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Office of the President Annual Report

Office of the President

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2001

# Annual Report of the President, the University of Tennessee to the Board of Trustees, 2000-2001: In Perspective

Emerson H. Fly  
*University of Tennessee - Knoxville*

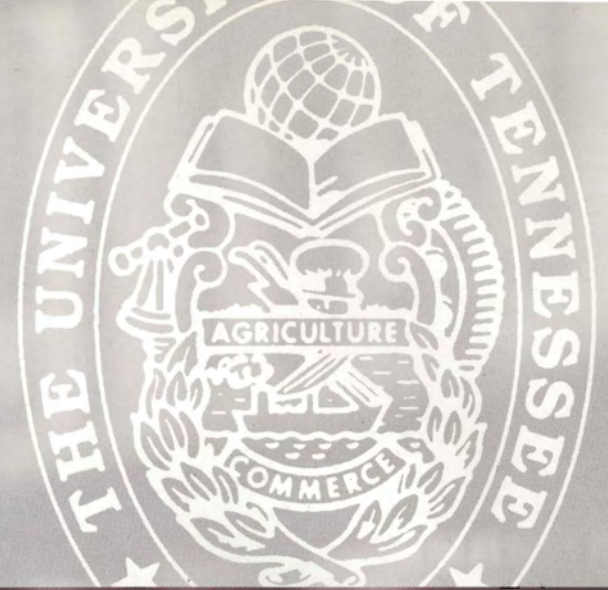
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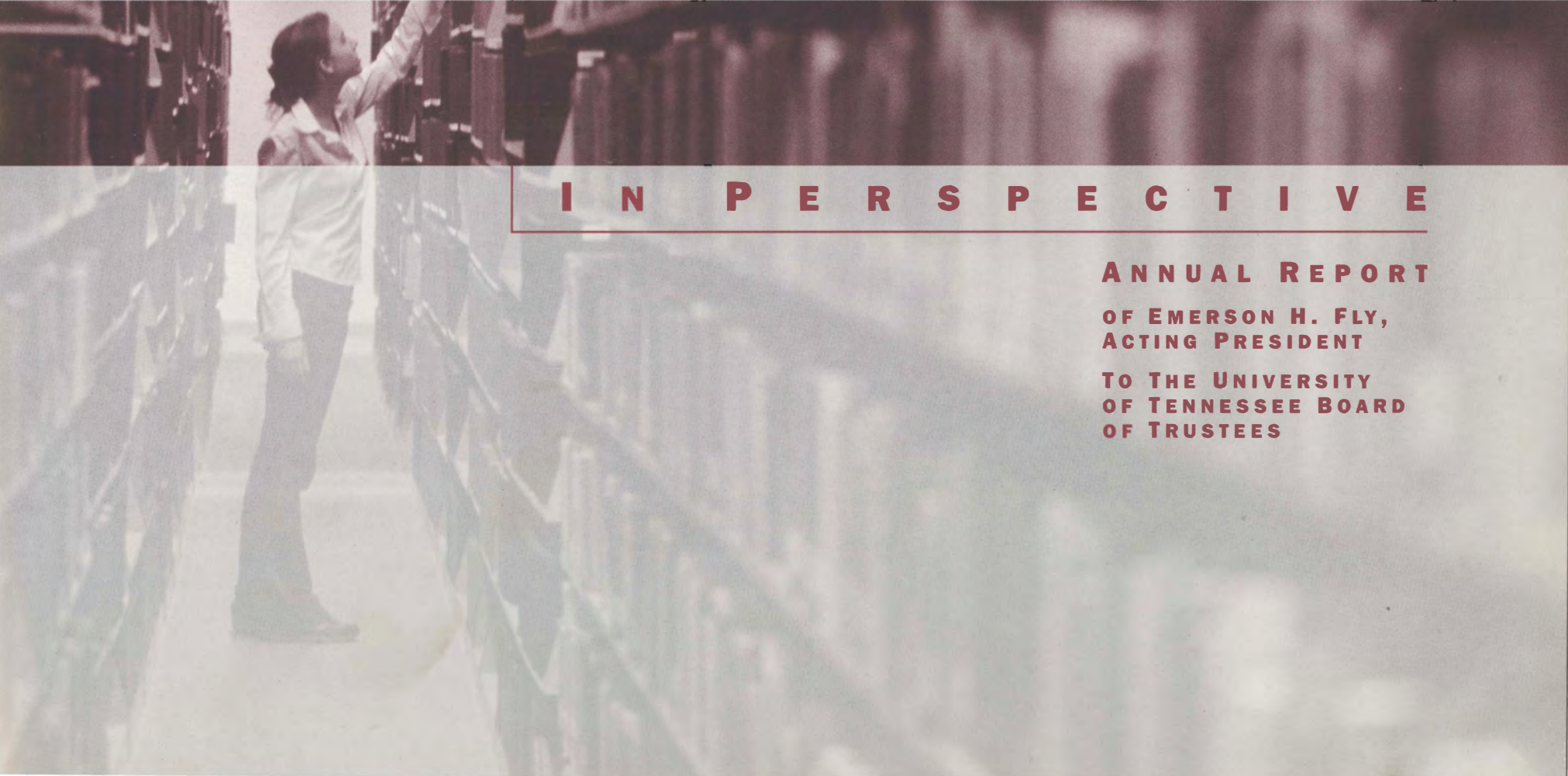
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**I N P E R S P E C T I V E**

**ANNUAL REPORT  
OF EMERSON H. FLY,  
ACTING PRESIDENT  
TO THE UNIVERSITY  
OF TENNESSEE BOARD  
OF TRUSTEES**



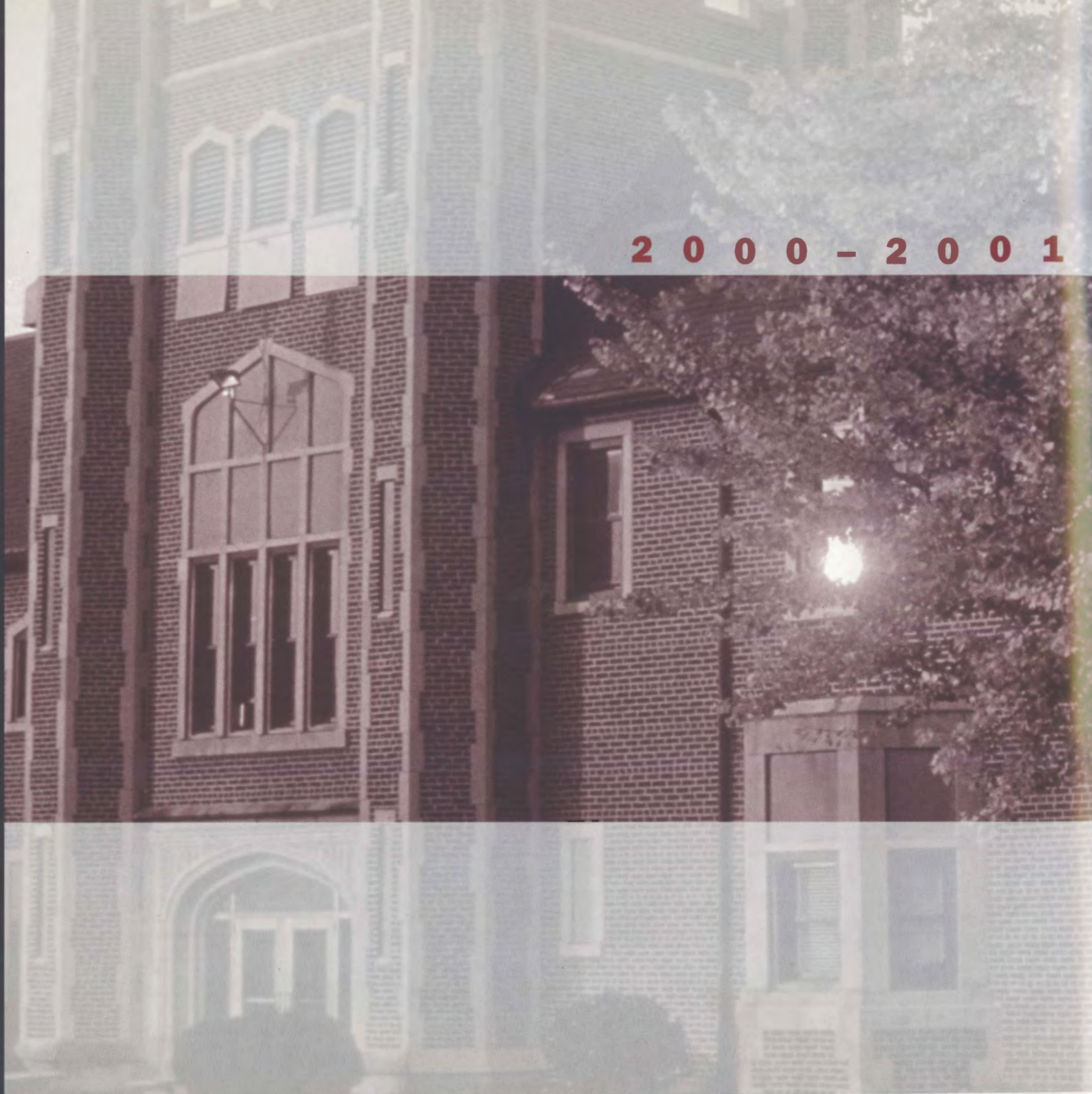
# THE UNIVERSITY OF TENNESSEE

The University of Tennessee is a statewide system of higher education comprising three institutions:

- The University of Tennessee (main campus at Knoxville, Health Science Center at Memphis, Space Institute at Tullahoma, and institutes of agriculture and public service)
- The University of Tennessee at Chattanooga
- The University of Tennessee at Martin

The University of Tennessee is the state's flagship institution, offering comprehensive programs of undergraduate, graduate, and professional education, research, and public service throughout the state. Enrollment in the statewide university is approximately 42,000. Students come from every county in Tennessee, every state in the nation, and many foreign countries. The university is the only public university in Tennessee to hold the Carnegie Doctoral/Research-Extensive classification. The oldest and largest public institution of higher education in the state, the university was founded in Knoxville in 1794, two years before Tennessee became a state.

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# I N P E R S P E C T I V E

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Board of Trustees ..... Inside Back Cover

## ANNUAL REPORT

OF EMERSON H. FLY,  
ACTING PRESIDENT

TO THE UNIVERSITY  
OF TENNESSEE BOARD  
OF TRUSTEES



## **2000-2001 IN PERSPECTIVE**

**The single most important event was something that didn't happen.**

**The General Assembly didn't find a solution to Tennessee's revenue problems.**

**Higher education's share of the state budget is down to 12 percent from 15 percent just a decade ago.**

Getting some perspective on last year is a worthy undertaking. A lot of things went on, both good and bad, for the University of Tennessee. But the single most important event was something that didn't happen. The General Assembly didn't find a solution to Tennessee's revenue problems. The university, therefore, found itself entering a second decade of less-than-adequate state funding with scant hope for improvement in the near future.

We think UT managed well with the available resources. We continued to find ways to redirect more dollars into our core missions of education, research, and service. But as Tennessee once again turned its back on its future, this university found it harder and harder to maintain quality in its essential programs.



## BEGINNING ON A HIGH NOTE

We began our year last July quite optimistically. We had our best state appropriation in several years. Faculty and staff received respectable raises. The state allocated special sums for research and equipment. And UT Chattanooga finally got funding for its \$29 million science and engineering building.

As the year progressed, our spirits were lifted by the dedication of the Burchfiel Geography Building and the Thornton Student Life Center at Knoxville, progress on the student recreation center at Knoxville and groundbreaking for our new Black Cultural Center. None of those projects were paid for with state dollars. In fact, the Burchfiel Building was paid for almost entirely by a contribution, and the Thornton Center also was largely funded by private gifts. Student activity fees are the funding source for the rec center and the Black Cultural Center.

We began the Trustees Scholarship program to bring more of Tennessee's best high school graduates to UT. The scholarships were made possible with the generous commitment of \$20 million over 20 years from the Men's Athletics Department at Knoxville, and the use of money derived from our credit card agreement with First USA. These scholarships are important because Tennessee must keep more of its best and brightest students in-state for their college education. When these good students go to college in other states, they are unlikely to return to Tennessee to pursue their careers.

Last year was the university's first full year under its streamlined organization, which comprises three entities:

- The University of Tennessee (including the main campus at Knoxville, Health Science Center at Memphis, Space Institute at Tullahoma, and statewide institutes of agriculture and public service)
- The University of Tennessee at Chattanooga
- The University of Tennessee at Martin

Last year saw other notable developments:

- \$95 million in gifts from our alumni, corporations, and other UT friends. The university is very fortunate to attract this level of support, but I want to make clear that 97 percent of these gift monies are designated to particular purposes, usually academic enrichment. Therefore these funds cannot make up for the shortfall in state appropriations. Not counted in the \$95 million is the university's largest-ever gift—property valued at more than \$40 million from Baptist Health Care Corporation to the UT Health Science Center in Memphis.
- Implementation on time and within budget of a large new business management system called IRIS, which is based on SAP software.
- Hiring of some very good people in positions of leadership—Loren Crabtree as vice president and provost at Knoxville, Nick Dunagan as chancellor at Martin, and Buzz Peterson as head coach of the basketball Vols.
- Establishment of the University of Tennessee Foundation to help with fund raising.





## RESEARCH CENTERS LAUNCHED

Also last year, then-president Wade Gilley launched a major research initiative, establishing nine centers of excellence with a mix of state and university funding. The centers are expected to attract \$220 million in grants within five years and enhance UT's national research standing. Five centers are in Knoxville, four at the Health Science Center in Memphis.

On June 1, we learned that Dr. Gilley had resigned. The Board of Trustees asked me to be acting president, and I accepted. During the remaining month of the fiscal year, I established as my number one priority improving the quality of undergraduate student life, particularly redirecting funds to enhance instruction. At the undergraduate level, we began to focus on everything from the quality of the instruction we offer to standards for our facilities and equipment. At the graduate level, the focus was the competitiveness of the stipends we pay our graduate research assistants and graduate teaching assistants.

To have the funds to redirect to these vital areas, I implemented a renewed emphasis on operating efficiently. This was a difficult charge to a faculty and staff already battered by years of cutbacks.



## BUDGET FORCES FEE INCREASE

The year ended without the state legislature having passed an appropriations bill, which in turn meant that UT did not have a firm budget for 2001-2002. Three days before the close of the fiscal year, you Board of Trustees members approved a continuation budget. Not until August—after the legislature passed a “bare bones,” no new revenue budget, the governor vetoed it, and the legislature overrode his veto—were you able to approve a university budget for fiscal 2002. We were forced to raise tuition 15 percent to cover fixed expenses, an increase we deeply regretted. In the last three years, tuition has gone up almost 40 percent for our in-state undergraduate students. We are afraid we are pricing higher education out of the reach of some Tennesseans.

**In the last three years, tuition has gone up almost 40 percent for our in-state undergraduate students.**

Until the state finds new sources of revenue, the university cannot expect any improvement in its state appropriation. The situation is made worse by the fact that higher education continues to trail health care, prisons, and K-12 education as a priority for more state dollars. In fact, higher education's share of the state budget is down to 12 percent from 15 percent just a decade ago.

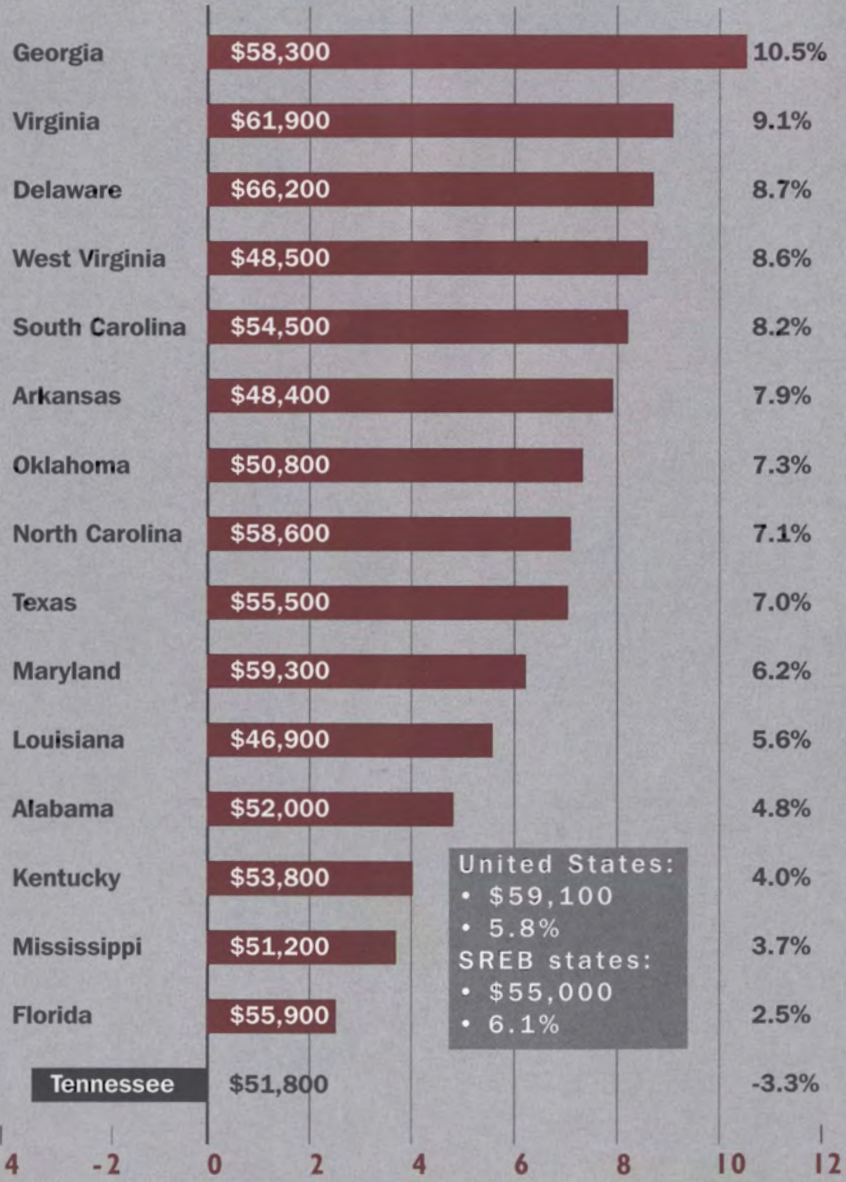
**Until the state finds new sources of revenue, the university cannot expect any improvement in its state appropriation.**

Our state legislators understand and appreciate higher education's needs but have been unable to agree on a revenue enhancement measure. We must keep reminding them of the long-term damage

Tennessee will suffer from underfunding its colleges and universities. This threat is particularly critical in light of a study by the Southern Regional Education Board that predicts the number of high school graduates in Tennessee will grow by 30 percent during this decade, three times the national and Southern averages. SREB also says 30 percent of the new jobs created in the South over the next decade will require at least a bachelor's degree. If Tennessee is to prosper economically, the University of Tennessee and other state higher education institutions must be funded at a level adequate to prepare our young people for the future.



Average salaries and salary changes for full-time instructional faculty for Southern Regional Education Board public four-year colleges and universities 1995 to 2000, adjusted for inflation



Faculty salaries at public four-year institutions, when adjusted for inflation, rose 5.8 percent nationally and 6.1 percent in the SREB states during the last five years.

Tennessee was the only SREB state in which faculty salaries, after adjustment for inflation, actually declined.

Data source:  
SREB Fact Book on Higher Education,  
June 2001

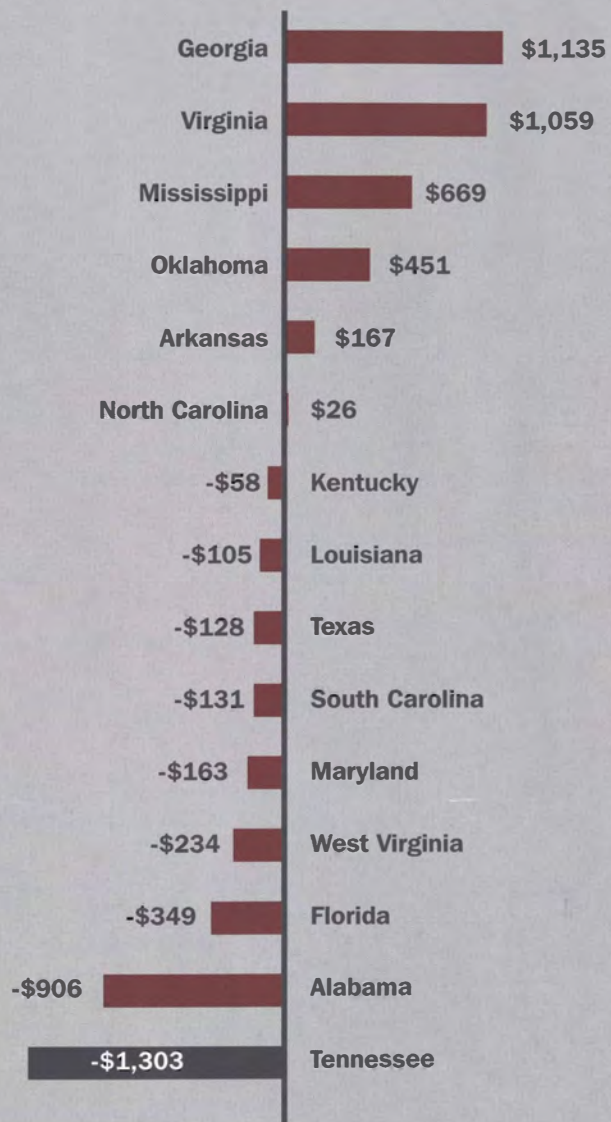


Per-student funding during the last five years, when adjusted for inflation, rose in six SREB states and fell in nine states.

Differences among states are pronounced.

The largest decline was in Tennessee where per-student funding fell \$1,303.

Changes in state general operating appropriations per full-time equivalent student for Southern Regional Education Board public four-year colleges and universities 1995 to 2000, adjusted for inflation



Data source:  
SREB Fact Book on Higher Education,  
June 2001





## ANTICIPATING THE FUTURE



UT has existed for 207 years and has continuously improved. Though these are times that give us concern, we are managing wisely the resources we have, and we are directing money to the areas that are most vital. I am committed to doing everything I can to ensure that the new president inherits a fine institution poised for even greater successes in the future.

In closing, I would like to say a special thanks to the university family for its cooperative and hard working attitude. The Board of Trustees, the faculty and staff, our students, alumni, and other friends stood together and weathered some difficult situations out of loyalty to the University of Tennessee. We will continue to work together for the good of our university.



# FINANCIAL HIGHLIGHTS 2000-2001

Prepared by the Office of the Treasurer

The University of Tennessee's financial statements are prepared in general conformance with College and University Business Administration, which sets forth generally accepted accounting principles for colleges and universities. Financial statements are

audited by the State of Tennessee, Comptroller of the Treasury, Division of State Audit.

We invite you to scrutinize the following balance sheet and other information about the university's fiscal operations. The complete University of

Tennessee financial statements and footnotes along with auditor's opinion letter and management comments are available in the annual Report of the Treasurer 2001, which will be sent to the Board of Trustees. Others wishing copies of the Report of

the Treasurer 2001 may contact the Office of the Treasurer, 301 Andy Holt Tower, Knoxville, Tennessee 37996-0100, telephone 865-974-2302, or e-mail CPeccolo@Tennessee.edu.

## BALANCE SHEETS (dollars in thousands) Year ending June 30, 2001, with comparative totals for 2000

| <b>ASSETS</b>  | <b>2001</b>        | <b>2000</b>        |
|--|--------------------|--------------------|
| Current Funds .....  | \$ 222,282         | \$ 171,440         |
| Investments .....  | 1,106              | 1,168              |
| Receivables .....  | 158,077            | 108,860            |
| Inventories, prepaid expenses and other .....                        | 12,478             | 12,718             |
|  | <u>\$ 393,943</u>  | <u>\$ 294,186</u>  |
| <b>Loan Funds</b>  |                    |                    |
| Cash .....   | \$ 5,047           | \$ 4,991           |
| Receivables .....  | 36,745             | 35,379             |
|  | <u>\$ 41,792</u>   | <u>\$ 40,370</u>   |
| <b>Endowment and Similar Funds and Annuity and Life Income Funds</b> |                    |                    |
| Cash .....   | \$ 8,865           | \$ 3,714           |
| Investments .....  | 468,167            | 491,107            |
| Receivables .....  | 814                | 2,063              |
|  | <u>\$ 477,846</u>  | <u>\$ 496,884</u>  |
| <b>Plant Funds</b>   |                    |                    |
| Cash .....   | \$ 147,760         | \$ 127,194         |
| Investments .....  | 432                | 508                |
| Receivables .....  | 28,121             | 35,748             |
| Land .....   | 45,133             | 40,197             |
| Buildings and Improvements .....                                     | 1,091,826          | 1,040,506          |
| Equipment .....  | 224,451            | 209,692            |
| Library holdings .....   | 258,362            | 253,180            |
| Livestock .....  | 2,080              | 2,055              |
|  | <u>\$1,798,165</u> | <u>\$1,709,080</u> |

| <b>LIABILITIES AND FUND BALANCES</b>                                 | <b>2001</b>        | <b>2000</b>        |
|--|--------------------|--------------------|
| <b>Current Funds</b>   |                    |                    |
| Accounts payable and accrued expenses .....                          | \$ 169,881         | \$ 126,283         |
| Deposits and other credits .....                                     | 3,513              | 4,812              |
| Deferred revenue .....   | 27,265             | 25,176             |
| Fund balances:   |                    |                    |
| Restricted .....   | 138,549            | 96,769             |
| Unrestricted .....   | 54,735             | 41,146             |
|  | <u>\$ 393,943</u>  | <u>\$ 294,186</u>  |
| <b>Loan Funds</b>  |                    |                    |
| Accounts payable and accrued expenses .....                          | \$ 14              |                    |
| Fund balances:   |                    |                    |
| U.S. Government grants refundable .....                              | 33,764             | \$ 32,734          |
| Institutional funds-restricted .....                                 | 8,014              | 7,636              |
|  | <u>\$ 41,792</u>   | <u>\$ 40,370</u>   |
| <b>Endowment and Similar Funds and Annuity and Life Income Funds</b> |                    |                    |
| Accounts payable and accrued expenses .....                          | \$ 11,128          | \$ 12,104          |
| Fund balances:   |                    |                    |
| Endowment .....  | 393,524            | 412,345            |
| Quasi-endowment-unrestricted .....                                   | 9,751              | 9,878              |
| Quasi-endowment-restricted .....                                     | 19,310             | 17,935             |
| Annuities .....  | 11,290             | 12,602             |
| Life Income .....  | 32,843             | 32,020             |
|  | <u>\$ 477,846</u>  | <u>\$ 496,884</u>  |
| <b>Plant Funds</b>   |                    |                    |
| Accounts payable and accrued expenses .....                          | \$ 5,630           | \$ 12,093          |
| Long-term indebtedness .....   | 191,235            | 176,690            |
| Deferred revenue .....   | 15,500             | 15,500             |
| Fund balances:   |                    |                    |
| Unexpended .....   | 27,858             | 25,498             |
| Retirement of indebtedness and .....                                 |                    |                    |
| renewal and replacement .....  | 122,572            | 103,593            |
| Investment in plant .....  | 1,435,259          | \$1,375,706        |
|  | <u>\$1,798,165</u> | <u>\$1,709,080</u> |



**SOURCES OF CURRENT FUNDS** for the year ended June 30, 2001

**WHERE UT'S MONEY COMES FROM...**

Total current fund revenues increased 7.5 percent to \$1.3 billion for the fiscal year ended June 30, 2001. The increase was attributed to increased state appropriations, student fee increases, increased grant and contract activity, and an accounting rule change which required the recording of restricted revenues at receipt and the recording of certain pledges as receivables.

Educational and general revenues increased 10.9 percent to \$1.042 billion for the 12 months ended in June. State appropriations increased \$33 million to \$418 million, which included a modest funding increase to cover mandated salary adjustments, retirement benefits, and insurance premiums; a one-time \$7.5 million in research incentive funds; and an accounting rule change that required the recording of restricted state appropriations as revenues at the time of receipt.

Student fees increased by \$13 million for the year and provided funding for much-needed faculty and staff salary increases. Gifts, grants, and contracts revenue increased by 22.2 percent to \$313 million, with the most significant increases occurring in federal grants and contracts (\$21 million) and private grants and contracts (\$10.4 million) and the recording of restricted pledges as receivables (\$20 million).

Other sources remained about the same at \$102.1 million.

Auxiliary enterprises, including UT Knoxville athletics, reported a 1.7 percent increase in revenues, reflecting modest increases for services provided and utilized. Reported hospital revenues of \$58.3 million declined from \$74.4 million due to the University Memorial Hospital in Knoxville

spin-off. All university personnel employed at the hospital had the option to remain university employees or transfer to University Health System Inc. Those who elected to remain university employees were leased to UHS for an amount equal to paid wages and benefits. This amount totaled \$99 million and is included as Independent Operations on the graph below.

**State Appropriations (31.6%)** ..... \$ 418,039,600.00

Legislative appropriations from the Tennessee General Assembly for current operations of the University

**Gifts, Grants, and Contracts (23.7%)** ..... \$ 313,245,762.07

Revenues from federal and non-federal granting entities restricted for specific purposes, primarily for sponsored research and training activities

**Tuition and Fees (14.5%)** ..... \$ 192,048,234.82

Revenues collected from students; includes resident enrollment fees, program and service fees, extension enrollment fees, and other fees

**Other (7.7%)** ..... \$ 102,084,339.89

Revenues generated from sources not included in other classifications, such as sales and services by University departments and investment income

**Federal and Local Appropriations (1.3%)** ..... \$ 17,336,385.49

Appropriations received in support of the University's land-grant missions, used primarily by the Agricultural Experiment Station and Extension Service

**Auxiliary Enterprises (9.3%)** ..... \$ 123,302,353.79

Revenues from operations of auxiliary activities such as housing, dining halls, bookstores, parking, and UT Knoxville athletics

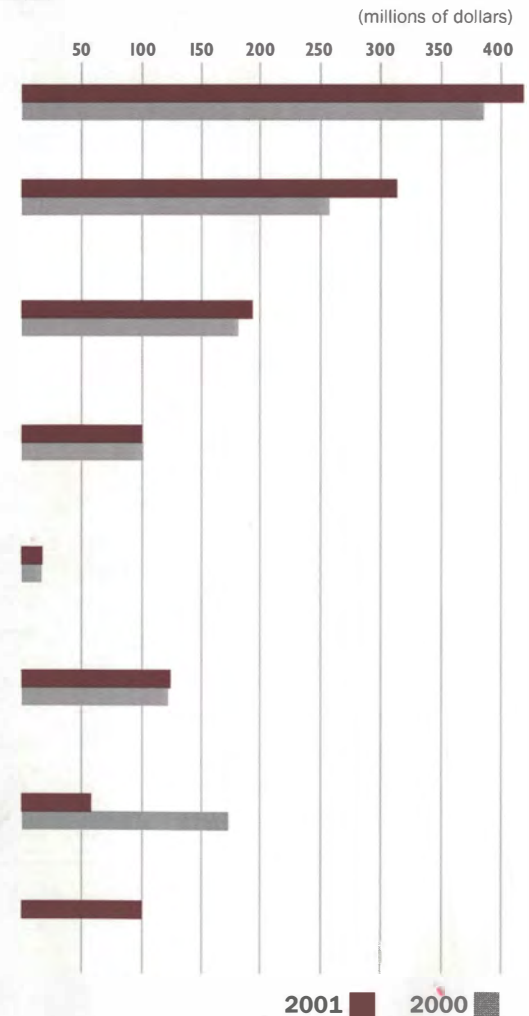
**Hospitals (4.4%)** ..... \$ 58,383,134.71

Net patient revenues from the UT Memorial Hospital-Knoxville and the William F. Bowld-Memphis hospitals

**Independent Operations (7.5%)** ..... \$ 99,021,706.70

Revenue collected from Memorial Hospital for leased employees

**TOTAL** \$ 1,323,461,517.47





**USES OF CURRENT FUNDS** for the year ended June 30, 2001

**...AND WHERE IT GOES**

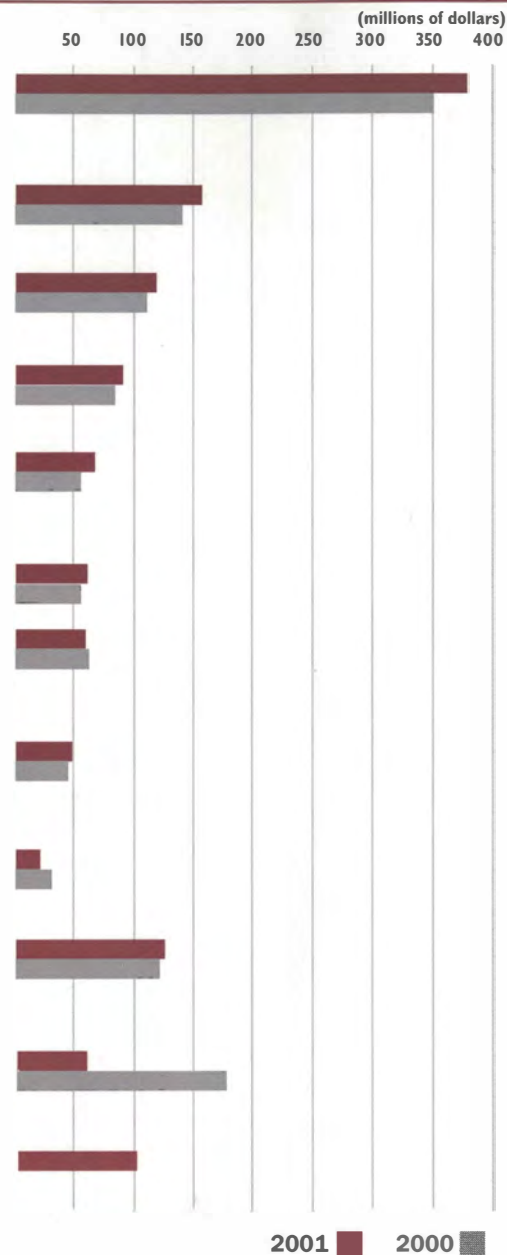
Total current fund expenditures and transfers increased by 3.7 percent during fiscal 2000–2001.

Educational and general fund expenditures and transfers went up \$58.2 million with the largest increases in instruction (7.6 percent), maintenance of physical plant (18.2 percent), research (10.8 percent), and scholarships and fellowships (9.1 percent). These increases were consistent with university priorities in addressing compensation issues, funding routine maintenance, providing limited program enhancements, and purchasing needed equipment.

Auxiliary enterprise expenditures increased 2.8 percent, with inflationary operating costs and facilities maintenance responsible for most of the increase. As reported in the “Where UT’s Money Comes From” section, the wages and benefits paid to employees at the Knoxville hospital after the spin-off totaled \$99 million and are reflected as independent operations expenditures in the graph at right.

|  |                   |
|--|-------------------|
| <b>Instruction (29.7%)</b> .....   | \$ 378,371,283.83 |
| Includes all expenditures, including faculty and staff salaries incurred in connection with instruction programs for credit and non-credit courses                   |                   |
| <b>Research (12.2%)</b> .....  | \$ 155,818,030.08 |
| Direct expenditures for sponsored research activities funded from federal, state, local, and private sources   |                   |
| <b>Public Service (9.2%)</b> .....   | \$ 117,239,591.24 |
| Expenditures for non-instructional programs beneficial to individuals and groups external to the University  |                   |
| <b>Academic Support (7.0%)</b> .....   | \$ 88,937,515.27  |
| Expenditures for libraries, computing support, and academic administration   |                   |
| <b>Physical Plant (5.1%)</b> .....   | \$ 65,702,607.59  |
| Expenditures for the operation and maintenance of physical plant, including utilities and services related to grounds and facilities                                 |                   |
| <b>Student Aid (4.7%)</b> .....  | \$ 59,658,876.77  |
| Scholarships and fellowships awarded to students   |                   |
| <b>Institutional Support (4.6%)</b> .....  | \$ 58,555,785.98  |
| Expenditures for executive management, financial operations, personnel services, security, public relations, development activities, and alumni relations.           |                   |
| <b>Student Services (3.7%)</b> .....   | \$ 47,171,504.26  |
| Expenditures for student services, including admissions, registrar, student activities, counseling, career guidance, student aid administration, and health services |                   |
| <b>Long-Term Debt Service and Other Transfers (1.7%)</b> .....   | \$ 21,290,375.79  |
| Mandatory transfers for debt service and other long-term capital project funding   |                   |
| <b>Auxiliary Enterprises (9.7%)</b> .....  | \$ 123,439,719.13 |
| Activities that furnish goods and services to students, faculty, and staff. Includes mandatory transfers for debt service  |                   |
| <b>Hospitals (4.6%)</b> .....  | \$ 58,183,246.87  |
| Expenditures for hospital operations. Includes mandatory transfers for debt service  |                   |
| <b>Independent Operations (7.8%)</b> .....   | \$ 99,021,706.70  |
| Expenditures for leased employees for Memorial Hospital  |                   |

**TOTAL** \$ 1,273,390,243.51





## INVESTMENTS

Total funds invested to benefit UT declined by \$49 million during fiscal year 2001, the first decrease in more than 20 years. This decline, in spite of increased donor support, reflected the dismal capital markets during the twelve months ended June 30, 2001. The top graph on the facing page depicts the growth of these funds over the past five years and shows a 68 percent increase even after the decline in 2001.

The market value of these funds at June 30, 2001, was \$675 million. Five components make up the total: university pooled endowments, university separate endowments, life income funds, University of Chattanooga Foundation, and the Tennessee Chairs of Excellence. The top two layers of the graph, (top graph on opposite page) are funds managed outside the university. The Tennessee Chairs of Excellence (\$105 million) provided \$3.1 million during the year to support chair programs at all campuses, and the University of Chattanooga Foundation (\$95 million) provided \$4.3 million for programs at UT Chattanooga.

The bottom three layers are funds managed by the university: life income trusts (\$54 million), separately invested endowments (\$14 million), and pooled endowments (\$407 million). The university pooled endowments are managed in a consolidated investment pool created in 1954 to provide the

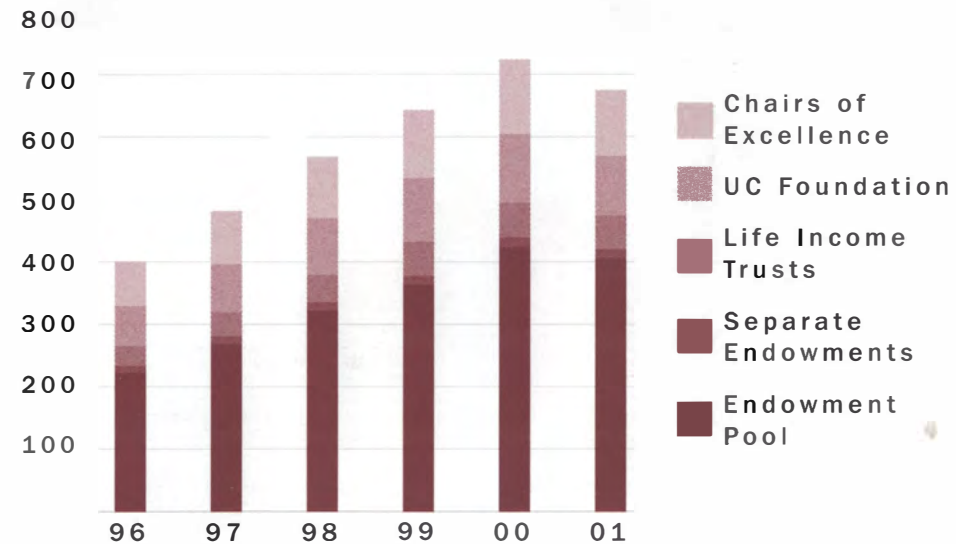
advantages of a well-diversified investment portfolio to all participating endowments regardless of size.

Reported June 30, 2001, investment returns for the pooled endowments were negative for the first time in more than 20 years, reflecting the returns offered in the capital markets (illustrated in the bottom graph on this page). The 2001 total return of the pooled endowments fell 3.8 percent, but when considered with the previous four years yielded an average five-year return of 11 percent, still above the long-term target return for these funds.

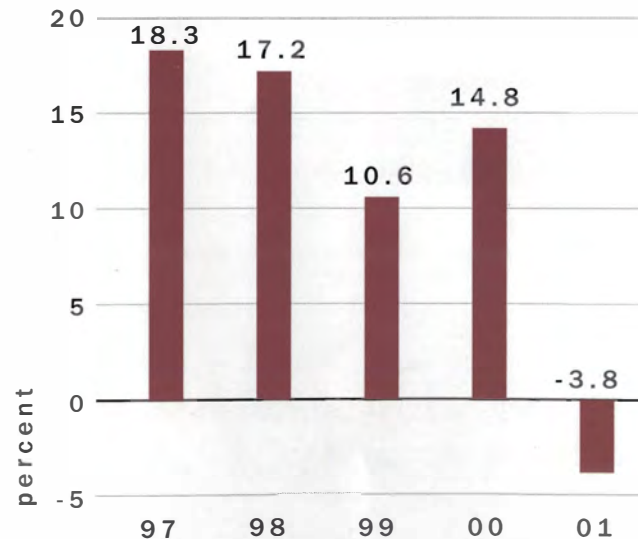
Income distributed from the pooled endowments for the year totaled \$19.3 million, an increase of \$3 million over the previous year. This amount was in accordance with the spending plan articulated as 5 percent of a three-year moving average market value measured at December 31 each year.

The long-term goal of the pooled endowment investment program is to provide a sustainable and increasing level of endowment income distribution to support the university's programs while preserving the real purchasing power of the endowment. The measurement of this goal is over a rolling five-year period. As of June 30, 2001, the goal has been achieved with the reported total return of 11 percent adding real value of 3.8 percent to the fund after distributions and inflation.

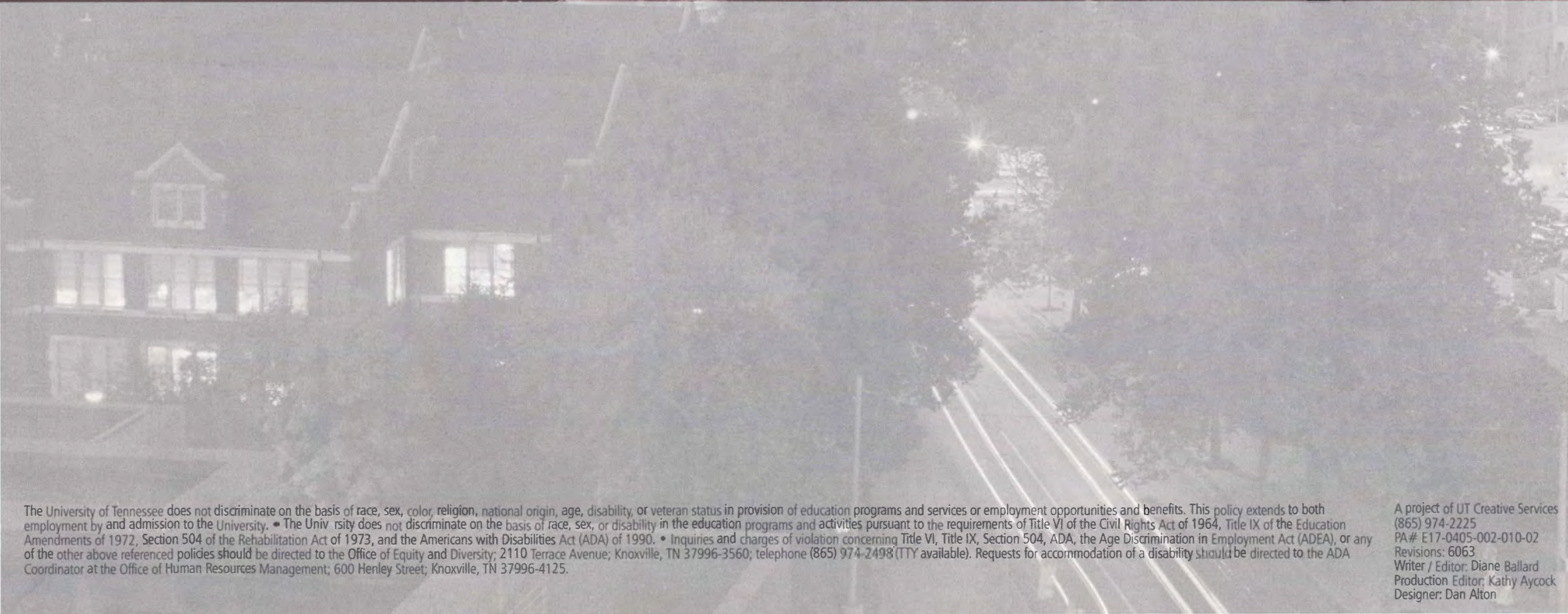
**Total Funds Invested for Benefit of UT 1996–2001**  
(millions of dollars)



**Consolidated Investment Pool Five-Year Return**



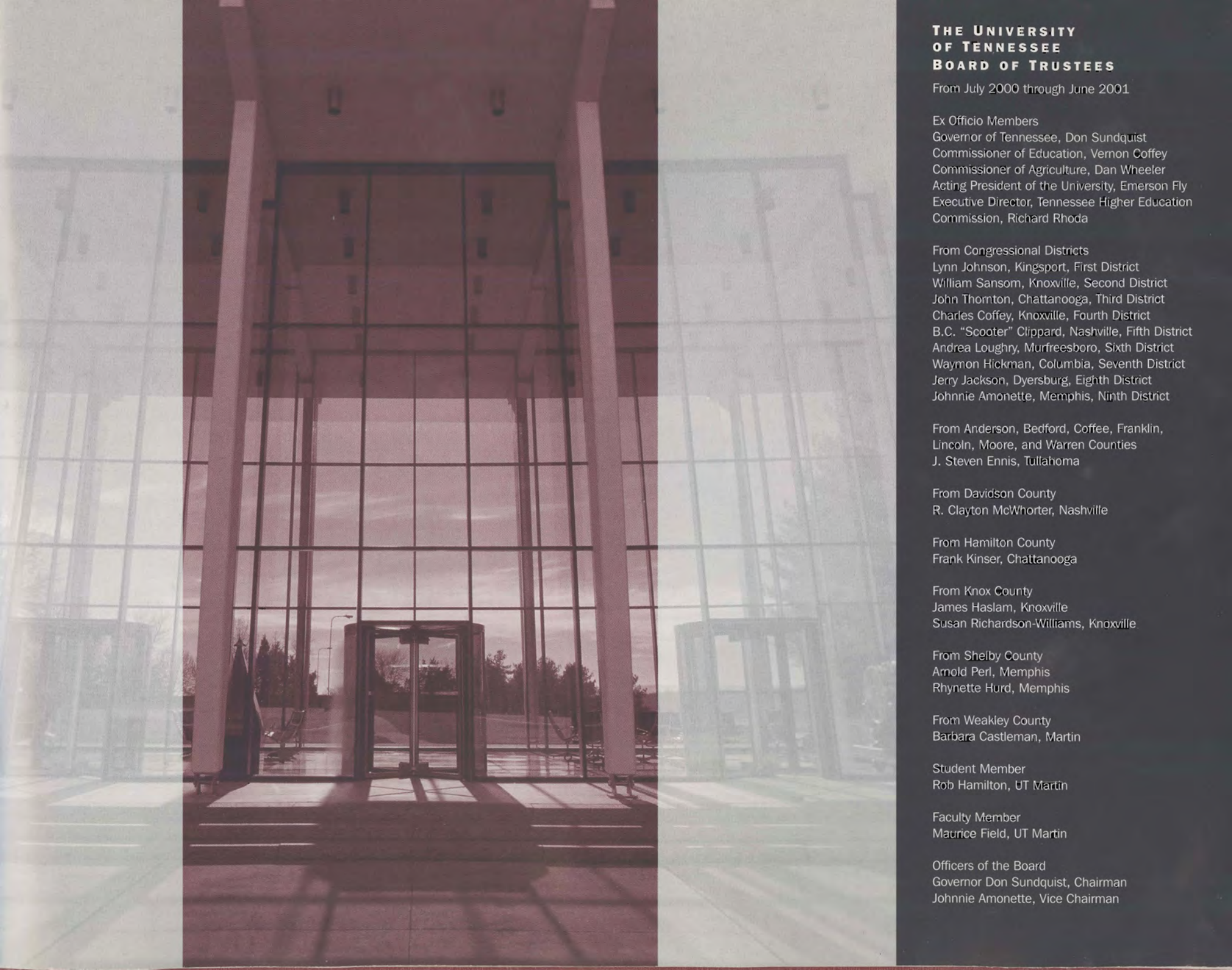




The University of Tennessee does not discriminate on the basis of race, sex, color, religion, national origin, age, disability, or veteran status in provision of education programs and services or employment opportunities and benefits. This policy extends to both employment by and admission to the University. • The University does not discriminate on the basis of race, sex, or disability in the education programs and activities pursuant to the requirements of Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Americans with Disabilities Act (ADA) of 1990. • Inquiries and charges of violation concerning Title VI, Title IX, Section 504, ADA, the Age Discrimination in Employment Act (ADEA), or any of the other above referenced policies should be directed to the Office of Equity and Diversity; 2110 Terrace Avenue; Knoxville, TN 37996-3560; telephone (865) 974-2498 (TTY available). Requests for accommodation of a disability should be directed to the ADA Coordinator at the Office of Human Resources Management; 600 Henley Street; Knoxville, TN 37996-4125.

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**THE UNIVERSITY  
OF TENNESSEE  
BOARD OF TRUSTEES**

From July 2000 through June 2001

**Ex Officio Members**

Governor of Tennessee, Don Sundquist  
Commissioner of Education, Vernon Coffey  
Commissioner of Agriculture, Dan Wheeler  
Acting President of the University, Emerson Fly  
Executive Director, Tennessee Higher Education  
Commission, Richard Rhoda

**From Congressional Districts**

Lynn Johnson, Kingsport, First District  
William Sansom, Knoxville, Second District  
John Thornton, Chattanooga, Third District  
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Waymon Hickman, Columbia, Seventh District  
Jerry Jackson, Dyersburg, Eighth District  
Johnnie Amonette, Memphis, Ninth District

**From Anderson, Bedford, Coffee, Franklin,  
Lincoln, Moore, and Warren Counties**  
J. Steven Ennis, Tullahoma

**From Davidson County**  
R. Clayton McWhorter, Nashville

**From Hamilton County**  
Frank Kinser, Chattanooga

**From Knox County**  
James Haslam, Knoxville  
Susan Richardson-Williams, Knoxville

**From Shelby County**  
Arnold Perl, Memphis  
Rhynette Hurd, Memphis

**From Weakley County**  
Barbara Castleman, Martin

**Student Member**  
Rob Hamilton, UT Martin

**Faculty Member**  
Maurice Field, UT Martin

**Officers of the Board**  
Governor Don Sundquist, Chairman  
Johnnie Amonette, Vice Chairman



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