

MEETING OF THE UNIVERSITY SENATE

**Thursday
May 9, 1974
3:15 p.m.
Nicholson Auditorium**

The voting membership of the University Senate totals 214, including the president, 151 members of the faculty, 62 students and the Consultative Committee. For a quorum, a majority of the voting membership (108) must be present. Amendments to the constitution require advance notice and 143 affirmative votes at one meeting of 108 affirmative votes at each of two meetings, the second of which must be the next regular meeting. Amendments to the Bylaws require advance publication and 108 affirmative votes. Other actions require only a simple majority of the members present and voting. The members of the all University Administrative Committee are ex officio non-voting members of the University Senate.

Any member of the faculty and any student eligible to vote for senators may be admitted to meetings of the University Senate and shall be entitled to speak at the discretion of the University Senate. Only elected members of the University Senate, the members of the Senate Consultative Committee, and, in case of a tie, the chairman, shall be entitled to vote.

Any representative may designate any elected alternate from his institute, college, school, or student constituency as the alternate to serve in his/her place and stead by written notice to the clerk of the Senate prior to the commencement of any meeting of the University Senate. In accordance with a newly enacted constitutional amendment, each

institute, college or school may either elect a pool of alternate representatives or define the pool to be those eligible to vote for senators.

Documents to be handed out at the Senate meeting should be given to the Clerk of the Senate by 1:00 p.m., two days before the meeting, to allow them to be sent to the coordinate campuses. A document that is less than one page long can be accepted by the Clerk before 10 a.m. the day of the meeting for transmission by computer; however, this practice is discouraged if the earlier deadline can be met. If any coordinate campus is linked to the meeting by telephone and the document is not in its hands, the Senate will not consider the document.

ATTENDANCE RECORD

A roll of elected and ex officio members will be circulated during the meeting. Members, please check your name to indicate your presence. If the list misses you, please stop after the meeting to check your name. The roll, after adjournment, will be at the rostrum.

An attendance record for nonmembers will also be circulated and will be on the rostrum after the meeting.

A summary of the attendance of members elected for the current academic year will be included in the June minutes.

I. MINUTES FOR NOVEMBER 29, 1973 AND JANUARY 17, 1974 Reported for Action

II. SENATE AND UNIVERSITY COMMITTEES, 1974-75 Reported for Action (10 minutes)

SENATE COMMITTEE ON ACADEMIC STANDING AND RELATIONS:

James Preus (chairman), Fred Asher, Paul Cashman (ex officio), Joan Gordon, Paul Hagen, Donald Kahn, Blanchard Krogstad, George Robb (ex officio). New members: John Dettler, Frances Dunning, John Helmsberger, Norman Kerr.

UNIVERSITY COMMITTEE ON SOCIAL POLICY: Frank Wood (chairman), Shirley Clark (ex officio), Ernest Coleman, James Holloway, Craig Kissock, Gisela Konopka, George Robb (ex officio), Marlowe Smaby. New members: Joanne Arnaud.

UNIVERSITY COMMITTEE ON UNIVERSITY HONORS: Harold Chase (ex officio), Thomas Clayton, Ed Haislet (ex officio), William McDonald, Russ Tall (ex officio), Harriet Viksna. New members: Alfred Nier (chairman), Landis Boyd, Jeanne Lupton.

UNIVERSITY COMMITTEE ON BUSINESS AND RULES: Russell Hobbie (chairman), Mario Bognanno, Donald Davidson, Gordon Kepner, (one ex officio to be named). New members: Susanne Fisher, Deon Stuthman, Veronica Wood.

SENATE COMMITTEE ON EDUCATIONAL POLICY: Willard Hartup (chairman), Rutherford Aris, Harold Chase (ex officio), Bert Ellenbogen, A. Dean Hendrickson, Stan Kegler (ex officio), Clavin Kendall, Charles McKhann. New members: John Borchert, Robert Kiste, Dwight Purdy, Pat Swan (who replaces Paul Rosenblatt who has resigned.)

UNIVERSITY COMMITTEE ON EXTENSION AND COMMUNITY PROGRAMS: Arthur Naftalin (chairman), Roland Abraham (ex officio), Shirley Clark (ex officio), Kenneth Egerton, Betty Girling, Arnold Henjum, Sheila Koeppen, Joan Leigh, Fred Lukermann, Harold Miller (ex officio), John Moran. New members: Forrest Harris, Anna Stensland.

UNIVERSITY COMMITTEE ON COMPUTING FACILITIES: Frank Martin (chairman), Duane Anderson, Ronald Anderson, Dave Berg (ex officio), Donald Boyd, Angel Lopez, Frank Verbrugge (ex officio). New members: Russell Burris, David Heath.

UNIVERSITY COMMITTEE ON INSTRUCTIONAL MATERIALS AND MEDIA: Eugene Wright (chairman), Raymond Bohling, Robert Estelle, Alvin Ollenburger, Burton Paulu (ex officio), Willard Philipson (ex officio), Robert Raymond, Peter Roll (ex officio). New members: Richard Goldstein, Philip Salapatek.

UNIVERSITY COMMITTEE ON SUMMER SESSIONS: Niels Hasselmo (chairman), Shirley Clark (ex officio), Arnold Henjum, Dennis Nelson, George Rapp, Willard Thompson (ex officio), Mary Young. New members: Virginia Harris, Neal Nickerson.

UNIVERSITY COLLEGE ASSEMBLY: Alan Briskin, C. Frederick Farrell, Nancy Groves (ex officio), Roy Hoover, Barbara Knudson (ex officio). New members: Richard Forsythe, Richard Goodrich (who replaces Fred Lukermann who has resigned.)

UNIVERSITY COMMITTEE ON EDUCATIONAL DEVELOPMENT: Wendell Glick (chairman), Peter Roll (ex officio), Charles Walcott, Albert Yonas. New members: Clarke Chambers (who replaces Mary Corrigan who has resigned), Lorne Chanin, Mariam Frenier, Douglas Pratt (who replaces LaVell Henderson who is on leave.)

UNIVERSITY COMMITTEE ON UNIVERSITY-ROTC RELATIONSHIPS: Frederick Adelmann (ex officio), Walter Broughton (ex officio), Lawrence Bulawsky (ex officio), Harold Chase (ex officio), John Ness, Richard Poppele, Philip Raup, Ronald Violette (ex officio). New members: John Clausen, Barbara Redman (who replaces Joan Aldous who has resigned), William Rogers, John Taborn.

SENATE COMMITTEE ON FACULTY AFFAIRS: Mahmood Zaidi (chairman), Thomas Boman, Harold Chase (ex officio), William Kennedy, Virginia Kivits, Clare Woodward. New members: Robert Beck, Leona Classen, Leonid Hurwicz, Hugh Kabat, William Robbins.

UNIVERSITY COMMITTEE ON TENURE: Fred Morrison (chairman), Shirley Clark (ex officio), Grace Gray, Michael Root, Phillip Tickenor. New members: David Darby (who replaces Thomas Bacig), Helen Jorstad, Thomas Straw.

UNIVERSITY APPEALS COMMITTEE ON ACADEMIC FREEDOM AND RESPONSIBILITY: Marian Hall (chairman), Benjamin Bayman, James Grant, James Olson, Geneva Southall. New members: James Connolly, Barry Feld.

SENATE JUDICIAL COMMITTEE: Charles Wolfram (chairman), Pauline Berry, David Cooperman, John Cound, Phyllis Freier, Peyton McCrary, Ellen Ordway, Constance Sullivan, Albert Tezla. New members: Nancy Crewe, Harold Finestone, John O'Leary, Clarice Olien, Frederick Van Catledge.

SENATE LIBRARY COMMITTEE: Lloyd Smith (chairman), George Bauer, Evelyn Hansen, Ralph Hopp (ex officio), Barbara McGinnis, Sheila McNally, Richard Morris, Paul Murphy, Wayland Noland, Leonard Wilson. New members: Andrew Ahlgren, Charles Hancher, Samuel Kirkwood.

SENATE COMMITTEE ON RESEARCH: Sandra-Scarr Salapatek (chairman), May Brodbeck (ex officio), John Darley, Phyllis Freier, Stephen Hedman, William Hueq (ex officio), Stan Kegler (ex officio), James Lawver (ex officio), Albert Linck (ex officio), Thomas Post, W. B. Sundquist, Frank Ungar. New members: C. T. Johnson (ex officio), William Walton.

UNIVERSITY COMMITTEE ON ANIMAL CARE: (all new committee), Robert Touchberry (chairman), Edwin Haller, Eric Klinger, George Michielsen, J. Bruce Overmier, Frederick Shideman, Dale Sorenson, Richard Varco, F. M. Waltz.

SENATE COMMITTEE ON RESOURCES AND PLANNING: George Milkovich (chairman), Mary Dempsey, James Gremmels, Hosni Iskander, Stan Kegler (ex officio), Albert Linck (ex officio), Betty Robinett, Stanley Wenberg (ex officio). New members: Chet Grygar (ex officio), Fred Lukermann, John Mauriel (who replaces Martin Abel who has resigned), Barbara Stuhler, Thomas Thielen.

III. SENATE COMMITTEE ON EDUCATIONAL POLICY Reported for Information (45 minutes)

A Policy on the Evaluation of University Teaching

The University of Minnesota has a threefold mission for its faculty—teaching, scholarly and/or creative achievement, and service. Teaching is probably the most important of these missions. This policy statement is concerned with the evaluation of teaching. It has been prepared in the belief that evaluation contributes to teaching excellence and that excellent teaching should be appropriately rewarded.

Evaluation, or periodic, systematic appraisal of instruction, is imperative to the vitality of the University's teaching mission. Its force and effect can be two fold; both are equally important:

Systematic evaluation can identify and acknowledge those instructional programs and practices which best demonstrate and exemplify the philosophy and mandate of excellence. In other words, it provides an opportunity for outstanding teaching to be identified and suitably rewarded at a number of administrative or decision-making levels.

Equally significant is the potential of such a program of illuminating, with a keen diagnostic eye, those instructional situations where both instructor and students can benefit from the assistance and consultation of appropriate specialists. This can include, but not be limited to, the support services available through the Measurement Services Center, the Consulting Group on Instructional Design and other University resources.

Within a still wider framework, evaluation of teaching can be viewed as requiring an "open" system of communication, information and cooperation among students, members of the faculty and the administration.

Teaching is an enormously broad and complex enterprise which takes many forms, occurs in many settings, has many different aspects, and interacts with many other activities of faculty. Criteria applied to judgment of the quality of didactic exposition cannot be applied to small group seminars. Teachers who value affective goals as highly as cognitive goals will use techniques different from those who see their roles as deliverers of information and ideas. Evaluation of teaching cannot be done using a single set of criteria for all, a single means or a single source of information.

Information used in evaluation of teaching must come from a variety of sources in a variety of ways. Sources can include the instructor, his colleagues, his students and his administrative supervisors, past and present. Ways to obtain information may be formal or informal and include conversation, written narratives, rating scales, analysis of audio and videotapes, and classroom interaction analysis instruments. The kind of evaluation information and the way in which it is obtained depend upon the purposes for which it is obtained.

A number of different purposes for evaluating teaching exist. Chief among these are the improvement of teaching, the making of personnel decisions, and the advisement of students in course selections. Confusion about the purpose for any particular evaluation activity presents problems. If the purpose is to obtain evidence for the improvement of instruction, does the evaluation attempt to identify strengths and weaknesses in the various aspects of teaching, or does it merely rate the instructor in some way? If the

purpose is to gather evidence for making a promotion, tenure or salary decision, has agreement been reached between administrator and instructor as to the performance expected? Has the instructor's assignment been clarified with respect to the mission of the unit involved? If the purpose is to help students better select courses, have all those things students must know about a course and instructor been identified? Instructors really resent being rated when the purposes are not clear and the means seem unrelated to the purposes. Problems also arise when evidence is obtained for more than one purpose at the same time, or when information obtained for one purpose is used for another.

Responsible and sensitive evaluation is tied closely to the provision of mechanisms for strengthening discovered weaknesses in instructional practice, faculty assignments, curriculum, or other factors related to the instructional climate. It is also tied to an objective and effective system for rewarding identified excellence in teaching. It must also include safeguards for the rights of those being evaluated and those making the evaluations.

RECOMMENDATION 1:

All faculty should evaluate at least one of their courses annually. Over a period of time, these evaluations should involve all types and levels of courses taught.

Comment

Faculty can benefit by invited observations by colleagues and supervisors, by student opinions obtained formally or informally, by the use of technology such as audio and video tape, and by measures of student achievement, among others. In most cases a combination of approaches is desirable.

RECOMMENDATION 2:

Evaluation of teaching should include some form of student opinion of the teaching effectiveness of the instructor. Other sources might include teaching colleagues, professional peers, and the instructor himself.

Comment

No single source of information or single evaluation is sufficient for support of personnel decisions in particular. Student reactions must be one component of teaching evaluation. How student reaction is to be obtained should be a departmental decision. Student evaluations should not be the sole source of information but there are compelling reasons why student evaluation is valuable:

1. The student is in a unique position to evaluate instruction day by day.
2. The student has a backdrop of experience in other courses to use as a frame of reference.
3. The student is in contact with the entire educational process as it affects him: examinations, preparation for class, bibliography, counseling and the instructional aids used.
4. Students have a right to be heard.
5. The opinions of students should be solicited as an expression of faculty confidence in them and faculty respect for their judgments.

It is also apparent that some aspects of teaching are better evaluated by colleagues. The scholarship underlying teaching and the objectives of instruction can be judged by persons with the expert background possessed by departmental colleagues.

The instructor himself can be a valuable source of information. If the institutional attitude shows a caring for students and indicates that good teaching is valued, instructors likely will seek to:

1. secure measures of student growth in their command of the content of the course.
2. secure measures of value and attitude change in students.
3. secure feedback from students about goals, processes, etc.
4. critically analyze his techniques in a search for more effective procedures.

RECOMMENDATION 3:

Since evaluation should be in terms of recognized goals, academic units should implement the Council on Liberal Education recommendation regarding faculty performance agreements.¹ These should be written agreements that clearly state the criteria upon which faculty will be judged at the end of the stated term of the agreement. The criteria should be developed in line with those employed by all decision making bodies having review functions with regard to faculty.

Comment

These faculty performance agreements are intended to preclude misunderstandings about what a faculty member is to be evaluated upon. They should be placed in the personnel file. Academic units should take individual differences in training and experience in teaching into account when establishing standards of expected performance. These expectations should be mutually agreed upon and clearly stated in the agreement. It is important that the criteria used by basic academic units be checked against those that might be employed by other decision making bodies such as promotion and tenure committees or salary committees. A faculty member should not be placed in the position of working faithfully to meet the criteria in a departmental performance agreement only to find a collegiate group using a different set of criteria to make a personnel decision.

RECOMMENDATION 4:

The results of evaluation for personnel decision-making should be treated as confidential information to be shared by the faculty member and the decision-making bodies. Release of this information to others should be at the discretion of the faculty member.

Comment

Release to the public of the results of evaluation, particularly that which is not well designed or technically poor, can add unbearably to anxiety produced by evaluation itself. This is especially true when gathering data for instructional improvement and for rating personnel for administrative purposes is done at the same time.

RECOMMENDATION 5:

The faculty reward system used at all levels in the University should be so designed to insure that excellence in teaching contributes significantly to decisions concerning promotion and to salary increases. Documentary evidence of instructional effectiveness should be used in support of such decisions.

Comment

The kind and amount of documentation should reflect the emphasis on instruction described in the instructor's performance agreement. The kind of information gathered should be based upon the kind of instruction evaluated. No single rating scale is suitable for the complex variety of classroom practices, goals for instruction, facilities available, and class sizes found in a University of this size. The way in which evidence is gathered and the kind gathered will depend upon the purposes and the use to be made of it.

RECOMMENDATION 6:

Primary responsibility for improvement of teaching should be with the individual faculty member and with the basic academic units. The University, however, should act to increase its resources and expertise for helping both the individual faculty member and the academic units to strengthen weaknesses identified by evaluation of teaching or to improve instructional practices in general.

Comment

Such resources are now available in the University, but these are widely scattered, relatively unknown, few in number and not organized into a viable system. An example is The Consulting Group on Instructional Design. These resources need to be expanded and made part of consistent and regular programs for improvement of instruction. These programs should be visible, confidential and readily available to faculty. Their participation in such programs should be primarily voluntary in nature.

Evaluation of teaching may highlight inadequacy of resources within the University. Thus, the evaluation process may necessitate the expansion of instructional resources as well as the improvement of effort by individual faculty members.

WILLARD HARTUP
Chairman

IV. REPORT OF THE CONSULTATIVE COMMITTEE Reported for Action (1 hour) PROPOSED POLICY ON PROFESSIONAL CONSULTING, SERVICE ACTIVITIES, AND OTHER OUTSIDE WORK

Report of the Ad Hoc Committee on Faculty Accountability as Revised following Senate discussion on April 18, 1974.

Additions are indicated by ALL CAPS; deletions are indicated by underlining.

Preamble

The primary missions of the University that define the professional activities of the faculty¹ are teaching and learning, scholarship (including research and artistic creation), and service to the University and to the wider community. While these missions are usually complementary, they sometimes generate conflicting demands on faculty time. Faculty responsibilities for teaching, scholarship, and administration must frequently be met off campus, at odd hours, often exacting commitments of evenings and weekends.² Similarly, as faculty members respond to the needs of the wider community, they may be required to spend some time on those activities during the "ordinary" working week.

The University is obliged to see that all commitments to teaching, scholarship, and administration are met. When outside demands for the talents and expertise of its faculty may affect University service, the University has the right to regulate the response to these demands. It is the University's responsibility to monitor and in some ways limit those activities if they may: 1) interfere with a faculty member's ability to carry out his contractual responsibilities; 2) directly affect any of the University's missions, or 3) make use of University resources or facilities.

Nevertheless, employment by the University should not preclude some non-University service so long as University responsibilities are fully met. A faculty member may have a talent or be able to provide a service that can be found nowhere else in the community, and employment by the University should not prevent his making these talents or services available to a community that seeks them. Such expertise is particularly needed, for example, in many newly emerging societal concerns such as consumer protection and preservation of the environment.

Moreover, faculty members, like all citizens, have rights that are protected under the provisions of the Constitutions of the United States and the State of Minnesota. While the University, like any other employer, may place restrictions on the activity of its employees necessary to ensure performance of their contracts, it must also take care not to abridge those rights.

MANY OF THE ACTIVITIES SUBJECT TO THE PROVISIONS OF THIS POLICY ARE AN IMPORTANT PART OF THE MISSION OF THE UNIVERSITY. NO INFERENCE SHOULD BE DRAWN THAT SUCH ACTIVITIES ARE DEEMED INAPPROPRIATE OR ARE TO BE DISCOURAGED.

The intent of this policy is to: 1) identify the professional contributions and service rendered by the University to the outside community; 2) PERMIT THE ASSESSMENT OF THE INDIVIDUAL FACULTY MEMBER'S CONTRIBUTIONS IN THESE AREAS IN RELATIONSHIP TO HIS OTHER UNIVERSITY RESPONSIBILITIES; 3) establish mechanisms for assuring the accountability of the University and its faculty with respect to outside activities;³ and 4) provide the ground rules which attempt to reconcile, as equitably as possible, conflicts between outside demands on faculty members' time and their varied University responsibilities.

This document synthesizes, revises, and extends policies which have grown by accretion since the initial Regents' action of 1914. Omitted from this statement is the 1914 prohibition on faculty "employment which shall bring him as an expert or in any other capacity into antagonism to the interests of the State of Minnesota."⁴ It is understandable that the State of Minnesota, like any other employer, would find it objectionable for its own employees to serve interests adverse to itself. However, since it is a scholar's obligation to scrutinize proposals, programs, and policies in the light of existing knowledge, it is understandable that he may serve variously as advocate and critic. A University policy on outside professional activities prohibiting any criticism that could be construed as antagonistic to "the interests of the State" would not serve the interests of the citizens. Just as Minnesota citizens are entitled to supportive statements where government policies are perceived by faculty members to be of benefit, so, too, are they entitled to expert challenge of government policies perceived by faculty members to be in error. Such challenges may take the form of scholarly publication, legislative drafting and lobbying, or expert testimony in litigation.⁵ Of course, any such activity must satisfy the criteria set forth in Section 1 of this policy.

Finally, a note about the scope of this policy: the policy applies to the professional activities, whether compensated or not, and to the recurring, compensated non-professional activities of the faculty undertaken for agencies or entities outside the University. Ordinarily, a full-time University faculty member, is expected to forego both routine, outside professional work of a non-referral nature⁶ and employment activities that are unrelated to his professional competence. If, however, he finds it necessary to engage in such work or in such employment, this policy requires that these activities, like all others, not intrude on his University service. Moreover, the reporting requirements and many of the other limitations on outside activity defined in this policy apply both to outside professional and non-professional activities.

FOR CERTAIN FACULTY MEMBERS, THE DISTINCTION BETWEEN COMMUNITY INVOLVEMENT AS A CITIZEN AND COMMUNITY INVOLVEMENT AS A PROFESSIONAL IS DIFFICULT TO DETERMINE. FACULTY MEMBERS MAY JUDGE THE NATURE OF THEIR INVOLVEMENT AND, IF THEY CHOOSE, BE EXEMPT FROM REPORTING CITIZEN-RELATED ACTIVITIES.

I. General Policy

A. Application of Policy

This policy statement applies to individuals holding appointments at the rank of instructor and above (including positions as research fellow, research associate, and general administrative officer who also holds academic rank) for the term of appointment. For those on less than 100 percent time, the policy shall be applied in a manner consistent with the individual's University commitment.

B. Professional Activities

Faculty may engage in professional activity—of a consulting or service nature, whether compensated or not, whether recurring⁷ or not, in which: 1) the time involved for the individual does not interfere with the discharge of his teaching, research, service, and administrative responsibilities to the University; and 2) the activity is related to the individual's University responsibilities; and 3) is also such as either to enhance his capacity or reputation as a teacher or scholar, or to constitute a public service.

This policy is understood to cover, for both prior approval and reporting purposes, RECURRING activities in connection with: a) any business enterprise as owner, partner, officer, director, consultant (including editorial consultant), employee, or agent; b) any public office either by election, appointment, or employment; c) any professional, scholarly, or educational institution, organization, or foundation as a trustee, officer, lecturer, representative, or continuing editor; and d) any public interest, community service, and civic, cultural, or charitable organization in a professional capacity.

The policy is understood not to include, for prior approval purposes, such activities as the following: a) attendance at professional meetings; b) the writing of books or articles; c) the giving of occasional lectures and speeches, participation in colloquia, symposia, on-site visits, and the like; and d) ad hoc refereeing of manuscripts. Nevertheless, the policy requires that these activities be reported and that they meet conditions 1), 2), and 3) of this section B.

C. Non-Professional COMPENSATED Employment Activities

Ordinarily it is expected that a full-time faculty member will forego employment activities that are unrelated to his professional competence. If, however, such activities must be pursued, this policy requires that: 1) the activities not interfere with the

fulfillment of his University responsibilities, and, if the activities are recurring, that 2) he seek approval for and report these activities in the manner prescribed below.

D. Time Limitations on Outside COMPENSATED Commitments

In general, the outside compensated⁹ activities of the full-time faculty member shall not exceed an average of one day per seven-day-week for the term of the appointment.¹⁰ The way in which the time is scheduled shall, in the judgment of the unit administrator, be compatible with the faculty member's obligations to the University. The arrangements may, in the judgment of the unit administrator, include provisions for making up time lost; or the administrator may suggest a special contract or a reduction in University compensation. All such outside activities must satisfy all the other conditions laid down in previous and subsequent sections of this policy.

E. Appearance Before Public Bodies

Any member of the faculty who makes an appearance, either in person or by way of a written communication, before any public body, commission, group, or individual, to present facts or to give an opinion respecting any issue or matter up for consideration, discussion, or action, shall make known clearly, completely, and candidly whether he is, or is not, speaking on the matter as a representative of the University. Where he is not speaking for the University, he shall either indicate that he is speaking for himself, or shall identify the sponsoring individual, corporation, or organization WHICH IN THE PRESENT OR IN THE PAST SUPPORTED HIS STUDIES OR under whose auspices he is appearing or sending the communication, and explain the conditions of his association with the sponsor.

F. Use of the University Name

Every member of the faculty shall refrain from using the University name for advertising purposes. A member of the faculty engaging in outside activity may identify his association with the University, but shall make clear to those who use his services TAKE CARE that the name of the University is not to be used in any way that implies endorsement or approval of the activity.

G. Use of the Official Stationery or of the University Address

No member of the faculty shall use the official stationery of the University, or give as a business address any building or unit of the institution in connection with: 1) outside non-professional activities, whether compensated or not; and 2) outside professional activities engaged in primarily for private rather than University-related purposes, whether compensated or not.

H. Use of University Facilities

No member of the faculty shall use University equipment or services for activities not connected with one's RELEVANT TO HIS University responsibilities without first obtaining approval¹¹ from, and arranging for payment of a reasonable fee for such services with, the unit administrator, dean, and the Assistant Vice President, Business Administration, in the Office of the Vice President for Finance, Planning and Operations. Use of certain University equipment or services may not require prior approval when it is understood that such equipment or services are generally available to the University faculty for the payment of a reasonable fee.

I. Holding Public Office

Faculty members share with their fellow citizens the right to campaign for and to hold public office. It is expected, however, that any faculty member contemplating candidacy for elective political office or appointment to public office, where the duties of a campaign or the holding of the office would seriously interfere with the fulfillment of University responsibilities, will consult in advance with the appropriate collegiate and administrative units of the University. Consultation should focus on the question of whether or not temporary suspension of some portion of the faculty member's responsibilities can be accommodated without serious impairment of the function of the department or unit involved.

When a faculty member is appointed to or elected to public office, e.g., to the State Legislature, requiring absence from University duties for continuous periods of time of one year or less, it is anticipated that normal leave of absence procedures, or other appropriate arrangements SUCH AS A SPECIAL CONTRACT OR A REDUCED TEACHING LOAD WITH A COMMENSURATE ADJUSTMENT IN SALARY, for the year or portions thereof will be invoked. The faculty member shall provide to the unit administrator as much notice as possible to insure that ample time will be provided the unit to replace or otherwise arrange to meet the absent faculty member's responsibilities. Prior approval by the Board of Regents continues to be required for any full or partial leave of absence.

When a faculty member is appointed to or elected to public office requiring full-time

1 "...Collegiate and departmental units develop faculty performance criteria consistent with their academic missions and establish evaluative procedures that measure performance effectiveness. Faculty assignments should reflect the individual's special talents and commitments as they relate to the missions of the academic unit. Departments or other appropriate units are expected to work out agreements with individuals concerning their University commitments, especially their teaching-advising assignments for each academic year...Individuals will be responsible for fulfilling the conditions of their agreements while departments will be expected to provide information as to how they deal with their missions and goals and establish assignments. Documentary evidence of performance effectiveness consistent with these agreements will be required in support of recommendations for merit increases, promotions, and the granting of tenure. Such evidence will be used as a basis for judgments regarding these personnel decisions." "Perspectives and Recommendations concerning the Improvement of Liberal Education," All-University Council on Liberal Education Report to the Senate, Part II, Recommendation 1, 1973.

1 "Faculty," as used in this document, includes administrative officers with faculty rank.

2 INDEED, FACULTY LOAD STUDIES CONDUCTED OVER THE LAST FORTY YEARS HAVE CONSISTENTLY REPORTED A FIFTY-FIVE TO SIXTY HOUR WORK WEEK FOR THE AVERAGE FACULTY MEMBER. SEE FALL '73 FACULTY ACTIVITY ANALYSIS: BRIEF SUMMARY, MARCH 12, 1974, MANAGEMENT, PLANNING AND INFORMATION SERVICES; FACULTY ACTIVITIES REPORT, FALL QUARTER, 1969, BUREAU OF INSTITUTIONAL RESEARCH; AND CAREER MOTIVATIONS AND SATISFACTIONS OF COLLEGE TEACHERS, CONDUCTED UNDER A GRANT FROM THE COOPERATIVE RESEARCH PROGRAM FOR THE U.S. OFFICE OF EDUCATION, 1958.

3 "Outside activities" is intended to mean work for any non-University entity whether performed outside or inside the University. TEACHING IN EXTENSION COURSES DOES NOT CONSTITUTE OUTSIDE ACTIVITY FOR THE PURPOSES OF THIS POLICY. FOR SOME UNITS, COMMUNITY CONTACT AND OUTREACH ARE PART OF THEIR UNIVERSITY RESPONSIBILITIES AND, THEREFORE, ARE NOT CONSIDERED AN OUTSIDE ACTIVITY UNDER THE TERMS OF THIS POLICY. ALL SUCH ACTIVITIES WILL BE GOVERNED BY DEPARTMENTAL, COLLEGIATE AND OTHER UNIVERSITY POLICIES.

4 Many important activities within the University are in conflict with the 1914 prohibition. The Law School's Legal Aid program would be an obvious violation. Publication of an article by a faculty member arising out of service to an organization, whether he was compensated or not, which criticizes the policy of any State agency is an example of another common violation.

5 The University Senate Statement on Academic Freedom and Responsibility, December 3, 1970, explicitly provides for freedom of inquiry and dissemination. "Freedom of dissemination means that the scholar has the freedom to discuss his ideas and to make them public."

6 This idea was expressed in the 1914 statement of policy as follows: "While it is not possible to draw the line definitely between professional service of an expert or consultative character and routine professional work, the University is opposed to the entrance of University (faculty) into ordinary competition in the various professional fields."

7 "Recurring" is defined as service engaged in for any one agency, business, institution or organization for more than three days in any single term of University appointment, or when the activity continues for more than one year.

8 Appendix A gives illustrations to assist in clarifying the application of this policy.

9 "Compensated" means honoraria, fees, or other benefits over the above expenses; reimbursement for expenses is not to be construed as compensation.

10 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 term of appointment. Activities engaged in for less than a full day shall be treated cumulatively. THE FULL-DAY EQUIVALENCE OF ACTIVITIES CARRIED OUT IN A SERIES OF FRACTIONAL-DAY BLOCKS SHALL BE COMPUTED BY DIVIDING THE TOTAL NUMBER OF HOURS EXPENDED BY TWELVE.

11 B.A. Form 39.

service for a period of more than one year, e.g., to offices such as Governor, United States Representative, or United States Senator. It is expected that he will resign from the University faculty position after election. In the case of OTHER appointments which may be for indeterminate periods of time, full or partial leaves of absence may be negotiated annually, OR IF REQUESTS FOR LEAVE EXTEND BEYOND REASONABLE LIMITS, RESIGNATION MAY BE EXPECTED.

The purpose of this policy is to balance public service of University faculty with the University's primary obligations to maintain its teaching programs and foster research and creativity. At the same time, it seeks to encourage public service, including the holding of public office. It is, of course, understood that the faculty member's association with the University should not be misused in campaign activities or campaign literature.

J. Prior Approval of Outside Activities

Faculty members shall obtain prior approval, in the manner outlined in Section II, A and B below, for the following outside activities: 1) recurring, compensated non-professional activities; and 2) recurring professional activities, whether compensated or not.

K. Reporting of Outside Activities

Faculty members shall report in the manner outlined in Section II, C below: 1) all recurring, compensated non-professional activities; and 2) all outside professional activities, whether compensated or uncompensated, whether recurring or non-recurring. For certain faculty members, the distinction between involvement as a citizen and involvement as a professional is difficult to determine. Faculty members may judge the nature of their involvement and be exempt from reporting citizen-related activities. Reporting of such activities will be expected, however, from those faculty members for whom community service constitutes professional activity.

II. Procedures for Approval, Reporting and Monitoring of Outside Activities

A. Prior Approval

Prior approval of the appropriate unit administrator (department, unit, or division chairman) shall be secured for: 1) all recurring, compensated non-professional activities; and 2) all recurring, professional activities, whether compensated or not. The faculty member contemplating such activity shall initiate the request for approval.

B. Procedures for Approval

Approval forms may be obtained from the appropriate unit administrator and shall be submitted to that office.

1. The request form for approval shall include the following information: name of faculty member; name of client; type of outside activity involved; period of time during which such activity is to be performed; estimated amount and distribution of time, in days or fractions thereof, to be spent on the activity; whether or not this activity will be compensated; affirmation of the activity's conformity with criteria stated in Section I; and signature and date.

2. The request shall be approved or denied by the appropriate unit administrator. The faculty member may proceed on the basis of interim approval obtained at this level. The request shall then be reviewed by the collegiate dean or campus vice provost for academic affairs and by the Academic Vice President before submission to the Regents for their review. If a denial occurs at any administrative level, the reasons for such denial shall be stated in writing. Upon denial, the faculty member may request review at the next higher administrative level.

C. Procedures for Reporting

To reflect the variety of services rendered and contributions made by the University, all faculty members shall report to their appropriate unit administrator on an annual basis: 1) all recurring, compensated, non-professional activities; and 2) all professional activities, whether compensated or not, whether recurring or not.

1. Forms for annual reporting of these activities shall include: name of faculty member; project description, including a statement affirming conformity with criteria stated in Section I; number of days or fractions thereof spent on the project; dates of initiation, termination of the activity, and signature and date. These reports shall be filed with the unit administrator and kept for at least five years.

2. These annual reports submitted to the appropriate unit administrator shall be summarized, and distributed within the unit, and THE SUMMARY SHALL BE forwarded to the dean or academic vice provost. This annual summary shall include a statement of the numbers of denials and the reasons therefor; the summary may reflect the activity of individuals.

3. The dean or academic vice provost shall submit an annual summary of the outside activities of his unit to the Academic Vice President. This summary shall also include a statement of the numbers of denials and the reasons therefor.

4. The Academic Vice President shall maintain these records and shall make this information public in any way he deems appropriate.

D. Procedures for Monitoring

While primary monitoring responsibility and accountability is lodged in the office of the appropriate unit administrator, the Academic Vice President shall periodically review, in cooperation with the appropriate dean, a random selection of individual and unit reports in order to evaluate the approval and reporting systems.

III. Dissemination of Policy Statement

A. The Academic Vice President shall send a copy of this policy on outside activities to all faculty members at the start of each academic year.

B. All candidates interviewed for faculty positions shall be informed of the University's policy.

C. Copies of the current policy shall be available in the Academic Vice President's office for distribution in response to requests for information about the University's policy.

IV. Violation of Policy

A. Students, faculty, and staff may report alleged violations of this policy to the appropriate unit administrator. The unit administrator, IN CONSULTATION WITH THE FACULTY, shall take such action on the complaint as he deems appropriate AND REPORT THE ACTION IN WRITING TO THE COMPLAINANT. If the complainant is not satisfied with the action of the unit, he may invoke the established APPROPRIATE University grievance procedures for Academic Freedom and Responsibility.

B. Persons who are not members of the University community may report possible violations of this policy to the Office of the President.

1. The President shall transmit the complaint to the unit administrator through proper channels.

2. The unit administrator, in consultation with the faculty, shall take such action on the complaint as he deems appropriate. The unit administrator shall transmit through the same channels a written statement to the Office of the President reporting the unit's evaluation and findings, including a statement of the action taken.

3. If he concurs, the President shall report the action taken to the complainant. If not, he shall return the complaint to the unit administrator requesting additional consideration. IF THE UNIT ADMINISTRATOR IN CONSULTATION WITH THE FACULTY, CANNOT REACH A DETERMINATION WITH WHICH THE PRESIDENT CONCURS, THE UNIT ADMINISTRATOR SHALL REFER THE COMPLAINANT TO THE APPROPRIATE COLLEGIATE GRIEVANCE COMMITTEE.

C. Faculty members who are found to be in violation of this policy may appeal such finding and any subsequent administrative action through established APPROPRIATE University grievance procedures.

Respectfully submitted by

THE AD HOC COMMITTEE ON FACULTY ACCOUNTABILITY

- John G. Darley, Chairman
- Professor and Chairman, Psychology
- Wendell P. Glick, Professor, English (Duluth)
- Grace W. Gray, Associate Professor, Veterinary Biology
- Willard W. Hartup, Professor & Director
- Institute of Child Development, Education
- Eric Klinger, Professor, Social Science (Morris)
- Arnold Lazarow, Professor & Head, Anatomy
- William P. Martin, Professor & Head, Soil Science
- William E. Mishler, Assistant Professor, Scandinavian
- William T. Peria, Professor, Electrical Engineering
- Betty W. Robinett, Professor & Director, Linguistics & English as a Second Language
- Michael Root, Assistant Professor, Philosophy
- Geneva H. Southall, Professor, Afro-American Studies
- Robert A. Stein, Professor, Law
- Barbara J. Stuhler, Professor & Associate Director, World Affairs Center, CEE
- Mahmood A. Zaidi, Professor, Industrial Relations Center
- MaryEllen Lundsten, Graduate Student, Political Science
- David A. Winegar, Student, Biological Sciences

APPENDIX A
Illustrations of Professional Consulting, Service Activities, and Other Outside Work Engaged In By University of Minnesota Faculty Members.

Outside professional activities are subject to the policy criteria that: 1) The time involved for the individual does not interfere with the discharge of teaching, research, service and administrative responsibilities to the University, and 2) The activity is related to the individual's University responsibilities, and 3) Is also such as either to enhance his capacity or reputation as a teacher and scholar, or to constitute a public service. All outside activities exclusive of private citizen activities are expected to meet all of the above criteria.

	PRIOR APPROVAL AND REPORTING	REPORTING ONLY	TIME LIMITATION
Sources of Requests	Activities (whether compensated or not) requiring both prior approval and reporting if engaged in for more than 3 days per appointment term for any single agency:	Activities (whether compensated or not) requiring reporting only if engaged in for 3 days or less per appointment term for any single agency: ¹	Compensated activities which (when added together) are subject to the one day per seven-day-week average time limitation for the term of appointment:
Business, trade, commercial, industrial or professional practice sources in the private sector (companies, corporations, partnerships, associations, practices, etc.)	<ol style="list-style-type: none"> Time spent as owner(s), partner(s), director or board member of a profit-making enterprise. Continuing activity as consultant, lecturer, writer, designer, or investigator for such organizations. Activity in an editorial capacity for a commercial publisher. Registered lobbyist for a commercial interest group. Private consultation or referral practice of a profession, specialty or art. Non-referral private practice of a profession, specialty or art for a fee ("Professional moonlighting").² Non-professional work of any kind for compensation or profit. ("Non-professional moonlighting")² 	<ol style="list-style-type: none"> Minor amounts of time spent as owner, partner, director or board member of a profit-making organization. Occasional consultations, lectures, or workshops for such organizations. Occasional reviewing of manuscripts for commercial publishers. Occasional activity in the referral practice of a profession, specialty, or art. Short-term testimony or lobbying on behalf of a commercial interest group. 	<ol style="list-style-type: none"> Compensated activity as owner, partner, director or board member of a profit-making organization. Compensated activity as consultant, lecturer, agent, or lobbyist for such organizations. Compensated editorial or reviewing activity for commercial publishers. Compensated practice of a profession, specialty or art. Compensated non-professional work or employment.²

¹Asterisk (*) indicates activities requiring reporting only, even if engaged in for more than three days per term of appointment.

²"Ordinarily, a full-time faculty member is expected to forego both routine, outside professional work of a non-referral nature and employment activities that are unrelated to his professional competence." Preamble to the Policy Statement.

Local, state, federal or foreign government or international agency sources (legislative, executive or judicial functions; offices, councils, departments, boards, associations, etc.)	IF UNDERTAKEN AS A PROFESSIONAL OR COMPENSATED NON-PROFESSIONAL ACTIVITY: <ol style="list-style-type: none"> Time spent as panel or committee member for local government (school district, county organization, metro council, etc.), state government (Dept. of Education, DNR, EQC, PCA, etc.), federal government (NSF, NAS, NRC, AID, USDA, HEW, NIH, DOD, OE, OEO, DOL, AEC, ARS, EPA, etc.) or international agency (FAO, WHO, UNESCO, etc.). Activity as elected, appointed or employed officer or agent at any level of government. Continuing consultant, lecturer or investigator for any organ. of any level of government. Continuing service as expert witness or legal counsel in court cases or commission hearings. 	<ol style="list-style-type: none"> Short-term panel of committee service at any level of government. Occasional consulting or lecturing activities for any governmental agency. Occasional site-visits for governmental agencies. Short-term testimony as expert witness in court cases or commission hearings. Military reserve training duty.[*] Liaison officer-adviser to students on military reserve professional career training programs.[*] 	<ol style="list-style-type: none"> Compensated panel/committee activity for any level of government. Compensated activity as consultant, lecturer, agent, or investigator for any level of government. Compensated holding of elected/appointed office at any level of government. Compensated activity in connection with any judicial proceeding.
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Educational, scientific, scholarly or professional organizational sources (societies, associations, institutions, etc.)	<ol style="list-style-type: none"> Appointment in an editorial capacity for technical, scholarly or scientific journals published by non-profit organizations. Continuing service on standing or ad hoc boards/committees of such organizations. Service as elected/appointed officer of such organizations. Continuing lecturer/visiting professor to other educational institutions. Continuing consultant, trainer, examiner or investigator for such organizations. Registered lobbyist for professional, scientific, or educational interest groups. 	<ol style="list-style-type: none"> Occasional review of manuscripts for professional journals.[*] Short-term activity as committee/panel member for such organizations.[*] Short-term activity as consultant, trainer, examiner for such organizations.[*] Site-visits for such organizations.[*] Single lectures to professional groups or organizations.[*] Participation in symposia, or other program events at educational institutions or professional society meetings.[*] Attendance and/or presentation of papers at professional meetings.[*] Short-term lobbying activity for professional interest groups. Writing of articles or books, or artistic creation, within one's professional field.[*] 	<ol style="list-style-type: none"> Compensated editorial work for professional journals. Compensated activity as officer, panel or committee member of such organizations. Compensated activity as consultant, examiner, trainer or investigator for such organizations. Compensated teaching, lectures, or participation in workshops, colloquia or short courses for such organizations. Compensated lobbying activity for professional interest groups.
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Public interest, community service, civic, cultural, charitable group sources (agencies, institutes, foundations, associations, etc.)	<ol style="list-style-type: none"> Continuing service to alumni groups related to one's profession. <p>IF UNDERTAKEN AS A PROFESSIONAL OR COMPENSATED NON-PROFESSIONAL ACTIVITY:</p> <ol style="list-style-type: none"> Registered lobbyist for public interest groups or causes. Continuing activity as consultant or investigator for citizen or civic groups, social service agencies, cultural organizations. Continuing activity as director, trainer, organizer, officer or board member of such organizations. Significant production of written or other materials for such organizations. Holding office in any political party or campaign organization. 	<ol style="list-style-type: none"> Short-term lobbying for public interest groups or causes. Profession-related activities of a short-term nature such as: <ol style="list-style-type: none"> a. Talks to special interest clubs or groups. b. Organization of community clinics (diagnostic, vaccination). c. Advising high school science fair projects, participation in career advising. d. Community resource volunteer for school district. e. Minnesota State Fair work. f. Preparation of articles or pamphlets for newsletters of public interest organizations. Attendance at program events of public service, civic or cultural groups (unless classed as a private citizen activity). Occasional service in support of political parties or candidates (unless classed as a private citizen activity). 	<ol style="list-style-type: none"> Compensated activity as a lobbyist for public interest groups. Compensated activity as officer, board member, consultant, lecturer, trainer, or producer for public interest, civic, cultural or charitable groups.
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V. OLD BUSINESS

VI. NEW BUSINESS