

SCC MEETING
April 5, 1979
625 Campus Club, 1:00-3:30

AGENDA

1. Approval of the Minutes, March 1 and March 6.
2. Planning Council
 - Draft material from Vice President Stein
 - Draft material from Professor Morrison
3. Calendar for Senate Meetings, 1979-80
4. Chairperson's Report
 - Salary Distribution 1979-80
 - a. President Magrath's Memo, 2/26/79
 - b. Professor Chipman's Memo, 3/26/79
 - c. UMEA Memo, 3/26/79
 - d. UMDEA-A Plan to Restructure University Salary Allocation, 3/27/79
 - e. Update-Social Concerns Committee
5. Old Business
6. New Business



UNIVERSITY OF MINNESOTA
TWIN CITIES

All University Senate Consultative Committee
554 Business Administration
271 19th Avenue S.
Minneapolis, Mn. 55455

Telephone (612) 373-3226

MINUTES OF THE SENATE CONSULTATIVE COMMITTEE

Meeting of April 5, 1979

APPROVED 4/19/79

The All University Senate Consultative Committee convened its fourteenth meeting of the academic year 1978-79 in Room 625 of the Campus Club on April 5, 1979.

Members present included Professor Wendell Glick, Mr. Steve Carlson, Mr. Pat Eckman, Mr. Jim Gelbmann, Mr. Rick Kottke, Professor Ken Keller, Professor Fred Morrison, Professor Betty Robinett, Ms. Liz Sands, and Professor Mahmood Zaidi.

The Meeting was called to order by Professor Glick at 1:00.

1. Minutes for March 1 and March 6 were approved. March 23rd minutes will be presented for approval at the April 19th meeting.
1. Minutes for March 1 and March 6 were approved.
2. The material dealing with the Planning Council and Professor Morrison's letter concerning planning were discussed. Professor Morrison indicated that planning should be carried out on a broad basis in order to avoid problems such as those met in reallocation. The absence of planning forces a narrow approach because there is little integration of the academic decision-making process. Moreover, Professor Morrison suggested that the SCC response should stress that the timetable be flexible rather than solidified this early. Only with a flexible timetable will collegiate units and departments have sufficient time to consider the planning process. This point was supported by Professor Robinett who also expressed her concern over the mechanistic tone of the document.

The SCC, after considerable discussion, agreed to the following points and directed the Chairman to send them to Vice President Stein.

1. We concur with the President's statement of March 20 that institutional planning should follow, and develop out of, academic needs and academic considerations.
2. The Committee views the time frame for the planning process, however, with some concern. Full consultation among departments, collegiate councils, and deans is essential for understanding and acceptance of the process.

3. We believe with the President that academic departments are the heart of the University. It is imperative, therefore, that collegiate deans make departments fully aware of the process and provide them with all planning materials.

4. The planning design, we believe, should not be restricted to the 1981-83 biennium only, as the President's diagram attached to his March 20 draft seems to suggest, but should extend we feel to at least two biennia.

5. Because planning is fundamentally academic, the process should flow through line academic officers, from department heads through deans to the Vice President for Academic Affairs and thence to the President. Since success in planning will require strong presidential commitment, SCC agrees with Professor Browne (see his pt. 4) that the President should meet with each collegiate dean individually, along with the Academic Vice President.

6. SCC believes that quantification and measurement have their limits. The Planning Council draft emphasizes numerical measurement strongly. While SCC supports disinterested evaluation, it hopes that planning will not become exclusively mechanistic.

3. The SCC approved the proposed Senate Calendar for meetings, 1979-80 with one change--the meeting to be held on April 3 should be moved to April 17. This will be communicated to Marilee Ward.

4. The Chairman asked that members consider the material distributed dealing with the Chairman's report and indicate whether any of these items should be included on the agenda.

Professor Robinett stressed that the full SCC should have an opportunity to discuss the report of the SCC's Subcommittee on the Watson Committee. The Chairman agreed and said that the next SCC meeting will be on April 19 in Waseca and that the major topic for discussion will be the Subcommittee report on the Select Committee.

5. Mr. Jim Gelbmann replaced Doug Watson as the Morris student representative on SCC.

6. Old Business-- none

7. New Business--none

The meeting was adjourned at 3:00 p.m.



UNIVERSITY OF MINNESOTA

Office of the Vice President
for Administration and Planning
200 Morrill Hall
100 Church Street S.E.
Minneapolis, Minnesota 55455

March 23, 1979

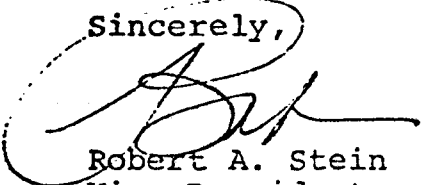
Professor Don Browne, Chair SCEP
Professor Paul Grambsch, Chair SCRAP
Professor Fred Morrison, Chair UCBRBR
Professor Mahmood Zaidi, Chair SCC

Dear Don, Paul, Fred and Mahmood:

Enclosed are copies of drafts of the materials which we propose to circulate to the colleges. Please review them and record (right on the drafts, if it is convenient) any comments which you would like to convey to the Planning Council. I hope to have your reactions in writing no later than the 11th of April.

As you know, we have agreed to meet periodically for the purpose of an exchange of information on the development of a long range planning capability for the University. My office will be in contact with you soon to set up a meeting at a mutually convenient time.

Sincerely,



Robert A. Stein
Vice President
Administration and Planning

RAS/cal

cc: President C. Peter Magrath
University Vice Presidents



UNIVERSITY OF MINNESOTA

Office of the Vice President
for Administration and Planning
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March 23, 1979

MEMORANDUM

TO: Planning Council Members

FROM: Robert A. Stein *RA*

RE: Rescheduling of March 28th Planning Council Meeting to April 4th
Reminder about the March 30th Planning Seminar
Review of Collegiate Planning Materials

I enclose for your review a tentative calendar of planning activities as well as a draft of the collegiate materials. I urge you to look over these materials with the utmost care. Your reactions are most important as we move forward to develop statements of collegiate and institution-wide mission, goals, and objectives.

Instructions for Review of Collegiate Planning Materials
for April 4th Planning Council Meeting

In order to provide more time for review, the Planning Council meeting will be rescheduled for Wednesday, April 4th from 12:00-2:00 in the Regents Room

I hope that each Planning Council member will try to bring to the April 4th meeting written comments or suggestions about the materials. You may add your comments right onto the drafts themselves. (The materials have been double spaced to expedite this process.)

Because lunch will be ordered for you on April 4th, will you please notify Cathy Lindholm at 376-1420 if you will not be attending that meeting. In the event you are precluded from being present, I hope you will try to arrange to forward your written comments to my office.

Planning Council Members
March 23, 1979
Page Two

In addition to the collegiate planning materials you will find enclosed a copy of the tentative time table for the critique and submission of materials. Please review this proposed time table, and we will discuss this further at our meeting on April 4th. Also I enclose a copy of the March 14 Planning Council minutes.

March 30th Planning Seminar--A Reminder

On Friday, March 30th Ron Brady, Vice President for Administration at the University of Illinois will be our seminar speaker. Vice President Brady will address planning as it might relate to external constituencies. Please let Cathy Lindholm know which session you will attend! (Vice President Brady will not be sending reading materials in advance of his presentation!) As before, the morning session will begin at 8:30 and run to 11:30; the afternoon session will run from 1:30-4:30.

cc: President C. Peter Magrath
University Vice Presidents

Enclosures: March 20, 1979-proposed calendar for submission
of Collegiate Planning Materials
March 22, 1979-Collegiate Planning Materials
and four attachments.
March 14, 1979-Minutes Planning Council Meeting

RAS/cal

The Planning Council

Proposed Schedule for Submission of College Planning Materials March 21-September 25, 1979

- March 21st Materials mailed to Planning Council members, central officers, and chairs SCEP, SCRAP, UCBRBR, and SCC for review and comments.
- March 28th Planning Council Meeting 11:45-2:00
The Regents Room--Comments due in writing on Draft materials.
- April 11th Written comments due from other groups.
- April 18th Planning Council meeting. A final review and approval will be made. As soon as possible thereafter, materials mailed to colleges.
- June 30th Materials due back from the colleges.
- September 25th Materials returned to the colleges.

Minutes
Planning Council
March 14, 1979

Persons Present: Paul Grambsch, Edith Leyasmeyer, Norine Odland, Karen Hawley, Larry Christiansen, Larry Selin, Fred Morrison, Bob Lambert, Dave Preston, Jim Preus, Chet Grygar, Richard Caldecott, Rick Heydinger, Clint Hewitt, Al Linck, Dale Nelson, Bill Weiler, Carl Adams, Dave Berg, Ocheng Jany, Doug Pratt, Bob Collins, Jim Borgestad, Robert A. Stein and Ann Pflaum.

Persons Absent: Stan Kegler, Jeanne Lupton, George Robb, Don Zander, Warren Ibele, Steve Granger, Larry Thompson, Tim Delmont, and Bob Anderson.

Materials Mailed: H-1 Agenda, March 14, 1979
Materials Handed Out: H-2 Revised Agenda for March 14, 1979
H-3 Proposed timetable for Planning Council, March through September, 1979.

Report of Subcommittee #2

Jim Preus reported for Subcommittee #2 noting that it had reviewed the IMGOP materials from a process standpoint. Professor Morrison reviewed his two major concerns about the processes proposed: the timetable seemed much too short and the administrative involvement seemed inappropriately structured. In terms of senior administrative commitment to planning, Professor Morrison believed that the process should allow 36 days of the President's time. Since he did not see the President as willing to commit this kind of time and personal leadership to planning, he viewed proceeding in the enterprise as unwise.

Subcommittee #2 seemed to need supplementary membership due to the fact that several persons had not been able to attend meetings and several others were going to be away for a part of the spring. Dean Caldecott agreed to sit in on some meetings of Subcommittee #2. Other Planning Council members were asked to consider their schedules to see if they could also participate on an occasional basis. Volunteers from within the existing Planning Council were seen as preferable to outsiders since Planning Council members would be knowledgeable about basic issues which were under consideration.

Report of Subcommittee #3

Dave Berg reported that the program budget format was approved in concept by the central officers at their March 11th meeting. He noted that the Planning Council's endorsement of the idea was most helpful in getting the program budget format endorsed by the senior officers. (Senior officer endorsement will allow further exploration of the program budget format with finance officials and others.)

Report of Subcommittee #4

Professor Grambsch reported that Subcommittee #4 had reviewed the information on the data base which had been prepared by Bill Weiller. Professor Grambsch noted that the Evaluation Subcommittee had hoped to include in the data base the number of broadly educational issues. Such issues might include a focus on where undergraduates came from, how they progressed academically, and where they enrolled. In addition, the data base might include a focus on the faculty: Where they got degrees, their professional commitments, and their advanced research. Finally their data base might include a consideration of the University's impact on external environments.

There was considerable discussion about how much data would be desirable and the format in which it should be presented. Dave Berg observed that it is clearly important to have data which will actually be useful in decision making. A really helpful perspective is to separate out-data which is difficult to obtain and which is also of limited use in decision making. Obviously such a discrimination would result in a great saving of time and resources. Jim Preus and Clint Hewitt both observed, that in their view, alot of the information referred to by Subcommittee #4 may, in fact, already be in existence. They both noted that it is a basic institutional problem to make appropriate persons aware of the data that we do have. Edith Leyasmeyer felt that tracking student careers and keeping a record of faculty service to the state would both be important information of considerable interest to legislators as they consider the University's Biennial Request.

Carl Adams asked if the Planning Council would be interested in a report on the data which can be retrieved from the student data base. A show of hands indicated considerable interest in a presentation from Roberta Armstrong from Admissions and Records. Rick Heydinger observed that it is important to make data available in formats whereby it would be easier to use in the planning and decision making process.

Planning Seminars

Clint Hewitt asked whether the seminar presentations would be published. Carl Adams indicated that there has been some thought of this, and that the sessions have been taped, but that there has not been a final decision on publication.

Paul Grambsch indicated that he was impressed with the level of staffing that the Michigan Office of Academic Planning had. Rick Heydinger underlined what he perceived to be the accuracy of Don LeLong's presentation. It was noted that one implied criticism which Don LeLong had of the way the University of Minnesota was proposing to proceed was that the enterprise might include too much. Don LeLong advised against an attempt to get at goals, objectives, and priorities all in one stage of the process. Carl Adams noted, that one could view the Michigan process as having run into trouble because it tried to segment the planning too much. Thus, his perspective on some of Michigan's problems was that people may have felt too remote from the ultimate pay-off of the process.

Jim Clark was interested that Michigan also had seemed to have debated the issue as to whether participation in the planning process should be bottom up or top down. (It should be noted that one difference between the Minnesota approach and the Michigan approach was that in Phase One Michigan involved departmental participation. In retrospect, it appeared that departmental participation was probably unnecessary since it involved the planning staff in much too detailed a level of information.) Jim Clark observed that he felt it was desirable to have an office of Academic Planning such as the one LeLong had worked for in Michigan and was also interested and supportive of the Vice Presidential structure which Michigan has.

Vice President Stein encouraged members of the Planning Council to share thoughts on planning which seemed to have emerged from the Planning Seminars. Professor Morrison summarized two themes which he had heard reiterated in the Seminar Series. Planning is a line function and with senior academic officer involvement required.

Also, organizational structures in which academic values predominate are a clear asset in developing an effective planning process. He noted that he was particularly impressed with the concept of the planning/budgeting conference and noted that in both Michigan and Stanford, senior academic officers appeared to be involved in these conferences.

Involvement of the President in Planning

Vice President Stein saw the Planning Council as advising on the planning process, monitoring it and evaluating it, and he noted that this was not inconsistent with the President having a major involvement in planning. Professor Morrison observed that he simply did not believe the President would become involved extensively in the planning process. Rick Heydinger felt that there was nothing in the proposed activities that would preclude substantial involvement by the President.

Carl Adams observed that Professor Morrison seemed to be prejudging the level of an involvement in which the President would be willing to commit to the process.

Dave Berg noted that there did appear to be one problem with the planning process at Michigan. He noted that although the planning and budgeting function are both handled by the Vice President for Academic Affairs there is, in fact, a discrepancy between the planning process and the decisions that get made. The reason for this seemed to be, not that there was a lack of knowledge of the plan, but rather that the Academic Vice President didn't always chose to follow it. Thus even in the Michigan situation there seemed to be a problem about how to link the plan with the actual decision making process.

Rick Heydinger noted that the part time staff commitment to planning at this institution could lead to a problem in executing an effective long range planning process.

Jim Clark supported the aesthetic appeal of Michigan's use of the phrase "contribution to the contingency fund" rather than the phrase "retrenchment".

Dialogue with the Colleges

Vice President Stein reviewed the proposed timetable for the dialogue with the colleges. He observed that although the Planning Council would be most concerned about process, to some extent, Subcommittee #2 would be making some recommendations about substantive review.

Several persons felt emphatically that the timetable indicated was unrealistic. Both Professor Morrison and Edith Leyasmeyer felt that the colleges were being asked to proceed much too rapidly and the product resulting would be unworkable. Edith Leyasmeyer observed that the Health Sciences might be able to comment on mission or goals or objectives but to be asked to produce documentation of all three by June 15th seemed unrealistic. Dave Berg observed that two of the proposed deadlines hit right in the middle of the biennial request and budget process deadline. Dean Caldecott concurred that this would be a problem.

Vice President Stein agreed that there should be an attempt to avoid congruence with the budget deadline and he agreed to re-think the issue of the feasibility of the overall timetable.

Select Committee--Commentary by the Planning Council

A brief discussion was held as to whether it would be appropriate for the Planning Council to comment on the Select Committee report. Since the Planning Council had not been officially requested for a commentary on the report, it was agreed, after some discussion, that the Planning Council would not attempt to make a response to the select committee.



UNIVERSITY OF MINNESOTA

Office of the President
202 Morrill Hall
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Minneapolis, Minnesota 55455

April 27, 1979

Dear Colleagues:

When I came to the University in 1974, I was aware of the need to improve existing planning and budgeting procedures. Over the past four and one-half years we have made some progress, but it has been gradual. A mission statement has been completed and the Planning Council has discussed the need for improving our procedures. As we enter the uncertain decade of the 1980's, the University must significantly improve its planning processes and integrate them with the acquisition and allocation of resources. I am confident that effective institutional planning will allow the University to present its most convincing and most consistent case to the government and people of our State. And it should assure our educational and scholarly vitality.

There is, of course, an overriding reason why all of us must personally be interested in intelligent planning at the University of Minnesota. We are a place of education -- whether in formal teaching, research, or service -- and in order to discharge that primary obligation we must seek to attract and use resources in the most effective way. Intelligent, flexible planning, in short, is necessary to operate effectively and creatively as an educational enterprise. Although planning involves many dreary details, a large amount of work, and many frustrations, because planning outcomes and directions need constantly to be assessed and reassessed, it is also a process involving discussion, debate, study and reflection that, in my view, "fits" naturally in an academic institution. As we work on planning in its various manifestations in the months and years ahead, I believe it is important that we keep in mind that planning is not merely a management tool or a narrow end in and of itself. Rather, if done properly and with support and understanding from all quarters within the University, planning represents a fundamental

activity that will assist us to become an even better place of teaching, learning, and educational service.

The needs of educational planning have also been recongized recently by the Board of Regents and the Select Committee of the Senate. I feel that this is the right moment for the University of Minnesota to establish a formal, institutional planning process which can lead, not follow, budgetary decisions. Although the establishment of such a process requires time and energy of all of us, I am convinced of the importance of moving the University in this direction. This memorandum is a first step in the establishment of an ongoing institutional planning process. I am looking to the colleges to take the second step.

Background

As most of you know, in 1975 I appointed the Planning Council as an advisory group to the President's Office. A brief description of the Council's purpose and background is enclosed. The Council is composed of faculty and student members, and representatives from central administration and the Council of Academic Officers, with each of the coordinate campuses also represented. Since its establishment, the Council has been discussing alternative planning mechanisms. During the past nine months, under the chairmanship of Vice President Robert Stein, the Planning Council has addressed the design and establishment of a specific planning process and has arrived at a recommendation for initiating a formal planning process at the University. This process is built on a framework that requires the University, as well as each academic and non-academic unit, to identify its mission, goals, objectives, priorities, and planning assumptions for a five to ten-year period. As envisioned, the University would ultimately have specific institution-wide goals that correlate with its mission, a series of program objectives which flow from these goals, and priorities for the objectives which would aid decision making. Similarly, colleges and support units would have a like set of planning materials to aid them in decision making. We also hope that the academic departments -- the heart of the University -- would decide to adopt this structure.

Initiating the Planning Process

In discussing this framework with the Planning Council and others, I have become convinced that one of the most difficult steps is reaching consensus on the best procedure for initiating the planning process. For example, some individuals advocate that it should begin centrally, with the development of an institutional mission and its related goals and objectives. Then using these

materials as a guide, the colleges and departments would develop their own planning documents. Others have argued persuasively that a planning process should be initiated by the academic departments or at least by the colleges. The University would then build its plans on these collegiate documents.

I firmly believe that academic program planning must shape institutional planning; it must be an initiator of and not a reactor to budgetary decisions. The vision and the creativity of departmental faculty are essential ingredients of any effective University planning process. Yet I also feel that it is my leadership responsibility to provide a structure and a context for initiating this process. As a consequence, after deliberation with the Planning Council, I have decided that we should initiate this planning process with the colleges. This process asserts the primacy of academic programs and allows for meaningful faculty input while, I hope, not overburdening each department. Later this spring, all major support units will also be requested to begin this process with the expectation that their draft statements will also be submitted during the summer.

Utility of the Planning Process

With the materials provided in this packet as background, I am asking each college to draft a statement of its mission, planning assumptions, goals, objectives, and priorities. It is expected that the deans will call upon department heads, other faculty, and students within their units to assist in the drafting of these statements. Sufficient opportunity for such input is not only encouraged, but it is absolutely necessary if the collegiate statements are to reflect the academic perspectives of the University community.

Initially, these statements will be reviewed by Vice President Koffler and Vice President French. Coordination of the statements of various units such as the colleges at Duluth and the units of the Institute of Agriculture, Forestry and Home Economics is expected. I also anticipate that a working group will be established to assist me in my review of these statements. Working with their reactions, I will personally review each statement so that I can be informed of the intentions of each college. I expect that the excellent work we have done in the area of internal and external program reviews will be used extensively in this process.

The review of these planning statements will be conducted with a full understanding that these statements are first drafts and that their usefulness as a basis for decision making is limited. However, these draft collegiate statements will be used as a basis for a draft of an institutional statement of goals and objectives and an aggregate level resource plan for the University.

During the summer, I shall meet with college representatives to discuss their materials and a summary of the reviews of their draft statements will be conveyed to each college in a written critique. After this dialogue, the colleges will have an opportunity to modify their statements. Drafts of the institutional planning assumptions, goals, objectives and priorities document, and the University resource plan will provide a background for the modification of the collegiate statements. These institutional statements will themselves be revised based on the further discussion with the colleges.

This cyclic process of draft and review has been scheduled so that final drafts of the institutional and collegiate statements can contribute to the acquisition of resources including the building of the 1981-83 legislative request. Subsequently, these collegiate and institutional planning documents will assume a fundamental role in decision making including resource allocation.

Details of the Request

To facilitate your completion of this request, my office and the Planning Council have prepared the attached materials.

For general background, the 1975 mission statement of the Regents is enclosed.

Also included is a draft statement of institutional planning assumptions, goals, objectives and priorities which I prepared at the request of the Planning Council (see Attachment 1). Since an institutional statement does not already exist, the Planning Council suggested that I write a draft that could serve as an example for an institutional statement and provide a context in which the colleges could develop their statements. Before beginning the development of your own statements, I would appreciate your criticisms of my statement and your written reaction to it. Guidelines for preparing this critique are included as Attachment 2.

Using the University's mission statement and my draft institutional statement, each college should draft its statement of mission, planning assumptions, goals, objectives, and priorities. To facilitate this process, the Planning Council has prepared a set of guidelines with examples (see Attachment 3). Please note that the Planning Council has offered to assist your college in whatever way it can. A first draft of collegiate statements should be submitted to your vice president by June 30.

Over the summer months, each statement will be carefully reviewed, as described above. In early fall, colleges will receive reactions from this review, a draft institutional statement, a draft University resource plan, and a request to modify and update their statements by the end of calendar year 1979.

Also, the Planning Council would like each college to complete the questionnaire on planning structures and processes (see Attachment 4). It should also be submitted by June 30.

Finally, a list of the collegiate units that are being asked to develop planning statements is included as Attachment 5. A list of the support units that will be asked to develop planning statements will be provided at a later time.

The attached materials and the timetable are summarized below.

<u>Attachment</u>	<u>Purpose</u>
1. President's Draft Statement of Institution-Wide Planning Assumptions, Goals, Objectives, and Priorities	To be reviewed and used as background for the college statement
2. Guidelines for Critique of the Draft Institutional Statement	To be used in reviewing the President's draft
3. Guidelines for Preparation of Collegiate Statements on Mission, Planning Assumptions, Goals, Objectives, and Priorities	To be used in preparing the college statement due on June 30
4. Questionnaire Describing Existing College Planning Structures and Processes	To be completed by June 30
5. Collegiate Units Providing Planning Statements	For background information
6. The Planning Council: Purposes and Background	For background information
7. A Mission and Policy Statement for the University of Minnesota (July 11, 1975)	For background information
8. Diagram: 1978-80 Planning Activities Schedule	For background information

To provide a larger context for this request, the enclosed diagram (Attachment 8) describes the initial iteration in the evolutionary planning process that I am proposing. The diagram highlights the interrelationship between institutional and collegiate planning activities and the preparation of a two-year acquisition and allocation plan. If planning is to be effective, it cannot be a slave of the biennial request or the annual budget. It has a longer time horizon and must be somewhat independent of these procedures. However, planning is translated into action in its relationship to these fiscal activities.

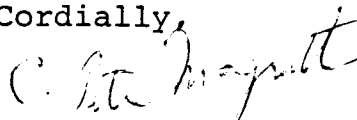
After receiving a critique of the initial draft in the early fall, colleges will be expected to modify their statements and submit the improved document by January 1, 1980. These statements along with materials specifically relating to request items will be used to build the 1981-83 Biennial Request scheduled for completion in August, 1980.

The planning documents resulting from this process are intended to be useful in annual budgeting and day-to-day decision making. Objectives and priorities will be updated on an annual basis. Goals with their longer time horizon will be reviewed in detail every two to three years. Mission statements will most likely be reviewed less frequently.

Concluding remarks

I recognize the significant amount of work that will be required to meet this initial request. Planning will never be an easy process, nor should we expect it to be, for it is through this activity that we chart our course. This first effort will be particularly difficult as each of us struggles with new procedures and a different way of describing our aspirations. The potential educational payoffs, however, for the University are high. I therefore respectfully ask you, as I have done for myself, to assign this as one of your top priorities. If you have any questions or reactions, please do not hesitate to contact me.

Cordially,



C. Peter Magrath
President

CPM:eah

Enclosures

cc: University Board of Regents
University Vice Presidents
University Planning Council
Senate Consultative Committee
Senate Committee on Educational Policy
Senate Committee on Resources and Planning
University Committee on Biennial Request and Budget Review



UNIVERSITY OF MINNESOTA
TWIN CITIES

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TO: Members of the University Committee on Biennial
Request and Budget Review
Members of the Senate Consultative Committee

FROM: Fred L. Morrison

DATE: March 29, 1979

Dear Colleagues:

This is a preliminary report prepared by me as your representative to the University Planning Council. A draft document setting up proposed planning procedures for the University has been prepared by the Planning Council Office. Before it is finally distributed to academic units for the establishment of their plans, consultation from UCBRBR and SCC, as well as SCEP and SCRAP has been requested. Because of the short time frame, I am addressing this letter to both committees. I am also doing so because Professor Zaidi has asked that I report individually to SCC, as well as in my capacity as chairman of UCBRBR. I have had the benefit of discussion with some members of UCBRBR at a meeting March 28. I assume sole responsibility for this memorandum, however.

I think we all concur in the need for academic planning and institutional planning at the University. Planning need not be a foreign concept to us. It is simply orderly and organized decision making about questions of educational policy and the consequences which flow from them. As one of our colleagues noted, "Planning is not future decision making, it is present decision making which will control future actions." Therefore I take the planning process very seriously. It is in a sense the educational policy and resource process done properly and in a timely fashion.

I have several problems with the draft document. If planning is to guide our educational destiny over the next half decade or more, it must be done with the seriousness appropriate to budgetary and educational policy decisions. My concerns fall into three major categories.

1. Timetable Problems

The draft document calls for circulation of the planning request to the collegiate units shortly after April 18. The materials, including a comprehensive mission statement for each college, a statement of more specific goals, a statement of yet more specific objectives, and a priority list for budgeting and other decision making, is due back in Central Administration on June 30. Although this formally gives a lengthy period, effectively only about four or five weeks are allowed for completion of a substantial process. This is so because the timetable prescribed will fall in the middle of a very difficult budgeting process, which will occur as soon as the legislature adjourns in mid-May. Shortly thereafter some faculties will go on vacation (Duluth on June 1, other faculties on June 15) and the possibility of effective consultation about such important things as collegiate objectives and priorities will be precluded. Because of the delay in allocation of funds from this year's reallocation process, the college decisions will not be able to reflect those allocations, unless they are postponed well into June.

Since I see the planning process as essentially pre-empting much of the determination of educational policy in the University, I believe much more substantial opportunity for consultation on the collegiate level must be offered than the four or five weeks which is available, for practical purposes, on this cycle.

As an alternative to delaying the initial submissions, some of my colleagues on UCBRR have suggested that a much simpler process be used in the initial round of submissions, if they are really expected by June 30. This could be a simple request for projections. This is a possible alternative which we should discuss further.

2. Need for Comprehensive Approach

I have several concerns about the comprehensiveness of the planning proposal, or the lack thereof.

a. My first concern is with the splintering of the academic planning process among the several vice presidential areas. The draft letter from President Magrath seems to reinforce the

often-criticized fragmentation of this kind of decision making when it suggests that these statements will be reviewed by Vice President Koffler or Vice President French, as appropriate. If planning is to be credible, it must be accomplished with a holistic view.

b. A stronger Presidential commitment to the process is required than that which is reflected in the draft document. Again, at page 4 of the proposed letter, the President suggests that reviews will be conducted and that summaries of these will be "conveyed to each college in a written critique" and that he also "hopes" to meet with college representatives to discuss their materials. If the President is assuming the principal planning authority for the University, as I understand him to desire to do, he must also assume the duty of reading, understanding, and replying to those collegiate submissions. The colleges which are asked to plan should have the right to expect more than a "hope" that there will be some conference to discuss their materials. Given our present administrative structure, the President must decide and must be seen to have evaluated the collegiate submissions. This is not, however, to say that the Academic Vice President should not participate. He should be a participant in collegiate presentations from all units since his office will be involved in carrying out plans.

c. The time horizon, which is established for the preparation of collegiate statements (Attachment 3, page 7) is inappropriate. It calls for colleges to state their objectives for the next fiscal biennium. That is, the colleges are being asked to state their plans for a two year period. We have nothing more here than a glorified biennial request preparation. I seriously doubt that any significant programmatic change can be fully accomplished in this time frame, let alone evaluation of it. A myopic view will hinder, not help, planning. If this process is to make sense, the objectives should be spelled out on a somewhat longer, although limited, time period, subject to revision. If planning is to be meaningful, I submit that the time horizon should include at least two biennia, i.e., through June 1985. I will elaborate on this point if you wish.

d. Since planning will have major impacts on operations at the departmental or program level (undergraduate majors and graduate programs) such units must be involved in the collegiate planning process. The submissions should show substantial involvement at this level.

e. The suggestion is made (Appendix 3, page 3) that unit statements should not exceed 8 typewritten pages. I find this statement to be rather amusing, since the questions to which they are supposed to be responsive require 11 pages (not counting the examples) to formulate. This leads me to question the seriousness of the endeavor. Can the College of Liberal Arts, for example, adequately state the graduate and undergraduate missions, goals, objectives, and priorities of its multifarious academic units and interdisciplinary programs, with the required degree of specificity, within 8 typewritten pages?

If planning is to be a useful adjunct to decision making, the collegiate units should be able to put the principal questions of educational policy and resource allocation before the Central Administration and expect answers to them in the context of this planning process. That simply cannot be done in 8 typewritten pages. The colleges should be encouraged to write more, rather than less; to be descriptive about their programs and alternatives rather than to conceal the difficult questions which the Central Administration must assist in answering. There should be no page limitation. Of course, the central decision makers will require some staff effort to glean from the submissions the kinds of questions which require resolution and to distill the kinds of issues which are presented for University-wide determination. Those are, however, questions that the staff in Central Administration should prepare, or that the colleges might very well prepare as a covering abstract to their submissions.

3. The Planning Document Itself

I have three major problems with the planning document itself. These are in addition to a substantial number of minor problems, which need not concern these consultative bodies.

a. I seriously doubt that the articulation of an institutional mission, goal, objective, and priority statement is a game worth the price of admission. While decision making must be based on some overall perspective, I doubt that, in our somewhat politicized environment it would be possible to make statements overtly which have explicit negative consequences for some units. What I am saying is that the Missions and Goals statement which we currently have is probably adequate to the task; we ought to be focusing our attention to unit objectives and priorities without attempting to generalize them.

b. The draft calls for objectives to be stated in terms which are measurable (Attachment 3, page 7). The demand for measurability seems to be part of a stress on "quantity, rather than quality". The suggestion that "a graduate program judged to be one of the five best in the nation" is a reasonable proxy for "high quality education in research" is simply absurd. Quality rankings are not available in many instances and are of questionable reliability when available. This seems to me to be an attempt to introduce an "assembly line management technique" in a situation in which it is grossly inappropriate. Of course, quantity should be measured when quantity is relevant. If quantity is not relevant, then central decision makers will have the difficult task of subjectively measuring quality. That is what they are paid for.

c. This brings the whole question of evaluation and qualitative decision-making to the forefront. We have been engaged over the past five or six years in a process of programmatic reviews and evaluations, through the graduate school and through professional accrediting bodies. This information should be very valuable in this kind of planning process, but it is no where introduced into the process. It should be.

* * *

Let me summarize by saying that I am supportive of the planning process. We need it desperately at this University. A planning process must, however, be credible to the academic community whose destiny it will govern. This requires several things:

1. A timetable must be allowed which will allow proper consultation in the collegiate units on the preparation of their own plans.

2. There must be a comprehensive approach which does not give the appearance of favoritism for some segment of the University.

3. The approach must give us an adequate time frame in which to make some of the difficult adjustments which we will be facing.

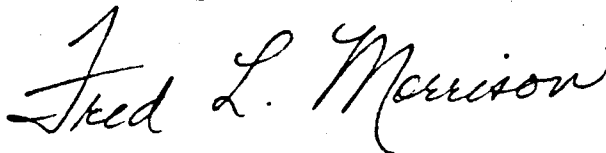
UCBRBR, SCC
March 29, 1979
Page 6

4. There must be a firm commitment of the time and effort of the chief academic operating officer (currently the President) to this enterprise. The Academic Affairs Office must also be directly involved in making the ultimate decisions, since it will be executing them.

5. Some detailed problems about the planning document should be clarified.

I hope this is of assistance to the committees.

Sincerely,

A handwritten signature in cursive script that reads "Fred L. Morrison". The signature is written in dark ink and is positioned above the typed name.

Fred L. Morrison

FLM:nmv

DRAFT

Dear Colleagues:

When I came to the University in 1974, I was aware of the need to improve existing planning and budgeting procedures. Over the past four and one-half years we have made some progress, but it has been gradual. A mission statement has been completed and the Planning Council has discussed the need for improving our procedures. As we enter the uncertain decade of the 1980's, the University must significantly expand its planning processes and integrate them with the allocation of resources. I am confident that effective institutional planning will allow the University to present its most convincing and most consistent case to the government and people of our State. And more, it should assure our educational and scholarly vitality.

These needs have also been recognized recently by the Board of Regents and the Select Committee of the Senate. I feel that this is the right moment for the University of Minnesota to establish a formal, institutional planning process which can lead, not follow, budgetary decisions. Although the establishment of such a process requires time and energy of all of us, I am convinced of the importance of moving the University in this direction. This memorandum is a first step in the establishment of an ongoing institutional planning process. I am looking to the colleges to take the second step.

Background

As most of you know, in 1975 I appointed the Planning Council as an advisory group to the President's Office. It is composed of representatives from central administration, the University Senate, and the Council of Academic Officers, with each of the coordinate campuses also represented. Since its establishment, the Council has been discussing alternative planning mechanisms. During the past nine months, under the chairmanship of Vice President Robert Stein, the Planning Council has addressed the design and establishment of a planning process and has arrived at a recommendation for initiating a formal planning process at the University. This process is built on a framework that requires the University, as well as each academic and non-academic unit, to identify its mission, goals, objectives, priorities, and operating assumptions. As envisioned, the University would ultimately have specific institution-wide goals that correlate with its mission, a series of program objectives which flow from these goals, and a set of operating priorities which would aid budgetary decisions. Similarly, colleges and support units would have a like set of planning materials to aid them in decision making. We also hope that the academic departments -- the heart of the University -- would decide to adopt this structure.

Initiating the Planning Process

In discussing this framework with the Planning Council, I have become convinced that one of the most difficult steps is

reaching consensus on the best procedure for initiating the planning process. For example, some individuals advocate that it should begin centrally, with the development of an institutional mission and its related goals and objectives. Then using these materials as a guide, the colleges and departments would develop their own planning documents. Others have argued persuasively that a planning process should be initiated by the academic departments or at least by the colleges. The University would then build its plans on these collegiate documents.

I firmly believe that academic program planning must shape institutional planning; it must be an initiator of and not a reactor to budgetary decisions. The vision and the creativity of departmental faculty are the essential first ingredients of any effective University planning process. Yet I also feel that it is my leadership responsibility to provide a structure and a context for initiating this process. As a consequence, after deliberation with the Planning Council, I have decided that we should initiate this planning process with the colleges. This process asserts the primacy of academic programs and allows for meaningful faculty input while, I hope, not overburdening each department. Later this year, all major support units will also be requested to begin this process.

Utility of the Planning Process

With the materials provided in this packet as background, I am asking each college to draft a statement of its mission, goals, objectives, priorities, and operating assumptions. It is expected that the deans will call upon department heads and other faculty within their units to assist in the drafting of these

statements. Sufficient opportunity for such input is not only encouraged, but it is absolutely necessary if the collegiate statements are to reflect the academic perspectives of our faculty.

No!

Initially, these statements will be reviewed by Vice President Koffler or Vice President French, as appropriate. I also anticipate that a representative group of faculty members will review each statement. Working with their reactions, I will personally review each statement so that I can be informed of the intentions of each college.

Each of these reviews will be conducted with a full understanding that these statements are first drafts and that they may not be useful in their initial form as a basis for decision making. However, these draft collegiate statements will be used as a basis for a draft of an institutional statement. A summary of these reviews will be conveyed to each college in a written critique, and I also hope to meet with college representatives to discuss their materials. After this dialogue, the colleges will have an opportunity to modify their own statements.

This cyclic process of draft and review has been scheduled so that a final draft of the collegiate statements can contribute to the building of the 1981-83 legislative request. Subsequently, these collegiate and institutional planning documents will assume a fundamental role in decision making including resource allocation.

Details of the Request

To facilitate your completion of this request, my office and the Planning Council have prepared the attached materials.

For general background, the 1975 mission statement of the Regents is enclosed.*

Also included is a draft statement of institutional planning assumptions, goals, objectives and priorities which I prepared at the request of the Planning Council (see Attachment 1). Since an institutional statement does not already exist, the Planning Council suggested that I write a draft that could serve as an example for an institutional statement and provide a context in which the colleges could develop their statements. Before beginning the development of your own statements, I would appreciate your criticisms of my statement and your written reaction to it. Guidelines for preparing this critique are included as Attachment 2.

Using the University's mission statement and my draft institutional statement, each college should draft its statement of mission, goals, objectives, priorities, and operating assumptions. To facilitate this process, the Planning Council has prepared a set of guidelines with examples (see Attachment 3). Please note that the Planning Council has offered to assist your college in whatever way it can. A first draft of collegiate statements should be submitted to your respective vice president by June 30.

Over the summer months, each statement will be carefully reviewed, as described above. In early fall, colleges will receive reactions from this review and a request to modify and update these statements in preparation for the 1981-83 Biennial Request.

* Not enclosed with this draft.

Finally, the Planning Council would like each college to complete the questionnaire on planning structures and processes (see Attachment 4). This may be completed after the other work is finished. It should also be submitted by June 30.

The attached materials and the timetable are summarized below.

<u>Attachment</u>	<u>Purpose</u>
1. President's Draft Statement of Institution-Wide Planning Assumptions, Goals, Objectives, and Priorities	To be reviewed and used as background for the college statement
2. Guidelines for Critique of the Draft Institutional Statement	To be used in reviewing the President's draft
3. Guidelines for Preparation of Collegiate Statements on Mission, Goals, Objectives, Priorities, and Assumptions	To be used in preparing the college statement due on June 30
4. Questionnaire Describing Existing College Planning Structures and Processes	To be completed by June 30

The Longer Range View

To provide a larger context for this request, the diagram on the next page schematically describes the cyclic planning process that I am proposing we institutionalize. The left portion of the diagram highlights the interrelationship between institutional activities and collegiate activities in preparation for the 1981-83 legislative request. After receiving a critique of the initial draft in the early fall, colleges will be expected to modify their statements and submit a final document in January, 1980. These statements, along with materials specifically relating to request

items will be used to build the 1981-83 Biennial Request scheduled for completion in June, 1980.

The right-hand portion of the diagram depicts the cyclic process which characterizes the "steady state." Because a mission statement is a general indicator of institutional philosophy, it will be updated on a longer, but scheduled basis (e.g., five years). Goals and objectives must respond to the changing currents of reality, and therefore they should be reviewed and updated more frequently (e.g., every two years). Operating assumptions and priorities are an integral part of a budget process, and should therefore be reviewed and updated annually.

Concluding Remarks

I recognize the significant amount of work that will be required to meet this initial request. Planning will never be an easy process, nor should we expect it to be, for it is through this activity that we chart our course. This first effort will be particularly difficult as each of us struggles with new procedures and a different way of describing our aspirations. The potential educational payoffs, however, for the University are high. I therefore respectfully ask you, as I have done for myself, to assign this as one of your top priorities. If you have any questions or reactions, please do not hesitate to contact me.

Cordially,

C. Peter Magrath
President

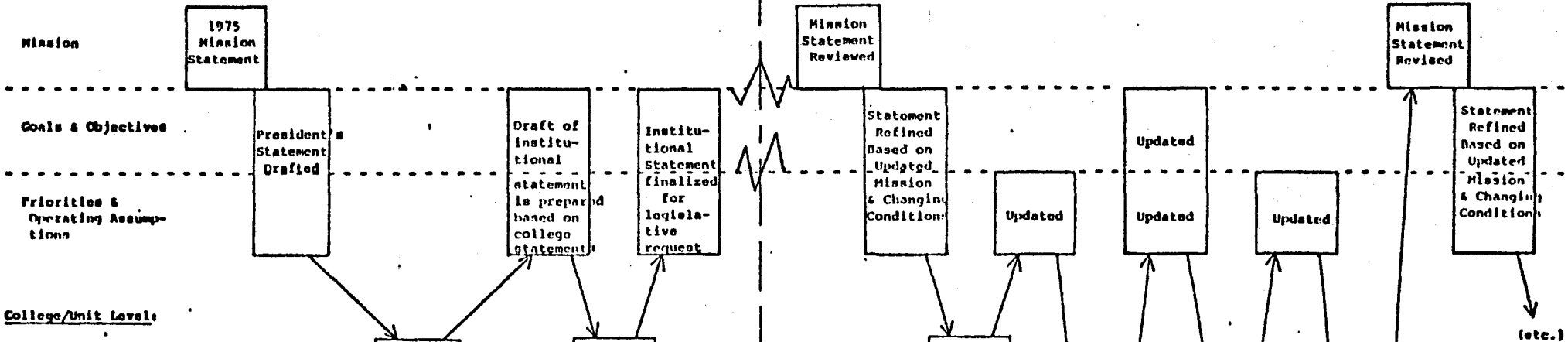
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Enclosures (list all enclosures)

UNIVERSITY OF MINNESOTA PROPOSED PLANNING PROCESS

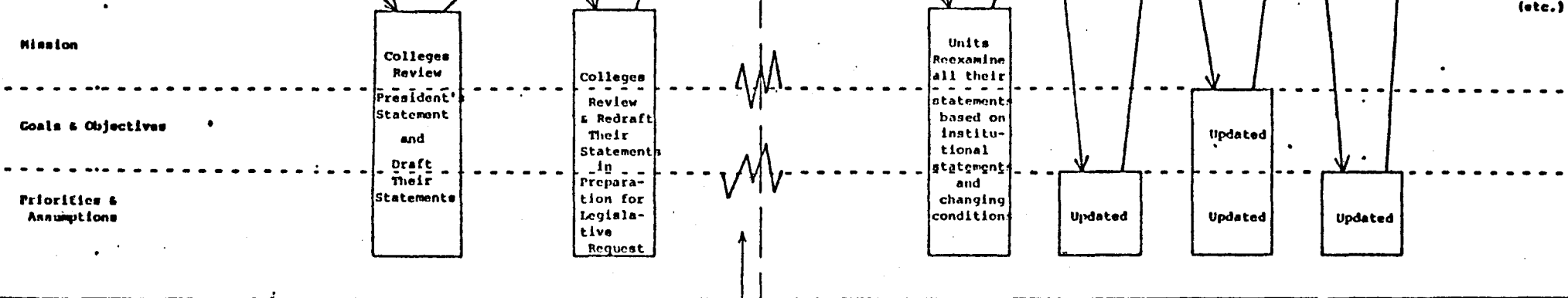
1981-83 Legislative Request

"Steady State"

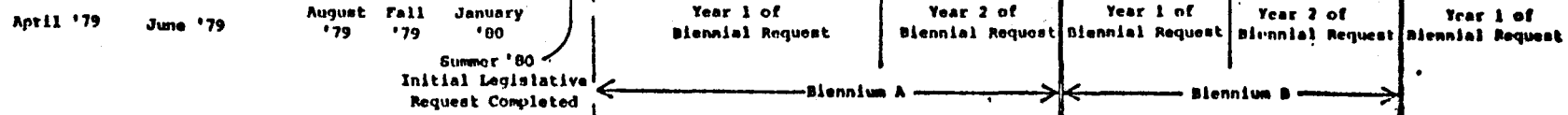
Institutional Level:



College/Unit Level:



Schedule and Other Activities



UNIVERSITY OF MINNESOTA DRAFT STATEMENT OF
INSTITUTION-WIDE PLANNING ASSUMPTIONS, GOALS, OBJECTIVES AND
PRIORITIES FOR THE 1981-1990 PERIOD

C. Peter Magrath

Background

This draft statement has three major purposes:

- (1) It presents in general terms my view of the University of Minnesota across the next decade. This statement is intended to stimulate response from the colleges so that it may be revised.
- (2) These personal views, although subject to revision, aim to provide background information for the colleges as they develop their own statements of mission, goals, objectives, and priorities.
- (3) This draft proposes a format for stating institutional planning assumptions, goals, objectives, and priorities. Critique of the format will be useful in writing future drafts.

Before a statement of institutional planning assumptions, goals, objectives, and priorities is adopted, it will be thoroughly reviewed by the Senate Committee on Educational Policy (SCEP), the Senate Committee on Resources and Planning (SCRAP), and other appropriate University Senate committees.

I want to emphasize that this statement not be viewed as anything more than it is intended to be. It is neither a definitive statement of proposed institutional policy, nor is it a blueprint for the next decade. Rather, it is offered for your background and your critique.

I. Mission and Educational Philosophy

In July, 1975, the Board of Regents adopted "A Mission and Policy Statement for the University of Minnesota." Currently this document remains the official statement of the University's mission, although a committee of the Board of Regents is presently considering the need for revision. Until a revised statement is authorized our planning should be consistent with the 1975 statement.

Our current mission statement expresses, in rather general terms, the functions expected of the University. Appropriately, it says less about the extent of these functions or about the specific activities necessary to carry

out a particular function. Still less is stated about the priority of various activities that the University should undertake. I feel that the University should develop more specific goals, objectives, and priorities by considering our educational philosophy and our assumptions about the present environment.

Two tenets of educational philosophy, it seems to me, characterize a major university. First, it must emphasize above all else a commitment to academic inquiry. This implies both the centrality of a strong arts and science core and an emphasis on excellence in its graduate programs. When faced with the hard choice between a broader array of programs and a higher degree of excellence in a more limited set of offerings, the University community must remind itself that the hallmark of a major university is not the breadth but the strength of its program offerings. Related to an emphasis on excellence are two additional considerations: (1) program excellence is not always directly related to program funding, and (2) the cost of maintaining a high level of excellence is usually modest when compared with the cost of building excellence. Thus, where possible, the University should protect academic programs with an established high level of excellence.

II. Planning Assumptions

A variety of factors and circumstances will influence education and the University of Minnesota in the years ahead. Assumptions about our current condition as a university and the environment will be important in our planning. Because these conditions change continually, our assumptions must be reviewed frequently and on a regular basis. The current status of a number of these important conditions is described below.

Enrollments

Higher education enrollment is influenced by such items as the tuition costs, the availability of financial aid, and the labor market for collegiate graduates.

Using data from the post-war period, Management Planning and Information Services has estimated the influence that these factors have had on the undergraduate enrollments at the Twin Cities and Duluth campuses. From this work, enrollment forecasts have been developed for each campus. The particular assumptions which are used in the estimates and which are under the University's control are as follows:*

* There are a number of other variables not under University control which must be considered in forecasting undergraduate enrollment. The assumptions underlying these variables are available from Management Planning and Information Services.

1. Tuition will not increase in constant dollars.
2. Financial aid will increase 1% per year per high school graduate in constant dollars. This assumption may need to be modified subject to the exact form of Congressional action on the Middle Income Student Assistance Act.
3. Admissions standards will not change.
4. Internal increases in undergraduate tuitions will be proportional among programs and student levels. If necessary, this assumption can be modified to reflect the University's policy on relating individual tuition levels more closely to instructional costs.

Based on these assumptions mean, high, and low forecasts for undergraduate enrollments at the Twin Cities and Duluth campuses are shown in Table 1.

Because applications for the University's graduate and professional programs substantially exceed admissions, these enrollments are determined primarily by admissions policies. These forecasts are based on the admission plans of the Graduate School and the professional colleges. Forecast ranges are not shown for these estimates since the enrollments are not produced from a statistical model.*

These different estimates indicate that there is substantial uncertainty regarding our enrollments. We should realize that we cannot ignore this uncertainty but must accept it as a fact that our planning must encompass. We shall regularly update our enrollment forecasts to include the latest available information.

Income

The sources of support for the University can be discussed in terms of our three basic missions: instruction, research and service, plus the income derived from gifts and endowments.

Regarding instruction, while there have been substantial fluctuations in the University's student-faculty ratio in the past, there has been no substantial change in this ratio since the 1930's. State appropriations for instructional purposes have varied, though not rigidly, with enrollments. Tuition

* Estimates from the model for undergraduate enrollments at Morris, Crookston or Waseca have not yet been produced. Estimates for these campuses and enrollment forecasting for the individual colleges on the Twin Cities campus are being developed.

Table 1: Enrollment forecasts
Through 1983 as of February, 1979

DRAFT

	<u>1978</u> ¹	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>
<u>Twin Cities Campus</u>						
Undergraduate						
(mean estimate) *	30,503	30,435	30,303	29,821	29,117	27,889
(low estimate)	-	28,714	27,955	26,856	25,498	23,872
(high estimate)	-	32,156	32,651	32,785	32,736	31,905
Adult Special ²	2,842	2,893	2,996	3,050	3,050	3,050
Graduate ³	7,600	7,732	7,761	7,918	7,951	7,984
Professional ⁴	3,883	3,965	3,975	3,990	4,010	4,010
<u>Duluth</u>						
Undergraduate						
(mean estimate)	6,124	6,114	6,122	6,074	5,985	5,761
(low estimate)	-	5,704	5,538	5,362	5,146	4,854
(high estimate)	-	6,524	6,706	6,786	6,824	6,668
Adult Special ⁵	327	300	336	340	345	350
Graduate ⁶	240	274	290	295	295	295
Professional ⁷	118	120	120	120	120	120
<u>Morris</u>						
Undergraduate	1,381	1,381	1,376	1,350	1,305	1,238
Adult Special	52	52	52	50	50	50
<u>Crookston</u>						
Undergraduate	865	855	859	825	799	799
Adult Special	218	215	216	207	201	201
<u>Waseca</u>						
Undergraduate	841	881	925	889	850	800
Adult Special	209	219	230	221	211	200
<u>Total</u>						
(mean estimate)	55,203	55,436	55,561	55,150	54,289	52,747
(low estimate)	-	53,305	52,629	51,474	49,831	47,823
(high estimate)	-	57,567	58,493	58,826	58,747	57,670

¹ Actual enrollments.
² Adult Specials in undergraduate programs. The "Graduate" and "Professional" categories include Adult Specials in these units.
³ Graduate students registered in the Graduate School plus those registered in Master's program in Education, Agriculture, and Public Health.
⁴ Medicine, Dentistry, Pharmacy, Law, and Veterinary Medicine
⁵ See footnote 2
⁶ Includes Master's students in Education
⁷ Medicine

The high and low forecasts are based on statistical confidence intervals developed from the enrollment forecasting model.

income is also a function of enrollments. If these trends were to continue, the size of our faculty would shrink with enrollment declines, and the real value of these income sources would decline during the 1980's. However, these trends have been established during a period of enormous University growth, and we feel that a case for departing from this tacit funding formula can be made for a period of enrollment decline. Governor Quie has recognized this point for primary and secondary education, and there is reason to expect that the argument will be applied to some extent in higher education.

Research income is mainly a function of the emphasis placed on research activity by the federal government. While our success in obtaining grants and contracts may change, it is unlikely that such changes would alter significantly the essential relationship to federal funding policy. In the past this policy has been erratic and unpredictable, and it is not easy to arrive at assumptions about its future. Recent trends, inflation assumptions, and a conservative taxing mood suggest that federal support for basic research at the nation's leading universities is unlikely to increase dramatically over present levels. Most likely, it will remain constant at present levels of support, although there may be incremental increases in federal support for applied research.

Service income, including revenues from new instructional clienteles, may offer the best hope for offsetting real declines in other income sources. Although the potential for adult and mid-career educational programs should not be overestimated, such programs are certainly viable ^{alternatives} in a number of fields. We should tentatively assume that well constructed proposals addressed to applied research problems and service needs of specific non-traditional clienteles will attract support. The implementation of the proposals in the "Outreach Report" would presumably increase our level of support from non-regular students through increased enrollments as well as increasing the possibility of state support for that type of instruction. While we must continue to consider all of the implications of the Outreach Report, we should not prejudge this review neither should we discourage proposals from a college that are aimed at implementing the Outreach recommendations.

The University has been very successful in attracting gifts and endowments. Last year we ranked fifth among all public and private universities in gifts at \$34 million. Our development office feels that the probability of increasing this support is good and proposals that are aimed at eliciting gift support should be encouraged.

On balance, it seems best to assume that the total real income available to the University will decline slightly throughout the next five or six years. However, individual units may be able to obtain real income increases because of differing clientele demand.

Inflation

Inflation has substantially reduced the University's purchasing power over the last ten years. In estimating future rates of inflation, we must deal with substantial uncertainty regarding the causal factors which produce price changes -- factors which, of course, are beyond the University's control.

Because of this uncertainty, we cannot attempt to forecast specific price indices for long periods of time. However, the consensus among economists is that the next two years will not see substantial reductions in inflation below the nine percent increase in the Consumer Price Index in 1978. The University must be ready to respond to both expected high levels of inflation as well as uncertainty about the factors that influence inflation.

One evident strategy of state administrators is to not fully fund inflationary increases in supplies. Recent reductions of this type have put the University in a difficult position. Still we must anticipate the very real possibility of retrenchment necessitated by unwillingness of the state to fund real inflation increases.

Facilities

The University's current request to the Governor and the Legislature is based on the priorities established by extensive internal consultation. Still it is a political reality that while the University may influence legislative reaction to facility proposals, we do not control it. Our emphasis will continue to be on needed renovation of existing structures to support academic programs and on renovations required by law for safety or access. While it will be difficult to obtain funds for new construction in an era of declining enrollments, we must improve our ability to demonstrate the relationship between our requests for new buildings and our plans for academic programs.

Productivity

Our assumptions about income, enrollments, and inflation, combined with the likelihood that present demand for accountability will persist and increase,

lead to the assumption that the productivity of the University's efforts will receive increasing scrutiny. While our outcomes can never be perfectly measured, we must assume that those activities which can combine effectiveness with demonstrable efficiency will be the best supported. Increased productivity is difficult in universities, but it is not impossible; we must assume that efforts in that direction will be demanded of us.

In support areas, we must keep abreast of the productivity increases achieved by comparable activities in the general community. In academic areas, we must carefully consider issues of class size, frequency of offerings, and alternative pedagogical methods. Our efforts at attempting to be more productive must be tempered by our relative inadequacy to measure educational outcomes and should clearly not infringe on the tenure code.

Staffing

In the next decade I do not anticipate any significant changes in the tenure code. Yet certain faculty personnel issues will require the University's attention. For example, faculty retirement and faculty retraining and transfers will need to be discussed. The mix of faculty and civil service staff should also be carefully monitored

Technological Change

As noted in the University Senate's 1971 report "Toward 1985 and Beyond," the next decade will witness a significant expansion in computer and communications technology. These changes will present new opportunities for serving the educational needs of the state. If technological changes continue to lead to increased leisure time, there may be new clienteles demanding education. These changes will undoubtedly have a significant impact on the University.

III. Institutional Goals, Objectives, and Priorities

Eventually, the University should develop goals that chart specific institutional directions, objectives which indicate desired levels of achievement, and priorities which are a clear statement of the relative importance of particular goals and objectives. Although these institutional statements do not currently exist, our current planning efforts are intended to lead the University in this direction. As a point of departure, I offer my personal views on some possible goals and priorities. These are proposed

not as a constraint but as a stimulus to further dialogue.

1. Because the University is in a period of uncertainty and there is faculty-student anxiety over the status of programs, it is particularly important to seek consensus about long term goals and objectives as well as operational procedures. A high value must be placed on consultation and maximum dialogue within the University -- so long as we all understand that unanimity over objectives and the means of attaining them will not be possible. Just as it is important for the President and the senior officers to be given the discretion (with the purview of the Board of Regents) necessary for leadership and decision making, so too is it essential that the President and senior officers consult widely and meaningfully before charting courses of action -- courses which should be open to constant challenge and reexamination. Put another way, the faculty and students of the University of Minnesota must accept the necessity for leadership on the part of the President, just as much as the President must accept and be committed to the necessity of consultation and wide participation by all constituencies within the University community.
2. Limited financial resources will continue to be one of the University's primary problems. Moreover, it will threaten the core quality of the University and therefore dealing with this issue must be top priority.
3. The University must develop a mechanism for internally reallocating resources. If we do not do this ourselves, it will be done by the pressure of events in an unstructured fashion, or by external forces that may well impinge on the University.
4. The relative constitutional autonomy that the University has enjoyed throughout its history must be protected as this constitutional status helps to protect vital academic and institutional judgments.
5. Every reasonable effort should be made to increase the research support available to the University for its graduate and professional programs; it is this research component that characterizes and distinguishes the University of Minnesota as a major national and international institution.
6. Efforts must be made to build upon our success in obtaining private dollar support for the University; new efforts should be primarily related to our graduate and professional programs.

7. As a public, research institution, the University is both selective at the graduate and professional level as well as populist in terms of its undergraduate and service mission. Because it must serve large numbers of people, the University must work to limit tuition increases. One constant goal, surely, is to serve as many students as we can reasonably accommodate through programs of good to excellent quality.

In addition to these broad goals, I propose the following more specific goals and priorities.

8. The University should work diligently to improve its planning. Efforts should focus on both academic and non-academic planning which takes place at both the college/unit level and at the institutional level. To the maximum extent possible, these planning efforts should be integrated, and the planning should be of two sorts -- short-term and longer range.
9. We should seek to improve student services so as to reduce the depersonalization that is inevitable in a community as large as the University. This effort should be directed not only toward day and full-time students, but toward those who pursue their studies in the evening and on a part-time basis as well.
10. We should seek to expand the role of the University as a community and urban resource. The University's participation in the Committee of Urban Program Universities and our efforts to convince Congress to establish an Urban Grant Program will, I hope, result in expanded resources, either through new funds or more cooperative use of existing funds for the many faculty members who are already serving Minnesota's urban communities.
11. We should intensify the University's involvement in international food and nutrition ventures, especially since Title XII and related federal agricultural acts can be defined broadly so as to encompass the participation and contribution of many University units.
12. Because of state interests and the contribution the University can make to the well-being of the state, a major effort should be made to develop the Institute of Technology.
13. Academic units that enjoy close ties to professional and private groups should be encouraged to promote such relationships in ways that serve the broader interests of the state and that might result in increased private support for particular programs and activities.

A Final Comment

Whether the assumptions I have outlined will prove accurate can only be determined by the events of the next several years. Similarly, it will take time for the University community to examine and evaluate those general and programmatic objectives that I have proposed for University-wide discussion. Nevertheless, the process of planning for the future must continue. In an academic community dedicated to dialogue, none of us should fear the consequences of openly debating issues such as are contained in this statement. If we are truly committed to the academic freedom we all profess, then we should embrace the opportunity for discussions of these important matters. I look forward to your reactions.

Attachment 2**Guidelines for Critique of the Draft
Statement of Institutional Planning Assumptions
Goals, Objectives and Priorities for
1981-1990 Period**

These guidelines suggest a framework for writing up a critique of the draft statement of institutional planning assumptions, goals, objectives, and priorities. The outline on the following page is intended to facilitate, not constrain, your critique. If you wish to provide comments which fall outside these guidelines, please feel free to do so.

Your critique will be used to assist the President in a rewrite of his draft. Also, your suggestions will help guide the Planning Council as it continues to develop proposals for refining the institutional planning and decision making process, particularly as attention is devoted to the best procedure for arriving at a final draft of an institutional statement of goals, objectives, priorities and assumptions.

I. General Appraisal of Content

Please briefly summarize your reaction to the content of this document, citing both its strengths and weaknesses.

II. General Appraisal of Format

Please briefly assess the format of the statement, commenting on the organization of the document, its level of detail, and its scope.

III. Planning Assumptions

Identify any additions, deletions or modifications that should be made to the planning assumptions. Briefly (one paragraph) indicate your rationale for the suggested changes.

IV. Institutional Goals, Objectives, and Priorities

Identify any additions, deletions, or modifications that you feel are appropriate for the institutional goals, objectives, and priorities. Include specific programmatic areas that you think should be added and the rationale for your suggested change.

V. Institutional Strengths, Weaknesses, Opportunities and Problems

Please briefly describe the University's overall strengths, weaknesses, opportunities, and problems.

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Guidelines for Preparation of
Collegiate Statements on Mission, Goals, Objectives,
Priorities and Operating Assumptions

The President's Planning Council is embarking on an evolutionary process designed to move the University toward more systematic institutional planning. As one of the initial steps in this process, each college and major support unit is being asked to draft statements of mission, goals, objectives, priorities, and operating assumptions.

These draft statements will contribute to the evolution of the University's planning and decision making processes in a number of important ways:

1. For the first time the University will have a compendium which documents the mission, the programs, and the intended results of all colleges and support units. When produced with some degree of specificity and in similar formats, these statements will highlight the similarities, the differences, and interrelationships of the many units which comprise the University of Minnesota.
2. Carefully specified statements at both the institutional and unit* level will be used in support of academic program planning and resource allocation.
3. Working from the statements developed by units, the University will create a comprehensive statement of goals, objectives, and priorities for the institution.**

* The term "unit" will be used throughout to refer to all colleges and major support units.

** The process which will be used to produce the institutional statement is currently under development by the Planning Council. Although it has not been finalized, the proposed process will be reviewed by representatives of the all University Senate and the Council of Academic Officers before a final recommendation is made to the President.

The development of these statements is viewed as an important first step in an evolutionary process. The initial statements will be used to inform the central administration of your intentions, but they will clearly be understood as first drafts which may not be useful for decision making. A cyclical process is planned so that the statements can be modified and their usefulness improved. Ultimately, the unit statements as well as the University-wide statement will assume a fundamental role in institutional decision making, including resource allocation.

Guidelines for Developing Statements on Mission, Goals, Objectives, Priorities, and Assumptions

It is difficult to write a single prescription for describing the mission, goals, objectives, and priorities of all colleges. Each college is somewhat different, and undoubtedly these distinctive features will be reflected in the different types of statements produced by the units. A prescription is also difficult because the University has little experience in drawing up such statements at either the institution or the unit level. After the University has completed the first cycle of this process, it will be possible to propose guidelines with more specificity than those which follow. Notwithstanding these drawbacks, the Planning Council offers these suggestions to the colleges.

- To develop these statements, your college should utilize any process which it deems appropriate. Because this is only a first draft, we are encouraging units to use existing mechanisms and committees, rather than create new ones. As this process goes through successive iterations, there will

be an opportunity to establish permanent mechanisms for producing and updating these statements.

- An effective planning statement will strike a delicate balance between specificity and flexibility. As stated in more detail below, goals should be stated as specifically as possible and cast in terms which will be useful as a guide for program planning. Yet this draft should also be flexible. It should not be so rigid that it precludes the college from responding to unforeseen opportunities which may arise. An effective balance between specificity and flexibility may be a difficult one to strike, though it remains a necessity.
- Unit statements should build, as much as possible, on the background materials provided by the President. As President Magrath has noted, an institutional statement of goals, objectives, priorities, and assumptions requires the cooperation of many constituencies and a consultative process for its creation. Therefore, the President's materials are only intended as suggested institutional parameters. Yet units should develop their statements within these broad constraints and provide rationale for those portions which are inconsistent with the background materials.
- Unit statements should not exceed [eight] typewritten pages. Please do not include extra materials.
- As explained in detail below, college statements should be organized into five sections: (I) the mission of the college, (II) its goals, (III) its objectives, (IV) its program

priorities, and (V) the operating assumptions on which these statements are based.

I. THE MISSION OF THE COLLEGE

The "mission" outlines the purposes of the unit and its rationale for existence. Most likely it will be more philosophical than decision oriented. It should characterize the thrust of the unit and broadly define the nature of its activities. In this statement each unit should discuss the "ends" toward which the college is striving ----- for example, the educational outcomes, the services provided and the areas of knowledge to be pursued. In comparison to goal statements, a mission statement would have a longer time horizon. A college should be able to define its mission in a few paragraphs.

II. THE GOALS OF THE COLLEGE

Goals are the college's vision of its future over the next few years. Goals are the plans which the college is striving to accomplish. They add programmatic specificity to the mission statement by depicting the activities which the college will undertake to fulfill its mission. Goal statements may also cite those activities which will not be pursued or those which will be de-emphasized in the future. Specifically, it is suggested that college goals address at least the following areas.

1. What are the instructional goals of the college? These could be stated in terms of degree programs, level of instruction (e.g., undergraduate), or skills which graduates would possess.
2. What are the research goals? These could be stated in terms of types of research (e.g., basic), specific fields (e.g.,

population biology, applied linguistics), or organizational units (e.g., specific research centers).

3. What are the service goals? These could be stated in terms of clientele to be served or specific services to be provided.

4. What other activities/outcomes does the college support?

Colleges may have goals which span the three types cited above. For example, a goal of the college may be "to improve the environment of Minnesota through a combination of instruction, research and service."

In addition to these four "product" goals, there could also be a series of "support" goals which the college may elect to specify. Support goals contribute to the accomplishment of the product goals cited in #1-4 above, as in the following:

5. Does the college have any goals with regard to the type of environment it is seeking to maintain? For example, a college might consciously seek to establish and maintain a climate which promotes scholarly inquiry, protects academic freedom, or fosters instructional innovation. The college might also include statements on the type of governance which is preferred such as decentralized decision making. The college might also strive for a climate characterized by intellectual excitement or one which encourages student and faculty involvement in intellectual and cultural activities.

6. Does the college have goals which relate quality and cost?

In accomplishing goals, trade-offs must always be made between

program outcomes and the funds required to obtain these outcomes. Frequently this characteristic is referred to as "cost-effectiveness."

7. What are the goals regarding the college's relationship to activities of other colleges or support units within the University? For example, does the college view itself as supporting the educational activities of other colleges or perhaps the college consciously depends on the instruction provided by another unit. These goals place the college in the context of the University community.
8. What are the goals regarding the college's relationship to external constituencies? Colleges may have goals which define their relationship to educational programs outside the University, funding agencies, or the professional and business community.
9. Does the college have other essential support goals? These would be important support goals not subsumed by the items noted above.

In toto an inventory of goals should define the boundaries of the college's activities. (Some examples of goal statements are attached at the end of these guidelines.)

III. OBJECTIVES OF THE COLLEGE

Objectives translate the college's vision of its future (i.e., its goals) into a set of operational measures. Ideally, objectives are specific, measurable, and have a definite timetable. All objectives should relate to a goal and translate directly into decision making criteria. The focus of the objectives

is determined by the areas cited in the goal statements. The following characteristics are proposed as a checklist for the development of objectives.

1. Objectives should state the accomplishments which the college hopes to attain within a defined time period. For the purposes of this initial draft, the time horizon is set at the end of the next beinnium -- June, 1983. In other words, the objectives should lay out the accomplishments which the college seeks to attain by June, 1983. The college must ask itself what it can realistically accomplish in this period of time. For example, as a general goal the college may seek "to expand its research program through the attainment of grants from regional foundations." This could lead to an objective which states, "By June 1983, the college will show a 10% increase in its annual research budget."
2. Objectives should be as specific as possible. Continuing the example above, the college might specify the department or academic field in which it intends to seek these new grants.
3. Objectives should be stated in terms which are measurable. For the purposes of assessing progress it is often useful to state objectives which imply a comparison or measure. For example, a statement such as "expansion of the undergraduate population" does imply a measure using the current enrollment as a benchmark. However, "two hundred additional undergraduates" explicitly states a measure. Although not all objectives can or should be stated in measurable terms, it is

useful to define even an imprecise measure for the purpose of historically assessing your progress. Certainly the attainment of "high quality education and research" is not something which can or should be precisely quantified. Yet a reasonable proxy stated as a measurable objective might be, "a graduate program judged to be one of the five best in the nation."

4. Objectives should emphasize the product rather than the process. For example, "seeking two grants" would be a process but "submitting proposals to at least five foundations" is a product.

The development of objectives is further illuminated in the examples attached at the end. After development of the collegiate objectives, it may be useful to review them by asking the question, "If our college accomplished these objectives (by June, 1983), would it be fulfilling its mission?" -- or at least making progress toward it. This will ensure that objectives relate to goals which in turn are built on the collegiate mission.

IV. PRIORITIES OF THE COLLEGE

After the development of the objectives, each college is to categorize the objectives and goals according to their degree of importance. Through this process the college will be anticipating the real world constraints of limited resources by indicating which objectives will take precedence.

All these goals and objectives will be important or they would not be incorporated into this document. Yet in requesting funds and allocating time, colleges will make choices either

consciously or unconsciously. This section requests colleges to make these choices consciously, a priori. Certainly it is both impossible and unwise to rank numerically a set of objectives as broad as these. Therefore, the colleges are requested to assign one of three weights to each objective:

- (1) of utmost importance -- the objectives are assigned the highest priority by the college; they will take precedence over all other goals and objectives; (some objectives may be included here which are essential for maintaining the fundamental character of the college).
- (2) of high importance -- these objectives occupy a position of central importance in the priority scheme of the college; however, they rank perceptibly lower than the (1) items.
- (3) important -- these objectives will receive the attention of the college, but only after programs and activities are planned and funded which ensure the accomplishment of the objectives in (1) and (2).

V. ASSUMPTIONS ON WHICH THESE STATEMENTS ARE BASED

The final section of this draft should specify the assumptions on which the college is basing its mission, goals, objectives, and priorities. This section should build on the institutional assumptions which are enclosed. If the college agrees with an institutional assumption and believes that it applies to the college without alteration or further comment, it need not be restated. However, if an assumption applies to your particular college in a way which is different from its application to the institution,

this should be noted. Also, please furnish the Planning Council with your rationale for departing from an assumption. Any significant assumptions which are not stated in the institutional statement but will influence objectives or mission of the college should be discussed. The Planning Council appreciates the difficulty of developing precise assumptions, particularly quantitative projections. Colleges should feel free to indicate candidly those areas where they know that a particular assumption is critical to an objective yet they have had difficulty arriving at a precise one.

- Enrollment. Each college is requested to provide an estimate of its enrollment over the next five years. High, low, and "mean" projections should be provided as they are in the President's statement. This information will be useful not only to the Planning Council but also to MPIS in its continuing work on collegiate enrollment projections.
- Income, Inflation, Facilities, Productivity, Staffing, and Technological Change. Each college should review these assumptions for their applicability to the specific college. Only those college assumptions which differ from the University assumptions need to be discussed.
- Changes in the Discipline(s). Please indicate any projected changes in the academic disciplines which underlie the college's goals and objectives.

As stated at the outset, it is difficult to write a set of guidelines which are equally meaningful to all colleges. To assist

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the colleges in developing their statements, the Planning Council presents the examples on the following three pages. Hopefully these will further illuminate the distinctions discussed previously. The Planning Council would also like to offer its assistance to any college which desires it. If further discussion is needed to clarify this request or if precedural suggestions on producing these statements would be useful, please feel free to contact Vice President Stein, Chairperson of the Planning Council. He can arrange meetings with members of the Planning Council who have deliberated these issues.

MISSION, GOALS AND OBJECTIVES

Some Examples

These examples are provided to characterize the difference between goals and objectives and to demonstrate the variety of styles which could be used. The Planning Council does not feel that there is a single best way to write these statements. These examples have been taken from existing planning documents, some of which are from colleges at the University.

Mission Statements

Because most colleges have their mission outlined in the preamble to the college constitution, an example of a mission statement has been omitted. In developing a mission statement colleges are encouraged to review their constitutional statement and modify it if necessary.

Goal Statements

1. Search constantly for the means to improve the educational experience of students -- through more choice among more diverse options, a renovated program of general education, a more constructive environment for developmental growth, more opportunities to mix work and education, among many other proposals.
2. To train talent for the profession and for positions of leadership in political and economic life.
3. The College should take leadership, in cooperation with other Minnesota colleges, in defining the most appropriate division of effort in teacher education.

4. To decentralize decision making in the college to the greatest extent feasible.
5. To supply competent technical and midmanagement personnel to the agricultural industries which supply the farmer with goods and services for production.
6. Exercise initiative and leadership to mobilize the considerable resources of the University to address by research and scholarly activity the significant social welfare problems of the State and nation.
7. To provide a liberal arts curriculum which will meaningfully affect students through exposure to a variety of disciplines.
8. To protect the faculty's right to academic freedom.

Objectives

1. Maintain overall enrollment at current levels, particularly minority enrollment.
2. Develop a more systematic and comprehensive job placement program.
3. Increase number of joint faculty appointments in doctoral program.
4. To recruit, admit, and in two years graduate thirty students qualified to teach severely handicapped children in middle schools.

5. Graduate each year ten doctoral students qualified for teaching/research responsibilities.
6. Expand the amount of research dollars awarded to the college so that it becomes at least 40% of the total budget.

Attachment 4**PLANNING: STRUCTURES AND PROCESSES****A Status Report**

One of the Planning Council's responsibilities is to advise the President on the appropriateness of planning structures that exist in the University. A necessary first step in carrying out this responsibility is to catalog the planning structures and processes that are currently used by the colleges.

This brief questionnaire requests each college to summarize the characteristics of its existing planning process. It should be completed and returned along with the unit mission, goals, objectives and priorities statement.

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PLANNING: STRUCTURES AND PROCESSES

A Status Report

College/Campus: _____

1. Has any individual or group(s) been formally designated as responsible for "planning"? If so, please indicate the title of the individual or list the name of the group(s) and describe its composition (e.g., students, faculty, deans, civil service staff, alumni).
2. If a group, how often does it meet?
3. How are members of this group selected? (e.g., elected, appointed)
4. Does the individual/group responsible for planning have advisory or decision making authority? Please explain.

5. Does this individual or group have staff support? If so, how many FTE's and at what level?

6. Please briefly describe the types of decisions which are the responsibility of this individual/group.

7. Is the "planning group" directly involved in preparing the annual budget or biennial request? Please explain.

8. Please briefly characterize the types of decisions for which the "planning group" will not be involved.

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9. Please list other groups who will consult with the planning individual/group on a regular basis.

10. Please list any reports or analytical studies which the planning group has undertaken or requested other committees to do on behalf of planning (in the last two years).

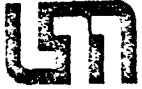
11. Please include any other comments which would assist the Planning Council in understanding how planning occurs within the college.

12. Please specify a person who could act as a liaison with the Planning Council if more information is desired.

Name: _____

Title: _____

Phone: _____



UNIVERSITY OF MINNESOTA

Office of the President
202 Morrill Hall
100 Church Street S.E.
Minneapolis, Minnesota 55455

February 26, 1979

To: Interested Parties
From: C. Peter Magrath, President
Subject: Salary Distribution for 1979-80

As you will recall, on March 23, 1978, we held a meeting of Interested Parties in order to provide an opportunity to hear views on how the funds allocated by the Legislature for salary increases for 1978-79 might be distributed. Although the circumstances are somewhat different, since we do not of course know the amounts with which we are working, we feel that it is nonetheless appropriate to review the issues involving cost-of-living increases, merit, and merit/equity adjustments.

As you know, we have recently allocated approximately \$445,000 for unit merit/equity adjustments on the basis of recommendations made by a committee chaired by Vice President Henry Koffler. Regrettably, the number of deserving claims exceeded the available funds. An effort was made to solve a few of the most urgent problems rather than to spread the available funds without making a significant impact anywhere in the institution. If legislative funding for increases in faculty compensation for 1979-81 allows a repetition of this process, we hope to have another such distribution of merit/equity funds, but would welcome your comments on this process and on the proposed distribution. A call for submission of claims should be made early enough so that, if conditions are appropriate, we can make such adjustments before the preparation of the 1979-80 budget. In this manner, the units involved could distribute these funds to individual faculty members at the same time salary raises are being given.

We should like to hold a session to discuss all of these matters on March 27 from 2:00 to 4:00 p.m. in the Regents' Room, 238 Morrill Hall. We will arrange to have conference phone connections for the coordinate campuses.


CPM

CPM:nw

cc: Professor Alfred Aepli, President, UMEA
Professor John Cound, Law School Faculty Association
Professor Wendell Glick, AAUP, Duluth Chapter
Professor Robert W. Goltz, Faculty Committee of the Health Sciences

Interested Parties

February 26, 1979

Page Two

cc: Professor A. Dean Hendrickson, President, UMEA, Duluth Chapter
Professor Joseph Latterell, AAUP, Morris Chapter
Professor Louis Toth, President, AAUP
Professor Fred L. Morrison, Law School Faculty Association
Professor Paul L. Murphy, AAUP
Professor W. E. Rempel, UMFT
Professor Nancy Hooyman, Chairperson, UMD Campus Council
Professor Larry Thompson, UMD Faculty Council
Professor Gerald M. Erickson, UMEA
Professor Laird Barber, Morris Consultative Committee
Professor Lynnette Mullins, Crookston Faculty Association
Professor Philip Allen, Waseca Faculty Association
Professor Michael Hutjens, Institute of Agriculture Consultative Committee
Professor Deon Stuthman, Agronomy and Plant Genetics
Professor Ellen R. Robert, Division of Social Sciences, UMM
Council of Academic Officers
Central Officers Group
Senate Consultative Committee
Senate Committee on Faculty Affairs
Senate Committee on Educational Policy
Provosts



UNIVERSITY OF MINNESOTA
TWIN CITIES

Office of the Clerk of the Senate
Morrill Hall
100 Church Street S.E.
Minneapolis, Minnesota 55455

March 26, 1979

To: President C. Peter Magrath
From: John S. Chipman, Chairman, Senate Committee on Faculty Affairs *J.S.*
Subject: Salary Distribution for 1979-80

The Senate Committee on Faculty Affairs met today to prepare its recommendations on salary distribution for 1979-80, and agreed to the following:

Our recommendation is that the allocation should be in the ratio of at least 2 to 1 in favor of salary adjustments based on individual merit and, in some cases, unit merit/equity. The across-the-board component shall not exceed 2 1/2 percentage points.

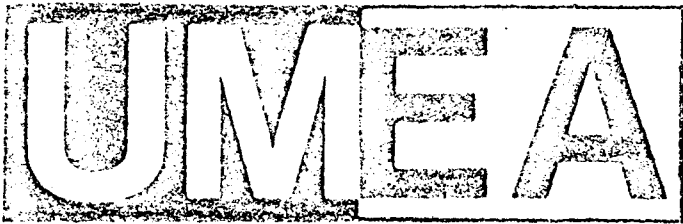
It is our understanding that \$500,000 will be a maximum adjustment for unit merit/equity allocations.

The allocation for across-the-board increases should be made as a fixed dollar amount based on a percent of the all-University mean salary.

cc: Vice President Henry Koffler
SCFA Members
Professor Mahmood Zaidi, Chr., Senate Consultative Committee

index
4-9-76

AMCP Unagreed
1 Fixed formula
2 Age - merit based
3 1/2% VSA absolute



UNIVERSITY of MINNESOTA
EDUCATION ASSOCIATION

Box 14093, University Station, ————— Minneapolis, Minnesota 55414

March 26, 1979

Salary Adjustments for the U of M Faculty in the Fall of 1979

1. Situation. Last year, the SCFA stated: "Even if all the 6.5 % were allocated for cost-of-living increases, this would be insufficient to make up for the erosion of salaries due to inflation." Today, this is even more appropriate, to put it mildly. According to Time Magazine, January 15, 1979, the percent change for the purchasing power of the income after taxes and effects of inflation over the 10-year period 1967-1978 is - 17.5 % for university professors. We are at the bottom of the list. Others: steelworker + 32 % , truck driver + 14 % , plumber + 4.5 % .

Inflation rate in 1978: ca. 9% per year; for consumer foods 12.9 % ;
for meat, poultry and fish 24.1 % .

2. Salary Structure. Almost every move by the administration during the last 20 years was designed to increase the discrepancies. Illustration: compare the Schedules V-A 1977-78 and 1978-79. E.g., there is a substantial increase of the number of faculty members with salaries \geq \$ 40,000, from 121 to 200.

Health sciences and administration are very much emphasized. The Minneapolis Tribune, July 16, 1978, listed 324 salaries \geq \$ 40,000 ; 114 in administration, 191 in health sciences, 2 in law, 17 in core university (out of about 2,000 professors in core university). Administration and health sciences go along with inflation, professors are not overhead, so they are singled out for punishment by inflation.

3. Proposed UMEA Plan. UMEA proposes a sliding adjustment scheme. Cf. attached schedule. To be submitted to the Legislature.

Respectfully presented

Alfred Aeppli
Alfred Aeppli, Prof. of Math.
President, UMEA

BRACKET	#	ACCUM #	MID-SALARY	TOTAL \$	RAISE	% RAISE	TOTAL RAISE
1	13	13	\$11,500	\$ 149,500	\$1,500	13.04%	\$ 19,500
2	16	29	12,500	200,000	1,475	11.80	23,600
3	45	74	13,500	607,500	1,450	10.74	65,250
4	73	147	14,500	1,058,500	1,425	9.83	104,025
5	106	253	15,500	1,643,000	1,400	9.03	148,400
6	168	421	16,500	2,772,000	1,375	8.33	231,000
7	175	596	17,500	3,062,500	1,350	7.71	236,250
8	184	780	18,500	3,404,000	1,325	7.16	243,800
9	156	936	19,500	3,042,000	1,300	6.67	202,800
10	390	1,326	21,000	8,190,000	1,275	6.07	497,250
11	357	1,683	23,000	8,211,000	1,250	5.43	446,250
		1,754					
12	376	2,059	25,000	9,400,000	1,225	4.90	460,600
13	321	2,380	27,000	8,667,000	1,200	4.44	385,200
14	267	2,647	29,000	7,743,000	1,175	4.05	313,725
15	217	2,864	31,000	6,727,000	1,150	3.71	249,550
16	174	3,038	33,000	5,742,000	1,125	3.41	195,750
17	126	3,164	35,000	4,410,000	1,100	3.14	138,600
18	88	3,252	37,000	3,256,000	1,075	2.91	94,600
19	57	3,309	39,000	2,223,000	1,050	2.69	59,850
20	200	3,509	41,000	8,200,000	1,025	2.50	205,000
	3,509			\$88,700,000			\$4,320,000

RANK	NUMBER	TOTAL \$	TOTAL MERIT \$
PROFESSOR	1303	\$40,831,500	\$4,135,800
ASSOCIATE PROFESSOR	895	21,845,000	2,212,700
ASSISTANT PROFESSOR	1018	20,891,500	2,116,100
INSTRUCTOR	293	5,140,000	520,600
TOTALS	3509	\$88,708,000	\$8,985,200

15% of \$88,708,000 is \$13,306,200

"Cost of Living" Raise \$4,321,000 (4.871%)
 "Merit" Raise 8,985,200 (10.129%)
 \$13,306,200

NOTICE: THE LAST COLUMN HERE AND THE FIRST
 ROW BELOW HAVE THE SAME DOLLAR DATA BASED
 ON A TOTAL PERCENT RAISE OF 15%.

Total %	Merit %	Professors (tot merit)	Associate Professors (total merit \$)	Assistant Professors (total merit \$)	Instructors (tot merit)	Total Merit \$
15	10.129	4,135,800	2,212,700	2,116,100	520,600	8,985,200
14	9.129	3,727,500	1,994,200	1,907,200	469,200	8,098,100
13	8.129	3,319,200	1,775,800	1,698,300	417,800	7,211,100
12	7.129	2,910,900	1,557,300	1,489,300	366,400	6,323,900
11	6.129	2,502,500	1,338,900	1,280,400	315,000	5,436,800
10	5.129	2,094,200	1,120,400	1,071,500	263,600	4,549,700
9	4.129	1,685,900	902,000	862,600	212,200	3,662,700
8	3.129	1,277,600	683,500	653,700	160,800	2,775,600
7	2.129	869,300	465,100	444,800	109,400	1,888,600

A PLAN TO RESTRUCTURE UNIVERSITY SALARY ALLOCATION

During the past year members of the UMDEA executive committee have tried to determine what adjustments need to be made in the University's salary allocation system in the light of the extraordinary inflation which has characterized the American economy during the past six years. We recognize that the administration has made some attempt to deal with this problem by instituting a small "across the board" allocation for all University faculty. Last year all faculty received \$400 designed to "offset the effects of inflation." Unfortunately this small allocation does almost nothing to offset the cost increases faced by faculty at all levels.

The problem faced by faculty members earning less than 16,000 dollars a year is especially acute. 16,000 dollars in 1978 salary translates to approximately 8500 1968 dollars. In addition the faculty member will have to pay state and federal income taxes and social security taxes on the higher salary. These combined losses reduce the 8500 dollars to 6500. Furthermore, if one examines what is likely to happen in the near future to the purchasing power of 1978 dollars and examines the likelihood of obtaining offsetting salary adjustments from state legislators besieged by calls for tax reduction, it seems clear that younger faculty members at the University and across the country are facing a lifetime of penury. Such faculty members already trail secondary school teachers, skilled tradesmen, bus drivers, postal workers, county and municipal employees, garbage collectors and used car salesmen by substantial amounts.

If we are to alleviate this situation in any way, we need to examine some alternatives substantially different from those which have been employed to date; and whatever strategies we examine will have to be directed at deploying the limited funds the legislature will provide for salary improvement in new ways. To assume that we can persuade the legislature to provide extraordinarily large percentage increases in faculty salaries, however well founded our arguments, is to ignore the lessons of the last six years. Most legislators have been more impressed by the recently published list of University faculty earning more than \$40,000 than by our arguments. It is difficult to persuade legislators that such individuals need 11% increases in their salaries.

Given this background UMDEA has joined the UMEA in requesting that a rider be attached to the University Appropriation for salary improvement. The rider would mandate that 4.9% of the budget base be distributed according to a sliding scale which would provide stepped increments ranging from \$1500, for individuals earning from \$11,000-\$12,000, to \$1025 for individuals earning \$40,000 or more. 80% of the faculty would receive \$1150 or more. The attached chart summarizes the way in which the system would operate. All additional

monies provided by the legislature would be allocated according to a strict merit plan. If UMDEA and UMEA were to prove successful in obtaining the 15% increase we are asking the legislature for, 10% would be available for merit. Similarly if the Regents' request for 11% is honored, over 6% would be available for merit. In the event that we are held to the Carter Administration wage guidelines, there would still be 2% available for merit.

UMDEA recognizes that this plan does ask relatively well-to-do faculty to help their less fortunate colleagues. We believe this to be in the best traditions of the academic community. In fact, the present University salary allocation system has been used to accomplish similar goals informally. These informal solutions were sufficient when we were not facing double digit inflation extended over long periods of time. They will no longer suffice.

Finally it is worth noting that this strategy, if it were implemented for a longer period of time, would tend to gradually adjust equalization problems within the University. In fact, the main virtue of adopting a program similar to the one outlined is that it would be the first step toward developing a coherent salary policy that could address the needs of all faculty. Using such a policy the administration might be able to provide legislators with a clearer picture of the University's needs in this area. In many states administrations have argued successfully for larger percentage increase precisely because they could demonstrate how salary money would be distributed to reward merit, remedy inequities and ameliorate the effects of increases in the cost of living.