

UNIVERSITY OF MINNESOTA

University Senate Consultative Committee
420 Borlaug Hall (c/o Agronomy)
1991 Buford Circle
St. Paul, Minnesota 55108
Telephone (612)625-7719

FACULTY CONSULTATIVE COMMITTEE

May 1, 1986
608 Campus Club
12:00 - 4:00

(NOTE: From 1:00-2:00 there will be a meeting of
the full Senate Consultative Committee.)

AGENDA

Approx. time

- 12:00 1. Minutes of April 17 (enclosed).
2. Reports:
 - A. CtF Special Committee on Minority Programs;
 - B. CtF Coordinating Committee;
 - C. From April Regents' meetings;
 - D. FCC Chair.
- 12:30 3. Task Force on professional/academic classification.
(NOTE: FCC members please see enclosed memo.)
- 12:45 4. Open time.
- (1:00) (Meeting of the Senate Consultative Committee. See
separate agenda.)
- 2:00 5. Interdisciplinary research and graduate programs.
Guest: Dean Robert Holt.
- 3:00 6. Task Force to develop faculty compensation plan for
the 1990's: FCC follow-up to SCFA initiative and SFC
request. Guest: Professor Phil Shively of SCFA.
- 3:20 7. Developing the discussion topic for June 12 meeting
with Regents.
- 3:40 8. Other old or new business, as time permits.
- 4:00 9. Adjourn.

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MINUTES
FACULTY CONSULTATIVE COMMITTEE
May 1, 1986
12:00-1:05 and 1:55-3:35
608 Campus Club

Members present: Ellen Berscheid, Richard Goldstein, David Hamilton, Joseph Latterell, Cleon Melsa, Jack Merwin, Paul Murphy, Irwin Rubenstein, Frank Sorauf, Deon Stuthman (Chair).

Guests: Members-elect Charles Campbell and Phillips Shively; Dean Robert Holt, Geoffrey Maruyama (SCFA), Martha Russell (Ctr. for Microelectronic & Information Science).

Professor Stuthman welcomed incoming members Professors Campbell and Shively.

1. Minutes of the April 17 meeting; one correction had been mailed to members and no further corrections were offered. Members were asked to call in any corrections by Monday, May 5.

2. Reports.

A. Special Committee on Minority Programs in Support of Commitment to Focus. Professor Merwin reported that three subcommittees are addressing, respectively, all-University programs, collegiate unit programs, and the faculty. The committee somewhat belatedly submitted comments on the Lower Division Committee's interim report, and is currently looking at the preparation requirement report and commending that committee for its sensitivity to the access question.

B. Coordinating Committee on C₊F. Professor Berscheid reported that the committee had just considered Pharmacy's excellent proposal.

C. Coordinating Lower Division. Professor Stuthman reported that the Hanson Committee's final report is expected on May 5 or 6. Consultative Committee endorsement is far from certain.

FCC members remarked that they had found very stimulating the suggestions contained in the Coordinating Committee's response to the Lower Division Committee. Professor Berscheid pointed out that the response addresses directly the issue of implementation and of deans' control over their budgets. She had been amazed by the high degree of unanimity on this response within the Coordinating Committee, which includes undergraduate deans. Present signals are that the Lower Division Committee has rejected these suggestions.

D. April Regents' meetings. Professor Stuthman abbreviated this report to a mention of the majority Regental support for the proposed preparation requirements, which will be voted on in the May meetings.

E. FCC Chair. Regarding the Revised University Grievance Procedures, Professor Stuthman reported that Professor Fred Morrison has graciously agreed to read the revised procedures to detect any conflicts with the new tenure code.

Nominations and appointments to Senate and Assembly committees. Before submitting names to the Senate and Assembly, FCC's and SCC's nominations subcommittees will meet jointly to discuss who should chair the committees.

Status of search for academic vice president and provost: The search committee chair has reported that there is presently a slightly extended short list, with whose members the search committee will interact intensively. They intend to forward their short list to the president on or about May 15. President Keller has accepted the SCC's proposal for two sets of governance interviews, one to include FCC and the chairs of several Senate committees, the other to include the SSCC plus up to four other student body leaders.

3. Naming a task force on the professional/academic employment classification.

(A memo had been sent in advance to FCC members describing the Faculty Senate's 1984 resolution to undertake in 1986 an evaluation of the classification.) The chair proposed that FCC identify Senate committees from which members of this task force might appropriately be drawn.

The FCC agreed with Professor Berscheid's recommendation that, prior to naming the committee, FCC learn the proportion of women in the P/A classification, and with Professor Campbell's suggestion that the class of people most affected be adequately represented.

FCC's nominating subcommittee will coordinate the creation of this task force. One step will be to invite several Senate committees to suggest one of their members who might serve.

4. Continuing issues: Distribution of Indirect Cost Recovery Fund (ICRF).

Professor Stuthman noted that the Educational Policy and Research Committees are jointly submitting to the May 15 Senate meeting a policy motion on ICRF distribution (up to 50% available ICR's to be retained centrally, the other 50% to be returned to colleges in proportion to their generation of the funds; within the colleges the sum to be divided up with 1/3 each for the college, department, and faculty, proportionately, except that if the 1/3 was less than \$100 the faculty share would revert to the department; the faculty of a college could elect a different division for internal distribution).

Professor Stuthman proposed to FCC an amendment which would allow that, under extraordinary budgetary circumstances, and with the approval of the Senate Finance Committee, central administration could retain up to 2/3 of

the available ICR's. It is Professor Stuthman's hope that all the interested parties--central administration and the several Senate committees--would agree to the new motion if it included such an amendment. Central administration and the Regents are very wary of a basic central retention of only 50%.

Professor Campbell commented that the capacity to enable large expenditures must be ensured, and that if the basic distribution changed, the formula for matches (presently typically 50% central, 25% college, 25% department) would have to change. He said the present distribution policy does not remove faculty members from access to the ICR money; he added that it would be helpful to see how the money has been used.

Professor Goldstein said that the concept of returning more of the money to the principal investigator is one which is growing in favor nationally.

Professor Stuthman told FCC that ample time should be allowed in the May 7 joint meeting of the Finance and Consultative Committees with the president and the academic vice president to discuss this question.

The FCC meeting then recessed from 1:05 until 1:55 for an SCC meeting. At 1:55 the Faculty Consultative Committee reconvened and continued on its agenda. (The SCC minutes are recorded separately.)

5. Interdisciplinary Graduate and Research Programs. Guest: Dean Robert Holt of the Graduate School.

Professor Stuthman welcomed Dean Holt, whom the committee had invited to join it to talk about the establishment and maintenance of interdisciplinary research and graduate programs. He called attention to the fact that Dr. Holt, in addition to holding administrative responsibilities, is a faculty member with a longstanding interest in interdisciplinary research.

Dr. Holt structured his opening comments around questions FCC has been using to guide its discussions in this area.

-Does the University need to be able to support the establishment of interdisciplinary programs and, if so, why?

Dr. Holt answered "yes" but stressed that the term means "between disciplines" and that disciplines and departments are not synonymous. He cited Biochemistry as the prototype of the really successful interdisciplinary program; it exemplifies a relationship in which the techniques of one discipline are used to solve a problem in another discipline, which solution then feeds back into the first. The social sciences have very different structures from the physical sciences. While Chemistry, for instance, is "micro" to Biology, Psychology is not micro to Sociology.

He cited as a prime example of multi-disciplinary projects the Agricultural Experiment stations, calling their successes enormous. Early on a group of people developed the research design; people paid attention to the relevant multi-disciplinary methodology. He referred historically to celestial mechanics and political economy as examples of joined fields.

-How does the University choose which programs to establish and fund, and how does it decide to get rid of a program?

Typically the University should fund programs on the frontier and those which emerge from a great deal of faculty initiative. However, identifying which to support and fund is less successful than one would wish. The 'U' has not done very well in attracting outside money, and there have probably been some problems in deciding which projects to undertake. It is significant that the University's proposal for a supercomputer grant was not successful even though the University had the nation's first supercomputer. As an IT proposal it was a good one; however, other colleges, such as CBS, which might have been included, were not, and the work of the then-prime user, an economist, was barely referred to. We have also not done well regarding multi-disciplinary area centers' financing from the federal government.

Generally, it must be made fairly easy to start a program and fairly easy to let one expire. Professor Goldstein said the venture capital has to come from within the University before it comes from outside, and Dr. Holt said he agreed.

- How should such programs be organized and funded? What should their relationships be to graduate programs?

There is a genuine organizational problem when a program has faculty from a dozen departments in five colleges, as does Neuroscience. There have to be ways to get money from the established departments to the new programs.

- What are the barriers to the establishment of interdisciplinary programs?

The prominent barriers are the absence of incentives and a cumbersome mechanism.

- Is there a university in the U.S. which does all this well and to which we might look as a model?

There are relatively successful examples of several different models. The University of Michigan has many independent research institutes and substantial outside funding drawn in by a heavily entrepreneurial faculty. The University of Chicago organizes its inter- or multi-disciplinary programs through its committee structures. The University of Illinois does it through the administrative structure of its vice president for research.

Professor Hamilton commented that Michigan's research institutes were started largely with an infusion of money, and had a clear end point. Dr. Holt added that participants kept all their ICR's and that failure was allowed for. Professor Shively commented that Michigan's institutes exact a cost from the University's core programs.

Professor Berscheid saw this University's size as a barrier; interaction requires physical proximity and this faculty is dispersed to both sides of a river and between campuses in adjacent cities. However, Dr. Holt said serious underfunding rather than size is the problem. For one thing, there has to be redundant space so that faculty can work in two places.

Professor Sorauf commented that there is a substantial problem in sifting out what is good interdisciplinary work, and genuinely on the frontier, from what is not. Dr. Holt agreed, adding that much of what is proposed as new is merely faddish. However, he said he did not think the quality control issue much different from what it is for the departments of the University. Quality control is assured because research projects will typically depend 80% upon outside funding, whose system of peer review is the control for quality.

Professors Merwin and Berscheid suggested that a disincentive to participation in interdisciplinary work at the frontier may be the stringency of departmental budgets coupled with the system of determining promotion, tenure, and salaries. As departments get poorer and poorer, the decision-makers scrutinize more sharply the question of whether a person's work is in the discipline proper and how much it helps the department cover its basic graduate and undergraduate responsibilities. Dr. Holt commented again that that is a problem signifying serious underfunding.

Professor Campbell observed that the game has changed quite a bit for us since the University moved from a period of rapid growth to steady-state. He asked how one decides what to do away with in order to support what is worth adding. Dr. Holt said he agreed the question of some 100% cuts had to be faced.

Professor Rubenstein encouraged using the concept of the incubation period with its question of whether or not something would emerge. Professor Russell recommended that if an incubation period succeeds, the program should be allowed to retain some of the benefits it has generated. Professor Goldstein said that after an initial start-up, which might be supported largely by outside funding, there has to be more central funding and a lesser self-injurious contribution from the departments. Dr. Holt cautioned that a different central structure for research would be necessary first to assure efficient use of more central funding. Current arrangements do not facilitate some important interactions.

Dr. Holt identified the new M.D.-Ph.D. program as a major start-up. The University determined, on the basis of outside reviews, that offering the program was absolutely essential to attracting outstanding students. Deans David Brown and Robert Holt have provided three years of local funding and told the program participants that beyond that the program has to win out in the national competition for grants.

Dr. Holt noted that limiting SEE budgeting to the collegiate and departmental structure has sometimes resulted in crushing successful and resourceful academic programs outside that structure. Central research and shops supports are terribly important to interdisciplinary programs, and there is room for improvement in the way the University manages those, he added.

Professors Rubenstein and Hamilton bemoaned the University's critical delays in establishing programs in the major biological fields of human genetics, molecular biology, cell biology, and neuroscience. Dr. Holt said it is important for the University to have a good degree program in these areas.

Asked what the University can do to improve matters, Dr. Holt recommended two specific changes: first, while protecting faculty rights, some departments could be abolished and the faculty acquired by other departments; second, the University needs a centralized office where the same group of people would make decisions on all funding for research activity. At present, decisions and trade-offs made in separate central offices result in some avoidable inefficiency.

The FCC expressed its thanks to Dean Holt for the good exchange.

6. Task force to design a faculty development plan.

Professor Shively told the FCC of the Faculty Affairs Committee's concern that the University begin preparations for a strategy to succeed the current Regents' policy on restoring faculty purchasing power. Goals would become University goals only after being approved by the Regents.

SCFA would like to see a comprehensive plan which includes other types of support such as sabbatical leaves and graduate assistants in addition to goals for compensation. A small, strong task force should include both faculty and administrators; the strategy should be kept specific and simple and should match our goal of being among the five best public universities. Professor Shively suggested the University aim for salaries which are among the top five for public universities and the top ten universities overall.

Professor Shively's draft of a motion to establish such a task force, together with Professor Maruyama's report from the SCFA subcommittee on salaries, were to be sent to FCC in advance of the May 15 meeting. FCC hopes to submit such a motion to the Faculty Senate on June 5.

Professors Shively and Maruyama reported that SCFA hopes the ideas which will later be incorporated into new goals will be, since they are integral to Commitment to Focus, incorporated into the 1987-89 biennial request.

7. Management of faculty retirement funds.

Professor Goldstein reported that SCFA's subcommittee on retirement funds would probably bring a motion concerning Mills I to the June 5 Faculty Senate meeting. The subcommittee recently learned that Minnesota Mutual has had a period of over a year of serious mismanagement.

Professor Campbell said that there may be a need for the Faculty Consultative Committee to discuss the question of who is responsible for monitoring the management of the faculty's retirement funds. He raised the question of why the poor performance was not noticed or, if it was noticed, not reported to the faculty. It appears necessary to clarify the degree to which the faculty are to be involved in monitoring: whether they are to be consulted or directly involved. Vice President Lilly has written the Faculty Affairs Committee to say that the faculty should be responsible for monitoring the management of the funds.

8. June 12 FCC lunch meeting with the Regents.

FCC would like to introduce the new FCC members to the Regents on that occasion.

Members were in agreement that Commitment to Focus should be the subject of the discussions. Participants will note the decisions that will have already been taken, including those on General College and on Increased and Unified Preparation Requirements. It was suggested that FCC might open remarks with a statement on elements in C_TF the FCC members regard as particularly important, and why, and seek the Regents' comments. FCC, in turn, could invite the Regents to use FCC as a sounding board.

The meeting was adjourned at 3:35 p.m.

Respectfully submitted,

Meredith Poppele, Executive Assistant



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April 23, 1986

Dr. Robert Holt
Dean, The Graduate School
321 Johnston Hall

Dear Bob:

I'm very glad you will be able to join the Faculty Consultative Committee from 2:00 to 3:00 in its May 1 meeting to talk with us about the establishment and maintenance of interdisciplinary research and graduate programs. There are obvious reasons why the FCC (and the Senate Finance Committee as well) is interested in this question, e.g., that interdisciplinary research will enhance the quality of the University by retaining and attracting first-class faculty members and attracting high caliber graduate students. While the existing mechanisms for initiating and continuing interdisciplinary programs may be adequate, some people involved are apprehensive that dependence on the charity of those departments from which the faculty are drawn is not a sufficiently reliable base of support.

The questions we are using to guide our approach to this topic are these:

- Does the University need to be able to support the establishment of interdisciplinary programs? If so, why?
- How does the University choose which programs to establish and fund? How does it decide to get rid of a program?
- How should such programs be organized and funded? What should their relationships be to graduate programs?
- What are the barriers to their establishment?
- How is the faculty membership to be chosen? How culled?
- Is there a university in the U.S. which does all this well and to which we might look as a model?

Robert Holt
April 23, 1986
page two

Enclosed are portions of minutes from two recent FCC meetings at which we began to consider this topic. We look forward to deepening our exploration with you as our guide.

Cordially,


Deon D. Stuthman, Chair,
Faculty Consultative Committee

DDS:mbp

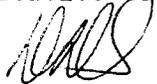
Encl. Minutes (2)
Agenda

c: Irwin Rubenstein, vice chair, FCC

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April 24, 1986

To: Faculty Consultative Committee
From: Deon Stuthman 
Subject: Task Force to evaluate the professional academic classification
(Item 3 on our May 1 agenda)

At the Faculty Senate meeting of June 7, 1984, which was essentially the concluding meeting to consider the proposed tenure regulations revisions, senators approved a motion to adopt a resolution with two directives, the second of which we should now attend to. The Faculty Senate directed:

"The establishment in 1986 of a task force to evaluate the professional/academic classification with special attention to the following issues:

- a. Any consequences for academic freedom for any segment of the professional/academic classification.
- b. Effects on caliber of those hired under the professional/academic classification (including but not limited to librarians and those in cooperative extension) as well as those in faculty status in regular departments as a consequence of the new classification schemes.
- c. Fairness and appropriateness of standards of evaluation developed for those covered by the professional/academic classification and new tenure code for such individuals.
- d. Appropriateness of coverage under the professional/academic classification of various groups and of faculty groupings as well."

I'd like to propose for your consideration that we name a task force of 5 to 7 members, and that they be drawn from some or all of the following bodies: Academic Staff Advisory Committee; Senate Committees on Academic Freedom and Responsibility Appeals, Tenure, Judicial, Library, Extension and Community Programs, Faculty Affairs. Would you regard it as useful to include someone from the administration, either as a member or for staff support?

:mp

c: Sam Krislov, chair, Tenure Committee
Greg Fox, chair, Academic Staff Advisory Committee



UNIVERSITY OF MINNESOTA

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April 28, 1986

TO: Vice Presidents, Chancellors, Deans, Directors and
Department Heads

FROM: V. Rama Murthy *V. Rama Murthy*
Acting Vice President for Academic Affairs and Provost

SUBJECT: Procedures for Distribution of Faculty Salary Increases

The Legislature has provided funds for a basic faculty salary increase of 5.5% for all units. Because of the University's share of unallotment and to a lesser extent the internal reallocation to pay faculty mental health benefits, I propose that the amount allocated across-the-board to the colleges be 5% of its faculty salary base. Once again, the recommendation will be made that all salary increases for 1986-87 will be merit based with no across-the-board cost of living component. With an average salary increase of 5% in each unit, merit based adjustments likely will mean that the median increase in a unit will be about 3.5%. I recommend, therefore, that average and satisfactory performance be rewarded by salary increases of about 3.5%. You are urged to keep written records of justification of all salary adjustments of less than 2% and more than 10%.

An additional amount of \$450,000 will be allocated to some selected academic units to deal with general anticipatory retention of outstanding and highly meritorious faculty. In order to qualify for a portion of these supplemental funds, a faculty member must receive no less than a 7.5% salary increase from the unit's regular salary funds before these special funds are used. Please submit your salary recommendations for review by the appropriate Vice President by May 16, 1986 for small colleges and other administrative units, and by May 23, 1986 for other colleges.

We would appreciate receiving a report from the Colleges on the gender and minority status, if any, of the recipients of anticipatory retention.

VRM/rar

xc: Kenneth H. Keller, President
Jack C. Merwin, Chair, Department of Educational Psychology and Chair,
Senate Finance Committee
✓ Deon D. Stuthman, Professor, Department of Agronomy and Plant Genetics
and Chair, Senate Consultative Committee
C. Arthur Williams, Professor, School of Management, and Chair, Senate
Committee on Faculty Affairs Salaries Subcommittee

AMENDMENT - Revised form

(INDIRECT COST RECOVERY FUND)

MOTION:

To amend the motion submitted by the Educational Policy Committee and the Research Committee by adding the following contextual wording before the first sentence:

"The University Senate recommends that the Board of Regents adopt the following policy regarding Indirect Cost Recovery Funds:"

and by inserting the following passage between the first and second sentences of the motion as submitted:

"Should budgetary circumstances warrant consideration of less than 50% distribution to the colleges, consultation with the Senate Finance Committee is required. In no case, however, will the distribution to the colleges be less than 1/3."

Jack C. Merwin, Chair,
Finance Committee
Deon D. Stuthman, Chair,
Consultative Committee

P R O P O S E D M O T I O N *-later revised*

CONSULTATIVE COMMITTEE

(Action)

MOTION:

To amend the motion on distribution of Indirect Cost Recovery Funds by inserting the following between the first and second sentences of the above motion:

Should extraordinary budgetary circumstances warrant consideration of less than 50% distribution to the colleges, the consent of the Senate Finance Committee is required. In now case however will the distribution to the colleges be less than 1/3.

Deon D. Stuthman, Chair,
Consultative Committee

INDIRECT COST RECOVERY FUND DISTRIBUTION

EDUCATIONAL POLICY COMMITTEE

COMMITTEE ON RESEARCH

(Action)

MOTION:

That Indirect Cost Recovery Funds retained by the University should be distributed as follows: 50% should be retained by central administration to support research activities, to be allocated by the graduate school and by central administration, and the remaining 50% should be distributed on a proportionate basis to the colleges that generated these funds. Colleges should then allocate their share of these funds as follows: 1/3 retained by the college for centralized allocation to support research activities, 1/3 allocated on a proportionate basis to the departments that generated the funds, and 1/3 to the faculty who generated the funds, unless the proportionate share amounts to less than \$100, in which case it should revert to the department. In colleges where the faculty so votes, however, the collegiate distribution may differ from that prescribed by this formula.

William H. Hanson, Chair,
Educational Policy Committee
Paul G. Gassman, Chair
Committee on Research

Considerable support exists among the faculty for the implementation of a more well-defined process for the distribution of those indirect cost recovery funds which exist. In permitting the University to retain a portion of the funds resulting from indirect cost, the legislature recognized the need for the use of these funds to support ongoing research and to stimulate new research. Those faculty who have been heavily involved in bringing these funds to the University see this as: (a) a method of helping Central Administration bear a portion of the cost necessary to convert the University of Minnesota into a research university of the first rank; (b) a method of helping support the financing of research at both the collegiate and departmental levels; and (c) a method of both supporting and encouraging those faculty who were responsible for bringing these funds to Minnesota.

Lengthy discussion, over a two-year period, resulted in a consensus that an equitable distribution would be: (a) no more than 50% to be retained by Central Administration; (b) of the remaining funds 33 1/3% should be distributed to each of the following: 1. the generating colleges, 2. the generating departments, and 3. the generating principal investigators (each in proportion to their contribution).

Paul G. Gassman
Chair, Senate Research Committee
April 30, 1986