



UNIVERSITY OF MINNESOTA
TWIN CITIES

All University
Senate Consultative Committee
154 Klaeber Court
320 - 16th Avenue Southeast
Minneapolis, MN 55455
Telephone (612) 373-3226

AGENDA (M)

April 13, 1978

Senate Consultative Committee

626 Campus Club

12:30 p.m.

1. Guidelines for Review of Administrative Officers
2. Preliminary Discussion of the Health Sciences' Consulting Policy
3. New SCC Faculty Members
4. Nomination of Assembly and Senate Vice Chairperson(s) for 1978-79
5. Further Discussion of Registration System Proposals
(Dr. James Preus will join us for this discussion)



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MINUTES OF THE SENATE CONSULTATIVE COMMITTEE

Meeting of April 13, 1978

The All University Senate Consultative Committee convened its sixteenth meeting of the 1977-78 academic year on Thursday, April 13, in Room 626 of the Campus Club.

Members present included Laird Barber, Wendell Glick, Kenneth Keller, Harriet Lewis, Fred Morrison, Richard Purple, Betty Robinett (chairman), Philip Ryan, Barbara Stuhler, Douglas Watson, and Mahmood Zaidi. Maureen Smith of University Relations was a visitor to the meeting.

Professor Robinett called the meeting to order at 12:45 p.m.

1. Consulting Policy for the Health Sciences

Professor Robinett provided some background information on how this came to be before the committee. Professor Purple said that he would like to invite the Dean of the Medical School, Dr. Neal Gault, Jr., to speak to SCC on this matter. Professor Purple felt that perhaps some of the facts have been lacking in discussions of the Health Sciences and such a meeting might provide the opportunity for the committee to review pertinent information and seek clarification on items it is interested in pursuing. He showed the members a packet of materials having to do with the Health Sciences and the Medical School, copies of which will be distributed to SCC members sometime next week. It was decided that Dean Gault would be invited to meet with the committee at its May 11 meeting and that Vice President French would also be invited to that meeting.

This will be the first in a projected series of informational meetings with heads of units.

2. Guidelines for Review of Administrative Offices

Professor Glick remarked on the guidelines drafted some time ago (copies were distributed at this meeting) on how the review of an administrative office should be conducted. He will make available to SCC the document forwarded to him by Professor Barber (UMM) on the review of the Provost for that campus. He then suggested that the committee review the various documents once they are all available and plan to discuss them with President Magrath at the May 4 meeting.

3. New SCC Faculty Members

There was unanimous agreement that Professors Vera Schletzer and L.E. Scriven, the newly elected faculty members on SCC for 1978-79, be invited to join SCC for the remaining meetings this year. Professor Robinett will write a letter of welcome.

4. Nomination of Assembly and Senate Vice Chairperson(s) for 1978-79

The committee reaffirmed its position of not making any nominations for these positions as the Senate Consultative Committee, but that individual members of the committee may elect to do so.

5. Professor Krislov's Letter of February 24 on Bookstores' Policies

Professor Krislov had written a letter to Vice President Koffler raising some questions on the policies of the University Bookstores. He had sent a copy of his letter to James Duffy, Director of the University Bookstores, and to Professor Robinett. Professor Krislov's letter had been forwarded to Vice President Brown for a response. Professor Robinett told the committee that she will inform the members once a reply has been received (she was sent a copy of the letter from Vice President Brown explaining the delay in responding, so it will be assumed that she will also receive a copy of the actual reply to the questions raised in Professor Krislov's letter).

The committee discussed briefly the merits of the issues raised in Professor Krislov's letter and then deferred further discussion of the matter until the reply from Vice President Brown is available.

6. Professor Akehurst's Letter of March 27 on Faculty Salaries

Professor Robinett read the committee a letter written to President Magrath, a copy of which she had received recently from Professor Akehurst. In essence, the letter referred to the dilemma of faculty salaries which appear to be shrinking in terms of real dollars and the competition in today's marketplace for new faculty members; this competition often results in the necessity of the University's offering a salary to these prospective new faculty members which exceeds that of persons who have been here a number of years. Professor Robinett presented this as an informational item and will communicate to the committee any further information she receives on this as it becomes available.

There was some discussion of the impact of this unfortunate reality on the maintenance of a high quality teaching staff at the University and the ramifications over the long run of such practices.

7. Professor Finn Wold's Letter of March 27 - On Retrenchment...

(Refer to minutes of 4/6/78 meeting for another discussion of this letter.)

Copies of this letter and Professor Robinett's written response to it were distributed. Professor Keller felt that SCEP should receive copies of the letter for possible discussion by that committee. Professor Purple and Mr. Ryan, both members of SCEP, said they would take it to SCEP.

8. Identification of Outstanding Faculty

The committee discussed ways in which this could be accomplished. Maureen Smith of University Relations (a visitor to this meeting) explained the procedures used for including articles in Report (a publication sent monthly to faculty and staff of the University of Minnesota) on newsworthy events and people. Members cited several persons on the faculty who have recently received recognition of various sorts for outstanding contributions they have made. It was pointed out that the Alumni Association could become involved in identifying outstanding alumni of the University.

The main concern was that there seems to be very little done to publicize what members of the University community are doing or have done to achieve national

or even international acclaim and recognition. The committee agreed that there needs to be some systematic approach taken to identify outstanding faculty and alumni. Ms. Smith said that her department would appreciate being informed by those in a position to recognize such contributions of these notable persons.

* Professor Stuhler suggested that perhaps department chairmen could be asked to identify outstanding faculty at the time the faculty activities reports are being completed. She said that she would write a draft of a letter addressed to department chairmen requesting this information (copies will be distributed to SCC members for discussion at some future date).

9. Update on Activities of GSLRAC and LRAC

Ms. Lewis reported that the Graduate Student Legislative Relations Advisory Committee (GSLRAC) is in the process of trying to arrange a meeting with Senator Moe. Professor Keller said that the Legislative Relations Advisory Committee (LRAC) will be meeting next Tuesday (4/18/78). The two groups will continue to keep the Consultative Committee informed as events occur.

10. Vice President Koffler's Letter to Professors Aris, Chipman, and Robinett Concerning November 1977 Draft of Defense & Indemnification Statement

* Professor Robinett read the brief memorandum from Vice President Koffler in which he asked SCC, SCFA, and the Tenure Committee to review and comment on the draft of a statement on the defense and indemnification of faculty and staff by the University. Professor Morrison was asked to state the history of this document. After doing so, he said that one of the critical issues is whether the faculty or staff member is determined to have been "on a frolic of his own" or engaged in activities related to employment at the University. He also remarked that the document that had been distributed today was not, to his knowledge, the most recent one. He will look into this and report back to the committee. (Until this has been resolved, a discussion of the statement will be deferred.)

11. Registration System Proposals

Dr. James Preus, Coordinator of Student Support Services, Admissions & Records, was unable to attend this meeting of SCC to discuss the proposals because of a prior commitment. He will meet with the committee at some future date.

The meeting was adjourned at 2:45 p.m. The next meeting of the Senate Consultative Committee will be on Saturday, April 22, at 10:30 a.m. in the Dale Shephard Room of the Campus Club. This meeting will be held solely for the purpose of discussing UCBRR's recommendations on the Biennial Request.

Respectfully submitted,
Linda L. Compton
Administrative Fellow
Senate Consultative Committee

University Policy on Defense and Indemnification
of Faculty Members and Other Employees

Draft recommended by Deans and Directors Subgroup:

Deputy Vice President William F. Hueg, Jr.

Dean Neal L. Gault, Jr.

Dean Frank J. Sorauf

Associate Dean Robert A. Stein, Chairman

Minnesota law provides that the University shall be liable for injury caused by certain acts of its faculty members and other employees, if these actions are within the "scope of their employment."* The University also has a responsibility to defend faculty members and employees and to pay part or all of their legal costs or damages, if they are sued for actions within the "scope of their employment." In the event of suit, University officials must determine whether to defend and indemnify faculty members and employees, or to disclaim liability because the alleged actions are outside the "scope of employment." The following statement is intended to guide that determination and to advise faculty members and other employees of the circumstances in which they may continue to be personally liable. (Note that the "scope of employment" has different

* The Minnesota Supreme Court, in the case Nieting v. Blondell, 235 N.W.2d 597 (1975), following the trend in most states, abolished the doctrine of "sovereign immunity" which had protected the University against suit. The new law covering claims against the state and the University can be found in Minnesota Statutes § 3.736 (1976), which took effect on August 1, 1976. Claims arising from events before August 1, 1976, are governed by other considerations.

A recent decision (June 3, 1977) holds open the possibility of an alternative basis of liability -- that some University functions may be found to be "proprietary," and for such functions the University would have the same liability as any other employer.

legal meanings in connection with different questions, such as taxation, social security, worker's compensation, etc. This statement only pertains to the "scope of employment" for purposes of liability.) The University carries a liability insurance policy which provides defense and indemnity in many situations, subject to policy limitations.

The following sections describe the "scope of employment" of types of University employees. The section on "Limitations and Exclusions" applies to all classes of employees.

A. Regular faculty, non-regular faculty (2/3 time or more), and academic staff.

The University will consider members of the regular faculty* to be acting within the "scope of their employment," if they are engaging in teaching, research, or service within the field of their University appointment, or if they are engaged in assigned administrative duties. Regular faculty on nine-month or longer appointments will be considered to be employed on a full-year basis with respect to such activities even during the period in which they receive no paychecks. Note, however, the exclusions and limitations below.

* Members of the "regular faculty" are those holding tenure or probationary appointments as well as faculty on Special Contracts which confer similar status. The term "regular faculty" includes such persons when they are on sabbatical, single-quarter, or other authorized leave.

Non-regular faculty members (T-appointees) on two-thirds time appointment or more for at least nine months of the year will be treated in the same manner described in the preceding paragraph. Staff members holding "E" appointments will also be treated in the same manner.

"Teaching, research, and service" are intended to be broadly defined. Teaching includes classroom work, lecturing, and individual instructional contact, within the field of the University appointment and under University auspices, both on and off campus. Research includes both formally articulated, sponsored and unsponsored inquiry, as well as the less structured inquiries of faculty within their fields of appointment. It includes, where appropriate to the field of appointment, artistic production. Service includes all forms of making the faculty member's professional expertise available to the University community and to the public at large, whether on or off campus. (Coverage may, however, be excluded for any of the reasons set forth in the section on "Limitations and Exclusions" below.) None of these terms is intended to cover acts arising from social or private relationships with students, colleagues, or the public.

The "field of the faculty member's University appointment" includes the nominal field or fields which appear on the Notice of Appointment, related interdisciplinary areas, and other fields in which the University has officially recognized and supported the faculty member's scholarly endeavor.

The University's responsibility extends to suits alleging personal injury or property damage caused by the faculty member within the "scope of employment," as well as suits for defamation or invasion of privacy. The responsibility includes liability for professional malpractice, if this malpractice is committed within the "scope of employment," subject to the restrictions set forth below.

B. Limitations and exclusions.

1. The University will not consider a faculty member to be acting within the "scope of employment" if the faculty member is acting on behalf of another employer at the time of the incident.* In such instances, the faculty member must look to the other employer for indemnification and defense or must provide it personally.

2. The University will not consider a faculty member to be acting within the "scope of employment" if the liability arises from activity of the faculty member as an independent contractor or independent professional. As a general rule, the University will deny liability and the duty to defend if the

* In some instances the University and the other employer may be construed to be "joint employers" under principles of law. In such cases both may be responsible for the act. The University will normally presume work done for another employer to be outside of the scope of University employment.

A faculty member who takes a full or partial leave of absence to accept research funds or to engage in the private practice of a profession for compensation will normally be presumed to be acting for the granting agency or company (or as a personally responsible independent contractor), and not as an employee of the University. A faculty member who takes a full or partial leave of absence to engage in research supported by a non-profit, charitable or governmental agency (such as Guggenheim, Fulbright, etc.) will normally be presumed to be acting within the scope of employment.

faculty member has received separate compensation (other than reimbursement for expenses and/or a nominal honorarium of not more than \$50) for the activity. In such cases, the faculty member must personally provide insurance or face exposure to legal liability. A faculty member on full or partial leave or sabbatical, who receives payment from a foundation or similar agency in lieu of regular salary will be considered to be within the scope of employment for research within the field of appointment.

3. Since the University is not normally involved in the prior approval or assignment of the publications or public lectures of its faculty, it will not consider publications^{or public lectures}/other than those in recognized scholarly journals or by scholarly presses as within the scope of employment for the purposes of this policy.

Publication or lecture activity will, on the other hand, be included within a faculty member's "scope of employment" if such activity is sponsored or published by the University or is specifically assigned as a regular part of the faculty member's responsibilities.

4. According to state law, the University will not defend or indemnify a faculty member against liability in cases of "malfeasance in office or willful or wanton neglect of duty." (Minnesota Statutes § 3.736, subd. 9 (1976)) In such cases, if the University itself is named as a party to the suit, it may require the faculty member to indemnify it for any loss.

5. The University will not indemnify faculty members for fines, penalties, or punitive or exemplary damages.

C. Non-regular faculty (less than 2/3 time); student academic employees.

The University will consider non-regular faculty and academic staff, who are employed less than two-thirds time, fellows and students who are employed in academic positions to be acting within the "scope of employment" only if they are performing assigned duties appropriate to the position or other duties specifically assigned in writing. The University does not consider the unassigned teaching, research or service activities of such persons to be within the scope of employment.

D. Volunteers.

Volunteers who assist in identified teaching, research, service or administrative activities at the written request of an authorized administrator will be treated as if they were employees within the limited scope of their invitation. In all of these cases the above limitations and exclusions will apply.

E. Civil service employees.

Civil service employees will be considered to be acting within the "scope of employment" if they are performing duties within their job descriptions or other duties at the specific request of their supervisor.

F. Notification.

A faculty member or other employee who is served with legal process or who is aware of a potential claim (or of an incident which could give rise to a claim) should notify the University Attorney immediately. In order to receive defense and indemnification, the faculty member or other employee must cooperate in the investigation and defense of the claim.

G. Special cases.

Medical doctors and associated health professionals who have filed the private practice consultation agreements in accordance with the Regents' Statement of Policy on Private Practice Consultation will be considered to be acting within the "scope of their employment" when they perform medical services on a 24 hour a day, 7 day a week basis.

The "scope of employment" of other medical doctors and other health service professionals will be as defined for other faculty.

Agricultural extension agents who are jointly employed by the University and by the statutory county extension committees will be treated as employees of the University.*

* In some instances the University and the county may be construed to be "joint employers" under principles of law. As a joint employer, the county may be obligated to contribute to the defense and indemnification of the employee.

ii. Determination of Scope of Employment.

The determination of whether a faculty member, employee or volunteer was acting within the "scope of employment" with respect to an activity giving rise to a claim against the University will be made by the Vice President for [Finance] after consultation with the faculty member, employee or volunteer involved, and the appropriate unit head, Dean, Vice President and faculty committees.



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BWR
GCL

March 16, 1978

Professor Finn Wold, Head
Department of Biochemistry
140 Gortner Laboratory
St. Paul Campus

Dear Professor Wold:

I want to express my appreciation for your very detailed letter regarding the situation in which your department finds itself in this period of retrenchment. It reflects more than just your own problems; it mirrors the frustrations of many of us. I will share this letter with the committee, chaired by Professor Mahmood Zaidi, to which the Senate Consultative Committee has delegated the major responsibility for discussions with the administration regarding matters related to the biennial request and the annual budget review: the University Committee on Biennial Request and Budget Review (UCBRBR). I shall also, of course, bring your letter to the attention of the Senate Consultative Committee, which maintains a parent's watchful eye over the whole process.

One of the concerns of our committee has been to initiate some method by which decisions can be made on the basis of principles rather than in an ad hoc fashion. The questions you have raised will be helpful to us in our attempt to do just this.

Sincerely yours,

Betty Wallace Robinett

Betty Wallace Robinett, Chairman
All University Senate Consultative Committee

BWR:11c

cc: Professor Mahmood Zaidi, Chairman
University Committee on Biennial Request & Budget Review



UNIVERSITY OF MINNESOTA
TWIN CITIES

3/10/78
Department of Biochemistry
College of Biological Sciences
140 Gortner Laboratory
1479 Gortner Avenue
St. Paul, Minnesota 55108

March 9, 1978

Dr. Betty Robinett, Chairperson
Consultative Committee
Engl as Second Lang
154 Kla Ct
Minneapolis Campus

Dear Dr. Robinett:

I am impressed with and grateful for your committee's efforts in trying to establish a more rational definition of all aspects of the educational mission of the University as a basis for our dealing with the State Legislature. The main purpose of this letter is to declare my support for your work and offer whatever assistance I can give.

On the assumption that it may be useful to the committee to have a file of "case histories" with associated specific questions, I should like to present the case of the Department of Biochemistry, CBS, as an illustration of the inconsistencies and problems that have led to my own current state of bewilderment and frustration.

A. Descriptive Background

1. Our 0100 budget carries 16 full time faculty members, and all the data in the following refer only to this 16 person departmental unit. In addition to the 16, 3 faculty members in the Freshwater Biological Institute hold their academic appointments and teach in this department. At the graduate level the department is completely integrated with the Medical School Biochemistry Department into a single graduate program of biochemistry, and through the operation of an all-university coordinating committee and frequent interactions of the two department heads, we are trying to eliminate duplication of efforts in the two departments, and to foster mutually supportive action and sharing of the work load. Since cost of administration appears to be a sore point at this time, I should also like to emphasize that both department heads participate in the regular teaching programs in their respective departments, operate active externally supported research programs with graduate students and postdoctoral associates, and serve on examination committees just like any other faculty member.

2. Our department (16 faculty members) currently has an 0100 budget of \$578,514. We have a self-generated direct cost research budget of \$920,000, which generates an additional \$249,000 in overhead funds.

3. To the best of my knowledge, we have established a solid record of quality in teaching. Because of the requirement for extensive training in chemistry and math before starting biochemistry, we teach mostly to juniors, seniors and graduate students, and many of our classes are relatively small. The heavy

commitment to research and research training involves the faculty both in extensive 1 to 1 interaction with undergraduate and graduate students and in service on graduate examination committees for about 80 majors and 3-400 minors. It is impossible to justify these activities within the requested 14/1 student/teacher ratio.

4. Students in CBS pay higher tuition than those in for example, CLA, presumably to compensate for our lower student/teacher ratios and our "expensive physical plant".

5. The salaries in this department are low in comparison with departments whose members represent our major competitors in the job market. At the full professor level our average salary is 20% lower than the average in the Medical School Biochemistry Department and 30% lower than the average for a comparable group in the Chemistry Department. In seeking equity funds, even for a specific, well documented retention case, our "low teaching load" and "expensive operation" have been the main stumbling blocks and I have been unsuccessful in my quest for equity to the point where the salary discrepancies are greater now than they were 4 years ago.

6. In 1977 the faculty published 56 scientific papers and invited chapters (abstracts not included); one member of the faculty received a national (Am. Chem. Society) award for meritorious research contributions and one is serving as president for a national professional society (the American Institute of Nutrition); 7 faculty members served on national peer review committees (NIH, NSF, Research Corp., Am. Cancer Society) and we have representatives on the editorial boards of at least 5 major journals in the field; every member of the faculty has contributed to at least one of the major national and international professional meetings and symposia this year. None of these activities have detracted from our involvement in undergraduate teaching. Every laboratory and lecture section offered is run full time by the faculty member in charge. In large classes, teaching assistants are participating, but as assistants, not as independent instructors. My own prejudice is that the quality of our teaching is directly related to our activity in research and research related functions, but since I cannot add any significant new documentation to this old argument, I simply wish to strongly emphasize that these activities in no way weaken our commitment to quality teaching.

The above statements reflect the status of our departmental response to what we understand to be our mission in the University, and also indicate some of the frustrations we encounter in dealing with the Administration under the current emphasis on enrollment and student/teacher ratios.

B. Specific questions and comments:

1. On what basis is a department such as ours judged to be expensive, and in how many ways are we supposed to compensate for this judgement? The net cost for the department to the state is $578,514 - 249,000 = 329,514$. The undergraduate students pay high tuition, and the \$920,000 we bring in for research are spent mostly in Minnesota to yield tax income to the state. The fraction of the research budget spent on research assistantships, postdoctoral stipends and equipment represents a very significant direct contribution to the educational

mission of the department. My own evaluation is that ours is a very inexpensive and efficient operation by any criterion except perhaps student hours taught.

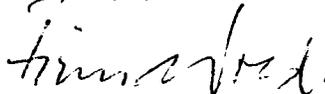
2. The paradox of the retrenchment as it effects us is that under current policies all the pressures dictate to give up the "expensive" research instruction, and move toward larger classes with fewer faculty members. This will inevitably result in loss of research time and research grants, and weaken the very basis for attracting and retaining top quality staff and students.
3. There is a very simple, and to me equitable way in handling the situation. Give each unit a "teaching requirement adjustment" corresponding to the amount of funds brought back to the University (Dean Caldecott has already proposed this to the central administration). In our case we generate and return to the University 43% of our 0100 budget in the form of overhead funds. Why not reduce the student-credit hour requirement correspondingly?
4. Another way to handle the situation (if we are really stuck with student/teacher ratios, FTE's and contact hours) is to establish proper evaluation of our involvement in graduate education. For example, according to the last printout the 16 faculty members on this department are assigned to 143 graduate examination committees. Estimating each of these to last for an average of 3 hours, this committee assignment amounts to 429 contact hours, with a good deal of additional preparation time, especially when proper and critical evaluation of a thesis is involved. If we estimate that roughly one half of these exams would take place in one year, it would correspond to seven extra 3 cr courses in terms of faculty time, yet this effort is apparently not accounted for in any evaluation of the faculty activities.

It is difficult to try to present the mood of a rather demoralized and bewildered faculty without having the result come out like a sob story. I hope you will accept this in the spirit in which it was written, namely as a sincere attempt to provide arguments and data for the current important discussions about the missions and goals of the University of Minnesota.

Please let me know if I can be of any help or provide further information.

With my best regards.

Sincerely yours,



Finn Wold
Professor and Head

FW:ba

P.S. I have sent copies of this letter to Dr. Koffler, Dr. Caldecott and Dr. Little. You should feel free to use the information in any way you feel is helpful to you.

FW



UNIVERSITY OF MINNESOTA

Office of the President
202 Morrill Hall
Minneapolis, Minnesota 55455

SAC

March 29, 1976

To: Council of Academic Officers
Central Officers Group
Senate Consultative Committee

From: C. Peter Magrath

Subject: Draft Procedures for Review of Central Administrators

Most of you are aware of the fact, I know, that virtually all of the constitutions of the University of Minnesota's collegiate and other units either contain provisions for the review and evaluation of their administrators or are likely to contain such provisions when draft constitutions currently under preparation and review are adopted by the Board of Regents.

I personally favor such a process of review and evaluation, for it can and should be essentially a constructive exercise in which an administrator can learn about his or her performance and can identify ways in which to improve the unit's performance in relationship to the institution's needs and the operations of other University units. Our collegiate and other units vary somewhat in their particular provisions and procedures as the attached Appendix A indicates, but this is understandable since a unit to some extent should appropriately follow its own particular traditions and needs.

The basic principle for review and evaluation, however, should be institution-wide, and it should apply as well to selected key Central Administrators. The responsibility for this process of reviewing and evaluating constructively the performance of Central Administrators should be mine, undertaken through a consultative process, and accordingly I am proposing for your review and comment the attached draft procedures for evaluating the performance of Central Administrators. (Appendix A, attached to the draft procedures, is a summary of the current constitutional provisions in our various units providing for review of senior administrators; the compilation also covers those

Council of Academic Officers
Central Officers Group
Senate Consultative Committee
March 29, 1976
Page 2

units with draft constitutions under consideration, and units that do not currently appear to have specific provisions for review. Since we are currently in the process of preparing a number of draft constitutions, it may be that the Appendix A listing is not correct in every respect. If you see any errors of commission or omission, I would appreciate your passing these on to Dr. Lupton.)

I look forward to discussing the draft procedures I have prepared with you in the near future.

CPM
CPM

CPM:nw
Enclosures

cc: Dr. Jeanne T. Lupton



UNIVERSITY OF MINNESOTA

Office of the President
202 Morrill Hall
Minneapolis, Minnesota 55455

March 1976

REVIEW OF KEY UNIVERSITY ADMINISTRATORS DRAFT PROCEDURES AND GUIDELINES

Background and Purpose

There should be a publicly understood process for reviewing and evaluating the work of key University administrators. The purpose of the evaluation, which is a responsibility of the President and the Central Administration, is to provide the President with guidance on the performance of the individual, constructive suggestions for meeting problems that arise in a particular area, and concrete proposals for making improvements in the administrator's area of responsibility.

Most collegiate and unit constitutions include provisions for review of the senior administrator. (A listing is attached as Appendix A.) In cases where administrative review is not currently contained within a collegiate or unit constitution, we should consider implementing on a temporary basis, a review mechanism based on the general guidelines existing in those units that do have review mechanisms.

Scope of the Review Process

Reviews of the performance of Vice Presidents and other high-level University administrators should be implemented as a responsibility of the University President. The following positions are included:

All Vice Presidents, including the Deputy Vice President for Agriculture, Forestry, and Home Economics

Provosts of Coordinate Campuses (they all have constitutions except UMW)

The Director of Alumni Affairs

The Director of Campus Development

The Director of Equal Opportunity and Affirmative Action Program

The Director of University Libraries

The Director of Men's Intercollegiate Athletics

The Director of Personnel

The Director of University Press

The Director of University Relations

The Director of Women's Intercollegiate Athletics

Procedures

The general procedure to be followed would be that the President would appoint a Review Committee to review the performance of the administrator and problems related to the individual's area. The Review Committee would not make a recommendation on retention or resignation of the individual in question, for administrators serve "at the pleasure" of their superior (except where a term appointment is clearly specified). There should, however, be a structured process for reviewing performance, and for the person being reviewed to decide whether he (or she) wishes to continue in the assignment. The material in the evaluation reports

would be informational to the President and to the individual in question.

(We are referring here to central University administrators and directors of various units; in some cases it will be most appropriate for the report to go initially to a Vice President -- e.g., the Director of the University Press who reports to the Vice President for Academic Affairs.)

All persons being reviewed should be reviewed after five years in their position. Since a number of administrators have been in such positions for longer than five years, a staggered schedule for reviews will be established for these individuals. To avoid tying up too many persons all at once, there would be no more than four to five reviews under way in any given academic year.

The Review Committees will be representative of major constituency interests, but small in size -- i.e., five to seven persons. They will be appointed by the President, including individuals directly designated by the President, but will also rely on faculty and students selected through a consultative process involving the University Senate Consultative Committee.

The administrator being reviewed should prepare for the guidance of the Review Committee and the President a self-critique and an evaluation of the problems he confronts. This self-evaluation should include future objectives for his area of responsibility, and a discussion of the challenges and opportunities he sees for improving his office and its work.

Issues To Be Covered in the Evaluation

1. General assessment of the individual's performance.
2. Evaluation of the position and its problems and opportunities in relationship to faculty and student needs and to other offices and component units of the University of Minnesota.

5cc
April 8, 1976

Subcommittee Draft of Policy on Administrative Review (Glick, Keller, Reisman)

PREAMBLE

The principles of accountability and of periodic evaluation are generally accepted by the university community as defensible expedients for encouraging quality performance and identifying problem areas where inefficiency or incapacity are negatively affecting the achievement of the university mission. Students are evaluated in their course work by the faculty; civil service persons by their superiors; faculty by students, peers, and administrators; and many administrators by their superiors or by their constituencies, according to procedures incorporated in collegiate and unit constitutions. Those persons currently being evaluated are outside the intent of these guidelines. The purpose of this document is to insure an even-handed treatment of all members of the university community by prescribing general principles for review of any persons whose work for whatever reason is not now being evaluated.

SCOPE (Draft 1)

Excluded from the provisions of this document are those persons who do not exercise the prime responsibility for units, and who do not make policy, but who serve on the staffs of the principal administrators who have such responsibilities. All such subordinates of deans and directors, and central officers, are to be reviewed at stated intervals, however, by their superiors, in accord with whatever procedures seem most appropriate.

Specifically, this document applies to the following:

All Vice Presidents, including the Deputy Vice President for Agriculture, Forestry, and Home Economics

Provosts of Coordinate Campuses

Directors of Alumni Affairs, Campus Development, Equal Opportunity and Affirmative Action, University Libraries, Men's Intercollegiate Athletics, Women's Intercollegiate Athletics, Personnel, the University Press, and University Relations

SCOPE (Draft 2)

The provisions of this document apply to those persons who have prime policy-making and/or budgetary responsibility for administrative units of the University and who would not otherwise be evaluated on a periodic basis in accordance with a unit constitution or civil service regulations. The provisions are not intended to cover persons who serve on the staffs of such deans, directors, and central officers. However, it is expected that they, too, will be reviewed at stated intervals by their superiors in accordance with whatever procedures seem most appropriate.

Among the persons to be reviewed in accordance with this document are the following:

(same as listed above, plus the following:)

E category principal administrators reporting to vice presidents such as the directors of the Research Accounting Office, Educational Development Office, International Programs, Student Financial Aid, Coffman Union Programs, University Bookstores, etc.

FORMATION OF REVIEW COMMITTEES

Five persons shall be appointed by the President or his agent, in collaboration with the Senate Consultative Committee, to conduct the review. An ad hoc judgment shall be made in each case as to the need for student, civil service, or faculty representation on the committee; or the need for extra-unit or extra-university professional expertise.

CHARGE TO THE COMMITTEE

- A. The position shall/should be defined and the job expectations clearly set forth by the President or his agent,
- B. The administrator being reviewed should prepare for the guidance of the review committee and the President a self-critique and an evaluation of the problems encountered in the position. The self-critique should include objectives for the area of responsibility and its opportunities as the administrator perceives them, the aim being to improve the office and its effectiveness.
- C. The committee evaluation should consist of a point-by-point judgment of the incumbent's personal and professional performance against the stated expectations for the position. The committee, however, should make no recommendation as to retention or non-retention of the officer.
- D. The review process provides a unique opportunity to evaluate the operations of the unit itself, particularly as those operations relate to the unit's service function and to the mission of the University. Therefore, the committee should review the administrator's evaluation and any other information available to it with these points in mind and comment, where appropriate, on policies or procedures that might bear modification or further study.

FREQUENCY

Reviews should take place at intervals of five years, or at the appropriate conclusion of the incumbent's term.

DISSEMINATION OF THE COMMITTEE EVALUATION

Clearly, the report of the committee is for the use only of the President or the immediate superior of the administrator, and is not a public document. Copies should be sent only to the President, the administrator's immediate superior, and the incumbent. The report should be made a part of the incumbent's record.



UNIVERSITY OF MINNESOTA
TWIN CITIES

Graduate Assistant Information and
Assistance Office
411 Johnston Hall
101 Pleasant Street S.E.
Minneapolis, Minnesota 55455

(612) 376-3644

April 13, 1978

TO: UCBRR members

FROM: Harriet Lewis

The following information was obtained in an interview with David Preston and Cherie Perlmutter. These explanations relate to the increments listed in the March 30, 1978, Interim Working Budget for the Health Sciences.

Public Health Increase \$590,114

The University's public health program is funded largely through grant monies. State dollars comprise 34% of its instructional budget. It is funded with the fewest state dollars per student (\$2,483) of all the public health schools in the nation. The curriculum consists of small programs with limited flexibility. If the grant funding in a certain program is lost, the entire program would be lost. Public Health is a field which needs more graduates, but the school does not want to risk an increase in enrollments until the school's base is improved. The position breakdown is: .5 Epidemiology, .5 MCH, .5 Long Term Care Adm, 1.5 Environmental Health, 1.0 Health Education.

Public Health - Federal Replacement Increase \$63,704

This increase is being recommended for the specific program in mental health administration. The grant which had supported this growing field is currently being phased out.

Nursing Increase \$581,506

There is a tremendous demand for graduate level trained nurses - particularly nurses to teach in the various nursing schools throughout the state. The program is adding 28 students this July and another 56 students during the next biennium.

Pharmacy Increase \$75,000

The two academic positions requested for pharmacy are as follows: (1) a position for the new field of nuclear pharmacy and (2) T.A.'s in pharmacy (for second year of biennium only).

Pharmacy Federal Replacement Increase \$300,000

Two academic and three civil service positions would replace a grant in Competency Based Curriculum. The project is not completed, but grant is running out.

Dentistry Increase \$131,500

This money is being requested for work with cleft palates. The existing small clinic is the only one in this part of the country and there is a

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demand to increase its service. Clinic income will help to pay for the program.

Dentistry - Federal Replacement Increase \$402,585

A team grant was given by the Federal Government for five years to be used in the training of dentists along with hygenists and aids. The basic premise behind the grant is for the various dental professionals to learn each others roles and thus learn to work together. The Federal Government gave the grant for a limited time and believes that if the program is worthwhile, the University should now assume the costs. In the long run, such teams will reduce the cost of dental care for the consumers.

Medicine Increase \$763,280

The increases here are enrollment related, 21 new students the first year, 36 the second year, including 12 transfer students from UMD. One half Position is being requested for dermatology, one of the weaker programs, and another half position is for imunogenetics, a priority item in Minnesota. We do not want to lose the areas wheich represent a unique strength in Minnesota.

Medicine - Federal Replacement Increase \$358,296

The Federal Government formerly put money into graduate training in the basic sciences. These units continue to have heavy undergraduate teaching loads, but money has been cut back. 7.5 positions are being requested to support T.A.'s in the basic sciences. Two positions are being requested to replace instructional grants in Physical Medicine and Rehabilitation in the fields of Occupational and Physical Therapy. A final position will replace a position in pediatrics where a grant is being lost.

Support Services Increase \$128,000

The support services are academic services. One position is being sought for the Learning Resources Center in the area of biomedical graphic art and design. This service is currently paid for by users with their grants. This increase would enable them to help faculty with course support. A second position is requested for the Student Counseling Office. This office helps students determine which area in the health sciences they should pursue. A part of this request would fund a traveling counselor who would talk to high school guidance counselors and inform them about what is available in the health science fields. A third position is requested for the coordinator for continuing education for allied health programs, programs such as physical and occupational therapy. Continued Education programs in these fields are needed around the state.

HEALTH SCIENCES SPECIALS

Duluth Medical School Increase \$168,000

The Duluth Medical has been totally funded as a special. The University asked to fold this special in last session, but the legislature is interested in this appropriation and likes to keep it as a special so that it

can be monitored. The major increase is a need for civil service related to the move to a new building. Animal and instrumental technicians are needed to maintain the building's new facilities. A civil service and a faculty position are both requested to aid in increased teaching loads related to courses taught for other (non-medical) UMD students.

Special Hospitals, Service, and Educational Offset Increase \$300,000

The hospitals have had a long standing appropriation. Because of the teaching function of the hospitals, extra staff are needed to supervise students. For example, on a floor where one nurse would ordinarily suffice, two nurses are needed to supervise the students. Patients should not have to pay for the additional staff who are related to the hospital's educational function.

Medical Research Increase \$570,000

This request is intended to generate seed money to help new investigators begin their careers. Traditionally this money has been funded as part of the health sciences request although the money is administered through the Graduate School Research Development Center. The increase relates to targeted Dental Research - there is an untapped potential for dental research. There is also a potential for health services research which would investigate the methods of health care delivery. For example, would group practice cheapen delivery. The establishment of such a research center is high priority. Such researchers would work with the legislature as it makes public policy decisions. This new emphasis is the rationale behind the appropriation as a special. Such research has an interdisciplinary character - sociologists, public affairs professors, etc., work along with professionals in the medical areas. The center would buy the time of these non-medical people to work in this type of research.

Medical Services and Instruction Increase \$1,430,402

New monies are sought to increase activities across the board in the area of drug abuse. Both education and research are within the scope of the programs in drug abuse. The External Masters Program in nursing is part of this special. Nurses all over the state need graduate level training in their own locale. Faculty members teaching in nursing schools across the state must get masters degrees if the local nursing schools are to maintain their accreditation. This request would provide training at centers such as Rochester, Duluth, and St. Cloud. A final segment of this special is for the offsite dentistry program. In order for the dental school to continue receiving federal capitation funds, by 1980 all dental students must receive at least six weeks of offcampus clinical training. A small program now exists, but it must be expanded to meet the federal demands. The University would lose \$1,420,000 (1975-6 level) if it does not comply by spending \$244,000 on this special.

Federal Funds Replacement Increase \$363,672

This money is used in programs which are funded as specials as well as by

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federal grants. The request is to increase the state share in cases where federal money is being phased out. Part of the money would replace a grant at UMD designed to recruit and retain native American students in the health areas. A second segment of this request would help the UMD medical school to pay practicing physicians who are currently donating their time to help in teaching. The third replacement is for epilepsy federal funding. The University has had a \$1 million grant for three years, but needs a segment for community service (referrals).

Others: Contingency - Capitation Replacement \$736,278

The state guarantees to make up deficits in capitation funds to bring the funds up to the 75-6 levels. For example, if the federal government funded \$X in 75-6, but now, due to declining funds, grants the University \$X - \$Y, the state would make up the amount of \$Y. This special includes veterinary medicine. This money, when given by the legislature, is not spent until the levels of federal funds are known. It is anticipated that \$736,000 will be needed this biennium.

I have suggested to Dave Preston and Cherie Perlmutter that the committee may be interested in two additional topics: (1) why are civil service requests about equal to the requests for academic personnel? and (2) why must salaries in the health sciences area be so high?



UNIVERSITY OF MINNESOTA
TWIN CITIES

Graduate Assistant Information and
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(612) 376-3644

April 17, 1978

TO: UCRRBR members

FROM: Harriet Lewis

I have been in contact with Ivan Fletcher and with Chet Grygar in order to understand the rationale behind the requests in the Administrative and Plant area.

Student Accounts Receivable System Increase \$141,320

This request would put the tuition and fees on to a computer. There is a need to modernize the present system, not only to improve services for students as well as for the administration, but also as a link to the registration system proposal.

Planning, Purchasing, Support Services Increase \$418,476

This request encompasses the following six parts: (1) physical planning office - to computerize space utilization records (this request has been in for 6 years), (2) campus mail - to improve services by delivering to individual departmental offices rather than to buildings, (3) add a buyer to the purchasing department - the University's small purchasing office has been criticized by the Regents and the legislature; any improvement would pass savings on to the departments, (4) add a ½ time auditor to Duluth - the current field audit division serves the whole state but is based in the Twin Cities - Duluth & northern Minnesota need better services. Auditors provide savings by keeping people honest as well as by examining management procedures, (5) coordinate copier services - individual departments collectively pay about \$2 million per year for services; savings could be generated by giving advice to departments on what kind of copier would best suit their needs, (6) management data system for support services and operations - the services such as the plant and vehicle pool are among the last of the business areas that have not been computerized.

Transit Services Increase \$225,000

This request meets MTC price increases.

Hazardous Waste Disposal Increase \$167,220

This money is needed to meet the requirements of law and regulatory agencies.

Operating Costs of New Facilities Increase \$2,146,000

The legislature automatically funds the cost of operating new buildings.

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Leased Property Costs Increase \$307,000

Under terms of the University's leased property, rental costs rise.

Fuel and Utilities Increase \$3,273,000

As energy costs rise, we must receive more funds to pay our bills. Conservation measures have already decreased our volumes.

Skilled Trades Pay Increase Increase \$789,000

These costs are needed to meet the demands of union contracts. Most of the skilled tradesmen are not on the University payroll, but rather are called in from the Union Hall when there is a job which needs to be done.

Repairs and Betterments Increase \$5,000,000

This money is to be used to replace transformer vaults, roofs, etc. The U of M system is the only system in the state which has not been receiving an appropriation for this aspect of maintenance.

Workers' and Unemployment Compensation Increase \$1,909,339

The costs for these awards are constantly climbing because of decisions made by the state legislature.

Social Security Increases Increase \$6,000,000

This is the estimated amount of money needed to cover the new Social Security legislation.



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April 18, 1978

TO: UCBRRB members

FROM: Harriet Lewis

The following explanations relate to the four areas of administrative and plant requests which have reported through Vice President Stein's office. This information was supplied by the Vice President.

Personnel Department Increase \$61,000

One position would be added to the payroll staff. A recurring problem in the department requires the staff to work overtime to meet deadlines and to get checks out on time. The position must be filled, but could perhaps be filled through internal reallocation (take a position from the Business Office) rather than by adding a position. A second part of this request is to add a position to comply with the Privacy and Freedom of Information Acts by microfilming personnel records. This request should be requested.

Equal Opportunity and Affirmative Action Increase \$56,300

A position is needed to process complaints related to the 504 regulations. The money may be requested as a State Special.

Emergency Preparedness Increase \$29,000

This request would add an assistant to the Director of Emergency Preparedness. This person would train staff in each University building to deal with emergencies such as bomb threats and heart attacks. If the position is authorized, federal funding may foot part of the bill, and the rest of the money would revert to Central Administration for other uses.

University Relations Increase \$39,200

\$7,800 is requested for special inflationary increases in paper and printing. \$25,400 is requested for a publications planning editor. Such a position has been filled since December 1976 on soft money - this editor helps the various units with preproduction planning. The remainder of the request is targeted to expand University news coverage to the national media. It is hoped that, for example, research at the University could be publicized on TV shows such as "The Today Show".



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April 19, 1978

TO: UCRRBR members

FROM: Harriet Lewis

The following information relating to the biennial request incrementals in Student Affairs was supplied by Don Zander.

Aid, International Students Increase \$421,922

Four years ago the legislature set aside money to fund the out-of-state tuition rates for international students. The formula of $\frac{1}{2}$ of 1% of the total University enrollment generated \$278,000. Since that time both tuition and enrollment figures have risen. This request is to update the amount of money designated by the state legislation.

Aid, Graduate and Professional Students Increase \$410,000

This request was generated by the Graduate School but has been put into the Student Affairs request. Current money available in the Graduate School is granted on a merit basis. This additional money would be granted on a need basis.

Financial Aid Administration Increase \$162,558

More students are requesting more money - more staff are needed to handle this increased volume. The Financial Aid Office has approximately six times the business as 10 years ago, but only twice the amount of staff.

Admissions & Records - Improved Service Increase \$226,246

At least 10 colleges have complained about slow transcript service, long lines, etc. I.T. has even loaned A & R a member of its staff to help keep up with the admissions workload. The number of 14.5 civil service positions is based on the number of colleges needing help in the A & R office. This request is separate from the registration proposal and represents a need for catch-up which could be phased out when the computerized registration system is in place.

Registration System Improvement Increase \$493,800

This money is requested to computerize the registration system. It would take two additional staff people and lots of computer time for about three years to make the system operable. This short term request has not been thought of as a Special.

Minority Recruitment and Retention Increase \$2,433,180

This request is being thought of as a Special, perhaps in conjunction with the needs of handicapped students and non-traditional students. When the University is successful in recruiting, its retention rate is low. Nine out of every 10 Indians leave the University after one year. A solution to

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helping these students complete their work is in the classroom. Tutors are needed and some classes should be restructured (perhaps a class should take twice as long to cover the same material). The current concern is in Math and English. Most of this money is requested for the purpose of buying faculty and T.A. time. Some of these positions show up strategically as civil service positions - undergraduate T.A.'s can also be called administrative assistants, be paid out of civil service funds, and not raise the University's number of academic positions. The request, when broken down by colleges, is as follows:

Health Sciences	\$ 60,000	CLA - MLK	\$140,000
Education	36,000	Help Center	36,000
Graduate School	100,000	Non-traditional	
Agriculture, Home		Students	
Economics, and		(Generated by	
Forestry	60,000	General College)	160,000
Morris	48,000	Veterinary Medicine	20,000
Duluth	80,000	Waseca	5,000
		Crookston	60,000

Handicapped Student Services Increase \$566,820

This item may be thought of as a Special along with minority students. 504 Regulations have generated the need for interpreters in classrooms and at public functions. \$84,000 is requested for that purpose. The remainder of the money would fund counselors at the Twin Cities and coordinate campuses.