Board in its sole discretion may determine, the Vice Chair shall conduct a comprehensive review of the President's performance with the assistance of one or more external advisors. If feasible, at least one external advisor should be a former chief executive with experience as head of an enterprise similar in scope and mission outside the State of Tennessee.

Early in the year of the comprehensive performance review, the Vice Chair, in consultation with the President and the external advisor(s), shall develop a written plan and timetable for the comprehensive review and present it to the Executive and Compensation Committee or the full Board for approval. The plan shall include at least the elements outlined below.

The President shall prepare a comprehensive self-assessment covering the period of service under review. This self-assessment should present a clear picture of the state of the University in relation to strategic goals approved by the Board and should highlight the President's view of his or her major achievements and concerns.

The external advisor(s) shall conduct personal interviews with the President, members of the Board, and a broad array of individuals or groups internal and external to the University, including but not limited to the University's senior administrative staff, faculty, students, staff, alumni, and other major stakeholder groups. At his discretion, the Vice Chair may participate in these interviews.

The external advisor(s) shall prepare a draft written report of findings and recommendations including, but not limited to, the following: (1) a summary of the views of the various internal and external constituencies interviewed by the external advisor(s); (2) specific recommendations for enhancing the President's performance, professional development, and relationships with the Board, University constituent groups, and other major stakeholder groups; and (3) any recommendations concerning institutional or governance issues or other



matters relevant to the President's future leadership performance. The external advisor(s) shall present the draft report to the President for review and comment.

After receiving the President's comments, the external advisor(s) shall present a draft report to the Vice Chair. The Vice Chair and the external advisor(s) shall review the report and the President's self-assessment with the President and work with the President to develop a set of goals for recommendation to the Executive and Compensation Committee and the Board. The external advisor(s) shall then prepare a final written report, which shall include the recommended goals in addition to the matters outlined in the immediately preceding paragraph of this policy.

The Vice Chair shall submit the external advisor(s) final written report to the Executive and Compensation Committee. The Vice Chair shall also submit to the Executive and Compensation Committee any recommendation concerning the President's compensation or other terms of employment. The Executive and Compensation Committee shall receive copies of the President's self-assessment and any other information the Vice Chair or external advisor(s) may have requested of the President.

In a previously scheduled or a called meeting, the Executive and Compensation Committee shall approve or modify the Vice Chair's recommendations concerning goals, compensation, and other terms of employment. The Committee's action shall then be submitted to the full Board of Trustees for approval or modification. The President shall be present at the meetings of the Executive and Compensation Committee and the Board of Trustees to answer questions about his or her performance and the proposed goals. The President shall be excused from the meeting prior to discussion and vote on the President's performance, goals, and compensation or other terms of employment.

THE UNIVERSITY OF TENNESSEE  
BOARD OF TRUSTEES

ACTION ITEM

DATE: February 27, 2014

COMMITTEE: Advancement and Public Affairs

CAMPUS/UNIT: UT Knoxville

ITEM: **Naming of the Corporate Governance Center, College of Business Administration, UT Knoxville**

RECOMMENDATION: Approval

PRESENTED BY: Joseph A. DiPietro, President

In the following memorandum, Chancellor Cheek recommends that the Corporate Governance Center in the College of Business Administration at UT Knoxville be named in honor of Dr. C. Warren Neel, who served as Dean of the College of Business Administration from 1976 to 2000 and co-founded the Corporate Governance Center in 2003. President DiPietro concurs in the Chancellor's recommendation.

**MOTION:**

**That the Corporate Governance Center in the College of Business Administration at UT Knoxville be named the "C. Warren Neel Corporate Governance Center."**

**MEMORANDUM**

TO: Joseph A. DiPietro  
President

FROM: Jimmy G. Cheek  
Chancellor



DATE: February 4, 2014

SUBJECT: Naming of the Corporate Governance Center

I would like to request that the University of Tennessee’s Board of Trustees consider naming the Corporate Governance Center, in the UT Knoxville College of Business Administration, in honor of C. Warren Neel.

The College of Business Administration has received generous philanthropic support in Warren’s honor to name this center after him. Their cumulative support meets the requirements established by the Board of Trustee for naming programs.

The *C. Warren Neel Corporate Governance Center* focuses on the areas of corporate governance, including board structures for public and private boards. The center is among the national leaders in conducting the disseminating research on aspects of corporate governance.

We believe recognizing his contribution and service in this way is befitting his generosity and leadership of the University of Tennessee. His leadership has made a significant impact on the college’s first 100 years and this naming will make sure that future generations will know about the impact.

cc: Steve Mangum  
Lofton Stuart  
Scott Rabenold

Approval   
Joseph A. DiPietro, President

**BOARD OF TRUSTEES MEETINGS  
AND COMMITTEE MEETINGS**

**2014**

- May 8, 2014:            Audit, Nashville**
- May 13, 2014:        Executive & Compensation, Nashville  
Trusteeship, Nashville  
Health Affairs, Nashville**
- June 18-19, 2014:    Annual Meeting of the Board of Trustees,  
Knoxville**
- Sept 5, 2014:         Audit, Nashville**
- Sept 9-10, 2014:     Board of Trustees Workshop (location TBD)**
- Oct 2-3, 2014:        Fall Meeting of the Board of Trustees, Knoxville**
- Dec 8, 2014:         Audit, Nashville**