
Leaves of Absences, Development Grants and Research

7

7.1.1. Faculty Development Provisions

7.1.2. Faculty/Staff Development Grants

Each chancellor and vice president may recommend the awarding of grants for the educational development of full-time faculty and other professional staff members within their administrative jurisdictions. These grants may extend for periods of up to 15 months and carry stipends up to one-half the grantee's monthly salary. Faculty/Staff Development Grants are awarded on the basis of demonstrated institutional needs to persons who meet the guidelines below. Recipients of leaves for one month or more are required to return to the University and to be employed for at least two months of full-time service for each month of grant awarded; otherwise there is a financial obligation to the University, as specified in the development grant contract. Payments under these grants are subject to social security and federal income taxes. Recipients are eligible to participate in certain University fringe benefit programs as described in the development grant contract.

7.1.3. Leaves of Absence

Extended periods of time spent away from campus, for professional growth or personal reasons, must be requested in writing by the faculty member and specifically approved by the department head, dean, Provost and Chancellor.

Leaves of absence are normally granted for no more than one year and are normally without University compensation.

Faculty members on twelve-month appointments should consult University Personnel Policies and Procedures for information concerning annual leave, funeral leave, maternity leave and military leave.

Faculty on leaves of absence must complete the EDO process in the appropriate time frames if they are to be eligible for merit pay increases.

7.1.4. Educational Leaves and Supplements

The University of Tennessee at Chattanooga favors a policy of sabbatical leaves and, because of

the support of the University of Chattanooga Foundation, has been able to extend this opportunity to several faculty members each year.

Normally, there are three kinds of leaves which are funded by the University: sabbatical leaves for research and renewal, instructional sabbatical leaves and study leaves for pursuit of the terminal degree. (Special leave programs may become available from time to time.) These programs receive funding by the U.C. Foundation and/or the University. Descriptions of eligibility, criteria and conditions for award and procedures are described below. Generally, semester leaves may be at full pay, year leaves at one-half pay. Faculty interested in applying for leave should submit the Faculty Development application form to their department head.

Applications should be submitted on the proper form to the department head who will then forward it to the appropriate dean or director. Applications for the following academic year will be acted upon annually, with a deadline of October 20 for submission by the Dean's Council to the Provost. Final decision will be made by the Provost, although no funds may be disbursed without approval of the Chancellor, the President and the Board of Trustees of The University of Tennessee.

a. Sabbatical leaves for Research and Renewal

1. Eligibility: tenured, with six years of outstanding performance and service in a full-time faculty teaching appointment; generally administrators are not eligible although academic department heads may be considered.
2. Conditions of award: submission of a detailed plan of productive activities for a semester or a year which receives positive recommendations from the department head or dean/director. Earnings during the sabbatical leave may not exceed 1.2 times the academic year salary. The sabbatical award is contingent on the faculty member signing the Faculty Development Contract (see Appendix for a copy).
3. Faculty on sabbatical leave for full-time study and enrolled for classes at a University of

Tennessee campus or unit may be eligible for full waiver of fees. The fee waiver application should be processed in the usual manner.

b. Sabbatical Leaves for Instructional Improvement and to Enhance Advisement

1. Eligibility: tenured, with six years of outstanding performance and service in a full-time faculty teaching appointment; generally administrators are not eligible although academic department heads may be considered. Faculty might visit other campuses to observe teaching methods, pursue a course of study to update their disciplinary expertise, or retrain to teach in a new area of the curriculum; or they might stay on campus to develop curricula, update course materials and methods, and learn how to enhance their role as mentors for students. No faculty member will be eligible to receive an instructional sabbatical more than once in any three-year period.
2. Conditions of award: submission of a detailed plan of productive activities for a semester or a year which receives positive recommendations from the department head or dean/director. Earnings during the sabbatical leave may not exceed 1.2 times the academic year salary. The sabbatical award is contingent on the faculty member signing the Faculty Development Contract (see Appendix for a copy). Two primary criteria will be brought to bear in the award of these sabbatical leaves: the quality of the proposal, and the need for enhanced instructional excellence in specific areas.
3. Faculty on instructional sabbatical leave for full-time study and enrolled for classes at a University of Tennessee campus or unit may be eligible for full waiver of fees. The fee waiver application should be processed in the usual manner.

c. Study Leaves

Purpose: to enable selected tenure-track faculty to pursue terminal degrees.

1. Eligibility: full-time tenure track or tenured faculty who have been employed at least two consecutive years.
2. Conditions: submission of a detailed plan of productive activities for a semester or a year which receives positive recommendations from the department head or dean/director. Earnings during the study leave may not exceed 1.2 times the academic year salary. The study leave award is contingent on the faculty member signing the Faculty

Development Contract (see Appendix for a copy).

3. Faculty on study leave for full-time study and enrolled for classes at a University of Tennessee campus or unit may be eligible for full waiver of fees. The fee waiver application should be processed in the usual manner.

d. Faculty Development Supplements

1. To enable a faculty member who receives faculty development support from an outside agency (e.g., N.E.H., N.S.F.) to receive UTC normal salary increase and fringe benefits. Most agencies base their awards on present salary levels and--because they give individual rather than institutional grants--do not provide for raises a faculty member may earn or for fringe benefits. In this case, the UTC award would supplement the agency's award by providing (a) stipend equal to the difference between the agency's award and the salary the faculty member would have earned and (b) a stipend to cover fringe benefits.
2. Development activities confined to the summer will be reimbursed at a maximum of 3/16 of the academic-year salary for a full summer of activity; activities requiring less than a full summer will be compensated at a pro rata of 3/16.
3. Any tuition or fees will normally be paid out of salary, not by UTC.

Within 30 days of conclusion of the leave or grant period, the recipient must prepare a report and send the original to the dean, with a copy to the department head. The dean will review the report and forward a copy to the Provost.

Faculty on sabbatical or study leave must complete the EDO process in the appropriate time frames if they are to be eligible for merit pay increases.

7.2.1. Guidelines for Faculty Development Grants, UC Foundation

The purpose of the faculty development program is to encourage faculty to remain pedagogically and academically current in their respective fields. Therefore, activities funded by faculty development grants (individual or group grants) must be related to the faculty member's (or members') field of interest. Additionally, activities funded by this grant must offer the promise of enhanced teaching and/or research capability. Priority for awarding

grants goes to proposals that meet these criteria and to proposals that clearly demonstrate the potential for enhanced teaching and/or scholarly research.

Note: Funding cannot be used to pay tuition for advanced degree studies or for programs of study leading to licensure. Proposals asking for unstructured activities (e.g., visits to other institutions) will not be funded. Funding submitted for events completed prior to the application deadline will not be considered.

Applicants must submit the proper form to the chair of the Faculty Development Grants Committee. Applications will be acted upon four times a year, as announced by the committee.

All awardees are required to submit copies of a final report (on the appropriate form) within 60 days of the project completion to the Chair of the Faculty Development Grants Committee and to the Provost. Awardees who fail to do so may not be awarded subsequent grants until a final report is submitted.

1. Individual Faculty Development

Individual Faculty Development grants may be used for the following purposes:

- a. To enable faculty members to update and enhance professional skills by attending short-term workshops, short courses, institutes, conferences, seminars, symposia and special sessions such as those offered by scholarly and professional organizations. It is expected that these short-term faculty development opportunities will normally last a minimum of one eight-hour day; and that they will require that the faculty member play an active role in the learning process (e.g., they might involve a program of readings, preparation of a grant proposal or the presentation of a paper).
- b. To enable a faculty member to participate in an extended summer workshop or institute abroad. Such programs should be carefully structured and organized by a recognized professional organization.

2. Group Faculty Development (See also Faculty Research)

Whereas the purpose of this faculty development program is to encourage faculty to keep current in their respective fields, it also serves the purpose of strengthening relationships among institutions in the area.

a. Any department which schedules five faculty seminars or workshops in a year shall be entitled to apply for a \$750 maximum allotment to provide for honorarium and expenses for off-campus scholar(s) to conduct a sixth seminar. The seminars should be scheduled on a regular basis (e.g., monthly or bimonthly) and a scholarly paper or talk should be presented. The majority of the seminars should be conducted by UTC faculty members.

b. Any department which schedules ten seminars in a year would be eligible to apply for a \$1,500 maximum allotment to provide for stipends and expenses for off-campus scholars to conduct two additional seminars. The seminars should be scheduled on a regular basis (e.g., monthly or bimonthly) and a scholarly paper or talk should be presented. The majority of the seminars should be conducted by UTC faculty members. No department will receive more than \$1,500 a year.

c. Departments or groups of faculty may apply for funds for workshops, on-campus or off-campus, dealing with substantive issues related to disciplinary or interdisciplinary topics, or dealing with pedagogical concerns.

7.3.1. Research Policies and Procedures

Research leads to new knowledge and understanding that is vitally needed by teachers in the classrooms. A faculty member who is actively engaged in research is in the forefront of the development of new knowledge and, as a consequence, is in command of current subject matter for classroom discussion. Being active in research can aid a faculty member in maintaining a level of excellence and at the same time provide the University prestige which aids in attracting outstanding faculty to the campus. It also provides an effective means for a faculty member to attract and develop well-informed students.

Faculty members are encouraged to participate in research to the extent controlled by limitations on available time and institutional resources.

There are several avenues that a faculty member may pursue for support of research including:

1. Contracts, gifts and grants from industry, government and private foundations.
2. Faculty Research Fund.
3. Faculty Research Associate Program.
4. Support from Grants and Research Budget.
5. Support from departmental budget.
6. Self Support (i.e., with financial aid.)

The funding source depends on the nature of the work involved. It is more desirable to secure funds from external sources, as University funds are limited in amount and purpose. Internal support, including UC Foundation funds, should, whenever possible, be viewed as a method for initiating an effort that will lead to external assistance.

The Associate Provost for Undergraduate and Special Programs and the Director of Grants and Research will assist faculty members in identifying and securing funds for research support.

A faculty member may arrange with the department head/director, dean and the Provost to be released from certain scheduled duties to provide the time for research activities. Released time may be for some fraction or all of the individual's work load for any particular academic semester. At the beginning of each academic year, the department head reviews the work load of the faculty to determine the commitments for teaching, active research and the active and anticipated public service activities. During the year, a faculty member may acquire a research contract, and as a result, the teaching may be reduced so that the required time may be spent on the contract. The department recovers into its budget the amount of funds paid for time spent by a faculty member on the research project. It is necessary that the faculty member work closely with the department head/director in arranging for such approved released time.

7.3.2. Proposal and Grant Processing

The submission of a proposal to an agency for funding considerations proceeds along well established lines. It is first reviewed by the researcher's department head and that review consists of an appraisal of the relationship of the proposed research to the mission of the faculty and the department. The department head's approval of the proposal is evidence that there is agreement as to the allocation of the faculty member's time, cost sharing requirements and the use of department facilities in support of the research.

Following departmental review, the proposal is referred to the appropriate dean or director, who reviews the proposal in light of the total mission of the school or college, expenditure of funds, allocation of space, etc. The dean or director routes all proposals to the Office of Grants and Research. The Director of Grants and Research will route the proposal for administrative review to the Chancellor for approval.

Additional information regarding grant application and administration may be obtained from the Director of Grants and Research.

7.3.3. Patents and Contracts

The goal of The University of Tennessee Patent, Copyright and Licensing Policy is to promote the progress of science and the arts and the development of the University and faculty through the provisions of an established policy. Patents, copyrights and licensing provide a means for developing and using inventions and creations. This Statement of Policy has been established to ensure that those creative developments in which the University has an equity interest will be used in a manner most likely to benefit the public and at the same time provide compensation to those faculty and staff who invent and create. A complete statement of this policy appears in the document "General Policy on Patents, Copyrights and Licensing". All contractual agreements applicable to research grants are the responsibility of and are monitored by the originating department.

7.3.4. UT Research Corporation

The University of Tennessee in 1935 chartered the University of Tennessee Research Corporation as a non-profit organization to promote, encourage and aid scientific, social and/or educational investigation and research in relation to activities of the faculty. The Corporation's principal mission is to assist faculty and staff members in the development and management of patents and copyrights. It is managed by a Board of Directors consisting of persons from the University administration as well as the public. The Executive Director of the Corporation is housed in the office of the Senior Vice President. Any person interested in receiving assistance from the Corporation should contact the University designated representative.

7.3.5. Policy on Misconduct in Research and Service

Applicability

The Policy on Misconduct in Research and Service applies to the research and service activity of the faculty, staff, volunteers, and students of The University of Tennessee. With respect to students, however, this policy does not apply to activities carried out in credit courses unless the associated research or service activities involve external funding.

Definitions

For the purpose of this policy, the following definitions will be employed.

- a. *Faculty* means anyone who has a paid or non-paid academic appointment with faculty rank at The University of Tennessee, as defined in Personnel Policy No. 105, Employment Status.

- b. *Staff* means staff exempt, staff non-exempt, other academic and student employees of The University of Tennessee, as defined in Personnel Policy No. 105, Employment Status.
- c. *Student* means any individual enrolled in courses for credit on a full- or part-time basis at The University of Tennessee.
- d. *Volunteer* means any individual with a non-paid volunteer, clinical, non-clinical, affiliated, or honorary employment status.
- e. *Research and Service* means research, scholarship, creative endeavors, public service activities, and related functions conducted by faculty, staff, volunteers and students in their capacity as employees, volunteers, or students of the University.
- f. *Misconduct* means fabrication, falsification, plagiarism, or other serious unethical or illegal deviations from accepted practices in proposing, conducting, or reporting the results of research and service activities. It does not include honest error or honest differences in interpretations or judgments of data.
- g. *Inquiry* means information-gathering and initial fact-finding to determine whether an allegation or apparent instance of misconduct warrants an investigation.
- h. *Investigation* means the formal examination and evaluation of all relevant facts to determine if misconduct has occurred.
- i. *Campus* means all campuses and independent budgetary units of The University of Tennessee and affiliated institutions in which research, scholarship, creative endeavors, or public service activities for the University are being conducted.

Responsibilities of The University

The University of Tennessee will instruct its faculty, staff, volunteers, and students to promote and encourage integrity in all research and service endeavors; will act vigorously to discourage and detect misconduct in research or service; will take appropriate disciplinary action against any of its faculty, staff, volunteers, or students who engage in such misconduct, as revealed by a careful investigation; and will inform and cooperate with appropriate sponsoring agencies, organizations publishing findings, and other appropriate organizations and institutions that appear likely to have been affected by such misconduct. The University's faculty, staff, volunteers, and students are to work collegially to create an environment where misconduct will not be tolerated.

Confidentiality

The University will make every reasonable effort to limit voluntary disclosure of information about an allegation of misconduct to those within and outside of the University with a need to know. The University is subject, however, to the Tennessee Public Records Act, and the records of any inquiry or investigation do not fall within any statutory or judicially recognized exception to the Act.

Allegations

Any individual who has reason to believe that he or she has knowledge of an act of misconduct within the meaning of this policy by any University of Tennessee faculty, staff, volunteer or student is responsible for communicating this information to a supervisor or appropriate administrator. The supervisor or administrator will refer the allegation to the administration of the campus where the misconduct in research and service is alleged to have occurred. The University will make every reasonable effort to protect the confidentiality of an individual who in good faith makes an allegation of misconduct and also protect the individual from retaliation by any University official. However, if the allegation is later shown to have been made maliciously and falsely, the University may take appropriate disciplinary action against the individual who made the allegation.

Inquiries and Investigations

- a. *Inquiry*. When an allegation or evidence of misconduct is referred to the campus administration, the chief administrator of the campus will immediately initiate an inquiry. At the same time, the chief administrator of the campus shall give written notice to the individual against whom an allegation has been made of the nature of the allegation but not the identity of the person who made the allegation. The purpose of the inquiry is to determine if sufficient grounds exist for conducting an investigation. The chief administrator will determine on a case by case basis how the inquiry will be conducted. The chief administrator shall ensure that necessary and appropriate expertise is obtained to carry out a thorough and authoritative evaluation of the relevant evidence. The University will take careful precautions against real and apparent conflicts of interest on the part of those involved in the inquiry. An essential component of the inquiry will be for the individual against whom the allegation is made to present evidence orally or in writing as appropriate.

An inquiry must be completed within sixty (60) calendar days of its initiation unless circumstances clearly warrant a longer period. The record of the inquiry should include documentation of the reasons for exceeding the sixty (60) day period.

The University will maintain in a secure manner and for a minimum of three (3) years sufficiently-detailed report of inquiries to permit later assessment of reasons for determining that an investigation was or was not warranted. A report of the inquiry shall be made to the chief administrator of the campus and to the President of the University. The written report shall include a statement of the evidence reviewed, a summary of relevant interviews, and the conclusions of the inquiry. The individual against whom the allegation was made shall be given a copy of the report of the inquiry. If the individual comments on the report, the comments will be made a part of the record. Sponsoring agency officials will be informed within twenty-four (24) hours if, after consultation with University legal counsel, an inquiry indicates possible criminal violation.

- b. Investigation. If, as a result of the inquiry, sufficient grounds exist for further investigation, the chief administrator of the campus will initiate a full investigation within thirty (30) days and will notify the sponsor(s) and the individual(s) against whom the allegation has been made in writing on or before the date the investigation begins. At this point, the chief administrator shall disclose to the individual who will be the subject of investigation the identity of the person who made the allegation. The purpose of the investigation is to examine and evaluate relevant facts to determine whether misconduct has taken place.

This investigation will be conducted by a panel of at least five (5) full-time University faculty and administrative staff. The panel will include a minimum of three (3) University of Tennessee faculty members having expertise in the area of research or service under investigation and who do not hold administrative appointments. Additional individuals may be appointed to provide expertise according to the nature of the specific allegations or evidence in the case. If necessary, additional faculty members with required expertise may be drawn from

academic institutions other than The University of Tennessee. All members of the panel must be free of any potential conflict of interest regarding any activity of the investigation. In the event that there are not three members from The University of Tennessee faculty that would meet the qualifications, the panel may be filled by faculty from other academic institutions. The University will take careful precautions against real or apparent conflicts of interest on the part of those involved in the investigation.

The panel of investigation will examine the final report of the inquiry, along with a full statement of allegations which shall be prepared by the chief administrative officer of the campus or his/her designee based upon agency notification and information, individual informants, and other sources. The individual who is the subject of investigation shall be given a copy of the full statement of allegations and an opportunity to comment on the allegations, at the outset of the investigation.

The investigation may also include: a review of files, reports, and other documents at the University or in the public domain; a review of procedures or methods and inspection of laboratories, laboratory materials, specimens, and records of the subject(s) of the investigation; interviews with witnesses; a review of any documents or other evidence provided by or properly obtainable from parties, witnesses, or other sources; and a review of records maintained by and properly obtainable from relevant funding agencies. Whenever possible, interviews should be conducted of all individuals involved wither in making the allegation or against whom the allegation is made, as well as other individuals who might have information regarding key aspects of the allegations; complete summaries of these interviews should be prepared, provided to the interviewed party for comment or revision, and included as part of the investigatory file. The individual against whom the allegation has been made will be provided promptly with copies of all materials placed in the investigatory file, as they are generated, in order to permit timely response. The individual concerned will be allowed an opportunity to respond, in writing and in person, prior to the time that the panel makes

a determination as to whether the allegation has been substantiated. Should the individual choose to respond in person, he or she may be accompanied by legal counsel or other person of his or her choice. The role of legal counsel and any other person shall be limited, however, to advising the individual and shall not include the right to make oral argument or otherwise speak for the individual.

The investigation must be completed within one hundred twenty (120) days of its initiation. This includes conducting the investigation, preparing the report of findings, and obtaining comments from the subject(s) of the investigation. If the University determines that it will not be able to complete the investigation within one hundred twenty (120) days, it must closely adhere to any applicable sponsoring agency regulations regarding the submission of interim reports, requests for extensions, and any other regulations. Documentation will be maintained throughout the investigation to substantiate the findings. This documentation is to be made available to appropriate sponsoring agencies after completion of the investigation.

Upon completing the investigation, the investigative panel shall prepare a final report containing a written statement of its findings and provide a copy of those findings to the individual accused of misconduct. The individual shall have an opportunity to comment on the findings before the investigate panel submits its final report. Comments from the affected individuals will be attached to the final report.

The investigative panel shall submit its final report to the chief administrator of the campus and the President of the University containing an assessment of whether the allegation has been substantiated, describing the procedures under which the investigation was conducted, and including the actual text or an accurate summary of the comments of any individual(s) found to have engaged in misconduct.

The University will strictly adhere to all requirements of sponsoring agencies, if any, including filing of interim progress reports and keeping all agencies apprised of any developments which may affect current or

potential funding. Interim administrative actions will be taken, as appropriate, to protect involved sponsoring agency funds and ensure that the purposes of the funding are carried out. The University must notify each sponsoring agency as soon as it ascertains that any of the following conditions exist: (1) there is an immediate health hazard; (2) there is an immediate need to protect agency funds or equipment; (3) there is an immediate need to protect human or animal subjects of the research or service work; (4) there is an immediate need to protect the interests of the person(s) making the allegations or of the subject(s) or co-investigator(s) and associate(s) of the subject(s) of the allegations; (5) it is probable that the alleged incident is going to be reported publicly. Sponsoring agency officials will be informed within 24 hours if, after consultation with University legal counsel, an inquiry or investigation indicates possible criminal violations. Sponsoring agencies will be notified of the final outcome of any investigation including any sanctions taken against an individual.

Unsubstantiated Allegations: Restoration of Reputations

If an allegation of misconduct is not substantiated by an investigation, the chief administrator of the campus will undertake diligent efforts to give notice of that fact to all persons who participated in the inquiry and investigation and other persons or agencies who were informed of the allegation by the University.

Sanctions

If an allegation of misconduct is substantiated, the chief administrative officer of the campus shall initiate the applicable faculty, staff, or student disciplinary procedure, and sanctions, if appropriate, will be imposed under those procedures. If the individual is a faculty member, action will be taken as specified in the applicable Faculty Handbook; if the individual is a staff member, action will be taken as specified in The University of Tennessee Personnel Policies and Procedures; if the individual is a student, action will be taken as specified in the applicable Student Handbook; if the individual is a student and an employee, action may be taken as specified in the applicable Student Handbook and in The University of Tennessee Personnel Policies and Procedures; if the individual is a volunteer, sanctions will rest with the chief administrative officer of the campus.

7.3.6. Use of Drugs in Research

In 1971 the Federal Controlled Substance Law came into being. This law is designed to improve the regulation of legal handling of narcotics and other controlled substances in an effort to reduce the illicit traffic in these drugs. All faculty using narcotics or other controlled substances in their research or teaching program must now register through campus channels with the state and ultimately obtain a registration number for each of their research projects. It is important, therefore, that a faculty member discuss the need with the Provost or designee for narcotics and other controlled substances during the early planning stages for the research project or instructional program.

7.3.7. Use of Animals in Research

The University of Tennessee at Chattanooga takes responsibility for humane care and use of animals used in all teaching and research projects. It is committed to comply with the *Principles for Use of Animals*, the provisions of the Animal Welfare Acts and other applicable laws and regulations.

The University has appointed a committee to maintain oversight of our animal care program--Animal Research Foundation Review Committee (ARFRC). The members have appropriate education and experience to perform their duties. The committee is charged with reviewing facilities and procedures for care and use of animals at UTC at least once each year and for making recommendations to the Associate Provost for Graduate Studies, Research and Program Evaluation.

7.3.8. Use of Human Subjects in Research

1. The University of Tennessee will comply with the Department of Health and Human Services regulations on Protection of Human Subjects (CFR 46 as amended), accordingly:
2. The University has established the Human Subjects at Risk Committee to review projects and activities that involve human subjects. The committee shall determine for each activity, as planned and conducted, whether subjects will be placed at risk and, if the risk is involved, whether:
 - a. the risks to the subjects are so outweighed by the sum of the benefit to the subject and the importance of the knowledge to be gained as to warrant a decision to allow the subject to accept these risks;
 - b. the rights and welfare of any subjects will be adequately protected;

- c. legally effective informed consent will be obtained by adequate and appropriate methods in accordance with the provisions of the DHHS regulations;
 - d. the conduct of the activity will be reviewed at timely intervals.
3. The University will provide for committee reviews to be conducted with objectivity and in a manner designed to ensure the exercise of independent judgment of the members. Committee members will be excluded from review of projects or activities in which they have an active role or conflict of interest.
4. The University will encourage continuing constructive communications between the committee and the activity or project director as a means of safeguarding the rights and welfare of the subjects.
5. The University acknowledges that it will bear full responsibility for the proper performance of all work and services including the use of human subjects under any grant or contract covered by these guidelines, including continuing compliance with pertinent state or local laws, particularly those concerned with informed consent.
6. The University will maintain appropriate and informative records of the committee's review of applications and activities, of documentation of informed consent and of other documentation that may pertain to the selection, participation and protection of subjects and to the review of circumstances that adversely affect the rights or welfare of individual subjects.
7. The University will at least annually reassure itself through appropriate administrative overview that its practices and procedures designed for the protection of the rights and welfare of human subjects are being effectively applied and are consistent with the regulation and with the implementation of this assurance as accepted by the Department of Health and Human Services.
8. This general assurance of compliance is given on behalf of The University of Tennessee which has sole authority to apply for and administer grants and contracts, such authority not having been given to the component departments and administrative units of the University.

7.4.1. Faculty Research Committee Guidelines (Revised, 1984)

(for a description of the Faculty Research Committee, see Chapter 2).

1. Objectives/Eligibility

- a. The objective of the research-grant program is to assist faculty members to conduct well-defined and purposeful research, curricular revision or creative activities.
- b. The grants are designed to aid in the development of a research environment in a primarily undergraduate University and encourage faculty members towards a more extensive research program, to be funded from other agencies.
- c. All full-time faculty members who have been awarded their terminal degrees or who have been granted tenure by the institution are eligible to apply for grants.

2. Guidelines/Restrictions

- a. Grants are normally made for a period of not more than one year. Requests for grants extending over greater periods of time will be considered when explicitly stated. *All grants will be closed* at the end of the grant period unless a formal request for extension is granted by the committee chairperson. The range of grants will be up to \$3,000.00 per grant. Proposals with moderate funding are encouraged.
- b. Financial assistance will be granted to provide travel funds that are necessary and appropriate, to acquire equipment, library resources or other materials essential to a project; and to assume necessary secretarial or other professional aid; and other items or services related to the research project, including journal page cost. The committee will not fund travel purely for the purpose of presenting research results. Faculty are encouraged to solicit funds from other sources.
- c. Money from this budget cannot be used to assist in work towards advanced degrees, for taking refresher courses, for general travel experience or for personal salary. The committee will consider funding journal page costs which are an integral part of a grant. Requests for journal page costs alone will also be considered.
- d. Money may be budgeted to purchase part-time faculty time as a replacement for a portion of the faculty member's teaching load. This reduction in instructional load will aid the proposal writer in carrying out the research outlined in the proposal. Appropriate signatures are required for those requesting this type of support.

- e. Title to all permanent materials and equipment purchased with research funds rests with the University.
- f. The University has a legal claim to payments, royalties or other fees resulting from research or other activities supported totally or in part from funds of the Faculty Research Committee. Negotiations regarding fees must be made with the Chancellor or his/her designate.
- g. Nineteen (19) copies of each proposal must be submitted. *One* separate copy of *only* the synopsis and budget should also be submitted.
- h. A proposal should contain an introduction which is clearly written and is understandable to a person outside of the applicant's discipline. The body of the proposal should sharply focus on the objective(s) of the proposed activity and outline reasonable steps to achieve the stated objective(s). A proposed budget, as outlined in the application, must be included.
- i. Any research involving human or animal subjects must be reviewed and approved by the appropriate committee. Indication that such approval has been given should be noted on the grant application.

3. Application Dates/Status and Final Reports

- a. The committee will have two submission dates. The deadline for receipt of all applications for the first round will be November 1. The deadline for receipt of all applications for the second round will be March 16. Approximately one-half of the committee's funds will be allotted for each application round. Applications rejected in the first round may be submitted for the second round. Application forms may be obtained from department heads, or from the Chair of the Faculty Research Committee. All applications are to be submitted to the chair, Faculty Research Committee.
- b. All faculty members receiving a grant *must* file a final report with the Research Committee chair upon completion of their project. Faculty members are not eligible for another, or renewal, grant until a final report has been submitted to and accepted by the Research Committee. Receipt of final reports will be formally acknowledged by the Research Committee chair. Recipients whose research extends beyond December 31 of the year in which their grant was awarded must file a status report to the Research

Committee chair, which will be formally acknowledged by the chair. Past reports and publications are available in the library. Publication of research findings in appropriate professional journals is encouraged.

- c. All faculty research grants terminate upon the official employment termination date of the faculty member at UTC.

4. Advisory Role of Research Committee

The Faculty Research Committee will evaluate grant proposals and make recommendations to the Associate Provost for Graduate Studies, Research and Program Evaluation.

7.5.1. Faculty Research Associates Program Guidelines

This program is designed to provide faculty the opportunity to explore grant and research opportunities with the objectives of developing and submitting grants in appropriate areas of learning or interest. Adjunct faculty will be employed to provide released time for faculty selected to participate in this program.

Faculty selected are normally released for one course and work very closely with support staff in the identification, selection and development of grants.

The deans recommend faculty for Research Associates to the Director of Grants and Research. The Director of Grants and Research, after consultation with the dean and the Provost, makes the appointment.

7.6.1. Faculty Research Committee Guidelines for Summer Fellowships

1. Objectives/Eligibility

- a. The objective of the summer fellowship program is to provide financial assistance in the form of an outright fellowship to allow faculty to undertake purposeful research, curricular revisions or creative activities. Summer fellowships cannot be used for activities which would be more appropriately funded under a faculty development grant.
- b. All full-time faculty members who have been awarded their terminal degrees or who have been granted tenure by the institution are eligible to apply for summer fellowships.

2. Guidelines/Restrictions

- a. Fellowships are for the summer period, beginning with the first summer session.

- b. Fellowships are for the amount of \$2,500 or \$5,000 to be paid at the beginning of the first summer session. Faculty members receiving a \$5,000 fellowship may not teach a summer course in the year they receive a fellowship. Faculty members receiving a \$2,500 grant may not teach more than one summer course in the year they receive a fellowship.
- c. These are outright fellowships, requiring no budget accounting. The purpose is to provide faculty with unencumbered funds to use in whatever manner they deem most fruitful.
- d. A faculty member may not receive a faculty research grant and a summer fellowship in the same year.
- e. A faculty member may not receive more than one summer fellowship within a three-year period.
- f. Nineteen (19) copies of the proposal must be delivered to the chair of the Faculty Research Committee.
- g. A proposal should contain an introduction which is clearly written and is understandable to a person outside of the applicant's discipline. The body of the proposal should sharply focus on the objective(s) of the proposed activity and outline reasonable steps to achieve the stated objective(s).
- h. Any research involving human or animal subjects must be reviewed and approved by the appropriate committee. Indication that such approval has been applied for should be noted on the grant application.

3. Application Dates

- a. Application deadline for summer fellowships is November 1. All applications are to be submitted to the Chair, Faculty Research Committee.
- b. No final report is required. However, faculty are encouraged to publish their research whenever appropriate and to submit a copy of their published material to the Director of Libraries.

4. Advisory Role of Research Committee

The Faculty Research Committee will evaluate grant proposals and make recommendations to the Associate Provost for Graduate Studies, Research and Program Evaluation.