

Minutes*

Senate Committee on Faculty Affairs
Tuesday, January 25, 2011
2:30 – 4:15
238A Morrill Hall

Present: George Sheets (chair), Ben Bornsztejn, Arlene Carney, Carol Carrier, Dann Chapman, Vladimir Cherkassky, Randy Croce, Kathryn Hanna, Valerie Khominich, Frank Kulacki, Karen Miksch, Jason Shaw, Roderick Squires, Pamela Stenhjem, James Wojtaszek

Absent: Richard Cline, Barbara Elliott, Theodor Litman, Chris Orlic, Geoffrey Sirc

Guests: Nan Wilhelmson (Human Resources); Sarah Waldemar (CAPA)

[In these minutes: (1) without-salary appointments; (2) resolution on recognition for staff participation in governance]

1. Without-Salary Appointments

Professor Sheets convened the meeting at 2:30 and welcomed Ms. Wilhelmson to present a report on without-salary (WOS) appointments and guidelines for their use. He noted that this Committee had discussed the issue in 2009 and now has a more finished form of a document on WOS appointments.

Ms. Wilhelmson began by reiterating the reasons to address questions related to WOS appointments: Concern has been expressed by faculty regarding the broad use of professorial rank titles outside of use by regular faculty and contract, temporary, or visiting faculty; there is a desire to differentiate WOS professorial rank appointments from regular, contract, temporary, or visiting faculty appointments; there is a lack of policy/guidelines addressing permissible reasons for use of "without salary" appointments, which has resulted in some degree of inappropriate use of these appointments; and there is a lack of specific information on requirements around use of the title to which the individual is appointed.

There are also benefits to a better-defined system of WOS appointments Ms. Wilhelmson said. There would be an increase in accountability with defined oversight and monitoring process, a clear ending to the appointment when service is no longer needed, resulting in up-to-date appointments, individuals would have a better understanding of the terms of their appointment, there would be consistency in use of job codes and titles permissible for WOS appointments, the job codes and titles would better delineate regular faculty from others, there would be clarity in the process for appointing individuals to WOS appointments with assistance from HR staff, and a system would provide the ability to more accurately report on use of WOS appointments---better information on who these individuals are.

Ms. Wilhelmson reviewed the history of the discussions. An initial survey was conducted to better understand and document use and reasons for WOS appointments for both academic and non-academic appointments. Another survey was completed looking at actual professional rank WOS

* These minutes reflect discussion and debate at a meeting of a committee of the University of Minnesota Senate; none of the comments, conclusions, or actions reported in these minutes represents the views of, nor are they binding on, the Senate, the Administration, or the Board of Regents.

appointments. College lists did not include regular or visiting faculty appointments that were without salary. A reason for each individual appointment was requested using a list of reasons gleaned from the initial survey results, or by adding to the list. Reasons not included in the list were also submitted, when needed. The final list of current reasons for using WOS faculty appointments numbered 15. Information was also requested regarding the regularity of reviews of these appointments. Information received indicated that review of these positions was uneven---some receiving no review, some annual reviews and others sporadically-given reviews. (AHC colleges were not asked to report at this time as AHC had plans to initiate a Task Force to study of their non-paid appointments.) Then a task force was established to study "Non-Paid Appointments" within the AHC in March 2008, with a report and recommendations delivered to Frank Cerra and Carol Carrier in December 2008. Recommendations are currently being implemented.

The proposed guidelines she is presenting today will be on the Human Resources website and were reviewed by human-resources administrators in the colleges, Ms. Wilhelmson said. These are guidelines, not policy, because it is more a procedural document with specific directions on how to do things. The guidelines were these:

Guidelines for Use of "Without Salary" Faculty or Academic Professional Appointments for Persons Outside of the University

To be used by all colleges with the exception of those in the Academic Health Center and where otherwise noted. [These guidelines do not apply to AHC community-based (without salary) appointments. AHC has its own operational policy.]

The following guidelines are for use when appointing individuals when their "without salary" (WOS) appointment is the person's primary relationship with the University.

Use these guidelines in determining when an academic WOS appointment is appropriate and permissible, in deciding which classification is to be used in making the appointment, what privileges/benefits accompany the appointment, and in developing a plan for departments around these appointments. [Academic means faculty and academic professional strictly for purposes of this policy.] These guidelines are given to provide for consistency in the use and treatment of "without salary" (WOS) faculty and academic professional appointments, and to assure a differentiation of WOS professorial rank appointments from those appointments where use of the professional rank title without the use of a prefix is permitted. Regular, temporary and visiting appointments are excluded from coverage under these guidelines.

The following documents accompany these guidelines:

- Academic "Without Salary" Category/Reasons and Appointment Chart—an abbreviated reference chart outlining the reasons and appointment options
- College/Department-Specific Plan for use of Academic "Without Salary" Appointments—a suggested outline of what to include in a college/department specific plan for working with persons with these categories of WOS appointments
- Privileges/Benefits that Accompany an Academic "Without Salary" Appointment

PERMISSIBLE REASONS FOR ACADEMIC "Without Salary" APPOINTMENTS FOR PERSONS OUTSIDE THE UNIVERSITY

There are reasons when a faculty or academic professional WOS appointment given to persons outside the University is appropriate in recognizing significant expertise and continuous service to the University. These reasons group into 3 main categories. Appointments are to be made in alignment with each category according to the detail provided below. Where options are given under a category, a choice is to be made and followed with consistency in the unit.

The three categories under which academic WOS appointments fall pursuant to these guidelines are:

- Instruction ~ both formal classroom or community-based
- Research
- Other Service

Permissible reasons, requirements, and appointment options are outlined under each category. The following two documents, tailored to these guidelines, are provided to assist in making appropriate appointments:

- Academic Job Codes and Titles as Applied to these Guidelines
- Academic Appointment Types and Definitions as Applied to these Guidelines

Also included are appointment letter checklists to be used when appointing Faculty or P&A employees to WOS appointments in accordance with these guidelines.

- "Without Salary" Term Faculty Appointment Letter Checklist (for use when this appointment is the person's primary relationship with the University)
- "Without Salary" P&A Appointment Letter Checklist (for use when this appointment is the person's primary relationship with the University)

INSTRUCTION

Permissible Reasons:

- (1) To provide for a courtesy faculty appointment to individuals who provide teaching effort and who work for an agency or firm with whom a contract for teaching/other professional service is held.
- (2) To indicate a teaching appointment where an external entity is paying for the work. Example: Naval Science and other military organizations --- the government pays the salary of the people doing the teaching.
- (3) To appoint a person (e.g., retiree from a corporation) who is volunteering to teach a course.
- (4) To appoint a person who assists at times with instruction, but does not teach the entire course.
- (5) To appoint individuals who are providing "on the job" instruction and oversight for professionals-in-training.

(Ms. Wilhelmson noted that she had reviewed these reasons with the Committee in the past. Individuals often need email access, remote library access, and sometimes access to grade reports; they are important appointments for people who provide service to the University.)

Requirements:

The adjunct and/or teaching prefix must be used with the faculty rank title.

Appointment Options:

Option 1

Job Codes/Titles: Faculty rank titles with the adjunct prefix – e.g., Adjunct Assistant Professor (9403A).

Option 2

Job Codes/Titles: Faculty rank with teaching prefix – e.g., Teaching Assistant Professor (9403T).

Option 3

Job Codes/Titles: Faculty rank with both the adjunct and teaching prefix – e.g., Adjunct Teaching Associate Professor (9402AT)

Option 4

Officially appoint individual into an adjunct faculty classification, and provide for a working title – e.g., Assistant Language Professor.

Option 5 [This option does not apply to UMD for instructional P&As or research.]

Job Codes/Titles: Teaching Specialist (9754), Senior Teaching Specialist (9771), Lecturer (9753), or Senior Lecturer (9770); Clinical Preceptor (9756)

RESEARCH

Permissible Reasons:

- (1) To provide for a courtesy faculty appointment for a faculty member from another institution who is providing research collaboration and where a contract is entered into with the faculty member's home institution.
- (2) To provide an appointment for research collaborators who are not employees of the University, but who are working in relation with University faculty.
- (3) To provide for short term research-related appointments to foreign visitors, often termed "visiting scholars."

Requirements:

The adjunct research or research prefix must be used with the faculty rank title.

Appointment Options:

Option 1

Job Codes/Titles: Faculty rank with both the adjunct and research prefix – e.g., Adjunct Research Professor (9401AR)

Option 2

Job Codes/Titles: Faculty rank with research prefix – e.g., Research Associate Professor (9402R).

Option 3 [This option does not apply to UMD for instructional P&As or research.]

Job Codes/Titles: Research Specialist (9755).

(Ms. Wilhelmson noted that in consulting with unit HR administrators, she had been asked to consider adding Research Associate (9702) and Research Fellow (9703) to the list of P&A titles that could be used.

OTHER SERVICE

Permissible Reasons:

Reason 1: To collaborate on outreach activities.

Reason 2: To serve on the University of Minnesota Graduate Faculty Committee (committee member and/or advisor).

Requirements:

Job codes and titles cited must be used as noted for these two individual reasons.

Appointment Options

Reason 1:

Job Codes/Titles:

Option 1 Faculty rank with either the adjunct prefix or adjunct and service/outreach prefix

Option 2 P&A job code/title appropriate to the work

Reason 2:

Appointment Required

Job Code/Title: 9996 Grad School Committee Member

NON-PERMISSIBLE REASONS FOR ACADEMIC "Without Salary" APPOINTMENTS for PERSONS OUTSIDE THE UNIVERSITY

-- To provide new hires access to University privileges (e.g., email, library access) prior to the official start date of the appointment.

Appointments for these individuals should be placed in a future dated row within the Human Resources Management System. The X.500 ID is assigned 6 months in advance for academic employees. Should the employee not actually begin the appointment, the department must terminate it.

-- To provide University privileges to maintain a relationship with an individual (with or without obligation to the University) after the appointment has been terminated, or to establish an affiliation relationship for reasons deemed political by the unit/department or to recognize personal friendships or other marks of cronyism.

(Ms. Wilhelmson said the AHC uses other honorary titles that are not in PeopleSoft, so the colleges have to keep track of such titles granted. These honorary titles provide no salary or benefits. A professorial rank title may not be used as an honorary title.)

The honorary title of, Distinguished (college/department) Fellow, or other title agreed to within the unit, is to be used on a very limited basis to recognize long-standing and/or symbolic relationships with individuals where an appointment would not be considered appropriate. Each college/department would track the individuals granted an honorary title.

Ms. Wilhelmson then reviewed a chart outlining the reasons for appointments and the job codes for faculty and P&A staff that can be used for WOS appointments. She emphasized that for faculty WOS appointments there must be some kind of prefix used (teaching, research, adjunct, etc.); the "pure" professorial title may not be used. The same prefix rule does not apply in the case of P&A staff because the professorial title is not used. Professor Sheets inquired if there is a reason not to distinguish WOS P&A appointments as well as WOS professorial appointments; Ms. Wilhelmson said she would think about that question (e.g., Adjunct Teaching Specialist). The guidelines do not apply to the AHC but they are parallel to the guidelines used in the AHC; the AHC is more focused on community-based appointments.

Dr. Carney noted that this Committee has received a report on "who teaches what," which is based on FTEs; those people who have WOS appointments would appear in the "Other" category. (The report identified teaching by tenured/tenure-track faculty, contract faculty, P&A staff, graduate assistants, and other; adjuncts would fall in the last category.) Professor Miksch commented that the Academic Freedom and Tenure Committee would be interested in knowing the trends over time in the use of non-tenured/non-tenure-track appointments that carry a salary; those are the tenured/tenure-track and contract faculty data, Dr. Carney said, not WOS appointments.

Professor Sheets said that there was a desire, with these courtesy titles, to know when they refer to paid positions and when they are merely courtesy titles, and he repeated his question about whether logic suggests that the distinction should be made with P&A titles, just as with professorial titles. Dr. Carney pointed out that there are many adjunct appointees who are paid. This is very complicated, she said; when people at the University see articles about other institutions where adjunct faculty have no benefits, they wonder if the University has the same kind of system. The adjuncts elsewhere who have no benefits are contract faculty at the University of Minnesota—and they do have benefits.

Professor Sheets asked if any thought had been given to devising a different term that would be distinctive for WOS appointments? Or is that not possible? Ms. Wilhelmson said they had not looked at that possibility because they hoped to fit the titles in the existing system. Neither "visiting" nor "unsalaried" would work; the former is already used and the latter seemed inappropriate.

Professor Kulacki suggested keeping as few categories as possible and leaving the maximum amount of discretion to unit heads, or make the appointments parallel to the rest of the University. In engineering, they don't pay much attention to the title until it comes time to vote on faculty appointments. Ms. Wilhelmson said the guidelines lean to the more specific because the AHC wanted more specific rules, and these guidelines are modeled on those in the AHC. So it is not possible to tell by title (e.g., adjunct) whether someone is paid or not, Dr. Carney said, but if someone has the "pure" professorial title, he or she is being paid.

Mr. Croce asked if the main concern of the tenured and tenure-track faculty was that those who are not eligible for such appointments not carry the title. That was one guiding them, Dr. Carrier said. Mr. Croce said he saw no problem with lumping paid and unpaid adjuncts together by title as long as the

information about whether paid or not could be found if needed. For the purpose of identifying who teaches what, that is a question, Dr. Carney said; there are a number of people at the University who do not teach because they are funded by grants; if there is more teaching by P&A staff, that is usually because the faculty are paying themselves from grants.

Committee members discussed further the prefixes that can be used with WOS appointments and the options available to colleges. They do have the choice of "adjunct research professor" (for example), but Ms. Wilhelmson said that in some cases an appointment does not feel like an adjunct appointment, so the unit may wish to use Research Professor without pairing the research prefix with the adjunct prefix – Adjunct Research Associate Professor. This then is a contract faculty appointment that under these guidelines would be WOS. Someone could be 100% time at the University but paid by another organization, Dr. Carney observed.

Professor Sheets said he believed the appointments could be differentiated. Dr. Carrier suggested that colleges could develop their own systems and be consistent within the college. The Research Assistant Professor, for example, is a contract faculty appointment that under these guidelines would be without salary. Once the adjunct prefix is added, the appointment is then classified as an adjunct appointment.

Some of this is related to a subject that she and Ms. Wilhelmson have discussed, Dr. Carney said, regarding "teaching" professors. They have also been asked about a research track (there is no such track now). The Research Assistant Professor, for example, is a contract faculty appointment that under these guidelines would be without salary. Once the adjunct prefix is added, the appointment is then classified as an adjunct appointment. Moreover, some P&A staff might wish to change to a teaching professor position, which would make it look like the University had more contract faculty. Ms. Wilhelmson said they would look at the issues Dr. Carney raised.

Ms. Wilhelmson also provided an outline for college- or department-specific plans; she said that colleges and departments are strongly encouraged to create a plan specific to their unit and the management of individuals whose primary relationship with the University is a "without salary" appointment.

Expectations for Service:

- a) Defined acceptable level of service to warrant a "without" salary appointment
- b) Compliance with established University and collegiate/departmental parameters and University WOS Guidelines or collegiate policy

Appointment Criteria --- minimum appointment threshold:

- a) Credentials/licensure
- b) Competencies
- c) Rank-specific criteria, if used

Appointment Parameters:

- a) Use of permissible job codes/titles and appointment types consistent with the reason for the appointment.
- b) Duration of appointment typically one year, but no longer than three.

Communication with Appointed Individual, Letter Outlining:

- 1) Specific appointment detail (official University classification, working title (optional), term (length) of appointment)
- 2) Compliance (appropriate use of title, etc.)
- 3) Responsibilities
- 4) Performance expectations
- 5) Privileges/Benefits that accompany a WOS appointment (e.g., e-mail/internet account, U Card, various discounts)

Performance Review Strategy:

- a) For adjunct, teaching specialist or lecturer appointments, follow process outlined in the Administrative Policy: Academic Appointments with Teaching Functions.
- b) For other appointments, establish a process to ensure the quality of those holding these appointments.

Promotion Criteria:

- a) If promotions are permitted, criteria for moving from one faculty rank to another are needed, and for the teaching specialist and lecturer series, establish appropriate criteria for promotion, as well.

Recognition for Service:

- Certificate
- Other --- non-monetary

Ms. Wilhelmson also provided guidelines on the benefits that accompany a WOS appointment.

Several benefits are available to "Without Salary" (WOS) faculty or academic professionals appointed from outside the University. The U-card is the key to accessing these benefits. Arrangements to obtain this photo identification card should be made as soon as possible. See the instructions listed under "U Card."

The benefits include an email/Internet account, access to University Libraries, ability to purchase computer at discounted rates, access to University athletic facilities and tickets at faculty/staff rates, Campus Club membership, Weisman membership, and reduced rates at certain University Theater performances. Coordinate campuses may have other or additional benefits, which will be added to the document.

Ms. Wilhelmson also provided a list of academic job codes and titles that may be used for WOS appointments.

Instruction

- 9401A Adjunct Professor
- 9402A Adjunct Associate Professor
- 9403A Adjunct Assistant Professor
- 9404A Adjunct Instructor

9401AT Adjunct Teaching Professor
9402AT Adjunct Teaching Associate Professor
9403AT Adjunct Teaching Assistant Professor
9404AT Adjunct Teaching Instructor

9401T Teaching Professor
9402T Teaching Associate Professor
9403T Teaching Assistant Professor
9404T Teaching Instructor

9753 Senior Teaching Specialist
9754 Teaching Specialist
9770 Senior Lecturer
9753 Lecturer
9756 Clinical Preceptor

Research

9401AR Adjunct Research Professor
9402AR Adjunct Research Associate Professor
9403AR Adjunct Research Assistant Professor
9404AR Adjunct Research Instructor

9401R Research Professor
9402R Research Associate Professor
9403R Research Assistant Professor
9404R Research Instructor

9755 Research Specialist

Other Service

Reason 1

9401A Adjunct Professor
9402A Adjunct Associate Professor
9403A Adjunct Assistant Professor
9404A Adjunct Instructor
9401A Adjunct Professor

9401AS Adjunct Service/Outreach Professor
9402AS Adjunct Service/Outreach Associate Professor
9403AS Adjunct Service/Outreach Assistant Professor
9404AS Adjunct Service/Outreach Instructor

Reason 2

9996 Grad School Committee Member

All the faculty positions have a prefix and they are official University titles, Ms. Wilhelmson said. Dr. Carney noted, apropos the 9401T titles, that they do not include the adjunct title. There may be people with salary who have these appointments as well. The appointment does not indicate whether one is salaried. Is there a need to, Ms. Wilhelmson asked? The term "adjunct" has its own definition, an appointment of 20-40% time. It could be that there are people with appointments greater than that time, even WOS appointees.

Professor Bornstein noted that one example was a retiree from a corporation who has a WOS appointment to teach. Could that corporation be the University? Dr. Carney said that those would be emeriti/ae professors, who would use that title. They have to use that title when they volunteer to teach, whether or not for pay.

Ms. Wilhelmson said she would consult further on these guidelines, make changes, and they would be done. They would take effect the day they go up on the Human Resources website (or they would have an effective date noted). The window for responses is through the end of February; emails should go to her.

Professor Hanna asked what the difference is between a guideline and a policy. The policy carries more weight, Ms. Wilhelmson said, and these guidelines don't fit the definition of an administrative policy because they are not broad enough. The AHC has adopted their guidelines as "operational policy." Dr. Carrier said they prefer to ease into these guidelines and try them for a year or two, and then decide if they would like a more formal policy.

It was agreed that the guidelines would be brought back at a future meeting for further discussion of any changes that might be made. Professor Sheets thanked Ms. Wilhelmson for presenting the guidelines.

2. Resolution on Recognition for Staff Participation in Governance

Professor Sheets welcomed Ms. Waldemar from the Council of Academic Professionals and Administrators (CAPA) to present a resolution that would be proposed for adoption by the Faculty Senate; it urges supervisors and faculty members who have responsibility for P&A staff to give credit to P&A and civil service staff for participation in governance when conducting annual reviews. Professor Sheets noted that the Committee has seen the resolution before; it is being brought back with changes following the earlier discussion.

Ms. Waldemar said that there were two questions: Does the resolution include only P&A staff? Does it exclude staff who are paid 100% on grant funds? If a unit does not provide non-sponsored funds to pay a small portion of the salary of someone paid on grant funds, the person is automatically excluded from participating in governance. The resolution has been revised to respond to both of those questions.

Professor Sheets said he endorsed the goal of the resolution but providing funds for staff paid from external research funds is a budget issue, one that could be difficult for many units. He said he thought the goal of encouraging participation in governance and service activities is important, but linking it to budget issues may be impractical. Other Committee members agreed.

Professor Hanna suggested adding language in the Comment about how staff paid 100% on research funds might participate and also suggested there be language noting that some units have discouraged participation in governance, a practice this resolution is intended to address (by asking that it cease). Mr. Croce observed that the President has encouraged participation and written a letter to the academic community saying so. It is also University policy that University service is to be part of evaluations of P&A and civil service staff, so there is support from central administration and the deans. The problem is supervisors. This resolution is for the Faculty Senate so that the faculty say participation is important and should be included in annual reviews. The resolution could encourage departments to support staff on research funding to participate, but it can't compel departments to spend money they don't have. CAPA has had problems getting representatives from some parts of the University. For him and others participation is not a problem and their units praise them for it, but there are units where participation is a problem.

Ms. Stenhjem said that as past chair of CAPA she strongly supported the resolution. The point about the financial issue should be made in the comment or in a separate resolution.

Most would have no difficulty supporting the main thrust of the resolution, Professor Sheets said; it is the budgetary issues that could be difficult. It was agreed that Ms. Waldemar would work with the Committee staff to redraft the resolution in light of the discussion.

Dr. Carrier suggested that Associate Vice President Webb be contacted about the applicability of the "de minimis" rule applied to staff on grants and participation in governance. Ms. Waldemar said she would pursue the question. Ms. Stenhjem said she was in a fully-grant-funded position and served as chair of CAPA; much of it boils down to attitude in the unit. Her superiors see participation as a benefit to the unit and enhancing the job performance of the employee. Much of the time this is not about money, it is about attitude.

If that is so, the resolution will help address the problem of units using sponsored funding as a pretext for not allowing participation in governance, Professor Sheets commented.

Ms. Stenhjem thanked the Committee for being supportive.

Professor Sheets adjourned the meeting at 3:45.

-- Gary Engstrand