

# MEETING OF THE STUDENT SENATE

THURSDAY, MAY 18, 1995

11:30 - 1:30 p.m.

25 Law Building—Twin Cities Campus  
305 Selvig Hall—Crookston Campus  
323 Kirby Student Center—Duluth Campus  
Behmler Hall Conference Room—Morris Campus

The Senate Constitution provides that any student eligible to vote for senators may be admitted to Student Senate meetings and shall be entitled to speak at the discretion of the Student Senate. Only elected student members (or their designated alternates) shall be entitled to vote. For a quorum, a majority of the voting membership (31) must be present. Amendments to motions in the printed agenda must be submitted to the Clerk of the Senate at least 48 hours in advance of the meeting to allow for appropriate distribution. Consideration of amendments not received at least 48 hours in advance requires suspension of the rules by a majority of those members present and voting.

## I. ELECTION OF 1995-96 STUDENT SENATE OFFICERS Action by 1995-96 Student Senate Members (30 minutes)

[NOTE: The remaining items of business will be addressed by the 1994-95 Student Senate membership.]

## II. PROPOSED INTERNAL BUDGET CHANGES Information (10 minutes)

## III. STUDENT SENATE MANUAL Information and Discussion (10 minutes)

## IV. UNIVERSITY BUDGET AND TUITION DISCUSSION (20 minutes)

## V. UPDATE ON PROPOSAL TO ESTABLISH A SENATE TUITION COMMITTEE Information (10 minutes)

## VI. INFORMATION CONCERNING PARTICIPATION ON SENATE COMMITTEES (5 minutes)

## VII. OLD BUSINESS

## VIII. NEW BUSINESS

## IX. ADJOURNMENT

# MEETING OF THE UNIVERSITY SENATE

THURSDAY, MAY 18, 1995

(immediately following the Twin Cities Campus Assembly Meeting—approximately 2:15 p.m.)

25 Law Building—Twin Cities Campus  
305 Selvig Hall—Crookston Campus  
323 Kirby Student Center—Duluth Campus  
Behmler Hall Conference Room—Morris Campus

The voting membership of the University Senate totals 221, including the President, 160 members of the faculty (including the Faculty Consultative Committee), and 60 students (including the Student Consultative Committee). For a quorum, a majority of the voting membership (111) must be present. Advance notice is required for amendments to the constitution and 148 affirmative votes at one meeting or 111 affirmative votes at each of two meetings, the second of which shall be the next regular meeting. Advance notice is required for amendments to the bylaws and 111 affirmative votes. Other actions require only a simple majority of the members present and voting. Amendments to motions in the printed agenda must be submitted to the Clerk of the Senate at least 48 hours in advance of the meeting to allow for appropriate distribution. Consideration of amendments not received at least 48 hours in advance requires suspension of the rules by a majority of those members present and voting.

Any member of the faculty and any academic professional and student eligible to vote for senators shall be entitled to speak at the discretion of the Senate. Only elected members or alternates, the Senate Consultative Committee and, in case of a tie, the chair, shall be entitled to vote.

Representatives may designate any eligible alternates from their colleges, schools, or student constituencies as the alternates to serve in their places by written notice to the Senate Office prior to the commencement of any meeting of the Senate.

### ATTENDANCE RECORD

A roll of elected and ex officio members will be available at each door of the meeting room, and members are asked to sign in. A summary of attendance for the year will be included in the minutes of the last meeting of the year.

### RULES

Rules will be available at the door.

## I. ADMINISTRATIVE RESPONSE TO UNIVERSITY SENATE ACTIONS Information

### A. Joint Preparation Requirements for the Minnesota State Universities and the University of Minnesota

Approved by: the University Senate on February 16, 1995  
the Administration March 1995  
the Board of Regents on March 9, 1995 (with implementation changed from Fall '96 to Fall '97)

## II. ELECTION OF VICE CHAIR FOR 1995-96 Action (5 minutes)

The Constitution provides that a vice chair be elected by the Senate at its spring quarter meeting for a term of one year from among its members.

## III. SENATE CONSULTATIVE COMMITTEE Academic Freedom and Responsibility Statement Action (15 minutes)

### MOTION:

To approve the following Academic Freedom and Responsibility Statement:

#### Academic Freedom and Responsibility Statement

The Regents of the University of Minnesota reaffirm the Principles of Academic Freedom and Responsibility. These are rooted in the Belief that the Mind is ennobled by the Pursuit of Understanding and the Search for Truth, and the State well served when Instruction is available to All at an Institution dedicated to the Advancement of Learning. These Principles are also refreshed by the Recollection that there is a Common Bond through all the Arts:

COMMUNE VINCULUM OMNIBUS ARTIBUS

Academic Freedom is the Freedom to discuss all relevant matters in the Classroom, to explore all Avenues of Scholarship, Research and Creative Expression and to speak

or write as a public Citizen without institutional Discipline or Restraint. Academic Responsibility implies the faithful Performance of Academic Duties and Obligations, the Recognition of the Demands of the Scholarly Enterprise and the Candor to make it clear that the Individual is not speaking for the Institution in Matters of public Interest.

Questions regarding academic freedom or academic responsibility shall be resolved in accordance with the "Regulations Concerning Faculty Tenure" or other applicable University procedures.

JOHN ADAMS, Chair  
Senate Consultative Committee

## IV. SENATE CONSULTATIVE COMMITTEE Merger of Student Senate Leadership Positions Action (10 minutes)

### MOTION 1:

To amend the Senate Constitution as follows: [deletions are struck out; additions are underlined]

### ARTICLE III, SECTION 6b

- 6. University Senate and Student Senate Officers
  - a. . . . .
  - b. The officers of the Student Senate shall be a chair and a vice chair, a clerk, and a treasurer.

~~The chair and vice chair shall be elected by the Student Senate at its last regularly scheduled spring quarter meeting from the members of the Student Senate. The chair and vice chair shall be elected at a special spring quarter session of the Student Senate attended only by student Senators elected for the following year. The outgoing chair shall preside over the election. Non-Senators and outgoing student Senators may not be candidates for these positions. The chair and vice chair shall not be from the same campus. In the event that no one is nominated for the vice chair position from a separate campus, the position will be open to all qualified members of the Student Senate. Term of office shall be July 1 to June 30, and the persons holding office is are eligible for re-election. The duties of the chair are (1) to be the official spokesperson of the Student Senate; (2) to set the Student Senate agenda, to be approved by the Student Consultative Committee; (3) to organize and chair the Student Lobbying Advisory Committee; to serve on the board of the Coalition/UMCHE, the University's student lobbying organization; (4) to serve as the University's representative on the Student Advisory Committee; (5) to serve on one central University advisory committee and to delegate student members for other advisory committees; (6) to serve as the chair of the Student Consultative Committee.~~

The duties of the vice chair are (1) to assume the duties of the chair in the event of an absence or incapacity of the chair; ~~and~~ (2) to assume responsibilities delegated by the chair; (3) to submit to the Senate office an annual budget request for the Student Senate and Student Consultative Committee, to be approved by the Student Senate during its fall quarter meeting; (4) to organize an annual orientation for members of the Student Senate; (5) to monitor Student Senate attendance and ensure that the Student Senate handbook is updated and distributed; (6) to serve on a central advisory committee that is not attended by the Student Senate chair if there is more than one such committee active; (7) to serve as the vice chair of the Student Consultative Committee.

~~The clerk and treasurer shall be appointed by the chair subject to the approval of the Student Senate. The duties of the clerk and treasurer shall be prescribed in the Senate Bylaws. The Student Consultative Committee shall periodically review these officer positions.~~

c. . . . .

## MOTION 2:

To amend the Senate Bylaws as follows: [deletions are ~~struck out~~; additions are underlined]

### ARTICLE I, SECTION 8

Article I. University Senate Membership, Elections, and Officers

.....

~~8. Treasurer of the Student Senate: The treasurer of the Student Senate shall be the chief budget officer of the Student Senate. The treasurer shall chair the budget subcommittee of the Student Senate.~~

### ARTICLE III, SECTION 4

#### 4. CONSULTATIVE COMMITTEES

The Senate Consultative Committee shall be composed of 10 elected members of the faculty, 9 elected students, and the vice chair of the University Senate. The faculty representatives shall serve as the Faculty Consultative Committee; the 8 elected student representatives and the chair and vice chair of the Student Senate shall serve as the Student Consultative Committee; the 8 elected student representatives and the vice chair of the Student Senate shall ~~comprise~~ constitute the 9 voting student members of the Senate Consultative Committee.

#### Student Consultative Committee

##### Membership

The Student Consultative Committee shall be composed of:

- one student from the Crookston campus
- one student from the Duluth campus
- one student from the Morris campus
- five students from the Twin Cities campus, as follows:
  - 1993-94 4 undergraduates, 1 graduate/professional
  - 1994-95 3 undergraduates, 2 graduate/professional
  - 1995-96 4 undergraduates, 1 graduate/professional
  - 1996-97 3 undergraduates, 2 graduate/professional
  - 1997-98 4 undergraduates, 1 graduate/professional
- the chair and vice chair of the Student Senate

Student members except for the chair and vice chair shall be elected in accordance with procedures determined by the respective campuses' student constituencies, subject to the following provisions:

- At the time of their election, students shall be members of the University Senate (except for Crookston).
- Students shall serve a one-year term, and are eligible for re-election. No student member is eligible to serve more than three consecutive terms.

Student vacancies shall be filled in accordance with procedures determined by the respective campuses for the balance of any unexpired term until the next regular election.

The chair of the Student Senate shall also serve as the chair of the Student Consultative Committee. The vice chair of the Student Senate shall also serve as the vice chair of the Student Consultative Committee. If either the chair or vice chair has already been elected to the Student Consultative Committee as a regular member, he or she must concede his or her prior position to another student, to be chosen as soon as possible by the appropriate student constituency. The chair and vice chair shall serve no more than two consecutive terms. The vice chair of the Student Senate shall serve as an ex officio, nonvoting member of the Senate Consultative Committee if not otherwise elected in his or her own right. The vice chair of the Student Senate shall serve as a voting member of the Senate Consultative Committee.

##### Duties and Responsibilities

- a. To meet separately, when necessary, to discuss with the president, or others, matters of concern to the student body.
- b. To serve as the nucleus of an executive and steering committee of the Student Senate.
- c. ~~To provide for a budget subcommittee of the Student Senate. The budget subcommittee shall be chaired by the treasurer of the Student Senate. Three members shall be appointed by the chair of the Student Senate with one member from each of the following committees: Student Senate Consultative Committee; Student Committee on Committees; Student Lobbying Advisory Committee. These appointments are subject to the approval of the Student Senate.~~

~~Chairs: The chair of the Faculty Consultative Committee and of the Student Consultative Committee shall be elected by their respective members from among their number for a one-year term of office. Chairs The chair of the Faculty Consultative Committee shall be eligible for re-election to that position. The chair and vice chair of the Student Consultative Committee shall be elected by the Student Senate in accordance with Article III, Section 6b. of the Senate Constitution. The chair of the Faculty Consultative Committee shall serve as chair of the Senate Consultative Committee.~~

~~The Student Consultative Committee shall have a chair and a vice chair who shall be from separate campuses. The vice chair shall assume the duties of the chair in the event of an absence or incapacity of the chair and shall assume responsibilities delegated by the chair.~~

## MOTION 3:

To amend the Senate Rules as follows [deletions are ~~struck out~~; additions are underlined]

### ARTICLE III, SECTION 2

#### 2. Ex Officio Members of Senate Committees

Ex officio members shall be appointed from each of the offices listed below and are non-voting positions unless otherwise noted.

.....

~~Senate Consultative—Vice chair of the University Senate (voting); Chairs of the Finance and Planning and Educational Policy Committees; elected representative from the Duluth faculty eligible to vote in Senate elections; Vice chair of the Student Senate~~

#### COMMENT:

The above amendments were approved by the Student Senate on February 16, 1995, and if approved by the University Senate will merge the chair and vice chair positions of the Student Senate and the Student Senate Consultative Committee. The Student Senate believes these changes will result in more effective leadership and communication within student governance. The Senate Consultative Committee endorsed the amendments at its April 6 meeting.

**JOHN ADAMS, Chair**  
Senate Consultative Committee

## V. SENATE CONSULTATIVE COMMITTEE STUDENT AFFAIRS COMMITTEE Sexual Assault Policy Action (15 minutes)

### MOTION:

To approve the following Sexual Assault Policy:

#### Sexual Assault Policy

The University of Minnesota is committed to creating a community which is free from violence in all forms, including, but not limited to physical assaults, and bias motivated actions based on gender, race, sexual orientation, or disability. Sexual violence, including sexual assault and sexual harassment, will not be tolerated at this University.

To flourish as a University and as a community, we must strive to ensure the safety of every individual and respect for the dignity of every individual whether they are students, faculty or staff.

The University commits itself to creating a community which is not only free from sexual assault and other forms of sexual violence, but supportive of its survivors.

**We define sexual assault as sexual contact (not limited to sexual intercourse) when such contact is achieved:**

- without consent, or
- with the use of physical force, coercion, deception, threat, or the victim is:
  - mentally incapacitated or impaired
  - physically impaired (due to alcohol or drug consumption)
  - asleep or unconscious

A sexual assault is an attack not only on a person's body, but on their dignity; an attack not only on an individual, but on the community.

The decision to report the sexual assault of a member of the University community by another member of the University community rests solely with the survivor. However, the University strongly encourages the reporting of sexual assaults to the proper University officials. Reporting is the only way that action can be taken against the alleged attacker.

The University will strive to provide a judicial process for students that is sensitive, supportive, fair, expedient and respectful of the individual needs and rights of all involved. This process will allow for interim measures to be taken when they are necessary to ensure the well-being of the survivor, the accused, or the witnesses. This process will not be prejudiced by any actions that may be taken in the criminal or civil courts at the county, state or federal level.

Our responsibility in relation to sexual assault is not limited to the adjudication process. The survivor, the accused and the community itself have needs that must be addressed.

The University offers an array of services to support both the survivors and offenders of sexual assault.

The University commits itself to the provision of a variety of educational programs and services to all members of the University community. As an educational institution we must not neglect the importance of education as it pertains to sexual assault and sexual violence.

The commitment of all members of the University community to this policy will contribute to our goal of creating a community free from sexual violence.

**JOHN ADAMS, Chair**  
Senate Consultative Committee  
**EVELYN FRANKLIN, Chair**  
Student Affairs Committee

## VI. SENATE CONSULTATIVE COMMITTEE SOCIAL CONCERNS COMMITTEE ROTC Action (15 minutes)

### MOTION:

That the University Senate approve the following Resolution with respect to the continuing conflict between the University's equal opportunity and ROTC policies:

#### ROTC Resolution

**WHEREAS**, the University of Minnesota is committed to the policy that all persons shall have equal access to its programs and facilities without regard to sexual orientation;

**WHEREAS**, federal military regulations governing ROTC place the University's ROTC program in conflict with this policy;

**WHEREAS**, the Senate acknowledges various important benefits of ROTC programs; but

**WHEREAS**, the Senate is also committed to defending the University's equal opportunity policy in its entirety,

**THEREFORE BE IT RESOLVED** that the Senate request the President and the administration to continue their efforts to place the issue of federal military regulations discriminating against current and future members of the armed services in the matter of their sexual orientation on the national agendas of the appropriate educational associations and the Minnesota congressional delegation, with the objective of resolving the conflict on our campus, as well as at other universities.

**BE IT FURTHER RESOLVED** that those efforts be communicated to the University community for the purpose of illuminating the nature and importance of the equal opportunity policy.

**BE IF FURTHER RESOLVED** that if the conflict has not been settled by June 30, 1996, then the University, at the time of renewal, will renegotiate its contracts with all ROTC programs on campus in accordance with the following resolution; at the same time, the administration will establish an oversight committee to oversee the fulfillment of the following resolution.

**BE IF FURTHER RESOLVED** that if the conflict has not been settled by one year after the beginning date for renegotiation of the contract, then the University will begin the process of severing relations with the ROTC, specifically by disallowing the admission of any new students into any ROTC program on campus. ROTC representatives may maintain a presence on campus as long as that presence is maintained in such a way that the equal opportunity policy is not violated.

**BE IT FURTHER RESOLVED**, pending approval by the Board of Regents, the University formally notify all ROTC programs on campus of this motion by June 30, 1995.

#### COMMENT:

The equal opportunity policy of the University of Minnesota, as required by federal statute, states, "The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, religion, color, sex, national origin, handicap, age, veteran status, or sexual orientation." The University of Minnesota Reserve Officers Training Corps program (ROTC) has consistently discriminated against applicants and members on the basis of sexual orientation. On February 14, 1991, the University Senate adopted a resolution calling on the University to end its relationship with the ROTC program if the discrimination continued after June 30, 1993.

On May 8, 1992, the Board of Regents affirmed its support of the principles put forward in the Senate resolution but declined "to endorse at this time, the recommendation of the University Senate that a timetable be established at this time for effecting the desired changes." The President was directed "to continue to pursue changes in the Department of Defense policies through administrative and legislative channels and in cooperation with other national higher educational organizations." This action was similar to one called for in a prior resolution passed by the University Senate at its Fall 1989 meeting, which also included no deadline for ROTC compliance with University equal opportunity policy.

President-elect Clinton committed himself to eliminating Department of Defense discrimination based on sexual orientation prior to taking office in January 1993, but the action he eventually took, the so-called "don't ask, don't tell" policy, fell short of providing equal treatment for people of all sexual orientations. Their right to open affirmation of their sexual orientation continues to be denied by the current policy, and they remain subject to harassment and punitive action if their sexual orientation becomes known to others. Fitness to carry out job-related activities is not the issue. This discrimination is based solely on the thoughts and feelings of the individuals concerned.

Much of the text of the comment presented with the 1991 Senate resolution remains germane in 1995. The remainder of this statement is taken directly from that document, beginning in the third paragraph.

...there has been increased interest (in recent years) in the promotion and celebration of diversity within our own University community. And yet, at the heart of the University's commitment to diversity are our equal opportunity and affirmative action policies, the former of which is so clearly violated by ROTC practice.

To present the ROTC equal opportunity conflict merely as a "policy" conflict, as we have done so often, suggests a symmetry: each policy conflicts with the other. But in fact, we have hesitated to practice equal opportunity in such a way as to challenge our ROTC policy. Why is this asymmetry tolerated?

To be sure, the ROTC-University affiliation is valuable; for instance, there are considerable benefits to the Nation and to the State from offering military action in conjunction with civilian education; moreover, the University and many students benefit from ROTC scholarships. To that extent, the ROTC equal opportunity conflict is not just a policy conflict but also a conflict of values. Again, there may appear to be a symmetry -- unmistakable values on both sides. But the question arises whether the values in question are equally fundamental to the role of the University as an educational institution.

To establish a deadline for resolution of this matter, rather than simply to require immediate conformity with the equal opportunity policy, is to acknowledge that there are indeed some important benefits of ROTC programs -- benefits worth preserving. But to establish a deadline with the consequences stated above is to acknowledge that our equal opportunity policy is much more valuable to our educational mission

than our ROTC policy. It is in addition a very clear message to members of the community that the University is strongly committed to equal opportunity. The deadline also represents a special urgency that the President and administration can hopefully communicate to leaders of other educational institutions, and to our congressional representatives, on behalf of continued efforts to get an appropriate response at the federal level. (Emphasis as in the original statement.)

**JOHN ADAMS, Chair**  
Senate Consultative Committee  
**BARBARA WALDEN, Chair**  
Social Concerns Committee

**VII. PRESIDENT'S REPORT**  
(10 minutes)

**VIII. QUESTIONS TO THE PRESIDENT**  
(5 minutes)

**IX. SENATE CONSULTATIVE COMMITTEE REPORT**  
(10 minutes)

**X. OLD BUSINESS**

**XI. NEW BUSINESS**

**XII. TRIBUTE TO DECEASED MEMBERS OF THE UNIVERSITY COMMUNITY**

**STUDENTS**

Thomas M. Erickson  
School of Management  
Kelly Sellman Parenteau  
Graduate School

**XIII. ADJOURNMENT**

**MEETING OF THE FACULTY SENATE**  
**THURSDAY, MAY 18, 1995**  
(immediately following the University Senate meeting)

The Senate constitution provides that eligible academic professionals and all members of the faculty who hold regular appointments as defined in the Regulations Concerning Faculty Tenure may be present at Faculty Senate meetings and shall be entitled to speak and to offer motions for Faculty Senate action. Only elected faculty members and academic professionals (or their designated alternates) shall be entitled to vote. For a quorum, a majority of the voting membership (81) must be present. Actions require a simple majority of the members present and voting. Amendments to motions in the printed agenda must be submitted to the Clerk of the Senate at least 48 hours in advance of the meeting to allow for appropriate distribution. Consideration of amendments not received at least 48 hours in advance requires suspension of the rules by a majority of those members present and voting.

**I. ADMINISTRATIVE RESPONSE TO FACULTY SENATE ACTIONS**  
Information

**A. Resolution Concerning the Compensation Working Group Report**

Approved by: the Faculty Senate April 20, 1995  
the Administration - no action required (acknowledgement received)  
the Board of Regents - no action required  
(The report was presented to the Administrative Council, the Executive Council, and the Board of Regents in March 1995)

**II. ELECTION OF VICE CHAIR FOR 1995-96**  
Action (5 minutes)

The Constitution provides that a vice chair be elected by the Faculty Senate at its spring quarter meeting for a term of one year from among its members. [In the instance when a faculty member is elected vice chair of the University Senate, that individual shall also serve as vice chair of the Faculty Senate.]

**III. FACULTY CONSULTATIVE COMMITTEE**  
Institutional-level Critical Measures and Performance Goals  
Action (20 minutes)

**MOTION:**

That the Faculty Senate endorse the following seven "second phase" critical measures:

- Student Experience
- Post-Graduation Experience
- Scholarship, Research, Artistic Accomplishment
- Overall Satisfaction of Minnesota Citizens
- Faculty and Staff Experience
- Facilities Infrastructure
- Resource Development

and the process whereby specific performance goals will be defined and redefined in the future.

**COMMENT:**

The U2000 agenda addresses six areas of activity and concern (research, graduate and professional education, undergraduate education, access and outreach, user-friendliness, and diversity). Academic Affairs developed eighteen "critical measures" that will be used to assess University progress toward U2000. Information technology and research equipment may become a nineteenth measure. For each of the "measures," a series of "performance goals" is being developed by faculty and Academic Administration to guide and monitor our performance as an institution.

The five first phase critical measures (characteristics of entering students, graduation rate, underrepresented groups/diversity, sponsored funding, investment per student) were developed last summer and approved by the Board of Regents in December 1994.

The second phase measures will be presented to the Board of Regents for

discussion in June and action in July. The measures were developed using a discussion process involving campuses, colleges and administrative units, Senate committees, staff committees, student organizations and groups, the president's minority advisory committees, and others.

The Faculty Consultative Committee has closely monitored the development of the critical measures. The committee endorses the seven second phase measures, and supports Academic Administration's proposed request that the Board of Regents approve the second phase critical measures.

**JOHN ADAMS, Chair**  
Faculty Consultative Committee

**IV. FACULTY CONSULTATIVE COMMITTEE**  
FACULTY AFFAIRS COMMITTEE/TENURE  
SUBCOMMITTEE

*Regulations Concerning Faculty Tenure*  
Information and Discussion (15 minutes)

Proposed Interpretations to the Regulations Concerning Faculty Tenure

**I. INTERPRETATION OF SECTIONS 3-9: PROMOTION AND TENURE DECISIONS PERMITTED BY PROVOSTS AND CHANCELLORS DURING 1995-96**

To accommodate current restructuring of the central administration, final review and related aspects of the promotion and tenure process may occur at the level of provosts and chancellors during the 1995-96 academic year. Provosts and chancellors will receive consultation regarding proper procedures from the Dean of the Graduate School.

**COMMENT:** The Tenure Subcommittee of the Senate Committee on Faculty Affairs was recently requested by the administration to propose amendments to the *Regulations Concerning Faculty Tenure* (Tenure Regulations) to accommodate current restructuring of central administration. The immediate desire of the administration is that final recommendations for promotion and tenure occur at the level of provosts and chancellors, rather than centrally by the senior vice president for academic affairs (the present procedure). While considering appropriate amendments to the Tenure Regulations, the Tenure Subcommittee concluded that changing aspects of the Tenure Regulations pertaining to promotion and tenure will impact on other aspects of the Regulations (e.g. fiscal emergencies, termination for cause), which are now responsibilities of central administration. Reassigning these administrative responsibilities described in the Tenure Regulations from central administration to provosts and chancellors could have major effects on the academic affairs and freedom of faculty. Without appropriate regulations in place, a lack of system-wide consistency may occur with the undesirable possibility that future faculty will be employed in one of six different universities.

In order to allow time for broad consultation with faculty and administrators and the preparation of carefully considered amendments to the Tenure Regulations, the Tenure Subcommittee proposes the above Interpretation to the Regulations. This Interpretation permits promotion and tenure decisions to occur at the level of the provosts and chancellors for the coming academic year. During this time the Tenure Subcommittee requests all faculty to consider the implications for their units or departments of the requested changes in the Regulations. We welcome your comments and suggestions regarding the development of necessary new procedures and the revision of specific sections of the Tenure Regulations.

**II. INTERPRETATION OF SECTIONS 14 AND 15: WORKING DAYS**

The word "days" is interpreted to imply working days, not calendar days.

**COMMENT:** The use of the word "days" in the Tenure Regulations is unclear and is now defined as working days.

**III. INTERPRETATION OF AMENDMENTS TO SECTIONS 14.1 AND 14.2: TIMELY RESPONSES IN CASES OF UNREQUESTED LEAVE OF ABSENCE, TERMINATION, OR SUSPENSION**

The timelines for responses by either the involved faculty member or the administrator(s) may be extended by agreement of the parties to the proceeding or for extraordinary circumstances. An agreement of the parties to extend the time limit shall be in writing, signed by both parties or their representatives. If the parties do not agree, either party may apply to the chair of the Senate Judicial Committee for an extension of the time in which to take the steps required in this section. If

the faculty member has failed to act within the time limits prescribed in these sections, the responsible administrator may request the chair of the Senate Judicial Committee to set a specific date by which the faculty member must take action; if the faculty member fails to do so, the petition for review will be dismissed without further proceedings and the requested disciplinary action (or any lesser sanction) may be taken. If the responsible administrator has failed to act within the time limits prescribed in these sections, the faculty member may request the chair of the Senate Judicial Committee to set a specific date by which the administrator must take action; if the administrator fails to do so, the proceedings shall be dismissed and further action can be taken only by reinitiating the entire proceedings.

**COMMENT:** At the Faculty Senate meeting of May 19, 1994, amendments to the Tenure Regulations providing for a timely response by administrators to reports of Preliminary Proceedings and for sending notices of Formal Actions (Sections 14.1 and 14.2) were approved. The Tenure Regulations currently provide for a timely response by a faculty member to a formal notice of actions to be taken by the administration following the report of a Preliminary Proceeding (Section 14.1). The amendments approved by the Faculty Senate in May 1994 were not presented to the Regents for formal approval. The administration considers the time limits to be difficult to follow under unusual circumstances; for example, when an outside legal counsel for a faculty member has limited availability or when a faculty member on a 9-month appointment wishes to suspend the proceedings during the summer.

#### FOR INFORMATION:

Following are the amendments approved by the Faculty Senate May 19, 1994:

1. To amend Section 14.1 of the *Regulations Concerning Faculty Tenure*, as follows: (additions are underlined; deletions are ~~struck-out~~)

Section 14.1 Preliminary Proceedings

Only a dean . . . .

. . . .

Both the administrator and the faculty member may submit their views, in person or in writing, to the body making the recommendation, but neither of them may participate in the deliberation or vote. The body making the recommendation makes a written report to the administrator within 40 days of submission of the issue to it, indicating the number of votes for and against the proposed action and the reasons articulated. ~~After considering~~ Within 15 days after receiving the report, the administrator makes a written recommendation to the vice president. The recommendation must include a copy of the report of the panel or of the tenured faculty, as the case may be. A copy of the report must be sent to the faculty member.

2. To amend Section 14.2 of the *Regulations Concerning Faculty Tenure*, as follows: (additions are underlined; deletions are ~~struck-out~~)

#### Section 14.2 Formal Action

After receiving the administrator's recommendation, and giving the faculty member an opportunity to comment, the vice president will decide whether to proceed. If the vice president ~~decides~~ does not to proceed within 40 days, the charges are dropped and the faculty member and the academic unit are so notified in writing. If the vice president decides to proceed with formal action, the vice president must give written notice to the faculty member . . . .

If the faculty member does not request a hearing within 30 days, the President may take the action proposed in the vice president's notice, without further right to a hearing.

**JOHN ADAMS, Chair**  
**Faculty Consultative Committee**

**DANIEL FEENEY, Chair**  
**Faculty Affairs Committee**

**MARY DEMPSEY, Chair**  
**Tenure Subcommittee**

### V. FACULTY CONSULTATIVE COMMITTEE FACULTY AFFAIRS COMMITTEE Professional Commitment Policy Information and Discussion (30 minutes)

[Copies of the proposed Professional Commitment Policy are being mailed to Faculty Senate members. The proposed policy is also available on Gopher under: U of M Campus Information→Department and College Information→Office of Research and Technology Transfer→Policies and Guidelines→Professional Commitment Policy.]

**JOHN ADAMS, Chair**  
**Faculty Consultative Committee**

**DANIEL FEENEY, Chair**  
**Faculty Affairs Committee**

### VI. OLD BUSINESS

### VII. NEW BUSINESS

### VIII. ADJOURNMENT

UNIVERSITY OF MINNESOTA



MBM  
D65

**DISCUSSION DRAFT:**

**University 2000  
Institutional-Level Critical Measures  
and Performance Goals**

**Second Phase**

Office of the Senior Vice President for Academic Affairs  
March 1995

**Please direct any questions or comments to one of the following:**

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**Orto:** Office of Academic Affairs  
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**UNIVERSITY 2000**  
**Second Phase Critical Measures**  
**Discussion Drafts**

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## University 2000 Second Phase Critical Measures

**Context:** The *University 2000 Mission, Vision, Strategic Directions, and Performance* statement approved by the Board of Regents on January 14, 1994, emphasized the areas of research, graduate and professional education, undergraduate education, access and outreach, user-friendliness, and diversity, and called for the development of "critical measures" for assessing institutional, campus, and unit performance in realizing the goals of U2000. The stated purposes of the critical measures are to: 1) publicly confirm the University's success in reaching its goals; 2) guide institutional, collegiate, and support unit self improvement; 3) serve as a link between planning, performance, evaluation, and resource allocation; and 4) provide a means for comparison with other similar institutions.

**Process for Development of Critical Measures:** Existing recommendations and reports and external reporting requirements were reviewed to identify potential measurement areas, and meetings were held with internal and external constituencies of the University to listen to suggestions and reactions to a proposed list of measures. This process resulted in a list of eighteen critical measurement areas, divided into three development/implementation phases. The five first phase critical measures were developed during the summer of 1994, reviewed by the Board of Regents at their September and November 1994 meetings, and approved on December 8, 1994.

The second phase measures are being developed during the 1994-95 academic year, using a two-part discussion process involving campuses, colleges and administrative units; University Senate and Senate committees; staff committees; student organizations/groups; President Hasselmo's minority advisory committees; and others.

- The first part of this process, which used a discussion outline to identify the key aspects of each broad measurement area, has been completed.
- The second part of this process, which uses a set of discussion drafts to get reactions to more specific proposals for these measures, is the focus of this document. Information for these measures is still being collected and will be included in a revised set of drafts that will be prepared in the later part of April; the revised drafts will also reflect refinements in the measures that have occurred since the first set of discussion drafts was developed (for example, changes in definitions, inclusion of preliminary goals where appropriate, additions to the "Question and Answer" sheets that follow most of the measures, etc.).

**Summary of Discussion Phase/Key Points for Second Phase Critical Measures:** From December 15, 1994 through March 10, 1995, a great many people gave thoughtful consideration to the second phase discussion outline, including the following groups: groups from the Crookston, Duluth, and Morris campuses; Faculty and Student Consultative Committees and Senate committees on educational policy, faculty affairs, equal employment opportunity for women, and finance and planning; staff groups including collegiate student affairs administrators and placement staff, the Council of Undergraduate Deans, and the civil service, academic staff, and labor/management committees; student groups including the MSA Academic Affairs Committee, CLA Student Board, St. Paul Board of Colleges, Council of Graduate Students, Graduate and Professional Student Assembly, CEE Advisory Board, and student representatives to the Board of Regents; and the President's minority advisory committees. The drafts which follow attempt to build on these discussions. In reviewing them, note that:

- As expected, the second phase measures will be different from the first phase measures, since there is little or no baseline data available in some of the areas, and goal setting is difficult without knowing the baseline from which the institution is starting. In addition, one of the measures (Scholarship, Research, Artistic Accomplishments) is more qualitative than quantitative in focus, and so goal setting may not be possible in the same way that it is for the other measures, even after additional information is collected.



- Two measurement area changes have been suggested: 1) that the Responsiveness to Compelling State Needs measure be moved into the third phase group of critical measures so that it can be developed along with two closely related and also externally-focused measures (i.e., Outreach and Public Service and Responsiveness to Market Demand); and 2) that information technology and research equipment become a separate measure in the third phase, rather than being incorporated into the Facilities Infrastructure measure. This second suggestion in particular requires further discussion.

A revised list of the eighteen measurement areas as organized into the three phases is shown in Figure 1 below:

**FIGURE 1**

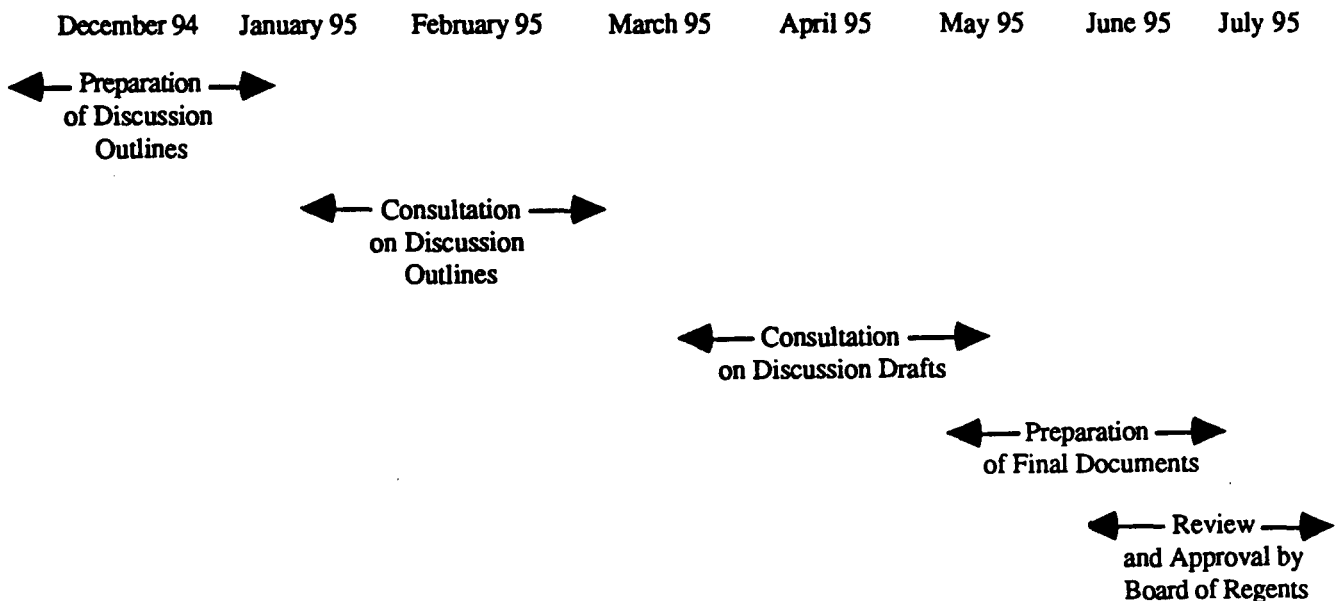
**Revised Development/Implementation Timetable for Critical Measures**

<u>First Phase (1994)</u>	<u>Second Phase (1995)</u>	<u>Third Phase (1995-96)</u>
Characteristics of entering students	Student experience	Reputation of undergraduate, graduate, and professional programs
Graduation rate	Post-graduation experience	Interdisciplinary/applied programs
Underrepresented groups/diversity	Scholarship, research, artistic accomplishments	Outreach, public service
Sponsored funding	Overall satisfaction of Minnesota citizens	Responsiveness to market demand
Investment per student	Faculty and staff experience	Responsiveness to compelling state needs
	Facilities infrastructure	Customer service/streamlining
	Resource development	<i>Technology?</i>

- The timing for completion of the second phase has changed slightly, such that the measures will be brought to the Board of Regents for discussion in June (rather than May) and action in July (rather than June), to allow more time for consultation and for Regent discussion. The revised timetable for the second phase process is shown in Figure 2 below:

**FIGURE 2**

**Revised Timetable for Development of Second Phase Critical Measures**



• As these critical measures are further developed, every attempt will continue to be made to build on the measurement efforts of the campuses and collegiate units within the context of the strategic planning process, so that measures at the different levels will be compatible and complementary.

• The relationship among the eighteen measurement categories continues to be a very important issue that requires additional clarification. The measures are of three types: "input," "process," and "outcome" measures. There are also multiple measures dealing with students, with faculty, and with the University's external constituencies. Figure 3 below shows some of the interrelationships among the 18 critical measurement areas:

**FIGURE 3**

**Interrelationships Among Eighteen Critical Measures**

	<i>"Input" Measures</i>	<i>"Process" Measures</i>	<i>"Outcome" Measures</i>
<i>Students</i>	characteristics of entering students investment/student	student experience	graduation rate post-graduation experience
<i>Faculty and Staff</i>		faculty/staff experience	sponsored funding scholarship, research, & artistic accomplishments reputation of research & educational programs interdisciplinary/applied programs
<i>Outreach/External Responsiveness</i>		outreach & public service contacts	responsiveness to compelling state needs responsiveness to market overall satisfaction of Minnesota citizens
<i>Resources</i>	resource development facilities infrastructure		
<i>Measures that cut across categories</i>		underrepresented groups/diversity.....> customer service/streamlining.....>	

In conversations about University 2000 institutional-level critical measures, both internal and external constituencies rated the student experience as the most important of all of the 18 proposed critical measure categories. There was general consensus that classroom interactions are usually positive, although there is some unevenness across colleges, departments and courses; that there is sometimes a lack of responsiveness to legitimate student needs, poor communication (including information about positive changes that have, in fact, improved the student experience), and a sense of isolation for many students; that undergraduate advising is a crucial aspect of the student experience; that because of the differences between undergraduate and graduate/professional programs, it is difficult to identify specific, common features of campus life that contribute to satisfaction, retention, and timely graduation for all students; and that more attention needs to be focused on transitions, both into and out of the University, for graduate and professional students.

Although the focus of this measure is on the student experience, the model above relates to several other critical measures. Of particular relevance are the critical measures on Post-Graduation Experience, Resource Development, and Overall Satisfaction of Minnesota Citizens, since long-term affiliation with and support for the University of Minnesota are strongly influenced by the student experience. To the extent that students who attend the University of Minnesota find something lacking in their educational experiences, they are less likely to attribute later successes to their University experiences (Post-Graduation Experience Critical Measure), and they are unlikely to continue their affiliation (e.g., through alumni giving, which is part of the Resource Development Critical Measure) or to feel positively about the University (as reflected in the Overall Satisfaction of Minnesota Citizens Critical Measure).

### **Description of Measure:**

#### **Student Learning/Achievement/Performance**

Student learning is the heart of the University. Students learn in a variety of ways, in settings within and outside the classroom; they learn in groups and on their own; and they rely on faculty, peers, and a wide variety of resources to guide their learning. The learning environment must, therefore, include a range of options that help students learn and apply what they have learned.

Campuses, colleges, and departments must assess learning outcomes and use those results to improve teaching and facilitate student learning. The assessment of student learning is an essential faculty responsibility, and that responsibility is taken seriously by University of Minnesota faculty in their assessment of learning that occurs in particular courses they teach. At the same time, there is reason to believe that in focusing on increases in students' knowledge, understanding, and ability to apply specific course content, insufficient attention has been paid to assessing some of the broader educational outcomes that are valued by the University and its faculty, such as being able to communicate clearly and effectively, being sensitive to human diversity in its many facets, and being able to think critically.

The problem in identifying an institutional-level critical measure that addresses the question of student academic achievement and performance at the completion of a degree program is that the University of Minnesota includes programs that differ considerably in the nature and level of expected student academic achievement and performance. The University has four campuses with different missions, many different undergraduate colleges that grant baccalaureate degrees, many professional schools, and hundreds of masters and doctoral programs.

For this reason, it is not possible to identify a single institutional-level critical measure of academic achievement. Constructing an artificial measure to serve across campuses, colleges, and degree levels would result in a "lowest common denominator" approach that would not be meaningful and could in fact lead to mediocrity, rather than excellence, across levels and units. Instead, a flexible, unit-based approach that focuses on student academic achievement and performance as defined by faculty within the unit should be pursued. At some future time, it might be possible to aggregate unit-based results into an institutional-level critical measure, but it is not feasible to do so now.

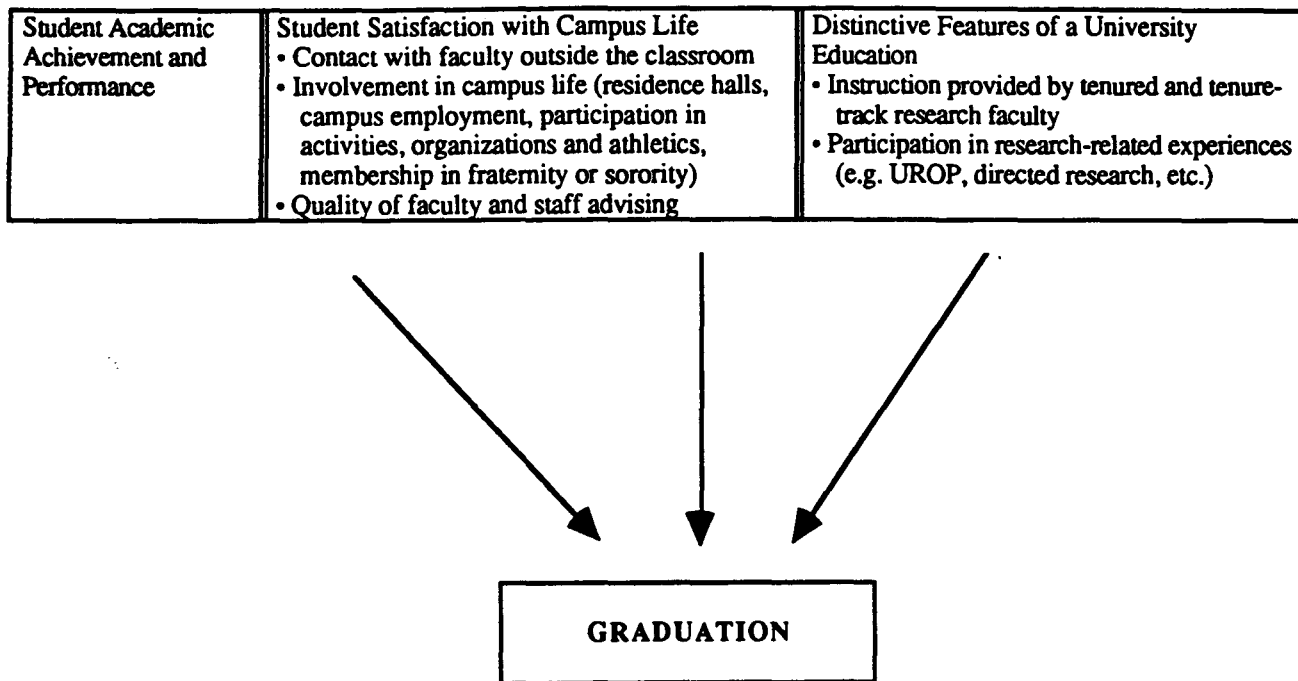
## **Critical Measure: The Student Experience**

**Specific Measure:** Acceptable student learning and performance, coupled with a positive evaluation of campus life, results in a student who believes she/he can succeed, stays enrolled at the University of Minnesota, and graduates within the time framework that matches the individual student's expectation. Although the student experience varies across the Crookston, Duluth, Morris, and Twin Cities campuses, certain features of the experience are common to all four campuses of the University of Minnesota.

Rather than proposing a single measure to capture the complexity of the student experience, the three-part model in Figure 1 below is proposed to capture the essential components of the student experience at the University of Minnesota.

**FIGURE 1**

**Model for Critical Measures of  
The Student Experience**



**General Goal for Measure:** Constantly improve student satisfaction, student academic achievement and performance, and the distinctive instructional role of our research faculty, all of which are central to the continuing improvement of the overall student experience.

**Rationale for Measure and Relation to University 2000:** University 2000 addresses the quality of the student experience in the mission statement and in each of the six strategic areas in language such as the following: high quality undergraduate education, a nurturing environment that fosters student success, intense intellectual milieu, congenial support systems, liberal education opportunities, in-depth study of a discipline or interdisciplinary field, participation in the creation of knowledge, enrollment of underrepresented and diverse student populations, and new opportunities for part-time students.

## Student Satisfaction

We need to ask students if, in fact, their experiences on each of our campuses are congruent with our intentions to provide them with a distinctive educational experience. Including a measure of student satisfaction is an essential component of the Student Experience Critical Measure because it provides an opportunity to assess student satisfaction on a more regular basis and to use results in a more systematic fashion to improve the quality of the student experience.

The University of Minnesota has a long history of conducting periodic surveys of overall student satisfaction with the student experience, as well as decades of effort in evaluating students' satisfaction with specific instructional experiences and the services provided by particular offices on each of our campuses. One of the problems inherent in proposing a measure of student satisfaction is that students have many different kinds of experiences within and outside the classroom, all of which contribute to their sense of overall satisfaction with the institution, but it is not feasible at an institutional level to measure all of the ways in which students interact with the University's faculty, staff, services, offices, and systems.

A general satisfaction question is proposed as an institutional-level critical measure (e.g., "What is your overall satisfaction with your experiences at the University of Minnesota?") to summarize the detail that would come from responses to dozens of more specific questions (e.g., "How satisfied are you with the registration process at the University of Minnesota?"). The use of a single item to measure students' satisfaction with their experiences on campus is similar to the practice of using single job satisfaction items as a quick measure of an individual's job satisfaction, which is accepted as a valid overall index of job satisfaction.

The actual survey would be designed to reflect students' levels of satisfaction with those core elements of the student experience that research has demonstrated are related to overall satisfaction, retention, and student learning, as well as a section that asks students to rate the quality of services provided by units that contribute to student life on campus. A survey recently conducted on the Twin Cities campus might serve as a model for constructing the annual survey (copy available upon request).

*Supplemental Measures:* Although not feasible to include as the focus of an institutional critical measure, more specific satisfaction data from current students is useful to identify areas in which improvements are necessary and where changes would presumably contribute to an improved student experience. In addition, non-returning students are a source of useful information on the student experience, and they should be contacted in a more systematic way to find out why they chose not to return to the University. All such additional student experience data collection/measurement efforts should be campus based and, on the Twin Cities campus, tailored to address the specific concerns of the three provostal areas. Five kinds of supplemental measures are outlined in Attachment A.

## Distinctiveness of University of Minnesota Education

As noted in Figure 1, this element of the Student Experience Critical Measure would focus on two areas: the amount of undergraduate instruction provided by tenure and tenure-track research faculty; and student participation in research-related experiences such as the Undergraduate Research Opportunities Program (UROP), directed research, etc.

## **Baseline Information and Performance Goals:**

### Student Satisfaction

Although there have been variations in the wording of such questions in past University surveys, as well as variations in response options and the characteristics of students surveyed, results of recent surveys can be used to develop a rough overall baseline for student satisfaction. Summarizing existing data and proposing performance goals must recognize the differences among campuses as well as differences among levels (i.e., undergraduate students, graduate students, and professional school students), since what contributes to overall satisfaction is likely to differ across student groups.

Attachment B summarizes the results for overall student satisfaction from student surveys conducted since 1989. As the results indicate, most of the studies have focused on undergraduates enrolled in day school on the Twin Cities campus.

Table 1 below is an aggregation of results for the Twin Cities campus based on the satisfaction data available to date. We expect that in the continuing discussion of this critical measure, we will identify additional sources of information which may somewhat change (in later drafts) the results shown in this table; we also expect to present additional, campus specific results in subsequent drafts of this measure.

**TABLE 1**  
**Overall Student Satisfaction**  
**Aggregated Across Six Specific Surveys**  
**on the Twin Cities Campus**

<b>Response</b>	<b>N</b>	<b>%</b>	<b>Mean</b>
	<u>7259</u>		4.5
Very Dissatisfied	202	2.8	
Moderately Dissatisfied	479	6.6	
Slightly Dissatisfied	712	9.8	
Slightly Satisfied	1306	18.0	
Moderately Satisfied	3399	46.8	
Very Satisfied	1161	16.0	

Figure 2 on the following page displays the average satisfaction scores for each study and the aggregated score across all studies and will, in subsequent drafts of the measure, suggest performance goals for overall student satisfaction. In contrast to most of the critical measures included in the first phase critical measures, available comparison data on overall student satisfaction for students enrolled at comparable peer institutions is not readily available. It is also difficult to obtain potentially relevant "benchmark data" from other industries, since most other data are less general and address shorter experiences as the basis for the measurement of customer satisfaction.

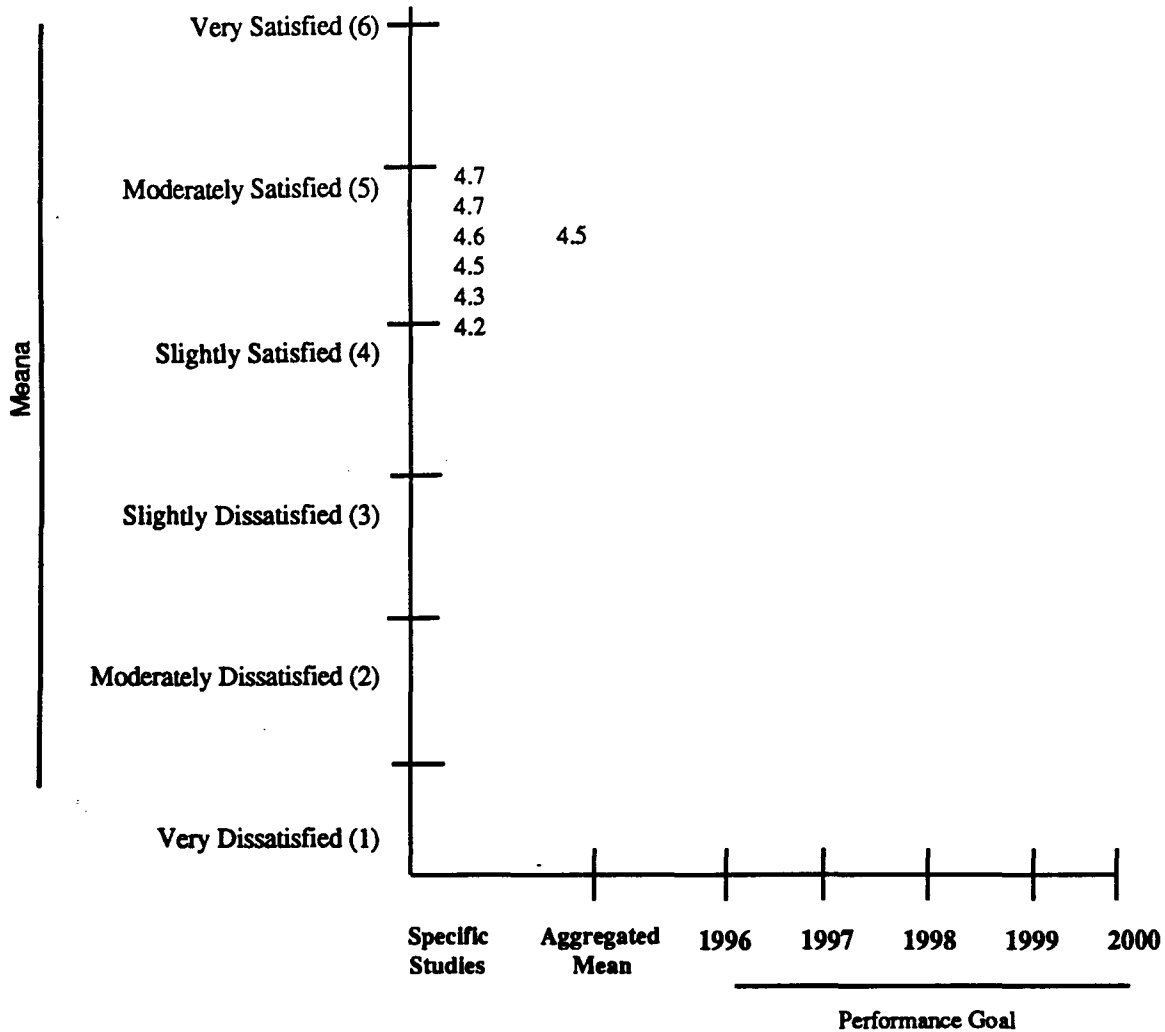
In the future, the satisfaction measure would be obtained through an annual survey conducted early in the spring quarter (so that most new students would have had a couple of quarters of experience at the University) of a random sample of currently enrolled students (stratified by undergraduate, graduate, and professional levels and including both regular day school students as well as students served through University College), with appropriate over-sampling of particular groups indicated in the diversity strategic area in University 2000.

All surveys would contain a set of core overall questions that are identical across campuses and levels; the remainder of the survey could be tailored to address concerns on a particular campus and/or student level. This will be important since the experiences that contribute to satisfaction for a student on the Crookston campus may differ from those on the Morris campus; and graduate students on the Twin Cities campus may have specific concerns that differ from undergraduates on the Twin Cities campus; and students in professional programs on the Duluth campus may have concerns that differ from their counterparts in programs on the Twin Cities campus.

Results of this survey would be broken out for the different levels and types of students as well as by the diversity categories identified in the Underrepresented Groups/Diversity Critical Measure. The results obtained through this measure should be communicated to students and others, and used as a framework for subsequent reporting on the actions and associated results from initiatives to address areas of particular concern to students.

FIGURE 2

Overall Student Satisfaction  
Aggregated Across Six  
Studies



aResponses coded from Very Dissatisfied = 1 to Very Satisfied = 6

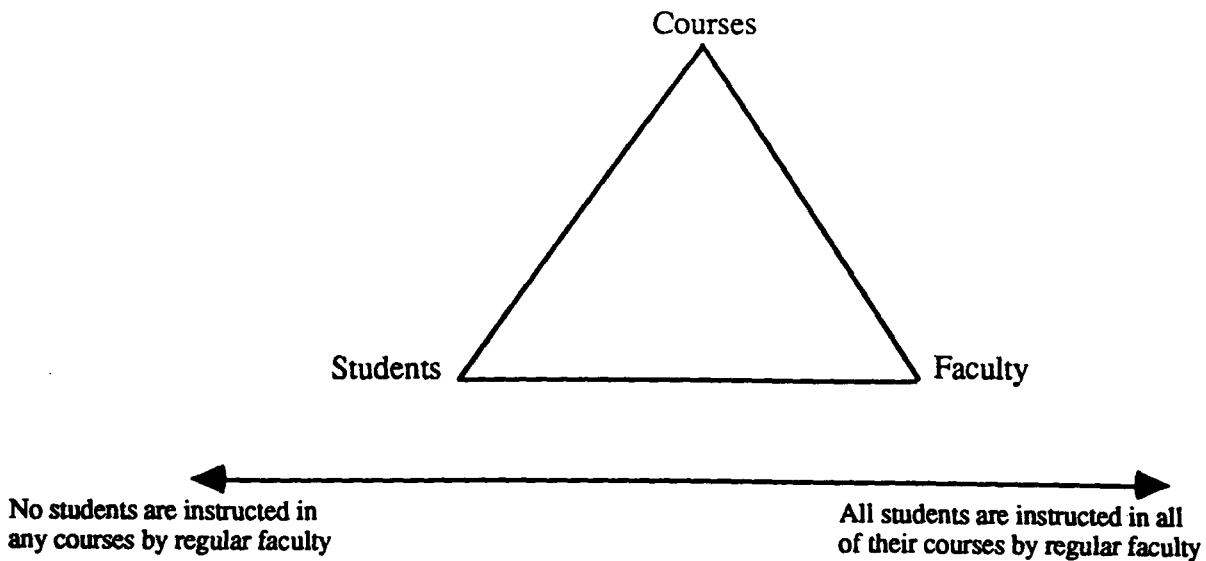
Distinctiveness of University Education

To reflect the role that the University's research faculty play in providing students with a distinctive experience that reflects the research mission, as well as to address the public's questions about how involved University faculty are in the instruction of undergraduates, a measure of faculty involvement in instruction is suggested. Coming up with a reasonable indicator needs to take into account a specification of which students, which courses and which faculty are included in the calculation of baseline information and an associated performance goal.

It would be possible to specify all regular faculty, as is portrayed in Figure 3 below, or it would be possible to propose a smaller group of faculty (e.g., tenured faculty, full professors, faculty who have received a teaching award, faculty who have brought in at least \$250,000 in research funds).

FIGURE 3

Instruction Provided by Tenured and Tenure Track Faculty<sup>a</sup>



<sup>a</sup>Each of the three elements might be defined as follows:

<u>Faculty</u>	<u>Students</u>	<u>Courses</u>
Teaching assistants	All students	All levels
All tenured and tenure track faculty	Freshmen	0-xxx level
Tenured faculty	Sophomores	1-xxx level
Full professors	Juniors	3-xxx level
Faculty recognized for teaching excellence	Seniors	5-xxx level
Faculty with sponsored funding	Specified percent of students	Upper division courses in major
		All courses in major
		Liberal education coursework

In the next part of the consultation process, several alternative approaches, as well as a means of measuring student participation in research programs, will be identified for discussion. After the specific operational focus of this measure is determined, baseline data will be compiled.

**Related Action Initiatives in University 2000:** Aspects of the undergraduate student experience needing improvement date back to the recommendations proposed in the 1984 "Final Report of The Task Force on the Student Experience," which included 31 specific recommendations, many of which have been addressed in initiatives undertaken in the last decade. More recently, the "President's Initiative for the Improvement of Undergraduate Education" identified seven central questions to stimulate improvements in the student experience, and special funding has been provided for: improvement of instruction in large classes; reductions in student/adviser ratios; more offerings of certain courses to reduce course access problems; development of programs and services for faculty and students to improve teaching and learning; the President's Forum on Teaching and Learning; new evaluation of teaching guidelines; departmental, collegiate, and campus projects that are part of the institution's continuous quality improvement initiative; and major revisions in liberal education requirements. All of these efforts need to continue in order to improve the student experience at the University.



Additional U2000 initiatives that are essential to the University's success on all campuses include:

- Expansion of programs allowing undergraduate students to participate in research (e.g., UROP), study abroad, internships, and cooperative and service learning
- Further development of residential life and honors programs
- Modernization of all classrooms and improvement of classroom management system
- Electronic networking to information centers around the world
- New registration system with on-line registration, and integrated management of scholarships, financial aid, and student employment
- Enhanced collegiate degree advising with focus on high expectations/intensity of effort and increased faculty involvement in advising
- Improved intervention strategies to enhance student success
- Improved programming to support a more positive climate for diverse communities

Although it was not part of the formal planning process of University 2000, the soon-to-be-completed "President's Committee Report" points to additional initiatives to address concerns about the student experience.

**Cost:** Achieving performance goals for the Student Experience Critical Measure will depend on the availability of resources to undertake the action initiatives described above. If resources are not available to support these initiatives, it may be necessary to revise the performance goals for the Student Experience Critical Measure.

**Data Collection Process:** Additional resources will be needed on each campus and at the institutional level for the collection and analysis of the survey information needed for this critical measure. Costs associated with the collection and reporting of information for the Student Experience Critical Measure are of three types: costs associated with the implementation of annual student satisfaction surveys for random samples of students, by level, for each campus; costs associated with the periodic assessment of student academic achievement and performance for students enrolled in specific units; and the costs associated with the analysis of existing data for the involvement of research faculty in undergraduate instruction.

**Breakout of Measure:** Data for this critical measure would be reported at the institutional, campus, and collegiate levels but not necessarily at lower (e.g., departmental) levels. At the same time, it is important to note that faculty and staff in departments have significant responsibility for addressing concerns relative to the student experience, since this is where the student experience occurs.

It is expected that overall student satisfaction surveys would result in information reported for the institution, for campuses/provostal areas, and for colleges; that information on student academic achievement and performance would be reported at the level of either individual departments (e.g., academic departments in the College of Liberal Arts) or by college/professional school (e.g., the Law School) depending on which is more meaningful; and that information on distinctiveness of a University education, as measured by a students' contact with a research faculty, could be reported for the institution, for campuses/provostal areas, colleges, and departments.

**Responsibility:** Responsibility for performance on the Student Experience Critical Measure rests with the President, Senior Vice Presidents, Provosts, Chancellors, and Deans. Others particularly involved are the Vice President for Student Development and Athletics and the Associate Vice President for Minority Affairs and Diversity.

## ATTACHMENT A

### Supplemental Measures

Although the three measures noted above will serve as the basis for establishing performance goals, it will be important to monitor--but not set performance goals for--five other measures that are related to the identified critical measures. Monitoring these supplemental measures is important to identify areas where there may be performance issues that need to be addressed; for example, if there are certain courses where ratings are consistently very low, or where all students get grades of A; or if there are some collegiate or departmental units where a substantial percentage of students leave after their first quarter or year of initial enrollment.

Systems are currently in place within the University of Minnesota to collect and report the first three types of information listed below. Again, the purpose is to identify where student concerns might need to be addressed, rather than to use the information as the basis for setting performance goals.

- Student Responses to the Standard Evaluation of Teaching (SET), which includes the following five general questions required by Senate Policy:
  - How would you rate the instructor's overall teaching ability?
  - How would you rate the instructor's knowledge of the subject matter?
  - How would you rate the instructor's respect and concern for students?
  - How would you rate the physical environment in which you take this class, especially classroom facilities: ability to see, hear, concentrate, participate?
  - How much would you say you learned in this course?

As the overall aggregated results in Attachment C indicate, students evaluate the quality of instruction quite positively. The responses concerning classroom facilities are considerably less positive and might be useful to consider in conjunction with the Facilities Infrastructure Critical Measure.

- Quarterly Grade Reports: Although it would be inappropriate to use quarterly grade reports as an institutional-level critical measure, the existing quarterly grade reports could be used to identify types of courses in which students are performing poorly, so that appropriate strategies might be identified to improve student learning in those courses.
- Year-to-Year Retention Rates: One of the first five critical measures, Graduation Rate, specified a five-year graduation of 50 percent of entering freshmen. Year-to-year retention rates are currently reported, and it would be important to monitor changes in those rates since they provide more timely information on the progress being made in increasing the five year graduation rate.
- Evaluation of Liberal Education Curricular Outcomes: Each of the four campuses has made major revisions in its liberal education requirements in recent years and needs to begin focusing on ways to measure the outcome of the revisions. However, because of the differences among campuses and the need to look at the University's requirements relative to the recent implementation of the Minnesota Transfer Curriculum, an institutional-level measure is not the appropriate place to measure these outcomes.
- Non-Returning Students: Non-returning students are a source of useful information on the student experience, and they should be contacted in a more systematic way to find out why they chose not to return to the University. Although classifying a student as a "non-returning student" is not as easy as it might seem (since many students come into and leave the University in an extended process where they eventually do complete a degree), non-returning students could be defined as those students who began in a particular fall term (new entering freshmen, new transfer students, and new graduate and professional school students), but who were not enrolled the following fall term.

## Q&A SHEET

### **Q: Who participated in the discussion of this critical measure?**

**A:** From December 15, 1994 through March 10, 1995, a great many people gave thoughtful consideration to this critical measure, including the following groups: groups from the Crookston, Duluth, and Morris campuses; Faculty and Student Consultative Committees and Senate committees on educational policy and finance and planning; staff groups including collegiate student affairs administrators and placement staff and the Council of Undergraduate Deans; student groups including the MSA Academic Affairs Committee, CLA Student Board, St. Paul Board of Colleges, Council of Graduate Students, Graduate and Professional Student Assembly, CEE Advisory Board, and student representatives to the Board of Regents; and the President's minority advisory committees.

There were some areas of general consensus in the observations and comments of students, faculty and staff. First, the consensus is that classroom interactions are generally positive, although there is some unevenness across colleges, departments and courses, as well as isolated situations of poor teaching and little student learning. Second, there were similarities in the comments about the University voiced by students, faculty and staff: perceived unresponsiveness to legitimate needs, poor communication, and sense of isolation. Third, the role of advisers for undergraduates emerged as a crucial aspect of the student experience, and one that needs particular emphasis in the measurement of the undergraduate student experience. Fourth, because of the differences between undergraduate and graduate/professional programs, it is difficult to identify common features of campus life that contribute to satisfaction, retention and timely graduation. Fifth, there is a need to focus more on the transition into the University and the transition out of the University for students in graduate and professional programs. Sixth, there is a need to communicate better with students about the changes that have, in fact, been made to improve the student experience--to "close the loop" and build trust that the institution is responsive to their concerns.

### **Q: What's happened to student surveys conducted in the past?**

**A:** The University of Minnesota has a long history of conducting periodic surveys of overall student satisfaction with the student experience, as well as decades of effort to evaluate students' satisfaction with specific instructional experiences and the services provided by particular offices on each of our campuses. Although there are examples of how results of particular surveys of student satisfaction with campus experiences have led to improvements in the student experience, the results of such surveys have not been used to guide improvements, to allocate resources to address particular concerns, and then to administer subsequent surveys to see if our efforts have had the desired results. The Student Experience Critical Measure provides an opportunity to use results in a more systematic fashion to achieve broader institutional, campus, and collegiate results.

**Attachment B**  
**Study Characteristics and Results of Specific Surveys of Overall Student Satisfaction**

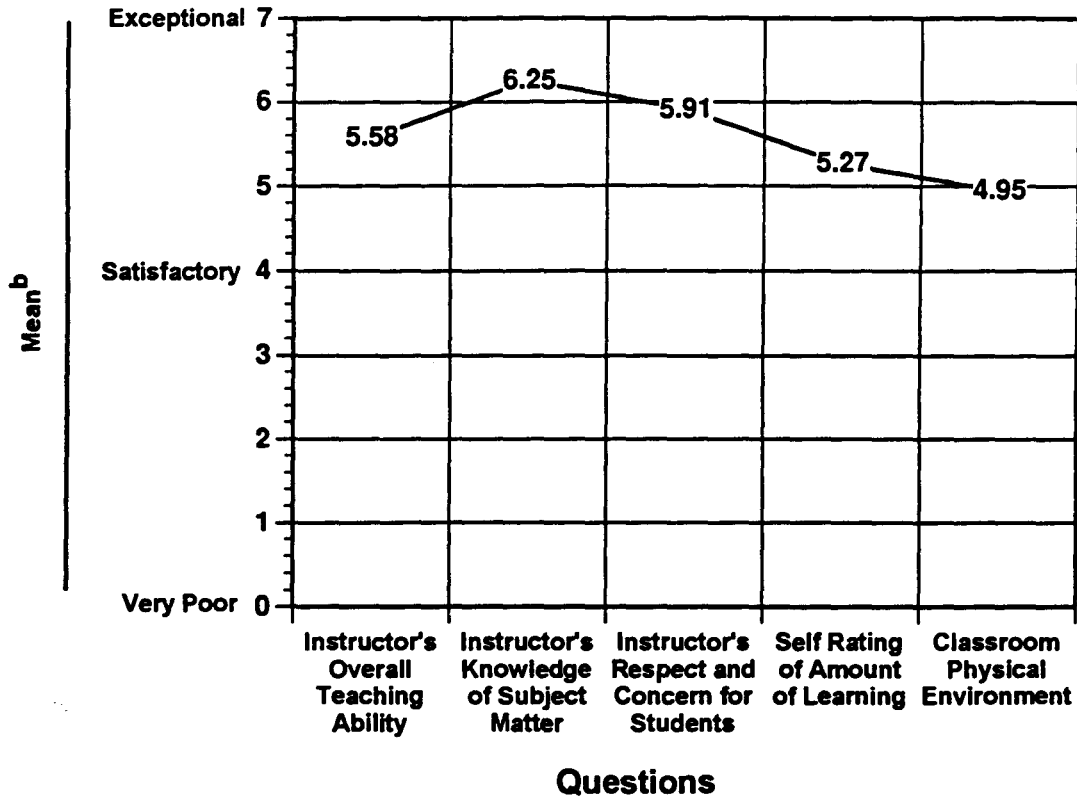
<b>Study Title</b>	<b>Study Date</b>	<b>Population Studied</b>	<b>Response Rate</b>	<b>Respondent Characteristics</b>	<b>Overall Satisfaction Question</b>
Student Employment Survey	1991	3,607 currently enrolled undergraduates	75%	2,634 undergraduates, mean age 21.9 years, 51% female, 15% freshman, 21% sophomore, 26% junior, 39% senior	"In general, how satisfied are you with your experience at the University?"
Student Experiences Survey	1992	2,000 currently enrolled undergraduates	70%	1,368 undergraduates, mean age 22.6, 53% female, 14% freshmen, 19% sophomore, 25% junior, 42% senior	"In general, considering <u>all of your years</u> at the University, how satisfied are you with your experiences on the Twin Cities campus?"
Student Computing Survey	1993	1,000 degree seeking undergraduates and graduate professional students	74%	64% undergraduates, mean age 24.8, 50% female	"How satisfied are you with your overall experience at the University?"
Sophomore Registration Survey	1994	150 Institute of Technology Sophomores	Not Available	150 IT sophomores, 14% female	"In general satisfied are you with your experiences since you started fall quarter 1993?"
Bachelor's Degree Candidate Survey	1989	All applicants for Bachelor's Degrees, Spring 1989, N=2,655	78%	2,023, all seniors, 52% female, mean age 24.4	"In general, how satisfied are you with your experiences at the University?"
Student Interest Survey	1991	789 degree seeking undergraduates and graduate professional students	85%	434, representative of population by college, year in school; 49% female, modal age of undergraduates 22-23	"In general, how satisfied are you with your experience as a student at the University?"

**Attachment B**  
**Study Characteristics and Results of Specific Surveys of Overall Student Satisfaction**

Study Title	Response Categories and Frequency Distribution										Mean	S.D.		
	<u>Very Dissatisfied</u>		<u>Moderately Dissatisfied</u>		<u>Slightly Dissatisfied</u>		<u>Slightly Satisfied</u>		<u>Moderately Satisfied</u>				<u>Very Satisfied</u>	
	N	%	N	%	N	%	N	%	N	%			N	%
Student Employment Survey	76	3.0	154	6.0	246	9.6	466	18.3	1,158	45.4	451	17.7	4.5	1.23
Student Experiences Survey	54	4.0	113	8.4	184	13.6	321	23.8	518	38.4	160	11.9	4.2	1.29
Student Computing Survey	15	2.0	46	6.3	56	7.7	98	13.2	364	49.2	159	21.6	4.7	Not available
Sophomore Registration Survey	3	2.0	4	2.7	16	10.7	24	16.0	74	49.3	28	18.7	4.7	1.11
Bachelor's Degree Candidate Survey	45	2.2	132	6.5	148	7.2	303	14.8	1,087	53.2	329	16.1	4.6	Not available
Student Interest Survey	9	2.1	30	7.0	62	14.5	94	22.0	198	46.4	34	8.0	4.3	Not available

Attachment C1

Students' Ratings of Evaluation of Instruction Received During 1993-94 on the Twin Cities Campus<sup>a</sup>



<sup>a</sup> The results reflect the two major changes in the revised University Senate policy on the evaluation of teaching: (a) the policy requires that each course taught by each instructor be evaluated by students at least once each year; and (b) the policy specifies that the five evaluation questions must be included in the questionnaire. The summary statistics reflect evaluation results for 114 units, 3,962 courses, and a total of 169,027 individual evaluation forms. In this table the class mean, rather than individual questionnaires is the unit of analysis. Classes with fewer than five questionnaires were excluded from the analysis.

<sup>b</sup> The rating scale was coded from 1=very poor to 7=exceptional

## Attachment C2

### Mean Student Evaluation of Teaching Class Averages for Five Required Questions for Twin Cities Campus for 1993-94<sup>a</sup>

Question	Response Percentages							Mean
	Very Poor (1) %	(2) %	(3) %	Satisfactory (4) %	(5) %	(6) %	Exceptional (7) %	
How would you rate the instructor's overall teaching ability?	1	2	4	12	19	36	26	5.58
How would you rate the instructor's knowledge of the subject matter?	<1	<1	1	5	10	33	50	6.25
How would you rate the instructor's respect and concern for students?	1	1	3	9	14	31	41	5.91
How much would you say you learned in this course?	1	2	7	19	22	31	20	5.27
How would you rate the physical environment in which you take this class, especially the classroom facilities, including your ability to see, hear, concentrate, and participate?	2	4	8	24	21	25	15	4.95

<sup>a</sup> The results reflect the two major changes in the revised University Senate policy on the evaluation of teaching: (a) the policy requires that each course taught by each instructor be evaluated by students at least once each year; (b) the policy specifies that the five evaluation questions must be included in the questionnaire. The summary statistics reflect evaluation results for 114 units, 3692 courses, and a total of 169,027 individual evaluation forms. In this table the class mean, rather than individual questionnaires is the unit of analysis; classes with fewer than five questionnaires were excluded.

## **Critical Measure: Post-Graduation Experience**

**Specific Measure:** The focus of this critical measure is the post-graduation experience of graduates as it relates to their University of Minnesota education. This connection between the educational experience and subsequent life experiences can be thought of as a continuum ranging from little or no connection (e.g., a graduate who follows an unrelated career or avocation, with no apparent application of even the general knowledge and skills that might be acquired in a University education), to the most direct kind of connection from a specific educational program to a specific job or avocation (e.g., a graduate of the Medical School who is practicing medicine in the specific area of training received here). The majority of graduates are probably somewhere in the middle of the continuum and are applying knowledge and skills developed as part of their university experiences but are not necessarily in a career path that is directly connected to their program of study.

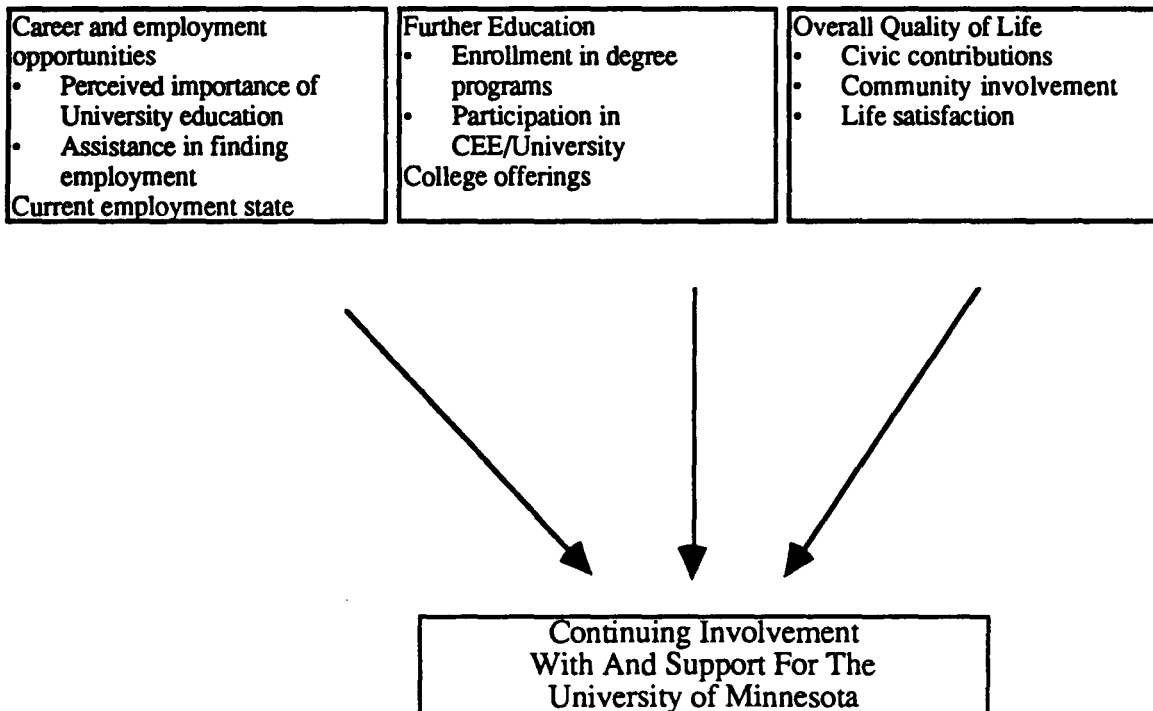
Although the post-graduation experience varies across the Crookston, Duluth, Morris, and Twin Cities campuses, certain features of the experience are common to all four campuses of the University. For the purposes of this critical measure, post-graduation experience as related to the University of Minnesota education will be looked at in terms of preparation for subsequent life activity in three areas:

- Careers and employment
- Further education (graduate and/or professional education, professional development and/or retraining for career change, and "lifelong learning")
- Quality of life, including civic and community life

These three aspects of the post-graduation experience are important in and of themselves. But they are also important in the way they relate to continuing contact with and support for the University of Minnesota by its alumni. While not a focus of this measure, this should be part of the way the post-graduation experience is viewed, as shown in Figure 1 below:

**FIGURE 1**

### **Model For Critical Measures Of The Post-Graduation Experience**





In addition to the above three areas, there is value in including questions on follow-up surveys that ask graduates to reflect on their experiences while they were students at the University. Results from the Former Student Survey Project (described later in this measure) suggest that graduates report somewhat higher satisfaction levels than currently enrolled students. Often, the perceived value of an educational experience increases as graduates gain perspective and have opportunities to see how particular experiences have influenced their personal and professional development.

Because these connections between education and later experience are not static and frequently change over time, this measure must be able to pick up both outcomes that can be observed close to the point of graduation and other significant outcomes that may not emerge until five or ten years after graduation. The importance of collecting and reporting information that captures the long-term benefits of a university education was illustrated in a recent study (Katchadourian and Boli) that showed a significant amount of career change over time (a ten year period). This study assessed employment success and graduates' evaluations of their careers on four dimensions: contentment, commitment, competence, and compensation.

**General Goal for Measure:** Strengthen preparation for and success in careers, further education, and civic and community life for University graduates.

**Rationale for Measure and Relation to University 2000:** The University 2000 mission statement emphasizes the importance of preparing graduate, professional, and undergraduate students, as well as non-degree seeking students interested in lifelong learning, for active roles in a multiracial and multicultural world. The undergraduate education strategic area and the graduate and professional education strategic area both address the need to facilitate job placement of graduates.

Although a university education can be viewed as an end in itself, regardless of what a student chooses to do after finishing a degree, questions about the connection between degree completion and subsequent life experiences have taken on increased importance in recent years (this was echoed in the critical measures consultation process by both internal and external University constituencies). Numerous state and federal initiatives (e.g., the Minnesota Graduate Follow-up System, the proposed Student Right to Know Legislation, criteria noted in the implementation of the State Postsecondary Review Program) are calling for mandatory reporting of employment experiences after graduation that would be made available to potential students to help them choose particular institutions or programs. Another indication of concerns about the connections between education and employment are current discussions in Washington that may propose the merger of the functions of the Department of Education into a broadened Department of Labor.

While responding to the expected external emphasis on employment, it is important to keep a somewhat broader focus in this critical measure, since many graduates go on-- appropriately and successfully--for additional education, and many--ideally, most--graduates make use of their University education more broadly, both in their personal lives and as members of the communities in which they live.

The emphasis on employment, additional educational experiences, and community and civic contributions is consistent with students' perceptions of why they are attending college. Illustrative data collected for freshmen entering the Twin Cities campus for fall quarter 1993 (N= 2,308) as part of the national Cooperative Institutional Research Program (CIRP) point to the increasing importance of expected employment outcomes as a reason for entering college. The percentage of students saying "to be able to get a better job" has increased from 1989 to 1993 as shown below:

<u>Response</u>	<u>1993</u>	<u>1991</u>	<u>1989</u>
Very important	82%	78%	76%
Somewhat important	12%		
Not important	6%		

In 1993, preparation for graduate/professional school was very important for 61 percent, and somewhat important for another 32 percent.

The Post-Graduation Experience Critical Measure also reflects on the student experience, and in that sense provides additional information for the Student Experience Critical Measure. We have the opportunity to use the many employment opportunities for students on campus to help them make career decisions. Results obtained from the responses of undergraduates on the Twin Cities campus to a 1991 Student Employment Survey indicate room for additional improvement. In response to the question: "How satisfied are you with how part-time employment has contributed to your overall career plans?" respondents said:

<u>Response</u>	<u>1991</u>
Very dissatisfied	18%
Dissatisfied	22%
Neutral	28%
Satisfied	19%
Very satisfied	14 %

**Description of Measure:** For the purposes of this critical measure, post-graduation experience will be measured through graduates' evaluation of the value and relevance of their University education in the three areas identified in Figure 1. The perspective of employers and others who see and interact with our graduates would be a very useful second perspective and may be added as part of one of the critical measures in the third phase (e.g., responsiveness to market demand), but it will not be a focus of this measure.

Data would be collected through a periodic survey of a random sample of graduates (stratified by undergraduate, graduate, and professional levels and for time since graduation), with appropriate over-sampling of particular groups (e.g., graduates of color) consistent with the strategic areas identified in University 2000. The survey would contain a set of core, overall questions that are identical across campuses and levels, but would allow for other questions to be added to address the unique concerns for a particular campus and/or student level.

**Baseline Information and Performance Goals:** Almost all campuses and colleges of the University conduct periodic surveys of their graduates, although there is great variability in the timing and content of the surveys, who is surveyed, how the surveys are conducted, and how the results are reported and used. Trying to aggregate all of the most current campus and collegiate results into a reasonable set of baseline information for the institution as a whole is not feasible. Thus the baseline data for this measure would be collected the first time it is implemented, ideally within the next year.

The Former Student Survey Project, a collaborative effort of Academic Affairs and Student Affairs, was intended to cover all graduates from all degree programs on all campuses from Fall 1977 through Summer 1978 academic year. The study was proposed as a long-term plan for "systematically assessing the status and opinions of former students." The plan, which proposed routinely surveying graduates every fourth year, including all graduates who are one, four, ten, and twenty years "post-graduation," can serve as a general guide for developing the data collection instrument for this measure. The plan also called for additional special studies on non-graduating former students.

In a subsequent version of the discussion draft, information from the Former Student Survey Project will be used to illustrate the areas outlined in Figure 1. Given that the institutional-level data are so old, they are unlikely to be useful as baseline data to be used in establishing performance goals. However, they are useful to suggest possible questions that might be asked in each of the areas.

**Related Action Initiatives in University 2000:** In the broadest sense, related initiatives include all of the initiatives related to the undergraduate education and the graduate and professional education strategic areas. Of particular relevance for this measure (and given the increased emphasis on making more and better connections between education and employment) are the following initiatives that facilitate students' transition from education to employment:

- For undergraduates, the University must:

- enhance career counseling and job placement services;
- identify and expand student activities within and outside the classroom that develop leadership and cooperative skills; and
- expand internships and other similar programs that give students job experiences and employment connections.

- For graduate and professional students, the University must:

- increase mentoring that spans the educational and employment settings; and
- expand internships and other similar programs that give students job experiences and employment connections.

**Cost:** Achieving the performance goals for Post-Graduation Experience will depend on the availability of resources to undertake the action initiatives necessary to implement the undergraduate education and the graduate and professional education strategic areas of U2000. The more specific costs of these initiatives should become clearer after the current planning and budgeting cycle is completed. If resources are not available to support these initiatives, it may be necessary to revise future performance goals for the critical measure Post-Graduation Experience.

**Data Collection Process:** Costs associated with the collection and reporting of information on the Post-Graduation Experience are for the implementation of periodic surveys of a random sample of graduates (undergraduate, graduate, professional) for each campus. To the extent that existing surveys of campuses and colleges can be folded into a single institutional data collection process, some resources are already available; however, to expand the coverage (across all campuses and colleges) and the frequency of this survey activity as recommended here will require additional resources.

**Breakout of Measure:** The results of the critical measure of Post-Graduation Experience should be broken out by level of student, by campuses, and for underrepresented groups.

**Responsibility:** Responsibility for performance on the critical measure of Post-Graduation Experience rests with the President, Senior Vice Presidents, Provosts, Chancellors, and Deans; particularly involved at the central level are the Senior Vice President for Academic Affairs and the Vice President for Institutional Relations.

## Q&A SHEET

### **Q: Who participated in the discussion of this critical measure?**

**A:** From December 15, 1994 through March 10, 1995, a great many people gave thoughtful consideration to this critical measure, including the following groups: groups from the Crookston, Duluth, and Morris campuses; Faculty and Student Consultative Committees and Senate committees on educational policy and finance and planning; staff groups including collegiate student affairs administrators and placement staff and the Council of Undergraduate Deans; student groups including the MSA Academic Affairs Committee, CLA Student Board, St. Paul Board of Colleges, Council of Graduate Students, Graduate and Professional Student Assembly, CEE Advisory Board, and student representatives to the Board of Regents; and the President's minority advisory committees.

General observations as a result of the conversations with the above-mentioned groups:

- First, we often approach making connections between education and employment in a "piecemeal" fashion, without attending to how all of the relevant pieces fit together.

- Second, when undergraduates express dissatisfaction with advising services, one of their frustrations is that many students do not have advisers who have the time or willingness to help them think about the connections between university experiences and post-graduation experiences.

- Third, graduate students expressed frustration at the lack of services available to them to facilitate their transition from Graduate School to the "world of work." In many cases, advisers play a crucial mentoring role and, in fact, often play an important role in helping graduates find their first job, especially if it is in an academic institution. For students without advisers to play this role, they are without a clear set of supportive services within the institution.

### **Q: Who is responsible for the results in this area?**

**A:** Differences exist among and within campuses on how responsibility for articulating education and employment connections is viewed. On the Crookston and Morris campuses, the focus is the campus as a whole, although particular divisions share in the responsibilities as students approach the point of graduation. Levels of responsibility differ on the Duluth and Twin Cities campuses, where collegiate units each have college specific roles in helping students make the transition from education to employment. At the same time, on both campuses there are some campus-wide roles and initiatives (e.g., raising employment related issues as part of the process of orientation to the University of Minnesota) that need to be well articulated with the collegiate programs and services (e.g., placement services that assist students in setting up interviews with employers on campus).

### **Q: Who should receive the information gained through this measure?**

**A:** The results of the periodic surveys of graduates should be communicated to students, alumni, and others. They should also be used as a framework for subsequent reporting on results from initiatives to address areas of particular concern to graduates.

## **Critical Measure: Scholarship, Research, Artistic Accomplishments**

**Specific Measure:** This critical measure focuses on an Annual University Scholarly Accomplishments Portfolio that would list the major scholarship, research, and artistic accomplishments of faculty across the institution, since it is not possible to reflect the significance of faculty accomplishments across the breadth and diversity of the University of Minnesota's multiple campuses, colleges, and departments in a single, quantitative measure. The emphasis of this measure is on the quality and impact of accomplishments, rather than on the quantity of output.

**General Goal for Measure:** The general goal for this critical measure is to maintain and increase the quantity of high quality University faculty scholarly, research, and artistic accomplishments.

**Rationale for Measure and Relation to University 2000:** University 2000 identifies research as one of the six strategic areas for the University of Minnesota and states a goal of "sustaining and improving the University's position as one of the premier research universities in the country." The plan emphasizes a commitment to the relationship of basic research to applied research, to undergraduate education, graduate, professional and continuing education, and to outreach; to an appropriate balance of effort between basic and applied research, within and across the disciplines; to maintaining and enhancing the quality of academic disciplines that are the core of a land-grant, research university; to promoting interdisciplinary activities; and to effectively responding to the demand for applied research.

The results of faculty effort are therefore a critically important area to monitor in measuring the success of the University in meeting its goals for the future. This particular critical measure focuses on actual faculty accomplishments (i.e., scholarly products and scholarly recognition). It is closely related to three other measurement areas that also reflect the success of our faculty: the reputation of programs (undergraduate, graduate, and professional education); the success of faculty in obtaining external financial support (i.e., sponsored funding) for their creative and scholarly research activities; and interdisciplinary/applied programs. Although there is a positive correlation between these four types of measures, the degree of overlap is difficult to specify precisely.

It is important to include a critical measure focused on scholarly accomplishments, in addition to the other three areas, because these other measures cannot reflect the richness or the breadth of accomplishments of the University's faculty. For example, measures of sponsored funding will not adequately capture the accomplishments of University faculty in disciplines where there is little external funding available, or on campuses where the main focus is on instruction and public service; and reputational rankings do not cover all disciplines or capture important kinds of faculty achievement.

**Description of Measure:** All faculty are expected to engage in scholarship, research, or artistic activity that contributes to the discovery of new knowledge and produces original research, scholarship, and creative products across a wide range of fields. The quality and importance of the scholarly work of faculty can also be seen in the scholarly recognition they receive from national and international scholarly, scientific, and artistic organizations, associations, and societies.

Although it is becoming increasingly important to communicate publicly what our faculty produce, there is currently no systematic process for collecting information about the actual products or results of University faculty scholarship, research, and artistic activity. This measure is intended to provide a more complete picture of such faculty accomplishments, and focuses on two broad categories of faculty accomplishments:

- Creative, scholarly, and research products include the following major items: a) scholarly books, monographs, book chapters, etc.; b) articles published in scholarly or professional journals; c) conference proceedings; d) exhibits and exhibitions; e) patents and licenses; f) software; and g) designs. These items are public and easily identifiable; they are also extensively used in assessing faculty performance in the tenure and promotion process.

- Scholarly recognition includes many types of awards, prizes, honors, and appointments by professional organizations or societies, and reflects the quality of a faculty member's scholarly work and relative standing in his or her field. Although largely subjective, scholarly recognition --particularly by national and international organizations--provides important information about the quality, importance, and significance of the creative and scholarly work of faculty as determined by peers.

While it might be possible to simply count all of the accomplishments of faculty in these two basic categories, the focus of this measure is on a "portfolio" of important scholarship, research, and artistic accomplishments, which is designed to show significant faculty achievements by listing and briefly describing them. This approach is recommended for at least two important reasons. First, University of Minnesota faculty engage in substantially different creative, scholarly, and research activities and produce significantly different kinds of products in a wide variety of forms across a wide range of fields on multiple campuses. It would be extremely difficult--and probably meaningless--to reduce such a large number of diverse products into a single, numerical count. Second, measures for creative, scholarly, and research accomplishments should reflect the broad mission of the University and be able to include all possible forms of faculty accomplishment in various fields. Focusing only on publications, for example, and ignoring other kinds of creative products (e.g., exhibits, software, designs) would considerably underestimate institutional creative and scholarly research performance.

Thus the categories listed above are intended to be broad enough to reflect the breadth of faculty work; and the concept of a "portfolio" would provide more depth than could be obtained with a simple count of activity. It should be noted that a similar recommendation for reporting faculty accomplishments was made by the Faculty Workload Task Force in 1992. The Task Force noted that such a report of faculty accomplishments would be a form of accountability and could also be used for internal management and planning needs and for communication with external audiences.

To be feasible and useful, a portfolio would need to be somewhat selective. However, determining the quality of research and creative products is a highly subjective process. The portfolio could be created in two somewhat different ways (though in both cases, individual faculty would be the source of the data used):

- by compiling a more comprehensive list of faculty activities using a set of minimum quality criteria (for example, inclusion of only refereed journals--though this could still include some low quality articles published in low quality refereed journals); and then selecting the most important, high quality accomplishments to include in the annual institutional and campus measures; the latter could be accomplished within the collegiate unit or by provosts, chancellors, and central administration; or
- by asking colleges to operationalize the top quality criteria spelled out in the measure for their disciplines (e.g., to identify the top associations and organizations, leading journals, significant citation levels, products, prestigious awards, etc. for each of their disciplines); and then to collect and report only that more selective set of information (see Attachment A for a list of possible criteria); this approach would keep the judgment of quality at the collegiate level.

Table 1 shows the two suggested areas of focus (creative, scholarly, and research products, and scholarly recognition) as they might be shown relative to each of the two approaches. The first approach described above would result in both columns being filled in (the first column with a list of items and/or simple counts, and the second column with a descriptive list of the accomplishments selected for emphasis); the second approach described above would result in only the second column being filled in.

**Baseline Information and Performance Goals:** Currently, the data for this critical measure are unavailable and there is no institutional-level data collection and reporting process. The Faculty Workload Task Force noted that the University "must have a means of summarizing faculty effort and accomplishments.... However, the current institutional information seems substantially deficient in providing an overview of the full range of effort and, most importantly, of the broad array of faculty accomplishments " (pp. 6-7).

TABLE 1

Annual University Scholarly Accomplishments Portfolio

Scholarly Accomplishments	Listing and/or Count of All Scholarly Accomplishments <sup>1</sup>	Listing of "Prestigious" Scholarly Accomplishments <sup>2</sup>
<b>Scholarly Products</b>		
Publications		
Scholarly books		
Edited books		
Textbooks		
Monograph		
Journal articles		
Book chapters		
Published conference proceedings		
Artistic accomplishments		
Exhibits		
Exhibitions		
Computer software programs		
Architectural designs		
Patents and licenses		
Patents		
Licenses		
Other		
<b>Scholarly Recognition</b>		
Election of faculty into national science institutes (NAS, NAE, NIH, etc.)		
Election of faculty in professional and scientific societies		
Major educational and research awards (e.g., Nobel, Pulitzer)		
Major best book, paper or other research awards		
Editorship or associate editorship of (leading) journals or book series		
Other		

<sup>1</sup> "All" scholarly accomplishments include scholarly accomplishments on the basis of specified minimum level quality criteria (e.g., articles published in any refereed journals).

<sup>2</sup> "Prestigious" scholarly accomplishments include major scholarly accomplishments on the basis of specified higher level quality criteria (e.g., articles published in leading-refereed journals).

With regard to the performance goals for scholarship/research/artistic accomplishments, goal setting is not possible at this time, since baseline information is unavailable. Even when baseline data has been compiled, it may not be meaningful to set goals in the same way that they are being set for other critical measures, since this measure is more qualitatively than quantitatively focused.

However, even if this measure does not result in a numerical performance goal, it will increase attention to faculty scholarly accomplishments, with presumably positive results. For example, it is expected that information provided through this critical measure would be used by the President, Senior Vice Presidents, Provosts and Chancellors, and Deans to assess the quality and quantity of faculty accomplishments and to take the appropriate actions to improve if needed. This measure is also expected to be used to provide better information to external audiences about the accomplishments of University faculty.

**Related Action Initiatives in University 2000:** To increase the overall quality and quantity of faculty scholarly accomplishments, the following institutional actions are critical:

- Recruitment and retention of world-class researchers, scholars, and artists who are excellent teachers and reflect the diversity of our society;
- Promotion of basic research and maintenance and enhancement of the quality of the academic disciplines that are at the core of a land-grant university;
- Promotion and strengthening of interdisciplinary activities;
- Responding to the demand for applied research; and
- Upgrading and enhancing the research infrastructure.

**Cost:** Achieving the performance goals for scholarship, research, and artistic accomplishments will depend on the availability of resources to undertake the action initiatives described above. The more specific costs of these initiatives will become more clear through the planning and budgeting process. If resources are not available to support these initiatives, it will affect the University's ability to move forward on this measure.

**Data Collection Process:** Currently there is no baseline data on the accomplishments of faculty members, although publications and other creative products are used as the primary means for faculty evaluation, and colleges presumably conduct an annual faculty activity reporting process. There are two primary methods for collecting information for this measure: 1) asking academic units to collect the necessary data as part of their units' faculty activity reporting process; and 2) conducting (centrally) an annual faculty performance survey. Some additional resources would be needed for analysis and reporting.

**Breakout of Measure:** This measure can be broken out by campus, college, and department. When looking at results on a college or departmental basis, the appropriate comparison is not with other University of Minnesota departments in different disciplines but with similar units at other comparable institutions; however, it is not clear whether any of these other institutions collect this kind of information on a regular basis.

**Responsibilities:** Responsibility for performance on this critical measure rests with the President, Senior Vice Presidents, Provosts and Chancellors, and Deans. The Vice President for Research/Dean of the Graduate School is also closely involved. Oversight by the Provosts and the Vice President for Research.



## ATTACHMENT A

### Possible Criteria of Quality for Scholarship, Research, Artistic Accomplishments

#### Criteria for selecting publications or other publicly identifiable outputs):

- a) Published in a leading refereed-journal of the field or have achieved a significant (within the field) citation level
- b) Have received awards or other important prizes and recognition for products from an important professional and disciplinary associations (e.g., best paper, best-selling book, etc.)
- c) Have received national and international recognition from professional and non-professional organizations (e.g., national and international media coverage) regarding its importance and contribution to scientific knowledge and artistic achievements
- d) Be a cutting-edge/ground-breaking/innovative accomplishment, whether or not there is yet evidence of recognition within the field
- d) Have an important product such as a patent, licenses, copyright, etc., or have exhibited or performed in an important venue

#### Criteria for selecting awards, prizes, honors, appointments or other scholarly recognition:

- a) Have received an award, prizes, honors from/in an important professional or disciplinary association (e.g., Nobel, Pulitzer)
- b) Hold a leadership position/office in an important national or international professional or disciplinary association (e.g., American Medical Association, American Economic Association)
- c) Hold membership on an important national or international organization or board of a (specific) discipline (e.g., National Academy of Sciences)
- d) Hold editorship or associate editorship of a leading journal or book series

## Q&A SHEET

**Q: Why is it important to have this measure, if the success of our faculty is being measured in three other critical measures?**

**A:** It is important to include a critical measure focused on scholarly accomplishments (in addition to the other three areas) because the other measures cannot reflect the richness or the breadth of accomplishments of the University's faculty. For example:

- Measures of reputational ranking often indicate the relative quality of a specific academic unit by focusing on faculty quality (including research achievements), available resources (e.g., research support and facilities), student quality, and the curricula (e.g., variety and depth of courses), but they will not cover all disciplines or capture other kinds of significant faculty achievement (Webster & Conrad, 1986).

- Sponsored funding is also related to the quality of research and scholarship, because the level of funding to do more research and creative work indicates that external funding sources value the accomplishments of our faculty. However, there are substantial variations between disciplines and campuses with respect to availability of sponsored funding; some of the physical, medical, and social sciences may have greater availability for external financial support for research than do the arts and humanities. Therefore, such a measure will not adequately capture the accomplishments of University faculty in disciplines where there is little external funding available, or on campuses where the main focus is on instruction and public service.

- Interdisciplinary/applied programs, which need a separate focus because of their increasing importance and emphasis in the future, reflect a certain type of faculty accomplishment.

**Q: What are the disadvantages of this particular measure?**

**A:** There are several important disadvantages of using such a measure:

- In contrast to the other critical measures included in Phase I, numerical performance goal(s) will be difficult to set for this critical measure.

- It would be very difficult to compare the accomplishments of the University with other peer institutions since currently "benchmark data" are not available though several other research universities are also in the process of documenting their faculty accomplishments (e.g., University of Oregon, University of Maryland).

- Counting or reporting the accomplishments of faculty members might still be subjective even if a number of criteria are used in selecting them.

- Some problems might arise from the use of publications or other forms of scholarly products (e.g., how the quality of products is taken into account, which types of products will be counted, how multiple authorship is taken into consideration).

- Data collection could be a time-consuming process since the data will be asked from individual academic units or collected through annual surveys.

**Q: Why not use citation counts?**

**A:** Several conceptual and technical problems in using citation counts to assess research performance also exist. The following is a summary of some of the major problems associated with the use of citation analysis which need to be taken into account in any attempt to develop and employ such

measures for institutional decision making. The citation practices of authors may result in considerable citations errors. Such errors include self-citation, the omission of a large body of literature due to not carrying out an extensive review, "plagiarism" of citations without having read the cited work, the practice of citing literature reviews rather than the original work, the citation of work by eminent researchers at the expense of work by little-known researchers even though the latter may be more appropriate, i.e., "persuasive citing", citation of one's own or a colleague's work. Moreover, the 'halo effect' may play a significant role in the case of some authors because their names are well known.

Second, there are problems coming from citation indexes. Citation indexes only cover about 7000 journals and omit many other refereed national and international journals. Omitting a substantial number of refereed journals may provide insufficient information about the overall citation counts. Moreover, citation indexes provide information by senior or primary authors and ignore multiple authorship. Results are considerably biased when multiple authorship is ignored in citation indexes. Furthermore, changes in the names of authors and incorrect citations such as name misspelling and the use of common names can result in other errors in citation counts.

Third, the choice of an appropriate time period for the count can be also a problem. Although it is better to use a short time period in order to make the measure as accurate a reflection of current research output as possible. This would discriminate against authors whose works increase in importance over time.

Fourth, there are problems arising from the mobility of faculty. There needs to be a consensus on the best way of allocating citations between where the research was done and where the researcher's location was at the time of citation.

Fifth, a citations count will discriminate against the department whose members are relatively young with few publications to be cited. It has been argued that citations may not be a good indicator of a department's future performance since citations are based on the previous work of faculty and those faculty may no longer be there, and may have been replaced by new faculty.

Sixth, a number of studies also argued that citations do not measure the quality of publications. It is not clear whether citations "measure quality, importance, impact, influence, utility, visibility, all of the above, or something else".

Finally, the collection of citation data for all academic units is very expensive and time consuming.

### **Q: Why not use the total number of publications?**

**A:** There are several conceptual and technical issues in conducting a publication analysis. The first issue is to identify and determine which types of publications will be counted. A typical publication count will include all scientific publications such as books, book chapters, journal articles, published conference proceedings, and the like. In addition, omitting other methods of research dissemination can also be an important problem in publication analysis. Although publications are the most common indicator of research performance, there are also alternative ways to produce research. For example, seminars, conferences, departmental discussion papers and informal correspondence. Unless work transmitted in these forms is subsequently published, a large chunk of research may be omitted from any measure based on publications.

A second issue relates to how the quality of publications is taken into account, because publications vary considerably in quality and in what they contribute to a subject. The major criticism of using a publication count as a measure for research performance is that it reflects the quantity rather than the quality or the relative contribution to a subject. Even if some corrective measures have been used to capture the quality and the relative contribution of publications, it has been often argued that they are not a real measure of the quality or relative contribution of publications and do not necessarily provide any information on the quality or impact of the study. For example, the relative importance of a book or journal article would be quite different. Moreover, it is also suggested that there are considerable differences between types of journal articles with respect to type, quality, and length and thus such

differences should also be taken into account. If an article length is not taken into account, it may lead to a proliferation of short articles in order to boost research "output" and hence the rankings of departments and individual faculty. Similarly, we can also note the differences in quality and relative contribution of types of journal articles such as a theoretical paper and a literature review. We can also note that such differences also exist between types of books. All these examples suggest that differences between forms, length, and relative contributions of publications need to be taken into account in any effort to measure research performance.

**Q: Why aren't the scholarly, research, and artistic accomplishments of students and other University employees (e.g., research associates) included in this measure?**

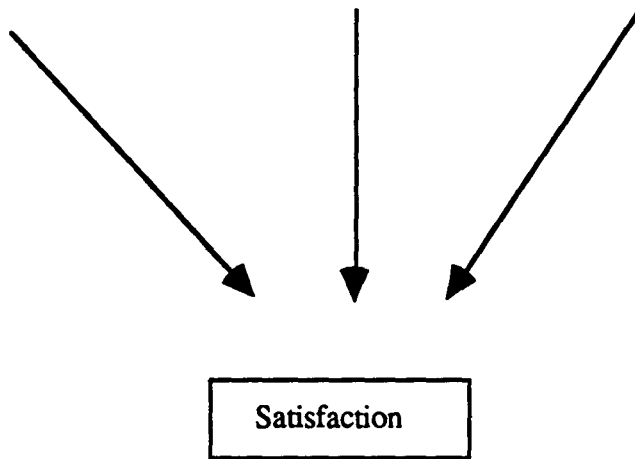
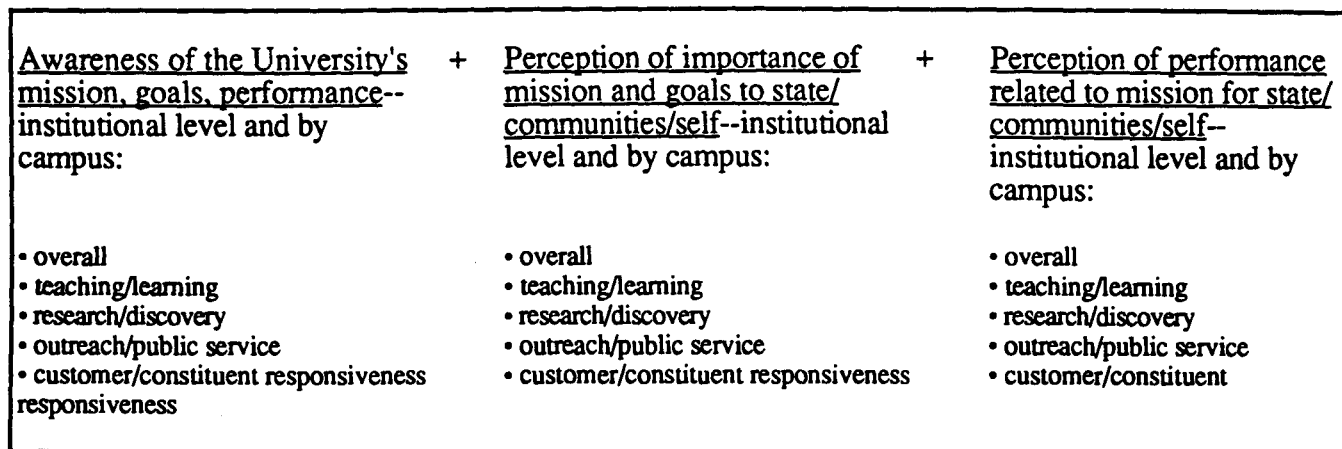
**A:** This critical measure is intended to highlight the significant accomplishments of our faculty, and so data on faculty are the focus of the measure. However, to the extent that scholarly, research, and artistic accomplishments of students and other University employees might be reflected in the accomplishments reported by faculty, they might be included in the broadest sense (although they would not be visible in a separate category). For students, this kind of information may be more appropriately reflected in the Student Experience Critical Measure that focuses on student achievement/performance and the distinctive features of a University education.

## Critical Measure: Overall Satisfaction of Minnesota Citizens

**Specific Measure:** The specific measure is the percentage of a random sample of Minnesota citizens polled who say they are very satisfied with the University. For the purposes of this critical measure, satisfaction of Minnesota citizens is conceptualized as shown in Figure 1 below:

FIGURE 1

Satisfaction of Minnesota Citizens



For purposes of this critical measure, "Minnesota citizens" are defined as: a) the general public of the state; and b) key constituency groups, including business and industry, state and local governments, the non-profit sector, and communities of color.

**General Goal for Measure:** Increase satisfaction of Minnesota citizens and key constituency groups with the University's performance and contributions to the state.

**Rationale for Measure and Relation to University 2000:** University 2000 states the University's commitment to enhancing the social, cultural, economic, and intellectual health of Minnesota and the Upper Midwest and reiterates the three elements of its mission as a land-grant, research university: research and discovery, teaching and learning, and outreach and public service. The University's vision for the 21st century is elaborated in the six strategic areas of research, graduate and

professional education, undergraduate education, outreach and access, user-friendly University community, and diversity.

The University needs not only to maintain and improve its performance in each of these areas, but also to improve the public's understanding of its mission, its programs, and its contributions to the state. Public understanding--and support--are critical for achieving the University's vision and goals for the 21st century. This critical measure will serve as a way of measuring the University's success in communicating its mission, goals, and accomplishments to the people of the state.

To the extent that public perceptions of the University relate to all of its functions and activities, this measure will be related to most if not all of the other critical measures. In particular, this measure is related to the other externally-oriented critical measures of Responsiveness to Compelling State Needs, Responsiveness to Market Demand, Outreach and Public Service, and Interdisciplinary/Applied Programs. It is also related to the Underrepresented Groups/Diversity and the Customer Service/Streamlining critical measures.

**Description of Measure:** The proposed operational definitions for this critical measure are as follows:

- **Satisfaction** is operationalized as the highest rating on a single question about overall satisfaction with the University.
- **Awareness** is operationalized as the response of the public and members of key constituency groups to questions about:
  - a) feeling generally informed about the University and its activities;
  - b) being able to identify components of the University's mission and key aspects of its future goals (i.e., teaching/learning, research/discovery, outreach/public service, and responsiveness to customers/ constituents); and
  - c) recognizing the University's unique role in the state's public higher education system.
- **Perception of importance** is operationalized as the response of the general public and members of key constituency groups to questions about the importance of the University's mission and goals for the state, for their communities, and for themselves/their families (in general and in teaching/learning, research/discovery, outreach/public service, and responsiveness to customers/constituents).
- **Perception of performance** is operationalized as the response of the general public and members of key constituency groups to questions about:
  - a) the University's performance overall;
  - b) the quality of the University's teaching/learning, research/discovery, and outreach/public service, as well as its responsiveness to customers/constituents; and
  - c) the University's contributions to the quality of life in the state, their communities, and themselves/their families.

There are two primary methods of collecting information for this measure: public opinion polling and the use of focus groups and/or informant networks. Public opinion polling should be done at least biennially (ideally annually), over-sampling for key constituency groups to obtain samples of sufficient size to draw subgroup conclusions; follow-up polling of individuals who would agree to provide additional information on certain questions might also be used to gain additional information (e.g., respondents who stated that they had experienced problems in their personal contacts with the University). The public opinion polls conducted by University Relations will be the starting point for the development of this measure. It is assumed that some of the questions used in the past would be continued, some of these questions might be modified, and some new questions would be added.

Focus groups and/or a "key informant" network could also be used to obtain more in-depth information on important questions on the awareness, importance, performance, and satisfaction dimensions for the key constituency groups in particular. Focus group/key informant information would supplement the

results of public opinion polling (and might even suggest new questions for future polling), but would not be the central focus of this critical measure. This method may be further developed in the third phase of the critical measures work when the other externally-oriented measures (some of which might use a similar method) are developed.

**Baseline Information and Performance Goals:** Although the specific questions used for this measure may be somewhat different from questions used in previous University Relations polls, a question on "overall satisfaction" was used in the survey conducted in 1994 and can provide a starting point/baseline for the overall satisfaction of Minnesota citizens critical measure (the question "impression of U as an educational institution" that was included in 1988, 1990, 1992, 1993, and 1994 surveys provides a longer baseline, but is not as useful for the overall rating because of the emphasis on the education component of the tripartite mission).

The "overall satisfaction" figure below (Figure 2) shows results from the fall 1994 survey of 805 adults (18 years of age or older) conducted by the Minnesota Center for Survey Research as part of the 1994 Minnesota State Survey. The survey found that 19% of the Minnesota citizens sampled were "very satisfied" with the University and additional 37.5% were "somewhat satisfied." Although only small percentages gave negative responses (8% were "somewhat dissatisfied" and only 2% were "very dissatisfied"), a significant percentage of the people questioned--33%--were neither satisfied nor dissatisfied.

Based on these results, the University could be viewed as having important work to do in increasing ratings of the "somewhat satisfied" and the "neither" groups, in order to increase public support for its mission and goals in this critical time of shrinking resources. The goals shown in Table 1 below reflect this understanding and institutional commitment.

**FIGURE 2**

**Public's Overall Satisfaction with University of Minnesota (1994)**

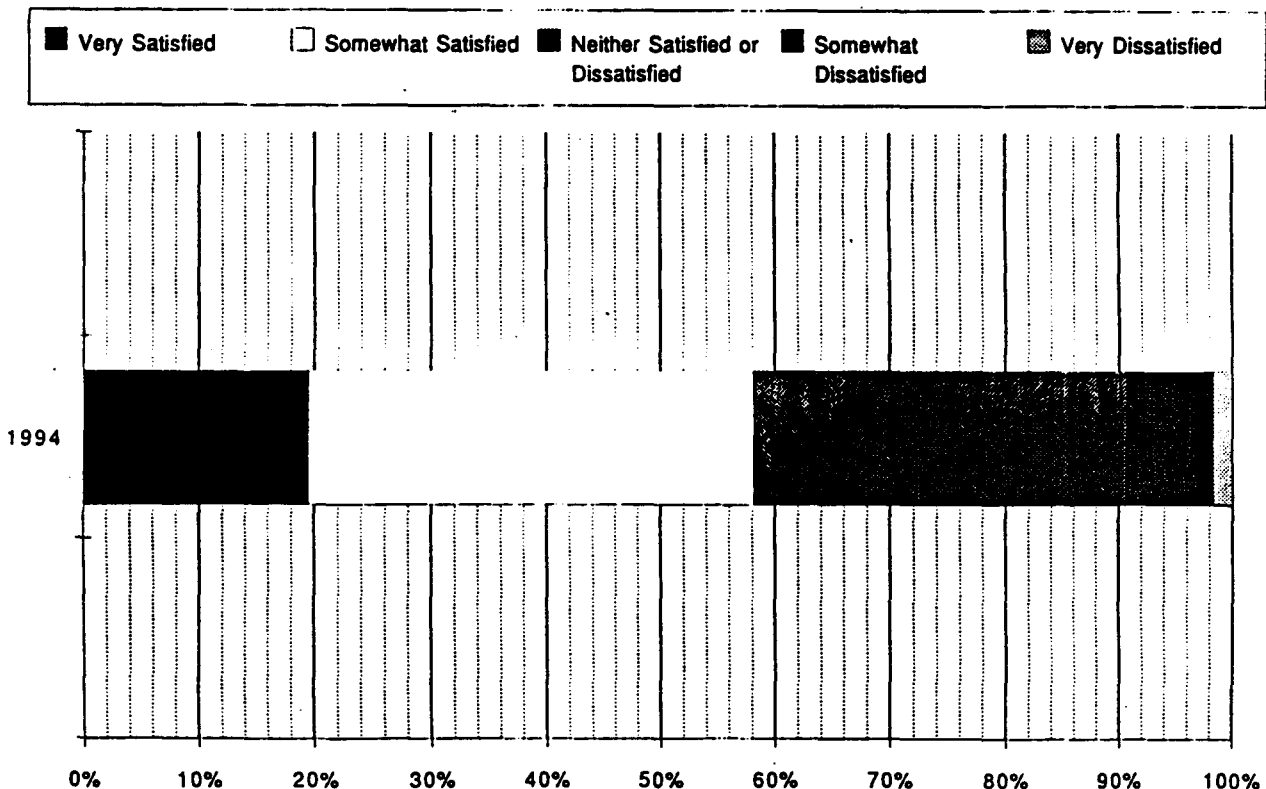


TABLE 1

Overall Satisfaction with University of Minnesota:  
% "Very Satisfied"

Institutional-Level 1994 baseline and year 2000 Goal	
<u>1994 Baseline Year</u>	<u>Year 2000 Goal</u>
"Very Satisfied" = 19%	"Very Satisfied" = ?

**Related Action Initiatives in University 2000:** Relevant initiatives include all U2000 initiatives, since public perceptions of the University will be a function of progress and performance in all of these areas. In addition, the University needs to implement aggressive communication strategies so that Minnesota residents become better informed about--and more supportive of--the University's unique mission and role and its important accomplishments.

**Cost:** Achieving the performance goal for Overall Satisfaction of Minnesota Citizens will depend on the availability of resources to undertake the action initiatives necessary to implement and communicate U2000. The more specific costs of these initiatives should become more clear after the current planning and budgeting cycle is completed. If resources are not available to support these initiatives, it may be necessary to revise the performance goals for the Overall Satisfaction of Minnesota Citizens Critical Measure.

**Data Collection Process:** On a limited basis, public opinion polling has been carried out annually within Institutional Relations, and these resources could be used to partially fund an expanded scope and/or sample, although additional resources will be needed to support the expanded scope. The Minnesota Extension Service has a statewide network that might be used for the collection of the more specific/supplemental information acquired through focus groups or informant networks, although additional resources may be needed to support this activity on a regular basis.

**Breakout of Measure:** The results of the Overall Satisfaction of Minnesota Citizens Critical Measure should be broken out for each of the key constituency groups.

**Responsibility:** Responsibility for performance on the critical measure of Overall Satisfaction of Minnesota Citizens rests with the President, Senior Vice Presidents, Provosts, Chancellors, and Deans. Others particularly involved are the Senior Vice President for Academic Affairs, the Vice President for Institutional Relations, and the Director of the Minnesota Extension Service.



## Critical Measure: Faculty and Staff Experience

**Specific Measure:** The Faculty and Staff Experience Critical Measure focuses on the experience of University faculty and staff in three areas: development, satisfaction, and compensation. Although the faculty/staff experience varies across the Crookston, Duluth, Morris, and Twin Cities campuses, certain features of the experience are common to all four campuses. For purposes of this critical measure, faculty and staff are defined as including all regular faculty, senior academic administrators, other academic administrators, academic professionals, union represented staff, and civil service staff. The focus of the measure is shown in Figure 1 below:

FIGURE 1

### Faculty and Staff Experience

<p><b><u>Development Goal:</u></b> effective skills and career development of faculty and staff:</p> <p><i>-systematic preparation of faculty and staff for skills needed in current jobs;</i> <i>-effective career planning and development for future University jobs (viewed from both the institutional and the employee perspective);</i></p> <p><b><u>Measure:</u></b> the extent to which faculty and staff receive <u>training that prepares them to perform as expected</u> in their jobs <u>and that advances the mission</u> of the University, both currently and for the future.</p>	<p><b><u>Satisfaction Goal:</u></b> satisfaction of faculty and staff:</p> <p><i>-clear expectations and feedback;</i> <i>-effective problem solving around interpersonal and personnel issues;</i> <i>-a supportive interpersonal and physical environment (collaborative working relationships, respect and recognition for work, provision of support needed for success);</i></p> <p><b><u>Measure:</u></b> the extent to which faculty and staff perceive that their <u>work is respected, supported, and recognized</u>, and that their work environment and relationships are supportive and collaborative.</p>
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<p><b><u>Compensation Goal:</u></b> . . . . . competitive compensation . . . . .&gt;</p> <p><b><u>Measure:</u></b> for faculty and academic staff, the University's <u>position among the top 30 research universities</u>;* for civil service and union represented groups, the University's <u>position relative to market</u>.</p>
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**General Goal for Measure:** Increase the preparation and satisfaction of University faculty and staff and the University's overall compensation position among top research universities, with particular attention to underrepresented groups and diversity.

\* A different set of peer institutions may be more appropriate for the Duluth and Morris campuses

**Rationale for Measure and Relation to University 2000:** University 2000 talks about faculty who are world-class researchers, scholars, and artists; who are effective teachers; and who reflect the diversity of society. U2000 also envisions faculty as being free to look at the world as they see it and to express what they see in their work, as well as having the support they need for the creation of new knowledge in basic, interdisciplinary, and applied areas, and for effective teaching and outreach. Staff are envisioned as being able to design and provide services that are needed and valued by all members of the University community, and being given the time and support they need to accomplish their work in a consistently high quality manner.

The sixth strategic area of University 2000 also states a goal of creating an environment that actively acknowledges and values diversity for men and women students, faculty, and staff from varying racial, religious, and ethnic backgrounds, and of varying sexual orientations, as well as people with disabilities. The underrepresented groups/diversity critical measure states that progress in creating an inclusive and supportive environment will be measured in a variety of ways, including surveys of faculty and staff.

The results of faculty effort are measured in several other critical measures, including the critical measures of Sponsored Funding; Scholarship, Research, and Artistic Accomplishments; Interdisciplinary/Applied Programs; Outreach and Public Service; and Reputation of Programs. The rationale for focusing this critical measure on the three specific areas identified above--development, satisfaction, and compensation--is that the quality of the experience of our faculty and staff, as employees of the University and as members of the University community, is central to their effectiveness and performance. To the extent that the experience is a positive one, the likelihood of successful outcomes is increased; and to the extent that there are problems in the faculty/staff experience, they need to be addressed and the quality of the experience improved.

While "recruitment" and "retention" were part of the original name of this measure, they are not included here because they are felt to be more appropriate to measure at the college and departmental levels and not feasible to include in an institutional-level critical measure; as a result, colleges will be expected to address these two issues in their own collegiate level measures. In addition, these two concepts are to some extent reflected in the three areas selected for this measure; for example, to the extent that an important factor in recruitment is competitive compensation, inclusion of a compensation focus would capture an important variable related to recruitment; and to the extent that development and satisfaction (as well as compensation) relate to being able to keep the faculty and staff we wish to keep, we would expect the relevant issues concerning retention to be reflected in the measurement of these other variables.

Finally, although not recommended as part of the institutional critical measure, a general exit survey for all departing faculty and staff would be a useful supplement to the development and satisfaction measures. In particular, retention of underrepresented groups will continue to be an important focus of concern at the institutional, campus, and collegiate levels, and will require additional monitoring and action to address related issues. Focus groups might also be used to obtain information on those who leave.

Work currently being done by the University's Human Resources Office and a Compensation Working Group addresses many of the issues that are the focus of this critical measure; this measure is therefore intended to build on that work. The climate for faculty and staff of color is an important focus of the Office of the Associate Vice President for Minority Affairs and Diversity and will be an important aspect of this measure as well. Elements of the Faculty and Staff Experience Critical Measure will be included in the Underrepresented Groups/Diversity Critical Measure.

**Description of Measure:** The Faculty and Staff Experience Critical Measure concerns: 1) how well we prepare faculty and staff to do their jobs and to carry out the institutional mission (development); 2) how valued and supported our faculty and staff feel in doing their jobs (satisfaction); and 3) how competitive the University is able to be in the area of compensation relative to the top research institutions we compete with and in our local market (compensation).

The proposed definitions for this measure are as follows:

- Development refers to the extent to which faculty and staff receive training that prepares them to perform as expected in their jobs and that advances the mission of the University, with particular emphasis on: a) training for the mission activities of teaching and outreach; b) training for administration, management, and leadership to accomplish institutional, campus, and unit goals; c) training for use of information technology; and d) more individualized developmental support (e.g., mentoring) for junior faculty and new staff.

The institutional critical measure for development is the number and percent of intended faculty and staff who received training or developmental support in priority areas, broken down for each type of faculty and staff group and for underrepresented groups. This measure implies that the necessary types of training have been specified for each faculty and staff group and goals set for those who should receive the training (e.g., training for teaching and outreach for all new faculty; training for administrative leadership for all new department heads and administrators; training for use of information technology; etc.); it also implies that the information could be aggregated across groups and reported for the institution and for each campus.

This is an activity, rather than an outcome, measure; although an outcome measure would be desirable, measuring the impact of training at an institutional level is probably not feasible. Supplemental measures might include ratings by, or focus groups with, recipients and others on the value or impact of training received; the amount of money spent for training could also be a useful supplemental measure.

- Satisfaction refers to the extent to which faculty and staff perceive that their work is respected and valued, that the work environment is collegial and collaborative (not isolating), that expectations for workload and performance are clearly communicated (including feedback) and appropriate, that concerns about the work environment are heard and addressed, that they have opportunities for promotion and advancement, and that their work is adequately supported to allow for successful performance (e.g., time, training, infrastructure, human resources, equipment).

The institutional critical measure for satisfaction would be an overall question on an annual faculty/staff survey about satisfaction with the job and the environment in which it is carried out; the survey would also include questions on the more specific kinds of issues and concerns noted above. Supplemental measures might include the percent of staff jobs filled by promotion, vs. external hires; for faculty, time in rank/time to promotion and tenure; and the percent of retention cases who decide to stay. Survey results would be broken out for each faculty and staff group, as well as for underrepresented groups. This information could be supplemented by using focus groups.

- Compensation refers, for faculty and academic staff, to the University's position among the top 30 research universities;\* and, for civil service and union represented groups, to the University's position in relation to market level compensation.

### **Baseline Information and Performance Goals:**

The development baseline would not be possible to identify until a comprehensive training plan is developed--after which the training being provided currently could be shown in the appropriate categories. Although some suggestive satisfaction data are available (and will be reflected in subsequent drafts of this measure), there is no baseline information covering all faculty and staff groups on all campuses. As a result, the satisfaction baseline and goals cannot be specified until after the first comprehensive survey is done.

The compensation baseline and goals could be shown as in Table 1 below, using the Compensation Working Group report and the Human Resources data reported to the Board of Regents in March, 1995:

\* *A different set of peer institutions may be more appropriate for the Duluth and Morris campuses*

TABLE 1

Faculty and Staff Compensation (salary and benefits)  
Institutional-Level 1994-95 Baseline and Year 2000 Goals

<u>GROUP</u>	<u>1994-95 Baseline</u>	<u>Year 2000 Goal</u>
<u>Faculty and Academic Staff:</u>		
Competitive Aggregate Funding Position Among Top 30 Research Universities *	rank of 22 of 30	
<u>Civil Service, Non-Union Staff:</u>		
Overall Position to Combined Public and Private Sector Market	93% of market	
<u>Union Staff:</u>		
Overall Position to Combined Public and Private Sector Market	102% of market	

**Related Action Initiatives in University 2000:** Initiatives are being developed in the following areas:

- Development of skill sets to improve performance in current jobs
- Development of administrator training and succession planning
- Expansion of career development programs for staff
- Consolidation of problem-solving models and procedures
- Development and implementation of new HRIS/payroll system
- Restructuring of faculty and staff compensation systems

**Cost:** Achieving the performance goals for the Faculty and Staff Experience Critical Measure will depend on the availability of resources to undertake the action initiatives described above. If resources are not available to support these initiatives, it may be necessary to revise the performance goals for this measure.

**Data Collection Process:** Additional resources will be needed on each campus and at the institutional level for the collection and analysis of the survey information needed for this critical measure.

**Breakout of Measure:** The Faculty and Staff Experience Critical Measure should be broken out by campus and college, for the different faculty and staff groups, and for each of the underrepresented/diversity groups identified in the sixth U2000 strategic area on diversity.

**Responsibility:** Responsibility for performance on the Faculty and Staff Experience Critical Measure rests with the President, Senior Vice Presidents, Provosts, Chancellors, and Deans. Others particularly involved are Associate Vice Presidents for Human Resources and for Minority Affairs and Diversity. Oversight by the Office of Human Resources.

*\* A different set of peer institutions may be more appropriate for the Duluth and Morris campuses*

## Q&A SHEET

**Q: The name of this measure before was Faculty/Staff Recruitment, Development, Satisfaction, Retention; why are recruitment and retention no longer considered focal points for this measure?**

**A: The rationale for focusing the critical measure on the three specific areas identified above is as follows:**

- What happens to our faculty and staff while they are here is central to this measure, and in varying degrees it also affects both recruitment and retention; therefore faculty/staff development--how well we prepare faculty and staff to do their jobs and to carry out the institutional mission--and faculty/staff satisfaction--which does not determine productivity or retention, but is nevertheless an important factor--are central to this measure.

- Recruitment should not be a primary focus for several reasons, including the fact that the significant differences among disciplines may make it a more appropriate collegiate or departmental level measure than an institutional level measure; and to some extent, having a "world class" faculty should be reflected in the more outcome-oriented measures of sponsored funding, scholarship/research/artistic accomplishments, and interdisciplinary/ applied activities; also, if an important factor in recruitment is competitive compensation, inclusion of a compensation focus as suggested here would capture one of the more important variables related to recruitment.

- Retention is not a primary focus for this measure because, although it can be a reflection of the faculty and staff experience, it is difficult to measure in a meaningful way at an institutional level. This is true because retention rate data does not show why people leave; and we know that they leave for many different reasons, some of which are quite individual and unrelated to their experience at the University. In addition, the focal points suggested here (development, satisfaction, and compensation) should capture the most important variables related to retention.

Because retention--especially when we lose people we want to keep--is still an important issue, a general exit survey for all departing faculty and staff would be useful to supplement the development and satisfaction measures, especially if there are differential reasons for leaving, for example, among different racial/ethnic groups).

## **Critical Measure: Facilities Infrastructure**

**Specific Measure:** This specific measure focuses on three important dimensions: 1) level of funding (\$) required to address deferred renewal; 2) level of funding (\$) required to address adaptation needs; and 3) annual expenditures (\$) on research equipment.

**General Goal for Measure:** Improve the quality, functionality, and safety of the University's physical infrastructure and assets.

**Rationale for Measure and Relation to University 2000:** University 2000 calls for the campuses to be useful for modern educational techniques, physically accessible, environmentally sound, attractive, and safe. Recent studies have demonstrated the serious deterioration of American college and University facilities. Like other Universities, erosion of the University of Minnesota's buildings and its supporting infrastructure undermines every aspect of its ability to function effectively. Conversely, institutions with properly maintained facilities have a competitive advantage in securing research dollars, top faculty, and students (SCUP, 1989). The University currently has approximately \$1 billion in deferred renewal, maintenance, and adaptation needs. Massive infusion of resources for repair and renovation are needed.

In addition, a primary mission of the University of Minnesota is research and scholarship--the discovery of new knowledge and its dissemination to the state, the nation and the world. Research, scholarship and artistic accomplishment are the basis of every aspect of the University's activities. University 2000 states a goal of upgrading and enhancing the research environment and increasing substantially the University's investment in the research infrastructure.

**Description of Measure:** The key elements of the critical measure are described below:

1) **Deferred renewal** refers to the cost of the systematic replacement of major building systems (heating, air conditioning, plumbing, electrical, windows, roofs, etc.) that are beyond their useful life, as a means of extending the life of the building.

2) **Funding required for adaptation** refers to the expenditures required to adapt facilities to fit the evolving needs of the institution and may include adaptations to address changing programmatic needs, technology requirements, or externally imposed code standards (i.e., safety and accessibility codes). The adaptation measure consists of three components, which can also be viewed in terms of the extent to which University systems and facilities are up to standard; as such they could also be viewed as supporting measures.

The three components and related supporting measures are listed below, and are described in more detail in Attachment A.

- **Classrooms:** percentage of classrooms meeting physical and functional standards;
- **Code compliance:** percentage of buildings meeting specified safety and accessibility code standards; and
- **Technology:** percentage of buildings fully wired for access to the network.

Each of these supporting measures is tied to the adaptation measure by the dollar amounts required for adaptation, so that the sum of the resources required for these three supporting measures equals the adaptation measure.

3) **Annual expenditures for research equipment:** The level of expenditures on equipment is a proxy for a measure that is much more difficult to obtain: the life-cycle of research equipment. However, the level of money expended on equipment annually provides a general understanding of our relative level of investment compared to previous years.

**Baseline Information and Performance Goals:** Baseline information and goals for the three components of the Facilities Infrastructure Critical Measure are shown in Table 1 below:

**TABLE 1**

**Funding Required For Renewal, Adaptation, and Research Equipment  
Institutional Level Baseline and Year 2000 Performance Goal:**

<b>Measure 1</b> Level of deferred renewal (\$)	<b>1994 Baseline</b> approximately \$900 million (1994 est.)	<b>Year 2000 Goal</b>
<b>Measure 2</b> Level of adaptation (\$)	<b>1994 Baseline</b> approximately \$100 million (1994 est.)	<b>Year 2000 Goal</b>
<b>Measure 3</b> Annual expenditures on research equipment (\$)	<b>1994 Baseline</b> \$19,179,143	<b>Year 2000 Goal</b>

Attachment B provides additional information on past expenditures for research equipment.

**Related Action Initiatives in University 2000:** Important initiatives for accomplishing the goals above include:

- Renewal of major systems
- Classroom improvements
- Building safety and accessibility improvements
- Building upgrades for technology
- Research equipment upgrades

**Cost:** As noted earlier, substantial amounts of additional resources will be required to address the deferred renewal and adaptation problem.

**Data Collection Process:** For deferred renewal and adaptation, Facilities Management on the Twin Cities campus is currently collecting information on the level of deferred renewal. Additional resources will be required to assess and monitor the level of adaptation for other campuses and for technology. Level of expenditures for equipment is reported in CUFS and monitored by Accounting Services and should require no additional resources to report.

**Breakout of Measure:** Deferred renewal and adaptation information will be reported on an institutional and campus-level basis. Research equipment expenditure information will be reported on an institutional-level basis.

**Responsibility:** For deferred renewal and adaptation, responsibility for this critical measure rests with the President, Senior Vice Presidents, Chancellors, Facilities Management (Twin Cities and Duluth campuses), Physical Plant (Morris and Crookston campus), Environmental Health and Safety, and Information Technology offices. For research equipment expenditures, responsibility for performance on this measure rests with the President, Senior Vice Presidents, Provosts, Chancellors, and Deans.

## ATTACHMENT A

### Supporting Measures

1) **Classrooms:** A fundamental requirement for success in education is an environment that is conducive for teaching and learning. Quality classrooms enhance faculty teaching and markedly enhance student learning. Furthermore, classrooms are a significant part of a student's collegiate experience. Classrooms represent less than 5% of the space on campus, yet students often spend more than 50% of their time on campus in classrooms. Unfortunately, the University's classrooms need a great deal of work. For example, the physical and functional condition of two-thirds of the classrooms on the Twin Cities campus have been rated as below standard. Improving classroom space and using it more effectively can improve the learning environment, as well as reduce overhead costs for the University.

The supporting measure for classrooms is the percent of total classrooms meeting a specified functional and physical standard. The physical condition of the classroom is based on the following aspects: Access, Sight Lines, Acoustical and Mechanical, Lighting, Electrical, Teaching Surfaces, Windows, Technology, and Seating.

2) **Code Compliance:** A large percentage of University buildings do not meet safety and accessibility standards. Bringing these buildings up to code improves the environment for faculty, students, and staff, while meeting safety and accessibility regulations set by the state and federal governments.

The supporting measure for code compliance is the percentage of buildings meeting safety and accessibility code standards. State and national guidelines (Minnesota State Building Code and the American National Standard for Buildings and Facilities) dictate the level at which a building is considered safe and accessible. Environmental Health and Safety has surveyed all the buildings on the Twin Cities campus to determine the requirements necessary to bring each one up to code (for safety and accessibility). The buildings are categorized into five levels: serious deficiencies, major deficiencies, moderate deficiencies, minor deficiencies, and no significant deficiencies. From this survey they have determined a cost for updating each building.

3) **Technology:** Every aspect of the University has been affected or will be affected by the changes in technology. University 2000 calls for the construction and renovation of the campuses to be useful for modern educational techniques. The first step to make this possible, is to install all buildings with appropriate wiring to access the network. The University then needs to build on this infrastructure as a means to apply technology to research, instruction, and outreach.

The supporting measure for technology is the percentage of buildings containing the necessary wiring for access to the network. Measuring the number of buildings wired to the network provides a foundation for a more comprehensive technology measure that might be developed in later work on the critical measures. Buildings and rooms within buildings need to be connected to the network in order to have access to the worldwide network and to communicate with other computers on campus and off. Currently a small percentage of buildings are connected.

If institutional-level goals were to be set for these supporting measures, the baseline and goal information would be included as shown on the following page.



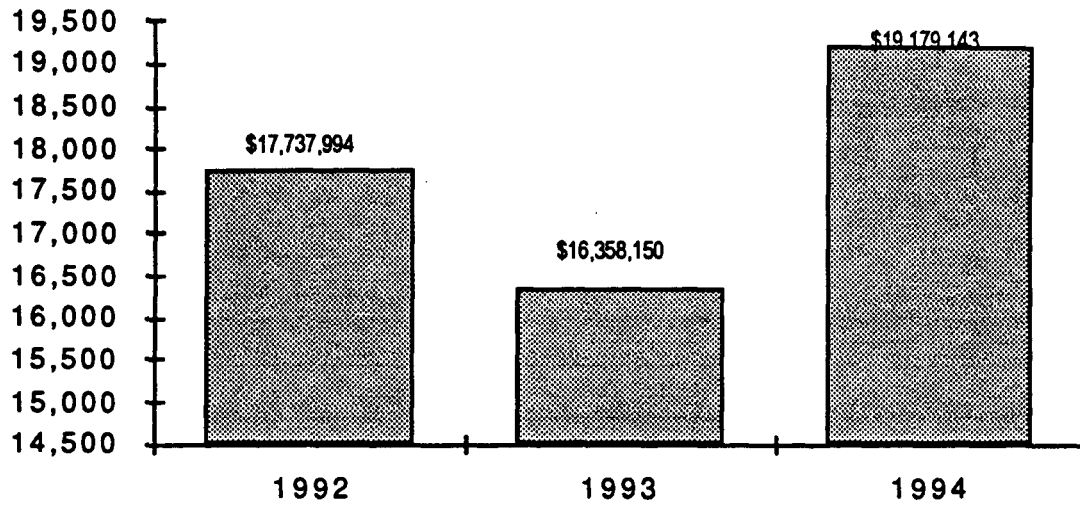
**Supporting Facilities Infrastructure Measures  
Institutional-Level 1994 Baseline and Year 2000 Performance Goals:**

<b>Measure</b> 1. Percentage of classrooms meeting physical and functional standards.	<b>1994 Baseline</b> Two-thirds of all classrooms on TC campus are below acceptable standards (rated as "fair" or "poor" in classroom condition survey).	<b>Year 2000 Goal</b>
<b>Measure</b> 2. Percentage of buildings on all campuses meeting specified code standards.	<b>1994 Baseline</b> 30% of all buildings on the Twin City's campus have "serious" or "major" deficiencies.	<b>Year 2000 Goal</b>
<b>Measure</b> 3. Percentage of buildings on all campuses fully wired for access to the network.	<b>1994 Baseline</b> <ul style="list-style-type: none"> <li>• Approximately 20% of Twin City campus buildings are wired to the network.</li> <li>• Most of the buildings on the Duluth campus are "reasonably" wired to the network.</li> </ul>	<b>Year 2000 Goal</b>

ATTACHMENT B

Annual Expenditures on  
Research Equipment\*

thousands  
\$



\*All equipment expenditures categorized under the Research function code

## Q&A SHEET

**Q: Should more than just the physical infrastructure of information technology (i.e., the wiring of buildings) be measured, and if so, where should this be reflected in the critical measures?**

**A:** Technology encompasses a much broader spectrum of elements than just those aspects that are part of the facilities infrastructure. Every aspect of the University has been affected, or will be affected, by the changes in technology. Beginning to focus on this important area by measuring the percent of buildings wired for the network (as recommended for the Facilities Infrastructure Critical Measure) could provide the foundation for much more comprehensive measure, one that focuses on the application of technology across a broad range of University activities.

There are two ways a more comprehensive "technology" measure might be developed:

1) It could be included as an additional component and measure in the Facilities/ Infrastructure Critical Measure, but expanded and developed to include the application of technology in University research, instruction, outreach, and management (including but not limited to information technology).

or

2) It could be created as a new critical measurement area for "Technology" and added to the third phase critical measures. As a separate measurement area, it would give greater emphasis to the important applications of technology in University research, instruction, outreach, and management. It might also include the research equipment component currently suggested as part of the Facilities Infrastructure Critical Measure, making the focus of the latter more on our "stewardship of resources/assets," with the new measurement area focusing more on "investments for the future."

### **Q. Why not use other Measures for Facilities/Infrastructure?**

**A.** Other measures suggested, and reasons for not using them, are shown below:

Measure: Custodial Costs and Performance

Reason for not using Measure: 1) May be more useful as a management performance measure rather than an institutional-wide measure.

Measure: Benchmark Building Operating Costs

Reason for not using Measure: 1) Difficult to get comparison data; 2) More of a management performance measure rather than an institutional-wide measure.

Measure: Energy Consumption and Energy Costs

Reason for not using Measure: 1) May be too many types of energy measures to include in this limited scope. 2) Seem to be more management performance measures rather than institutional.

Measure: Construction Costs

Reason for not using Measure: Too specific and localized to be a institutional-wide measure: more of a management performance measure.

Measure: Layout and Beauty of Campus

Reason for not using Measure: 1) Difficult to measure. 2) Difficult to compare to other campuses. 3) Aspects included in deferred maintenance measure.

Measure: 1) Crime statistics. 2) Perception of safety on campus-Campus Safety Audit

Reason for not using Measure: 1) May only be a Twin Cities problem. 2) Measures small aspect of larger problem. 3) Difficult to control by the resources available to the University (part of larger problem). 4) Difficult to quantify and compare perception of safety. 6) Perception of crime here is often reflection of broader society.

Measures: 1) Injury rates -- lost time/work days. 2. Accidents/illnesses

Reason for not using Measure: Not going to see much change; the major reductions have already occurred because Facilities Management and Health & Safety have already set up programs to reduce these rates.

**Q: On classroom utilization, are we going to be looking at space besides classrooms on the Twin Cities campus?**

**A: The methodology applied in the initial classroom study will be used on other campuses. Facilities Management may adapt the approach used in this study for other space.**

**Q: On equipment, how are we defining "research equipment"?**

**A: Research equipment is currently defined as those expenditures categorized in CUFS and reported by departments under the "equipment" object code with the function code of "research."**

## **Critical Measure: Resource Development**

**Specific Measure:** There are two proposed critical measures in this area: 1) percentage of total revenue from "non-traditional sources" (voluntary gifts, revenue from investments, and sales and service of educational activities); and 2) percentage of alumni giving to the University, as a measure of alumni support.

**General Goal for Measure:** Increase the University's ability to withstand changes in public funding through successful fund-raising, investment growth and performance, and development of new revenue sources; and increase the active support of alumni on behalf of the University.

**Rationale for Measure and Relation to University 2000:** University 2000 recognizes that success in achieving the goals of the University will depend on acquiring the necessary resources to achieve strategic goals, including a balanced strategy incorporating new sources of revenue. The University needs to acquire and maintain diverse sources of revenue as a buffer against unforeseen changes in the external environment and to decrease dependence on tuition and government support.

Voluntary gifts and endowment income in particular provide additional revenue to offset decreasing levels of higher education funding from traditional sources (i.e., state appropriations, federal grants, and tuition). "Whereas gift income was perhaps once a source of supplemental income to be enjoyed, it is now a vital component of the income statement and must be actively sought to maintain fiscal stability" (Standard and Poor's). Other sources of revenue in this category include sales and service of educational activities.

Alumni provide an invaluable resource for the University in a variety of ways, including advocating on behalf of the University at the legislature, donating time (e.g., recruiting new students, mentoring students, providing internships), and giving money to the University. Alumni donations are one way to measure the commitment and involvement of alumni in the University.

To the extent that alumni support reflects alumni feelings about the education they received at the University, the Resource Development Critical Measure is interrelated with the Student Experience and Post-Graduation Experience Critical Measures; and progress on the Resource Development Critical Measure will depend to a considerable extent on improvements in the student experience and post-graduation experience.

**Description of Measure:** The two measures are operationalized as follows:

1) Percentage of total revenue from "non-traditional sources" including voluntary gifts, investments of endowment and other funds, and sales and service of educational activities:

- Voluntary gifts are defined as "all restricted and unrestricted transfers of money made to a recognized University Foundation or College by an individual, group, business, or non-governmental agency when the use of the funds is NOT intended to result in direct economic benefit or any other tangible compensation (i.e., goods and services) to the donor" in a given year. This is probably the most often used/most cited measure of fund-raising performance, and can be compared to the University's previous years' output or to a peer group of institutions.
- Investment revenue from endowment and other funds occurs because the principal of the endowments held by the University of Minnesota, the University of Minnesota Foundation, and the University of Minnesota Medical Foundations is invested in perpetuity; the growth in dollars over time and the successful performance of these investments in comparison to market indicators provides resources for future generations as well as revenue for current operations; investment income has provided approximately \$25 million per year in each of the last five years.

- Sales and service of educational activities include charges to external customers (individuals, groups or businesses not affiliated with the University) for educational services other than those covered by student tuition and fees. An example of this would be when the College of Agriculture charges a fee to an outside group to use soil testing equipment owned by the University.
- Total revenue includes revenue from the sources above plus revenue from tuition, government appropriations, government grants and contracts, private grants and contracts, sales and services of auxiliary activities (e.g., food and housing), and sales and service of hospital and medical clinics.

Although not the focus of the institutional critical measure, supplemental measures providing more information on the University's performance in acquiring voluntary gifts include the University's rank in voluntary support among the top U.S. colleges and universities, and more specific goals of the University's development offices geared to increasing the number of major donors.

2) Percentage of alumni who give to the University, defined as the percentage of "addressable" living alumni who make voluntary gifts (as defined in #1 above) to the University of Minnesota.

**Baseline Information and Performance Goals:** Current performance and year 2000 goals for each of the two measures are shown in Figure 1 and Figure 2 on the following page. (Figure 2 will be completed in a subsequent draft.)

**Related Action Initiatives in University 2000:** Important initiatives include:

- Investments in systems and technology to identify and track alumni
- Investments to improve the student experience and the post-graduation experience
- Strengthening of revenue-raising activity in collegiate units

**Cost:** Achieving the performance goals for this critical measure will depend on the availability of resources to undertake the action initiatives described above. If resources are not available to support these initiatives, it may be necessary to revise the performance goals for this measure.

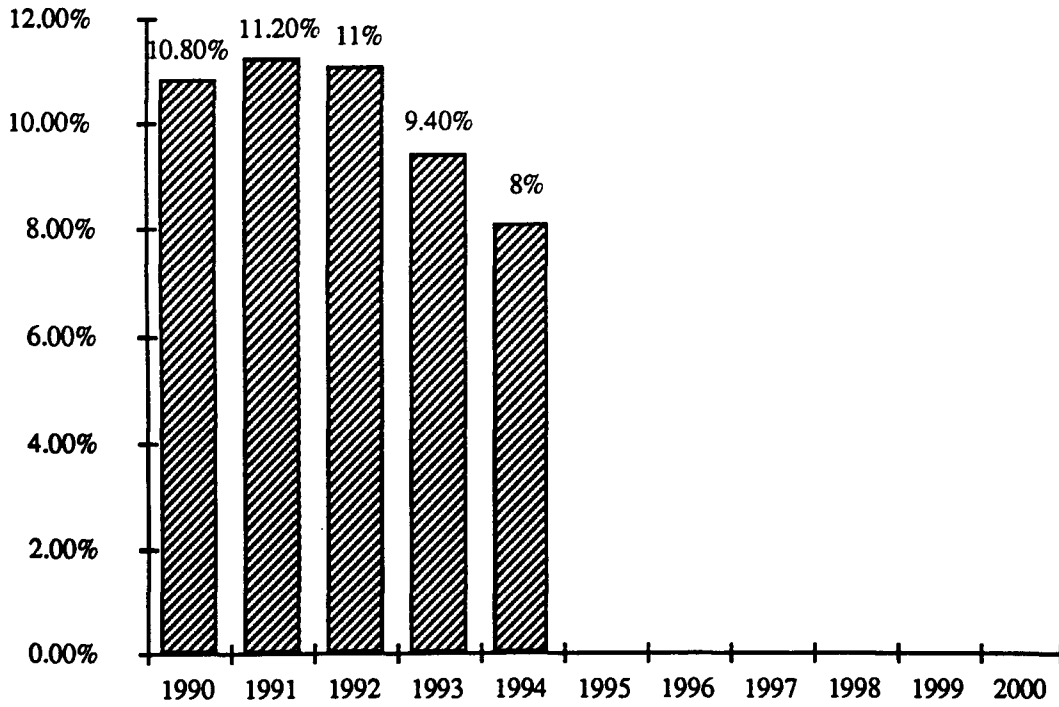
**Data Collection Process:** Data needed for the "non-traditional sources of revenue" measure is already collected (and reported in the University's annual report, although it is not presented in the manner that is recommended here), so there would be no additional cost to implement this measure. Data for the alumni measure is also already collected currently though not reported in the manner suggested here.

**Breakout of Measure:** Both aspects of this measure would be reported at the institutional and campus levels. Further discussion is needed to determine whether or not the measure should be broken out at the collegiate level as well.

**Responsibility:** Responsibility for performance on these critical measure rests with the President, Senior Vice Presidents, Provosts, Chancellors, and Deans. Others particularly involved are Vice President for Institutional Relations, the University Treasurer/Director of Asset Management, the University of Minnesota Foundation and the campus development and alumni offices. The oversight of the alumni donation measure is the responsibility of the University of Minnesota Foundation. The oversight responsibility for the non-traditional sources of revenue measure rests with the Controller.

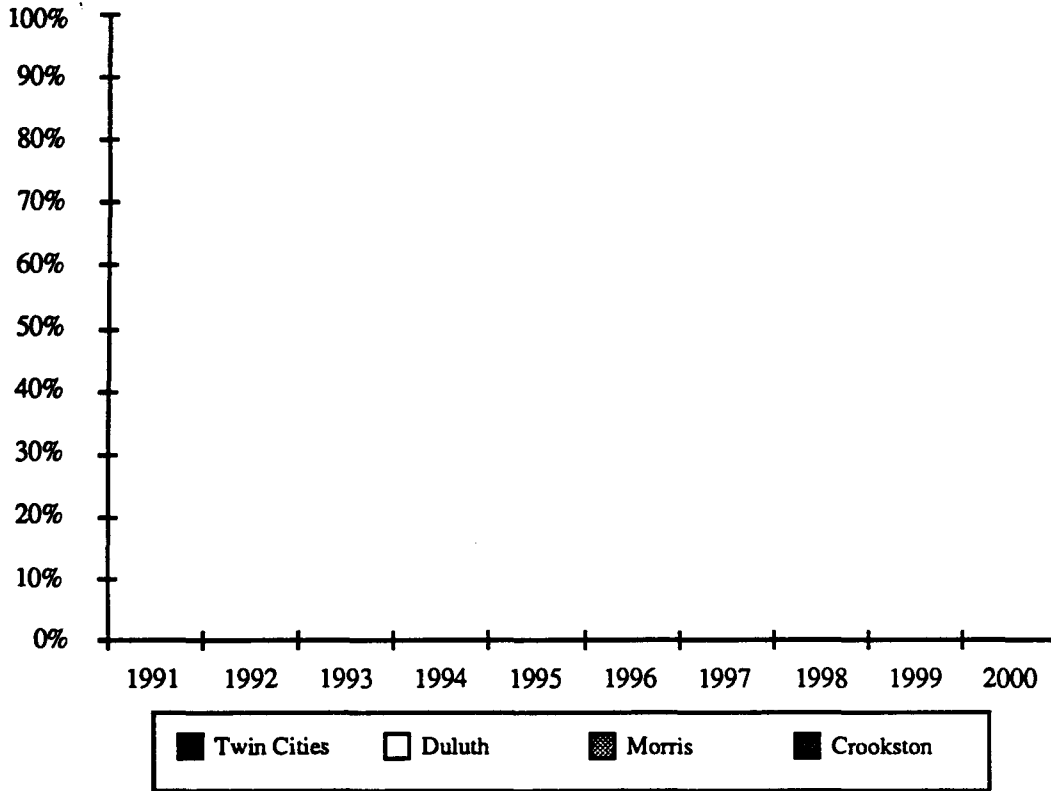
**FIGURE 1**

**Percentage of Revenue From Non-Traditional Sources  
Institutional-Level 1994 Baseline and Year 2000 Performance Goal**



**FIGURE 2**

**Percentage of Alumni giving to the university  
Institutional Level Baseline and Year 2000 Performance Goals**



## Q&A SHEET

**Q: Why not use other measures, such as "investment revenue" or "voluntary gifts received?"**

**A:** These are very important aspects of resource development, and it was felt that they should be included in some way; they are included in "revenue from nontraditional sources."

**Q: What are some of the drawbacks of the measures proposed?**

**A:** There are several important things this measure would not show, including:

- percent of revenue from non-traditional sources does not measure whether or not total revenue is increasing;

- the many ways alumni provide non-monetary support (e.g., recruiting new students, providing internships, and advocating on behalf of the University at the legislature) that are not reflected in this measure and which may provide a better measure of the connection between alumni and the University;

- the significant contributions non-alumni, which are not reflected in this measure other than being part of the revenue total.

**Q: Why not include all sources of income?**

**A:** First of all, one major source of income, sponsored funding, is already covered in one of the first five critical measures. Secondly, one of the principles guiding the development of the critical measures is the ability to control the factors that influence the measures; since we do not have direct control over state support, it would not be appropriate to include it in the measure. Third, although we have control over tuition, it is not appropriate to look at increasing tuition in the same way as the other sources that are included in the measure--if anything, tuition should be kept as low as possible, given forecasted costs and tuition levels of the University's competition. In general, it is important for all of these sources of revenue to be reported, but they should not be focal points of the institutional critical measure.

**Q: Who was involved in the discussion of this measure?**

**A:** In addition to the consultation process explained in the introduction, several key offices were consulted in the development of this measure, including the University Treasurer, (on the investment performance and the revenue measures), the Vice President for Institutional Relations, and the directors of the University of Minnesota Foundation and the University of Minnesota Medical Foundation.



# POLICY ON PROFESSIONAL COMMITMENT

DRAFT - May 8, 1995

## 1 STATEMENT OF GENERAL POLICY

1.1 ACADEMIC EMPLOYEES<sup>1</sup> principal work allegiance is to the University, and their primary responsibilities within the University are teaching and learning, scholarship (including research and artistic creation), service to the University and to the wider community, and/or administration in support of these activities. Because of their special capabilities, ACADEMIC EMPLOYEES are often sought to provide professional expertise for activities beyond the responsibilities of their academic appointment. These EXTRA PROFESSIONAL ACTIVITIES often complement the ACADEMIC EMPLOYEE's primary University responsibilities and thus should be encouraged if they can be accommodated within the TERM OF APPOINTMENT. ACADEMIC EMPLOYEES may engage in EXTRA PROFESSIONAL ACTIVITIES within the limitations set forth in this policy as long as these activities do not interfere with University teaching, research, outreach, and administrative responsibilities.

1.2 The intent of this policy is to: 1) identify professional contributions and services rendered by ACADEMIC EMPLOYEES to the community; 2) establish mechanisms for assuring the accountability of the University and its ACADEMIC EMPLOYEES with respect to EXTRA PROFESSIONAL and BUSINESS activities; and 3) provide principles to reconcile, as equitably as possible, conflicts between EXTRA PROFESSIONAL and BUSINESS demands on ACADEMIC EMPLOYEES and their varied University responsibilities. This policy supersedes and replaces all prior policies on this subject.

## 2 PROFESSIONAL COMMITMENT

2.1 A full-time ACADEMIC EMPLOYEE devotes primary commitment to University teaching, research, outreach, and/or administrative responsibilities, and where applicable to University patient care. Accordingly, all ACADEMIC EMPLOYEES should arrange all activities that are not part of their University responsibilities so as not to interfere with the primacy of these commitments. ACADEMIC EMPLOYEES may engage in EXTRA PROFESSIONAL ACTIVITIES. However, such activities must conform to the requirements set forth in this policy. Since demands for the talent and expertise of ACADEMIC EMPLOYEES may on occasion affect their responsibilities to the University, guidelines are needed to define these responsibilities. In general, EXTRA PROFESSIONAL ACTIVITIES may be pursued in accordance with this policy unless they:

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<sup>1</sup>Definitions of terms appearing in small capital letters are listed in Appendix A.

- 45 1) interfere with an ACADEMIC EMPLOYEE's ability to carry out
- 46 his/her responsibilities to the University;
- 47 2) compete inappropriately with the services or missions of the
- 48 University; or
- 49 3) misuse resources or facilities of the University.

50  
51 **3 ACTIVITIES THAT MAY BE CONSIDERED PART OF AN ACADEMIC EMPLOYEE'S**

52 **WORKLOAD**

53  
54 3.1 The activities below (a-f) are considered service when related to an  
55 Academic Employee's University responsibilities and are not considered against  
56 the time limitation for EXTRA PROFESSIONAL ACTIVITIES (see Section 5);  
57 however, they should not be pursued if they interfere with agreed-upon teaching,  
58 research, and outreach activities, or administrative responsibilities in support of  
59 these activities. The specific effort allocated for these activities should be agreed  
60 upon with the ACADEMIC EMPLOYEE's DEPARTMENT HEAD at least once a year  
61 as part of the workload discussion. Before engaging in new activities that would  
62 deviate substantially from the annual plan, the employee should discuss the  
63 activities with his/her DEPARTMENT HEAD.

- 64
- 65 a) Serving as editorial officer or having other duties for a learned journal
- 66 b) Serving on panels for academic, governmental, or not-for-profit entities
- 67 c) Serving on a board of directors or advisory committee of a scholarly or
- 68 professional organization
- 69 d) Serving as an officer of a scholarly or professional organization
- 70 e) Attending professional meetings or professional development programs
- 71 f) Giving occasional public presentations or participating in colloquia

72  
73 **4 LIMITATION ON BUSINESS ACTIVITIES**

74  
75 4.1 ACADEMIC EMPLOYEES may engage in BUSINESS activities unrelated to  
76 their professional expertise insofar as they do not interfere with the primacy of  
77 their University obligations.

78  
79 **5 TIME LIMITATION FOR EXTRA PROFESSIONAL ACTIVITIES**

80  
81 5.1 EXTRA PROFESSIONAL ACTIVITIES of a full-time ACADEMIC EMPLOYEE  
82 must not exceed an average of one day per seven-day week for the TERM OF  
83 APPOINTMENT. For those with "B" appointments, this amounts to a maximum of  
84 39 days in the TERM OF APPOINTMENT; for those with "A" appointments, this  
85 amounts to a maximum of 48 days in the 11 months of active service. A day will  
86 be considered approximately 8-10 hours of EXTRA PROFESSIONAL ACTIVITIES

87 and preparation time regardless of when or where this occurs during the  
88 seven-day week. Preparation time and travel time devoted to EXTRA  
89 PROFESSIONAL ACTIVITIES are counted toward the time limit.

90  
91 5.2 ACADEMIC EMPLOYEES (100%) must comply with the time limitations  
92 specified within this policy. The allowable time for EXTRA PROFESSIONAL  
93 ACTIVITIES for ACADEMIC EMPLOYEES who hold appointments greater than or  
94 equal to 67% time but less than 100% will be proportionately reduced in  
95 accordance with their appointment percentage. ACADEMIC EMPLOYEES holding  
96 appointments less than 67% time may engage in EXTRA PROFESSIONAL  
97 ACTIVITIES only during their noncontractual time. Reporting requirements,  
98 however, apply to all ACADEMIC EMPLOYEES with an appointment of 50% time  
99 or more.

100  
101 **6 LIMITATION ON ACTIVITIES THAT MAY COMPETE WITH THE UNIVERSITY**

102  
103 6.1 EXTRA PROFESSIONAL ACTIVITIES often elicit greater visibility and  
104 recognition for the University. However, they may also compete with the missions  
105 of the University. EXTRA PROFESSIONAL ACTIVITIES must not unduly compete  
106 with services or activities that are within the area of the ACADEMIC EMPLOYEE's  
107 field of appointment. Competition is undue if it draws students, clients, or  
108 patients, or substantial resources from University offerings and facilities, or if the  
109 ACADEMIC EMPLOYEE's connection with the University is exploited for the  
110 purposes of the other institution or BUSINESS.

111  
112 6.2 All ACADEMIC EMPLOYEES holding appointments of 50% time or more  
113 and planning to participate in EXTRA PROFESSIONAL or BUSINESS activities that  
114 have the potential to compete with the missions of the University must obtain  
115 written approval before engaging in the activity unless specified under the terms  
116 of their appointment.

117  
118 **7 EXTRA PROFESSIONAL COMMITMENTS THAT DO NOT REQUIRE PRIOR APPROVAL**

119  
120 **7.1 External and Internal Consulting**

121  
122 Engaging in external or internal consulting insofar as the activities comply  
123 with Sections 5 and 6.  
124

125 **8 EXTRA PROFESSIONAL OR BUSINESS COMMITMENTS THAT REQUIRE PRIOR**  
126 **APPROVAL**

127  
128 All of the activities listed in this section require prior approval and are subject to  
129 the limitations set forth in Sections 5 and 6.

130  
131 **8.1 Board Memberships**

- 132  
133 a) Serving as a corporate officer or on a board of directors of a  
134 BUSINESS.

135  
136 **8.2 Competing Business Activities**

- 137  
138 b) Being employed by or consulting for a BUSINESS related to his/her  
139 professional responsibilities that competes or has the potential to  
140 compete with services provided by the University that are part of  
141 the employee's University responsibilities.

142  
143 **8.3 Research Activities**

- 144  
145 c) Applying for, receiving, and conducting any sponsored research  
146 activities for another organization that ordinarily would be  
147 conducted under the auspices of the University.

148  
149 **8.4 Instructional Activities**

150  
151 All instructional activities outside the agreed-upon workload require prior  
152 approval of the DEPARTMENT HEAD. DEPARTMENT HEADS will  
153 determine the amount of EXTRA PROFESSIONAL time to be calculated for  
154 extra teaching, whether external or internal, credit or non-credit. As a  
155 guideline, 8-10 hours of instructional activities (including preparation,  
156 instruction, evaluation, and consultation) will be considered equivalent to  
157 one day of EXTRA PROFESSIONAL ACTIVITIES (see Section 5); however,  
158 the ratio may be adjusted upon agreement with the DEPARTMENT HEAD.

- 159  
160 d) Teaching concurrently for another higher educational institution  
161 during the TERM OF APPOINTMENT.  
162  
163 e) Teaching non-credit courses or performing other non-credit  
164 instructional activities for non-University entities during the TERM  
165 OF APPOINTMENT.  
166

- 167 f) Teaching for Continuing Education and Extension for extra  
168 compensation during the TERM OF APPOINTMENT.
- 169
- 170 g) Performing other teaching or teaching-related activities for the unit  
171 in which an ACADEMIC EMPLOYEE holds an appointment or for  
172 another unit within the University for extra compensation during the  
173 TERM OF APPOINTMENT.
- 174

175 **8.5 International Projects Administered by the University**

- 176
- 177 h) Participating in certain University-sponsored international activities.  
178 Such activities may be treated in one of four ways, based on  
179 arrangements between the ACADEMIC EMPLOYEE and the  
180 DEPARTMENT HEAD.
- 181

182 (1) The activity may be inloaded as part of the agreed-upon  
183 workload.

184

185 (2) When participation in a University-sponsored international  
186 activity is done as part of the normal work load but involves special  
187 responsibilities, an ACADEMIC EMPLOYEE may receive a salary  
188 augmentation and the time committed does not affect the time  
189 limitations described in Section 5.1.

190

191 (3) When the activity involves special (difficult) work environments,  
192 approval may be sought to have the activity considered and  
193 compensated as an EXTRA PROFESSIONAL ACTIVITY and subject to  
194 the time limitations described in Section 5.1, or

195

196 (4) When the activity involves special (difficult) work environments,  
197 it may be compensated with funds deposited into a departmental  
198 account to be used to subsidize the faculty or academic staff  
199 member's travel, research assistant, or other professional  
200 development. ACADEMIC EMPLOYEES on nine-month appointments  
201 may, as an alternative, use the compensation available for such an  
202 activity to fund a summer appointment, assuming they intend to  
203 work during summer period.

204

205 **9 HOLDING PUBLIC OFFICE OR PUBLIC SERVICE POSITIONS**

206

207 9.1 ACADEMIC EMPLOYEES share with their fellow citizens the right to campaign  
208 for and to hold public office without their employer's prior approval. It is

209 desirable, however, that any ACADEMIC EMPLOYEE contemplating candidacy for  
210 elective political office or appointment to public office where the duties of a  
211 campaign or the holding of the office would interfere with the fulfillment of  
212 University responsibilities, consult in advance with the appropriate collegiate and  
213 administrative units of the University. Consultation should focus on the question  
214 of whether or not temporary suspension of some portion of the ACADEMIC  
215 EMPLOYEE's responsibilities can be accommodated without serious impairment  
216 of the function of the department or unit involved.

217  
218 9.2 When an ACADEMIC EMPLOYEE is appointed to or elected to public office,  
219 e.g., to the state legislature, requiring absence from University duties for  
220 continuous periods of time of one year or less, it is anticipated that leave of  
221 absence procedures or other appropriate arrangements such as a special contract  
222 or a reduced teaching load with a commensurate adjustment in salary, for the year  
223 or portions thereof, will be invoked. The ACADEMIC EMPLOYEE must provide to  
224 the unit administrator as much notice as possible to insure that ample time will be  
225 provided the unit to replace or otherwise arrange to meet the absent ACADEMIC  
226 EMPLOYEE's responsibilities. Prior written approval by the Senior Academic Vice  
227 President is required for any full or partial leave of absence.

228  
229 9.3 When an ACADEMIC EMPLOYEE is appointed to or elected to public office  
230 requiring continuous full-time service for a specified period of more than two  
231 years, it is expected that a determination will be made by the Senior Vice  
232 President if the leave should be extended.

233  
234 When an ACADEMIC EMPLOYEE's re-election or reappointment to public office  
235 causes continuous absence to exceed two years, it is expected that a determination  
236 will be made by the Senior Vice President if the leave should be extended. In the  
237 case of appointments for an indeterminate period of time, full or partial leaves of  
238 absence may be negotiated annually; if requests for leave extend beyond  
239 reasonable limits, resignation may be expected.

240  
241 9.4 The purpose of this section of the policy is to balance public service of  
242 University ACADEMIC EMPLOYEES with the University's primary obligations to  
243 maintain its teaching programs and foster research and creative activity. At the  
244 same time, it seeks to encourage public service, including the holding of public  
245 office and, in any case, not to interfere with ACADEMIC EMPLOYEES' right freely  
246 to participate in the political process.  
247

248 **10 IMPLEMENTATION - PROFESSIONAL COMMITMENT**

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250 **Reporting Requirements**

251  
252 **Prior Approval**

253  
254 10.1 Prior written approval of the Department Head must be secured annually  
255 for those activities specified as requiring such approval. The ACADEMIC  
256 EMPLOYEE contemplating such activity must initiate the request for approval. If  
257 the ACADEMIC EMPLOYEE seeking approval for an EXTRA PROFESSIONAL  
258 activity is a DEPARTMENT HEAD or other administrator, the request must be  
259 submitted to the ACADEMIC EMPLOYEE's immediate supervisor.

260  
261 10.2 The request form for approval must include the following information:  
262 name of ACADEMIC EMPLOYEE; name of entity for which activity will be  
263 performed; type of activity involved; whether it is to be performed on or off  
264 campus; period of time-during-which such activity is to be performed; estimated  
265 amount and distribution of time, in days or fractions thereof, to be spent on the  
266 activity; whether or not this activity will be compensated (a "compensated" activity  
267 is one for which honoraria, fees, or other benefits over and above expenses are  
268 received; reimbursement for expenses is not to be construed as compensation);  
269 and signature and date. The DEPARTMENT HEAD may require the ACADEMIC  
270 EMPLOYEE to submit additional information about the activity as it relates to  
271 compliance with this policy. This requirement for additional information may be  
272 appealed to the next level of administrator.

273  
274 10.3 The request for approval must be submitted to the DEPARTMENT HEAD.  
275 The DEPARTMENT HEAD must respond in writing to the request to participate in  
276 EXTRA PROFESSIONAL or BUSINESS<sup>2</sup> activities within 10 working days of  
277 receiving a request. An activity may be limited or denied approval if it competes  
278 with University missions or interferes with workload agreements. A specific  
279 written explanation of any limitation or denial must be provided to the  
280 ACADEMIC EMPLOYEE. An ACADEMIC EMPLOYEE may appeal the DEPARTMENT  
281 HEAD's action to the appropriate dean or vice chancellor for academic affairs.  
282 That administrator's decision may be appealed to the appropriate provost or  
283 chancellor if the ACADEMIC EMPLOYEE believes the action violates this policy or  
284 constitutes an abuse of discretion. The provost or chancellor will have final  
285 authority in this matter.  
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287 <sup>2</sup> For activities that may compete with the mission of the University.

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**11 ANNUAL REPORTING**

11.1 All **ACADEMIC EMPLOYEES** with appointment of 50% time or more must report to their **DEPARTMENT HEAD** on an annual basis those activities (specified in Sections 5 and 6 as requiring such reporting) that occurred during the previous year.

11.2 Annual reports on appropriate forms must be filed in the **ACADEMIC EMPLOYEE's** departmental office, which will keep them for at least five years. Copies of these annual reports must be forwarded to the dean or vice chancellor for academic affairs. The **DEPARTMENT HEAD** must also include a written statement of denied requests and the reasons therefor.

11.3 The dean or vice chancellor must submit these annual reports and the statement about denials to the appropriate provost or chancellor and to the Senior Vice President for Academic Affairs. The dean or vice chancellor must also include a written statement of the denied requests and the reasons therefor.

11.4 The Senior Vice President for Academic Affairs will maintain these records and will make this information public in manners consistent with University procedures, giving proper attention to rights of privacy of individual **ACADEMIC EMPLOYEES**.

11.5 The Senior Vice President for Academic Affairs will present to the Board of Regents annually aggregate summaries of **EXTRA PROFESSIONAL ACTIVITY** with the certification that all requests have been examined and conform to Regents' and appropriate administrative policies relating to **EXTRA PROFESSIONAL ACTIVITIES**.

**12 PROCEDURES FOR MONITORING**

12.1 If the University has reason to believe that an **ACADEMIC EMPLOYEE** is engaged in **BUSINESS** or **EXTRA PROFESSIONAL ACTIVITIES** to such an extent that it compromises his/her ability to carry out University responsibilities, appropriate University officials may ask the **ACADEMIC EMPLOYEE** to document his/her outside activities and to show that his/her University duties are being fully met.

12.2 The appropriate provost or chancellor, in cooperation with the appropriate dean, will periodically review a random sample of individual and unit reports in order to evaluate the approval and reporting systems, and will make recommendations regarding the effectiveness of this policy to the president.



330 13 COMPLIANCE

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13.1 The University expects ACADEMIC EMPLOYEES to comply fully and promptly with all the requirements of this policy. Breaches of this policy include, but are not limited to, failing to secure prior written approval for those activities that require it, intentionally filing an incomplete, erroneous, or misleading request for approval or annual report, failing to obtain DEPARTMENT HEAD's written approval to participate in service activities as part of the workload, or failing to provide additional information as required by the approving authority. A violation of this policy may be the basis for discipline of an ACADEMIC EMPLOYEE. If sanctions are necessary, they will be imposed in accordance with the Regulations Concerning Faculty Tenure and the Academic Professional and Administrative Staff Policies and Procedures. The potential sanctions may include, but are not limited to, the following:

- \* Letter of admonition;
- \* Withdrawing approval for the ACADEMIC EMPLOYEE to participate in EXTRA PROFESSIONAL and BUSINESS activities;
- \* Reduction of pay or percentage of appointment;
- \* Suspension;
- \* Nonrenewal of appointment;
- \* Dismissal.

14 APPENDIX A - OPERATING DEFINITIONS

14.1 ACADEMIC EMPLOYEE means any person possessing either a full- time (any employee holding an appointment of at least 67 percent time) or part-time academic or staff appointment at the University and includes all persons with the following class numbers: Academic Administrative 93xx; Faculty 94xx; Minnesota Extension Service 96xx; and Academic Professionals 97xx.

14.2 BUSINESS means any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other nongovernmental legal entity organized for profit, not-for-profit, or charitable purposes.

14.3 DEPARTMENT HEAD is used as a generic term for the immediate administrator, which is normally the department head, department chair, division head, or director.

14.4 EXTRA PROFESSIONAL ACTIVITY means any internal or external activity (beyond workload responsibilities), including BUSINESS activities related to an

372 ACADEMIC EMPLOYEE's appointment, of a nature requiring the special training,  
373 expertise, and/or certification that qualifies the ACADEMIC EMPLOYEE for the  
374 particular University appointment.  
375

376 For certain ACADEMIC EMPLOYEES, the distinction between involvement in  
377 community activities as a citizen and involvement in such activities as a  
378 professional is difficult to determine. If community activities are citizen-related  
379 rather than professional activities, they may be exempt from the prior approval  
380 and reporting requirements of this policy. ACADEMIC EMPLOYEES holding  
381 elected positions must comply with section 9 of this policy.  
382

383 14.5 TERM OF APPOINTMENT is the contract period for ACADEMIC EMPLOYEES  
384 during University calendar year (July 1 to June 30). For those with academic year  
385 appointments ("B appointment"), this is a nine-month appointment (39 weeks with  
386 no vacation period). ACADEMIC EMPLOYEES with "A" appointments have an  
387 eleven-month appointment (48 weeks plus 22 vacation days in a calendar year).

## Comparison of Partnership Proposal to Governor, House & Senate Recommendations FY 1995 - 1997 - Two Year Budget Outlook

<u>Line</u>	<u>Proposal</u>	<u>A</u> State Funds O&M/Specials	<u>B</u> Tuition Revenue	<u>C</u> Other Income	<u>D</u> University Responsibility	<u>E</u> Shortage from Partnership	<u>F</u> Additional Financial Pressure	<u>G</u> E+F Net Problem
1	U of M Partnership	\$87,700.0	\$26,300.0	\$1,500.0	\$28,200.0	\$0.0	\$30,946.0	\$30,946.0
2	Governor	\$60,800.0	\$26,300.0 *	\$1,500.0	\$55,100.0	\$26,900.0	\$30,946.0	\$57,846.0
3	Senate	\$58,087.0	\$26,300.0 *	\$1,500.0	\$57,813.0	\$29,613.0	\$30,946.0	\$60,559.0
4	House	\$62,680.0	\$26,300.0 *	\$1,500.0	\$53,220.0	\$25,020.0	\$30,946.0	\$55,966.0

Note: For comparison, assumes minimum 4.8% tuition revenue increase. Does not include cost of financial aid for > 3% tuition per Gov. Rec.

Potential Net 1995-97 Biennial Financial Problem

\$58,123.7

Average Annual Problem =

\$29,061.8

# Financial Planning Framework

## Solving the Potential Two Year Budget Problem

### 1995 - 1997 Biennial Partnership Proposal

#

	Column 1	Column 2	Column 3	Column 4	Column 5	Column 6
<b>Option</b>	<b>Partnership Phasing/Savings</b>	<b>Additional Tuition</b>	<b>Central Administration Cuts</b>	<b>Modification To Compensation Plan</b>	<b>Additional Academic/Admin. Reallocations</b>	<b>Total Solution</b>
<b>A</b>	\$5,600.0	\$10,000.0 7.5%/4.8%	\$3,800.0	\$0.0 2.9%/2.9%	\$38,724.0	\$58,124.0
<b>B</b>	\$10,000.0	\$14,500.0 7.5%/7.5%	\$3,800.0	\$9,600.0 2.0%/2.9%	\$20,224.0	\$58,124.0
<b>C</b>	\$15,000.0	\$14,500.0 7.5%/7.5%	\$3,800.0	\$16,900.0 2.9%/0.0%	\$7,924.0	\$58,124.0

University of Minnesota  
Per Credit Tuition Schedules  
Undergraduate

No of Cred	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Twin Cities:																				
Lower Division																				
F.Y. 1995	70.80	141.60	212.40	283.20	354.00	424.80	495.60	566.40	637.20	708.00	778.80	849.60	920.40	991.20	991.20	991.20	991.20	991.20	1,062.00	1,132.80
F.Y. 1996	102.26	174.53	246.79	319.06	391.32	463.59	535.85	608.12	680.38	752.65	824.91	897.18	969.44	1,041.71	1,041.71	1,041.71	1,041.71	1,041.71	1,113.97	1,186.24
F.Y. 1997	105.69	181.38	257.07	332.77	408.46	484.15	559.84	635.53	711.22	786.92	862.61	938.30	1,013.99	1,089.68	1,089.68	1,089.68	1,089.68	1,089.68	1,165.37	1,241.07
Upper Division - 1																				
F.Y. 1995	74.00	148.00	222.00	296.00	370.00	444.00	518.00	592.00	666.00	740.00	814.00	888.00	962.00	1,036.00	1,036.00	1,036.00	1,036.00	1,036.00	1,110.00	1,184.00
F.Y. 1996	109.35	188.69	268.04	347.38	426.73	506.07	585.42	664.77	744.11	823.46	902.80	982.15	1,061.49	1,140.84	1,140.84	1,140.84	1,140.84	1,140.84	1,220.19	1,299.53
F.Y. 1997	117.31	204.61	291.92	379.22	466.53	553.83	641.14	728.45	815.75	903.06	990.36	1,077.67	1,164.97	1,252.28	1,252.28	1,252.28	1,252.28	1,252.28	1,339.59	1,426.89
Upper Division - 2																				
F.Y. 1995	82.90	165.80	248.70	331.60	414.50	497.40	580.30	663.20	746.10	829.00	911.90	994.80	1,077.70	1,160.60	1,160.60	1,160.60	1,160.60	1,160.60	1,243.50	1,326.40
F.Y. 1996	116.32	202.65	288.97	375.30	461.62	547.95	634.27	720.60	806.92	893.25	979.57	1,065.90	1,152.22	1,238.54	1,238.54	1,238.54	1,238.54	1,238.54	1,324.87	1,411.19
F.Y. 1997	122.24	214.49	306.73	398.98	491.22	583.47	675.71	767.96	860.20	952.45	1,044.69	1,136.94	1,229.18	1,321.43	1,321.43	1,321.43	1,321.43	1,321.43	1,413.67	1,505.92
Duluth:																				
Lower Division																				
F.Y. 1995	71.30	142.60	213.90	285.20	356.50	427.80	499.10	570.40	641.70	713.00	784.30	855.60	926.90	998.20	998.20	998.20	998.20	998.20	1,069.50	1,140.80
F.Y. 1996	102.05	174.09	246.14	318.19	390.24	462.28	534.33	606.38	678.43	750.47	822.52	894.57	966.62	1,038.66	1,038.66	1,038.66	1,038.66	1,038.66	1,110.71	1,182.76
F.Y. 1997	105.46	180.93	256.39	331.86	407.32	482.78	558.25	633.71	709.18	784.64	860.10	935.57	1,011.03	1,086.50	1,086.50	1,086.50	1,086.50	1,086.50	1,161.96	1,237.42
Upper Division																				
F.Y. 1995	76.50	153.00	229.50	306.00	382.50	459.00	535.50	612.00	688.50	765.00	841.50	918.00	994.50	1,071.00	1,071.00	1,071.00	1,071.00	1,071.00	1,147.50	1,224.00
F.Y. 1996	110.84	191.69	272.53	353.37	434.22	515.06	595.90	676.75	757.59	838.43	919.28	1,000.12	1,080.96	1,161.81	1,161.81	1,161.81	1,161.81	1,161.81	1,242.65	1,323.49
F.Y. 1997	117.67	205.34	293.01	380.68	468.35	556.02	643.69	731.36	819.03	906.71	994.38	1,082.05	1,169.72	1,257.39	1,257.39	1,257.39	1,257.39	1,257.39	1,345.06	1,432.73
Morris:																				
Lower Division																				
F.Y. 1995	77.70	155.40	233.10	310.80	388.50	466.20	543.90	621.60	699.30	777.00	854.70	932.40	1,010.10	1,087.80	1,165.50	1,165.50	1,165.50	1,165.50	1,165.50	1,165.50
F.Y. 1996	112.11	194.22	276.33	358.45	440.56	522.67	604.78	686.89	769.00	851.11	933.23	1,015.34	1,097.45	1,179.56	1,261.67	1,261.67	1,261.67	1,261.67	1,261.67	1,261.67
F.Y. 1997	119.05	208.09	297.14	386.18	475.23	564.27	653.32	742.37	831.41	920.46	1,009.50	1,098.55	1,187.59	1,276.64	1,365.69	1,365.69	1,365.69	1,365.69	1,365.69	1,365.69
Upper Division																				
F.Y. 1995	77.70	155.40	233.10	310.80	388.50	466.20	543.90	621.60	699.30	777.00	854.70	932.40	1,010.10	1,087.80	1,165.50	1,165.50	1,165.50	1,165.50	1,165.50	1,165.50
F.Y. 1996	112.11	194.22	276.33	358.45	440.56	522.67	604.78	686.89	769.00	851.11	933.23	1,015.34	1,097.45	1,179.56	1,261.67	1,261.67	1,261.67	1,261.67	1,261.67	1,261.67
F.Y. 1997	119.05	208.09	297.14	386.18	475.23	564.27	653.32	742.37	831.41	920.46	1,009.50	1,098.55	1,187.59	1,276.64	1,365.69	1,365.69	1,365.69	1,365.69	1,365.69	1,365.69
Crookston:																				
Lower Division																				
F.Y. 1995	60.80	121.60	182.40	243.20	304.00	364.80	425.60	486.40	547.20	608.00	668.80	729.60	790.40	851.20	912.00	972.80	1,033.60	1,094.40	1,155.20	1,216.00
F.Y. 1996	92.06	154.12	216.17	278.23	340.29	402.35	464.41	526.46	588.52	650.58	712.64	774.70	836.75	898.81	960.87	1,022.93	1,084.99	1,147.04	1,209.10	1,271.16
F.Y. 1997	95.00	160.00	225.00	290.00	355.00	420.00	485.01	550.01	615.01	680.01	745.01	810.01	875.01	940.01	1,005.01	1,070.01	1,135.01	1,200.01	1,265.01	1,330.01
Upper Division																				
F.Y. 1995	70.10	140.20	210.30	280.40	350.50	420.60	490.70	560.80	630.90	701.00	771.10	841.20	911.30	981.40	1,051.50	1,121.60	1,191.70	1,261.80	1,331.90	1,402.00
F.Y. 1996	104.08	178.16	252.24	326.32	400.40	474.48	548.56	622.64	696.72	770.80	844.88	918.96	993.04	1,067.12	1,141.20	1,215.28	1,289.36	1,363.44	1,437.52	1,511.60
F.Y. 1997	110.34	190.67	271.01	351.34	431.68	512.02	592.35	672.69	753.02	833.36	913.70	994.03	1,074.37	1,154.70	1,235.04	1,315.38	1,395.71	1,476.05	1,556.38	1,636.72

University of Minnesota  
Per Credit Tuition Schedules  
Undergraduate

No of Credit	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	
<b>Twin Cities:</b>																					
<b>Lower Division</b>																					
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	
F.Y. 1996	44.4%	23.3%	16.2%	12.7%	10.5%	9.1%	8.1%	7.4%	6.8%	6.3%	5.9%	5.6%	5.3%	5.1%	5.1%	5.1%	5.1%	5.1%	5.1%	4.9%	4.7%
F.Y. 1997	49.3%	28.1%	21.0%	17.5%	15.4%	14.0%	13.0%	12.2%	11.6%	11.1%	10.8%	10.4%	10.2%	9.9%	9.9%	9.9%	9.9%	9.9%	9.9%	9.7%	9.6%
<b>Upper Division - 1</b>																					
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	47.8%	27.5%	20.7%	17.4%	15.3%	14.0%	13.0%	12.3%	11.7%	11.3%	10.9%	10.6%	10.3%	10.1%	10.1%	10.1%	10.1%	10.1%	10.1%	9.9%	9.8%
F.Y. 1997	58.5%	38.3%	31.5%	28.1%	26.1%	24.7%	23.8%	23.0%	22.5%	22.0%	21.7%	21.4%	21.1%	20.9%	20.9%	20.9%	20.9%	20.9%	20.9%	20.7%	20.5%
<b>Upper Division - 2</b>																					
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	40.3%	22.2%	16.2%	13.2%	11.4%	10.2%	9.3%	8.7%	8.2%	7.7%	7.4%	7.1%	6.9%	6.7%	6.7%	6.7%	6.7%	6.7%	6.7%	6.5%	6.4%
F.Y. 1997	47.5%	29.4%	23.3%	20.3%	18.5%	17.3%	16.4%	15.8%	15.3%	14.9%	14.6%	14.3%	14.1%	13.9%	13.9%	13.9%	13.9%	13.9%	13.9%	13.7%	13.5%
<b>Duluth:</b>																					
<b>Lower Division</b>																					
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	43.1%	22.1%	15.1%	11.6%	9.5%	8.1%	7.1%	6.3%	5.7%	5.3%	4.9%	4.6%	4.3%	4.1%	4.1%	4.1%	4.1%	4.1%	4.1%	3.9%	3.7%
F.Y. 1997	47.9%	26.9%	19.9%	16.4%	14.3%	12.9%	11.9%	11.1%	10.5%	10.0%	9.7%	9.3%	9.1%	8.8%	8.8%	8.8%	8.8%	8.8%	8.8%	8.6%	8.5%
<b>Upper Division</b>																					
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	44.9%	25.3%	18.7%	15.5%	13.5%	12.2%	11.3%	10.6%	10.0%	9.6%	9.2%	8.9%	8.7%	8.5%	8.5%	8.5%	8.5%	8.5%	8.5%	8.3%	8.1%
F.Y. 1997	53.8%	34.2%	27.7%	24.4%	22.4%	21.1%	20.2%	19.5%	19.0%	18.5%	18.2%	17.9%	17.6%	17.4%	17.4%	17.4%	17.4%	17.4%	17.4%	17.2%	17.1%
<b>Morris:</b>																					
<b>Lower Division</b>																					
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	44.3%	25.0%	18.5%	15.3%	13.4%	12.1%	11.2%	10.5%	10.0%	9.5%	9.2%	8.9%	8.6%	8.4%	8.3%	8.3%	8.3%	8.3%	8.3%	8.3%	8.3%
F.Y. 1997	53.2%	33.9%	27.5%	24.3%	22.3%	21.0%	20.1%	19.4%	18.9%	18.5%	18.1%	17.8%	17.6%	17.4%	17.2%	17.2%	17.2%	17.2%	17.2%	17.2%	17.2%
<b>Upper Division</b>																					
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	44.3%	25.0%	18.5%	15.3%	13.4%	12.1%	11.2%	10.5%	10.0%	9.5%	9.2%	8.9%	8.6%	8.4%	8.3%	8.3%	8.3%	8.3%	8.3%	8.3%	8.3%
F.Y. 1997	53.2%	33.9%	27.5%	24.3%	22.3%	21.0%	20.1%	19.4%	18.9%	18.5%	18.1%	17.8%	17.6%	17.4%	17.2%	17.2%	17.2%	17.2%	17.2%	17.2%	17.2%
<b>Crookston:</b>																					
<b>Lower Division</b>																					
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	51.4%	26.7%	18.5%	14.4%	11.9%	10.3%	9.1%	8.2%	7.6%	7.0%	6.6%	6.2%	5.9%	5.6%	5.4%	5.2%	5.0%	4.8%	4.7%	4.5%	4.5%
F.Y. 1997	56.3%	31.6%	23.4%	19.2%	16.8%	15.1%	14.0%	13.1%	12.4%	11.8%	11.4%	11.0%	10.7%	10.4%	10.2%	10.0%	9.8%	9.7%	9.5%	9.4%	9.4%
<b>Upper Division</b>																					
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	48.5%	27.1%	19.9%	16.4%	14.2%	12.8%	11.8%	11.0%	10.4%	10.0%	9.6%	9.2%	9.0%	8.7%	8.5%	8.4%	8.2%	8.1%	7.9%	7.8%	7.8%
F.Y. 1997	57.4%	36.0%	28.9%	25.3%	23.2%	21.7%	20.7%	20.0%	19.4%	18.9%	18.5%	18.2%	17.9%	17.7%	17.5%	17.3%	17.1%	17.0%	16.9%	16.7%	16.7%



No of Cred	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
<b>GRADUATE PROGRAMS ----</b>																				
<b>PUBLIC HEALTH</b>																				
F.Y. 1995	107.00	214.00	321.00	428.00	535.00	642.00	749.00	856.00	963.00	1,070.00	1,177.00	1,252.00	1,252.00	1,252.00	1,252.00	1,252.00	1,252.00	1,252.00	1,359.00	1,466.00
F.Y. 1996	140.79	251.59	362.38	473.18	583.97	694.77	805.56	916.36	1,027.15	1,137.95	1,248.74	1,359.54	1,359.54	1,359.54	1,359.54	1,359.54	1,359.54	1,359.54	1,470.33	1,581.13
F.Y. 1997	150.74	271.47	392.21	512.95	633.69	754.42	875.16	995.90	1,116.64	1,237.37	1,358.11	1,478.85	1,478.85	1,478.85	1,478.85	1,478.85	1,478.85	1,478.85	1,599.59	1,720.32
<b>GRADUATE - GENERAL</b>																				
F.Y. 1995	183.60	367.20	550.80	734.40	918.00	1,101.60	1,261.00	1,261.00	1,261.00	1,261.00	1,261.00	1,261.00	1,261.00	1,261.00	1,261.00	1,444.60	1,628.20	1,811.80	1,995.40	2,179.00
F.Y. 1996	221.30	412.60	603.90	795.20	986.50	1,177.79	1,369.09	1,369.09	1,369.09	1,369.09	1,369.09	1,369.09	1,369.09	1,369.09	1,369.09	1,560.39	1,751.69	1,942.99	2,134.29	2,325.59
F.Y. 1997	238.47	446.93	655.40	863.87	1,072.33	1,280.80	1,489.26	1,489.26	1,489.26	1,489.26	1,489.26	1,489.26	1,489.26	1,489.26	1,489.26	1,697.73	1,906.20	2,114.66	2,323.13	2,531.60
<b>HHH PROGRAMS</b>																				
F.Y. 1995	201.80	403.60	605.40	807.20	1,009.00	1,210.80	1,413.00	1,413.00	1,413.00	1,413.00	1,413.00	1,413.00	1,413.00	1,413.00	1,413.00	1,596.60	1,780.20	1,963.80	2,147.40	2,331.00
F.Y. 1996	244.36	458.72	673.07	887.43	1,101.79	1,316.15	1,530.51	1,530.51	1,530.51	1,530.51	1,530.51	1,530.51	1,530.51	1,530.51	1,530.51	1,744.87	1,959.22	2,173.58	2,387.94	2,602.30
F.Y. 1997	263.59	497.19	730.78	964.38	1,197.97	1,431.57	1,665.16	1,665.16	1,665.16	1,665.16	1,665.16	1,665.16	1,665.16	1,665.16	1,665.16	1,898.76	2,132.35	2,365.95	2,599.54	2,833.14
<b>MBA PROGRAM</b>																				
F.Y. 1995												2,756.00	2,756.00	2,756.00	2,756.00	2,756.00	2,756.00	2,756.00	2,756.00	2,756.00
F.Y. 1996												2,956.68	2,956.68	2,956.68	2,956.68	2,956.68	2,956.68	2,956.68	2,956.68	2,956.68
F.Y. 1997												3,219.32	3,219.32	3,219.32	3,219.32	3,219.32	3,219.32	3,219.32	3,219.32	3,219.32
<b>ARCH PROGRAMS</b>																				
F.Y. 1995	193.00	386.00	579.00	772.00	965.00	1,158.00	1,350.00	1,350.00	1,350.00	1,350.00	1,350.00	1,350.00	1,350.00	1,350.00	1,350.00	1,543.00	1,736.00	1,929.00	2,122.00	2,315.00
F.Y. 1996	234.80	439.60	644.40	849.20	1,054.00	1,258.80	1,463.61	1,463.61	1,463.61	1,463.61	1,463.61	1,463.61	1,463.61	1,463.61	1,463.61	1,668.41	1,873.21	2,078.01	2,282.81	2,487.61
F.Y. 1997	253.18	476.36	699.54	922.72	1,145.90	1,369.08	1,592.26	1,592.26	1,592.26	1,592.26	1,592.26	1,592.26	1,592.26	1,592.26	1,592.26	1,815.44	2,038.62	2,261.80	2,484.98	2,708.16
<b>DEPT'L MASTERS</b>																				
F.Y. 1995	107.00	214.00	321.00	428.00	535.00	642.00	749.00	856.00	963.00	1,070.00	1,177.00	1,252.00	1,252.00	1,252.00	1,252.00	1,252.00	1,252.00	1,252.00	1,359.00	1,466.00
F.Y. 1996	140.79	251.59	362.38	473.18	583.97	694.77	805.56	916.36	1,027.15	1,137.95	1,248.74	1,359.54	1,359.54	1,359.54	1,359.54	1,359.54	1,359.54	1,359.54	1,470.33	1,581.13
F.Y. 1997	150.74	271.47	392.21	512.95	633.69	754.42	875.16	995.90	1,116.64	1,237.37	1,358.11	1,478.85	1,478.85	1,478.85	1,478.85	1,478.85	1,478.85	1,478.85	1,599.59	1,720.32





No of Cred	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
<b>GRADUATE PROGRAMS ----</b>																				
<b>PUBLIC HEALTH</b>																				
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	31.6%	17.6%	12.9%	10.6%	9.2%	8.2%	7.6%	7.1%	6.7%	6.4%	6.1%	8.6%	8.6%	8.6%	8.6%	8.6%	8.6%	8.6%	8.2%	7.9%
F.Y. 1997	40.9%	26.9%	22.2%	19.8%	18.4%	17.5%	16.8%	16.3%	16.0%	15.6%	15.4%	18.1%	18.1%	18.1%	18.1%	18.1%	18.1%	18.1%	17.7%	17.3%
<b>GRADUATE - GENERAL</b>																				
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	20.5%	12.4%	9.6%	8.3%	7.5%	6.9%	8.6%	8.6%	8.6%	8.6%	8.6%	8.6%	8.6%	8.6%	8.6%	8.0%	7.6%	7.2%	7.0%	6.7%
F.Y. 1997	29.9%	21.7%	19.0%	17.6%	16.8%	16.3%	18.1%	18.1%	18.1%	18.1%	18.1%	18.1%	18.1%	18.1%	18.1%	17.5%	17.1%	16.7%	16.4%	16.2%
<b>HHH PROGRAMS</b>																				
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	21.1%	13.7%	11.2%	9.9%	9.2%	8.7%	8.3%	8.3%	8.3%	8.3%	8.3%	8.3%	8.3%	8.3%	8.3%	9.3%	10.1%	10.7%	11.2%	11.6%
F.Y. 1997	30.6%	23.2%	20.7%	19.5%	18.7%	18.2%	17.8%	17.8%	17.8%	17.8%	17.8%	17.8%	17.8%	17.8%	17.8%	18.9%	19.8%	20.5%	21.1%	21.5%
<b>MBA PROGRAM</b>																				
F.Y. 1995												0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996												7.3%	7.3%	7.3%	7.3%	7.3%	7.3%	7.3%	7.3%	7.3%
F.Y. 1997												16.8%	16.8%	16.8%	16.8%	16.8%	16.8%	16.8%	16.8%	16.8%
<b>ARCH PROGRAMS</b>																				
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	21.7%	13.9%	11.3%	10.0%	9.2%	8.7%	8.4%	8.4%	8.4%	8.4%	8.4%	8.4%	8.4%	8.4%	8.4%	8.1%	7.9%	7.7%	7.6%	7.5%
F.Y. 1997	31.2%	23.4%	20.8%	19.5%	18.7%	18.2%	17.9%	17.9%	17.9%	17.9%	17.9%	17.9%	17.9%	17.9%	17.9%	17.7%	17.4%	17.3%	17.1%	17.0%
<b>DEPT'L MASTERS</b>																				
F.Y. 1995	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
F.Y. 1996	31.6%	17.6%	12.9%	10.6%	9.2%	8.2%	7.6%	7.1%	6.7%	6.4%	6.1%	8.6%	8.6%	8.6%	8.6%	8.6%	8.6%	8.6%	8.2%	7.9%
F.Y. 1997	40.9%	26.9%	22.2%	19.8%	18.4%	17.5%	16.8%	16.3%	16.0%	15.6%	15.4%	18.1%	18.1%	18.1%	18.1%	18.1%	18.1%	18.1%	17.7%	17.3%

## REGENTS' DIVERSITY POLICY

Consistent with its academic mission and standards, the University of Minnesota is committed to achieving excellence through diversity. As a community of faculty, staff and students engaged in research, scholarship, artistic activity, teaching and learning, or activities which support them, the University fosters an environment that is diverse, humane and hospitable. As an institution, the University is a global enterprise which serves the state, the nation and the world through its outreach and public service, and in partnership with community groups.

The University will:

- provide equal access and opportunity to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status or sexual orientation;
- advocate and practice affirmative action including the use of the open search process to increase the presence and participation of racial minorities, women, persons with a disability, and Vietnam era veterans;
- establish and nurture an environment that actively acknowledges and values diversity and is free from racism, sexism and other forms of prejudice, intolerance or harassment, for men and women, faculty, staff, and students from varying racial, religious, and ethnic backgrounds, and of varying sexual orientations, as well as people with disabilities; and
- provide equal educational access to members of minority groups, and develop affirmative action admission programs where appropriate to achieve this goal.

The University will promote and support diversity through its academic programs, its employment policies and practices, and the purchase of goods, materials, and services for its programs and facilities, from businesses of the diverse communities it serves.

Administrative officers are directed to set performance goals consistent with this policy and the law, and energetically continue to implement the necessary programs and affirmative action administrative procedures for the achievement of these goals; to remediate any discriminatory practice which deviates from this policy; and to assess and reward the performance of individuals and units using the University's critical measures for the diversity performance goals as part of the University's planning and budgeting process.

May 10, 1995

Memo To: Faculty Senators

From: Carl Adams

Subject: Alternative Policy to the Proposed Policy on Professional Commitment

The attached policy is suggested as a constructive alternative to the proposed policy on professional commitment. As indicated by the title, the alternative focusses on a more limited subject, ie., extra work. In philosophy, the alternative is more "professional" and thus less onerous with regard to prior approval and responsibility for proof of performance. The basic logic flow of the policy is: 1) the University has policies that govern the basic work relationship (Workload, Conflict of Interest, and Academic Freedom and Responsibility); these should be followed, 2) the University is rightly concerned about the negative impact that excessive extra work could have on the performance of academic employees' basic obligations. Thus, extra work should be limited to an average of one day per week, 3) outside work may place the University in an unfair competition if it does not allow the University to recover extraordinary development costs or other investments; employees must be sensitive to this issue and protect the significant interests of the University, 4) employees must annually report all significant work activities; both the activities covered by the basic workload agreement and extra work, and 5) compliance actions result from the review of the annual reports and subsequent follow up; sanctions are imposed in accordance with the Tenure Regulations and the Academic Professional and Administrative Staff Policies and Procedures.

This alternative is presented only to promote debate and input regarding an important matter of accountability for the University. If it is accepted in spirit by the Senate, I would expect it to serve as input to a revision of the proposed policy.

c.c. Mark Brenner

POLICY  
ON  
ACADEMIC EMPLOYEE'S EXTRA<sup>1</sup> WORK

Background - All academic employees are expected to fully and professionally meet the obligations of their appointments as addressed under the Workload, Conflict of Interest, and Academic Freedom and Responsibility policies of the University. It is recognized that many extra activities can complement the work an employee performs under their base appointment and are therefore to be encouraged. The involvement of professional school faculty with professional practice can stimulate research, provide access to needed data, and improve instruction. The ability to relate university research to industry capabilities and needs can result in very complementary and synergistic work. However, excessive extra work would by definition have undesirable effects on the employee and/or the University. The primary concern regarding extra work is that such activities not detract in any way from the obligation of the employee to meet the requirements of his/her basic University appointment. A secondary concern is that extra outside work activities not result in material harm to the University through inappropriate support of activities that compete directly with the service provided by the University. Competition in general is healthy but, in some circumstances, the University could be put in the position of bearing an unfair proportion of the costs of individual preparation and development.

In the following sections, the two principal concerns are discussed further and appropriate limitations are stated, reporting requirements are specified, and compliance with the limitations is addressed.

Extra Work That May Detract From Basic Obligations

General Limitation

As noted in the various University policies (Workload, Conflict of Interest, and Academic Freedom and Responsibility) covering the obligations of a basic appointment, the work of academic employees is primarily professional, integrated (across teaching, research and outreach), and varied (e.g. clinic services). Such, work cannot be easily bounded by statements of hourly commitment or even output measures. Thus, the setting of limits on extra work to prevent excessive involvement must be somewhat arbitrary. Historical precedent and experience provide

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<sup>1</sup>Extra refers to work activities beyond those expected relative to one's basic appointment. Work activities are generally related to a job or employment. They would also include significant activities in pursuit of a particular job e.g., campaigning for public office.

some basis for the arbitrary limit. Therefore, unless specifically withheld, the University extends the privilege of engaging in extra work to all academic employees. Under this privilege, all activities beyond those addressed in an individual's workload plan should be limited to an average of one day per seven-day week for the term of an individual's appointment. For those with "B" appointments, this amounts to a maximum of 39 days in the term of appointment; for those with "A" appointments, this amounts to a maximum of 48 days in the 11 months of active service. A day will be considered approximately 8-10 hours of extra activities and preparation time regardless of when or where this occurs during the seven-day week. Preparation time and travel time devoted to extra activities are counted toward the time limit.

The allowable time for extra activities obviously should increase as the level of one's basic appointment decreases. Thus, reduction in appointment below 100% time down to the 50% level will increase the limit for extra work in the proportion .05 days (8-10 hours) per percentage point reduction. Below a 50% appointment there is no specific limit on extra work. Reporting requirements apply to all academic employees with an appointment of 50% time or more.

Because previous policies have treated some development and service activities differently from what is intended in this policy, it is useful to identify some extraordinary development and service activities that should be considered part of an academic employee's usual workload and declare the presumption that all work on such activities will be addressed as part of the individual's annual workload plan related to his/her basic appointment. Such activities include:

- a) Serving as editorial officer or having other duties for a learned journal of a scholarly or professional organization.
- b) Serving on review panels for academic, governmental, or not-for-profit entities.
- c) Serving on a board of directors or advisory committee of a scholarly or professional organization.
- d) Serving as an officer of a scholarly or professional organization.
- e) Attending professional meetings or professional development programs.
- f) Giving occasional public presentations or participating in colloquia.

#### Special Case Involving Political Activities

Involvement in political activities may be seen as a sensitive special case of the general limitation on extra work. Academic employees share with their fellow citizens the right to campaign for and to hold public office. Further, the University seeks to encourage public service, including the holding of public office and, in any case, not to interfere with any academic employee's right freely to participate in the political process. However, such participation may have a similar form and effect as extra work performed in other venues. If the pursuit of public office and other forms of extra work exceed in total the allowed limits for extra work, the

academic employee should consult with appropriate collegiate and administrative units of the University. Consultation should focus on the questions of whether or not temporary suspension or modification of the academic employee's appointment and responsibilities is appropriate and whether such changes can be accommodated without serious impairment of the function of the department or unit involved.

When an academic employee is appointed or elected to a public office, e.g., to the state legislature, requiring extra work beyond the allowable limits, appropriate arrangements such as a leave of absence, a special contract, or a reduced teaching load with a commensurate adjustment in salary must be made. The academic employee must provide the unit administrator as much notice as possible to ensure that ample time will be provided the unit to arrange to meet the academic employee's responsibilities.

If the specified term or period of appointment is longer than two years or if re-election or reappointment to public office extends beyond two years, the appropriate official of the University may determine if resignation is appropriate or if the special arrangements in place can be renegotiated and possibly renewed annually.

#### Extra Outside Work That May Harm The University

All academic employees are expected to be concerned for the welfare of the University. In areas where an academic employee engages in extra work for an entity that provides services in competition with the University, special care must be given to ensuring that the University is treated fairly. The University may, for example, have directly or indirectly borne significant extraordinary costs in development that should be recovered. While competition is generally healthy; unfair competition could hurt the University. Such cases are likely to be highly judgemental but it is the responsibility of the academic employee to be alert to such circumstances and to consult with an appropriate supervisor if there is any significant possibility of damage to the University's interests.

#### Reporting

In conjunction with the annual workload plan discussion, each academic employee must annually file a report of the past period's activities to include those covered by the related annual workload plan and all significant extra work activities.

#### Compliance

The University expects all academic employees to comply fully and promptly with the spirit as well as all the specific requirements of this policy. If upon reviewing the activities of an individual, an appropriate supervisor questions the compliance of activities with the policy, he/she will initiate a discussion to clarify the situation.

A violation of this policy may be the basis for discipline of an academic employee. If sanctions are necessary, they will be imposed in accordance with the Regulations Concerning Faculty Tenure and the Academic Professional and Administrative Staff Policies and Procedures.

The potential sanctions may include, but are not limited to, the following:

- \* Letter of admonition;
- \* Restriction of the privilege to engage in extra work;
- \* Reduction of pay;
- \* Suspension;
- \* Nonrenewal of appointment;
- \* Dismissal.