

FOOTNOTE

☐ July 3, 1990

☐ Volume 4, Number 1

☐ Published by the Faculty Consultative Committee

Report from the Chair

By Warren Ibele

The Calendar. The last University Senate meeting of the year considered a report from the Senate Committee on Educational Policy (SCEP) recommending a change in calendar from the current format to one that would continue to use the 10-week quarter module but with a shift to a late-August starting date. As a consequence, winter quarter would begin in December, run for three weeks, break for the Christmas holidays, and resume in early January to complete the remaining seven weeks of the term. The final examination periods and spring break would continue as now although they would move to earlier dates in accordance with the shifted schedule.

The proposed calendar change was for discussion only, but at the end of the discussion a straw vote went against the change by a two-to-one margin. As best could be

observed from the floor of the Senate, the student senators voted in support of the proposal—chiefly because of its “early-in, early-out” feature—while faculty senators voted in opposition, principally because of the pedagogical flaw of dividing a term that many hold to be too short already.

Notwithstanding the outcome of the straw vote, the issue brought more letters to the Faculty Consultative Committee (FCC) office than any other matter since the change in health care coverage when the 1989-90 academic year began. (The reader should bear in mind that more than six letters to the FCC on an issue is a deluge.)

The letters were characteristically frank in their opposition to the proposed change because of the division of the winter term, and forthright in pointing out that if “early in, early out” was the primary goal there was a much better calendar format for achieving it—

namely, the semester system. The academic calendar is apparently an enduring issue. We differ from other institutions in this respect because we have used the quarter system since World War I* while other major universities have changed twice since World War II.

Since pedagogy alone appears to offer no compelling evidence for the superiority of one system over the other, my approach is pragmatic: opportunities for programmatic change often accompany severe budget cuts, threatened loss of accreditation (mostly in the case of professional programs), and a change in the academic calendar. In a system that has not changed in over 70 years, we should see change in some areas as an opportunity to assess possible change in others. Given the president's initiative in undergraduate education and the increased attention the faculty will be giving to improving undergraduate education as increased resources become available, should we, after all that investment and energy, proceed to pour new wine into old wineskins?

Academic Priorities. Since the Academic Priorities document was created three years ago, the Senate Committee on Finance and Planning and the FCC have continued to monitor progress toward its goals. The FCC has also taken the position that the goals represented in Academic Priorities be reexamined from time to time in order to determine whether they continue to be appropriate for current and perceived future circumstances.

Regents' Open Forum

The Board of Regents will host an open forum to give constituents an opportunity to express their views on University matters. The forum will be held on Thursday, July 12, at 10:30 a.m. in room 135 Earle Brown Center, St. Paul campus.

If you would like to speak, please write or call the Board of Regents, 220 Morrill Hall, University of Minnesota, Minneapolis, MN 55455, (612) 625-6300. Please give your name, address, telephone number, the topic you wish to address, and the group you represent, if any. You will be notified of your time on the

agenda. Each speaker will be limited to five minutes.

If the number of speakers exceeds the time available, the regents' executive director will confer with the chair, vice chair, and president to determine a list of speakers who best represent views on a variety of issues.

Speakers wishing to provide written information to accompany their presentations are asked to submit the materials in advance to the regents' office for duplication.

The forum will be chaired by the chair of the Board of Regents.

*One voice of the oral tradition holds that the University changed from semesters to quarters not for academic reasons but rather to comply with U.S. government requirements for its military training programs.

Ibele, from p. 1

Preparations for such a reexamination are now being initiated and will be carried out by the governance system with the start of the 1990-91 academic year. In order to carry out those academic priorities—continuing or revised—the University will need resources.

Three major income streams provide funds for the operation of the University: legislative appropriations, student tuition, and research contract and grant awards. Self-supporting service operations and the fees-for-service income stream are not considered here. As we consider these sources and the resources required to accomplish Academic Priorities and the undergraduate initiative, the outline of a major problem emerges. As undergraduate enrollment has stabilized and declined the legislature has, until now, continued to fund the University at levels above that which would have been forthcoming based on enrollment. The

University's educational improvements, however, are bringing continued tuition increases—increases made greater because the student responsibility for one third of instructional costs has to be borne by a constant or declining student body.

In light of the state's economic outlook for the immediate future and the competition for the funds available for higher education, there is a limit to what can be expected by way of increased legislative appropriations. Student concern for tuition levels has risen despite educational improvements and the promise of more to follow, and will be exacerbated by the 1990 capital appropriation, which makes one third of the debt cost of instructional facilities also dependent on tuition income.

Given the increasingly apparent limits to legislative and tuition resources, which fall short of the resources required for Academic Priorities and the undergraduate initiative, to what source can we turn?

Before answering that question it is important to observe that most of our programs and departments are currently fully committed in carrying out their instructional and research activities. Indeed the major finding of years of Graduate School program reviews is that our programs—graduate and undergraduate—customarily operate with faculties half the size of peer programs at other institutions having the same levels of graduate and undergraduate enrollment and contract and grant activity. In most departments, major new departures in undergraduate (and graduate) education, without additional resources, can only come at the expense of research and contract activity.

If we are to proceed with Academic Priorities and the undergraduate initiative, internal reallocation is the only remaining major source for effecting these plans. Since the elimination of entire colleges proved unacceptable, we now confront 2-percent retrenchments each year "for as far as the eye can see."

The difficulty with this approach is that it too frequently results in a general belt-tightening for all programs regardless of their relative

importance or quality. Over time morale falls, horizons contract, and a general ennui pervades the departments and the colleges. I believe the regents sense this, for in the amended 1990-91 budget resolution the possible effects of the continuing 2-percent retrenchment are addressed and colleges are urged to explore means for improving educational quality through greater efficiency but also by selected program reduction or elimination. My sense of the matter is that the public, through the legislature, is in the process of fulfilling its share of the bargain; the students, through increased tuition, are honoring their commitment; it remains for us to demonstrate that we can follow through with our pact. I also believe that the legislature and community leadership throughout the state hold the same opinion. No one expects it to be easy. Existing programs are usually good and useful and have constituencies; new programs and innovations have yet to find theirs. So it's our move. Do we have the will and the wit to carry it off?

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Managing Editor: Rabun Taylor
Design Consultant: Dawn Mathers

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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.

□ LETTERS

This letter was written to the Board of Regents in June. Its author, William Charlesworth, is a professor in the Institute of Child Development and a recipient of the Horace T. Morse-Minnesota Alumni Award for excellence in undergraduate teaching.

I want to bring your attention to what I think is a serious problem which, if ignored, will ultimately jeopardize the integrity of the University.

The problem is a dual one having to do with academic freedom standards. When I began teaching here in the early '60s, there was no question who decided what the curriculum should be and what standards would be applied to evaluating performance in courses within that curriculum. Individual faculty members made these decisions. At the same time, I thought this was the way it should be. Over the years, though, I began to see that this approach had some University-wide problems—idiosyncratic

choices of course material, lack of curricular cohesion, no collective (collegial) way of effectively ensuring grading uniformity and controlling grade inflation.

After the Vietnam War things seemed to settle down. But lately, things have begun moving in what I feel is an ominous direction—not only here but in many other universities as well. Curricular content has changed (and still is changing) in unknown directions to the point where any coherence that has existed is already shattered. Furthermore, maintaining high standards and ensuring fair grading of student performance is becoming increasingly difficult.

There are various, often conflicting, reasons for this trend. On one side, there are high expectations of students—many demand of themselves and occasionally the faculty nothing less than an A. Combined with these expectations is the growing diversity of the student body (for example, those lacking English as the first language, or those inadequately prepared for academic work).

On the other side, there are strong feelings on the part of a growing number of students and faculty that grades and competition for them are antidemocratic, impersonal, elitist, and culturally biased and therefore educationally counterproductive. These feelings are frequently coupled with equally strong feelings that courses and course content should concentrate on contemporary problems.

As for possible approaches to these growing problems, pressure for high grades cannot be reduced short of massive social/economic changes that make grades less important than other things. The only thing faculty can do is ensure that grades are given fairly according to appropriate levels of achievement and not inflated merely to satisfy students. As for the diversity of students, those who are disadvantaged should be given remedial work and brought up to a comparable level of the average incoming student. The University is already doing very well in this respect, but I think more still has to be done.

As for the grading problem, it may well be that current grading practices reflect some of the aforementioned biases, but I think that

has still to be demonstrated. Abolishing grading is not a responsible solution. Students need to know how well they are doing relative to consensually established standards, and society has to have some objective way of distinguishing those who have significantly benefited from higher education from those who have not. Adherence to standards set by experienced experts is a well-tested and just way to assess what students have learned.

As for curricula neglecting contemporary issues, I am sure there is some truth to this. But I suspect it depends on the academic discipline the student is in. In my opinion, there are lists of required readings that must certainly be expanded. Too much creative work has been done in non-English-speaking cultures and by historically unrecognized groups and individuals to be ignored. But the canons of criticism and aesthetic judgment that have evolved over centuries cannot be discarded because the content of their focus has shifted. Yet this is what is being advocated. "Anything goes" has become for many a popular strategy. This, however, is not a novel strategy, and its results, as far as I can determine, are not any more exciting and insightful than those of more rule-bound strategies.

In my estimation, the question of abandoning established criteria for evaluating cultural and scientific achievements is the most serious one, since its implications are very great. For example, a number of faculty contend that new epistemologies requiring new methods of inquiry should replace or work alongside traditional epistemologies. I have no objection to this contention and will support it if it can be demonstrated that new epistemologies represent an improvement over those we now use. What constitutes improvement and amplification, though, should be thoroughly and publicly discussed by a representative sample of the academic community.

In the past several centuries, enormous advances in science and technology have been made by adhering to logical reasoning and formulating and testing empirically falsifiable hypotheses. And in the past two-plus thousand years

canons of philosophical and aesthetic analysis have been developed that have significantly shaped the conceptual basis of our civilization. To abandon these canons of inquiry or to give them minor status in an educational hierarchy would seriously undermine our cultural future.

I would not be so concerned about this trend if it were not so widespread and so enthusiastically articulated. Under the guise of being relevant for solving today's social problems and of furthering new advances in humanity against the dead hand of the past, participants in this trend are making steady inroads into the curriculum. A wide range of active commitments are now in place in the classroom. Some are ideological and political, some naively utopian, some morally absolutist, some clearly serving small self-selected constituencies; several preach as much or more than they teach. I admire the enthusiasm behind these commitments and agree with some of the points their proponents make. The problem is that many proponents of these commitments avoid open collegial dialogue and close examination of their claims.

The main effect of all this, in my estimation, is divisiveness. If it continues, it will polarize the University in a serious way, and the ultimate outcome will be destructive to the University's mission. The University must be a place of cohesiveness not of division. It must also be a place in which dissent is as treasured as assent, a place in which scholars can engage unobstructively in the building and testing of theories and ideas according to the canons of their discipline, as well as a place for scholars to engage in scholarly pursuits that have direct practical and social implications.

One step towards solving the problems I mention here is to develop a strong policy of encouraging and supporting ongoing dialogue between the various members and groups of the University.

It would matter greatly if part of the initiative for developing such a policy came from the Board of Regents. I hope you will give this possibility your serious consideration.

—William R. Charlesworth

□ NEWS

Warren Ibele has been reelected as **chair of the Faculty Consultative Committee** for 1990-91. Andy Collins will continue as vice chair.

After many months of controversy, **University Grove** residents voted by a narrow margin to continue leasing their lots from the University rather than open up the option to buy the lots. Under this agreement, new residents will be required to seek mortgages from private lenders. Current residents will be allowed to retain their mortgages with the University, although they will be offered incentives to shift their mortgages to private institutions, thereby freeing up PUF funds that currently sustain the loans.

The Board of Regents approved the **1990-91 budget**, but with serious reservations about its implications for students and academic programs. Regents Mary Schertler and David Roe voted against the budget, arguing that an average 9-percent increase in tuition for the upcoming year, with strong indications that tuition will continue to increase at

a similar or greater pace in subsequent years, is too great a burden on students. "Tuition has outpaced inflation for the last 10 years," Schertler said. "We have to rely on the administration to make the case to keep tuition low."

In answer to the growing financial burden to students, the budget reallocates \$500,000 to need-based student financial aid for Minnesota residents and exempts top nonresident students from paying the nonresident tuition rate. "There is also the potential of a more aggressive recognition of income from existing endowment accounts that can be used for. . . meeting student aid on the basis of need," finance vice president Gus Donhowe told the regents. "We are prepared to commit at least a million dollars from those accounts, and we hope potentially more." This would serve as bridge funding while the University develops an annual giving campaign for a permanent scholarship fund for needy students.

Schertler was not satisfied with these measures. "That is an appeasement," she said. "Financial aid in terms of our distribution formula will never end up making

the difference. . . . Show us a budget that freezes tuition to give student a breather for the next few years."

Most of the regents, however, accepted the budget with reservations. "I realize that in terms of this budget resolution you really don't have a choice," said student representative Randy Peterson. "However, I would urge that if you do have concerns about tuition issues, the place to express them is in the legislative request. Don't forget us."

The board unanimously passed an amendment to the budget resolution, introduced by Regent Jean Keffeler, encouraging continued reallocations for improving academic programs and strongly urging "that collegiate unit reallocation strategies result in programmatic adjustments, including greater efficiency in offering existing programs as well as actual program reduction." The amendment also called for improved financial aid, a system of standards for describing the financial implications of programmatic initiatives, and improved cooperation with other higher education systems in Minnesota.

FOOTNOTE

6 Morrill Hall
100 Church Street S.E.
University of Minnesota
Minneapolis, MN 55455

IN THIS ISSUE

The Academic Calendar
Funding Academic Priorities

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Next *Footnote*—July 31

FOOTNOTE

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Time to Act:

Vice Provost Anne Hopkins Arrives with a Full Agenda

Anne Hopkins is the Twin Cities campus's first vice provost for arts, sciences, and engineering. She comes to Minnesota from the University of Tennessee, Knoxville, where she was vice provost. She received her bachelor's, master's, and Ph.D. degrees from Syracuse University and served on the faculty of Hobart and William Smith Colleges for six years before moving to Tennessee. For over ten years at Tennessee, she concentrated her efforts in teaching and research. Through her activity in faculty governance she joined the administration, first working for the chancellor as legislative liaison, and subsequently for the provost as vice provost.

Her responsibilities as Minnesota's vice provost are similar to those of a vice president, except that they are exclusive to the relevant colleges on the Twin Cities campus: the Institute of Technology (IT), the College of Liberal Arts (CLA), the College of Biological Sciences (CBS), General College (GC), University College, and the College of Architecture and Landscape Architecture (CALA).

Footnote: *What do you consider your most important roles as vice provost?*

Hopkins: Six colleges report to me—that's absolutely the most important aspect of my job. They're involved in graduate and undergraduate teaching, research and creative activity, and public service. Faculty members engage in these activities in a holistic way; you can't separate undergraduate teaching from graduate teaching and research. The same human beings do all three. Through Presi-

dent Hasselmo's undergraduate initiative, we hope to achieve more balance in how faculty members carry out these multiple responsibilities and, in the process, to enhance the quality of the undergraduate educational experience.

My three most important goals are to establish a good working relationship with the deans who report to me; establish good working relationships within the central administration; and get to know the faculty. I meet with the deans regularly, and we are in the process of working out ways to relate to each other on a wide range of topics from budget matters to personnel. It takes time to establish mutual trust and common goals with people. My second goal is to establish good working relationships within the central administration—with the president, the provost, the other vice presidents, and other people in the central administration. We must work together cooperatively as a team to provide the best leadership for the University.

I also want to get to know the faculty, what they are about, and what they care about. By the end of the fall quarter I will have visited—I hope—every department in all of the colleges that report to me. I hope to be seen as available to faculty who have concerns about faculty issues. I am at heart a faculty member—I've been a faculty member for over 20 years, and I think like one. My job responsibilities are different now, but if I don't connect with the faculty, it doesn't matter how good my relationships with deans and the central administration are.

Footnote: *From talking to faculty members, have you identified any*

patterns of problems?

Hopkins: I think first of all that people tend to forget how good this university is. It really is one of the best public institutions in the United States. The faculty are incredibly productive. The educational programs are excellent, research productivity is very high. There's a great deal to be very pleased with. But things can be better. I think the faculty as a whole still feel somewhat demoralized by the troubles of the recent past, they're not quite sure what the future holds. I suspect that there's a kind of uncertainty quotient out there, and some discouragement. Then, of course, there are lots of individual problems. What I need to do, and what the provost and president are doing, is to try to chart more clearly where we're going, and to make sure that faculty feel good about it and participate in making it happen.

Footnote: *Does that mean creating more task forces like the Task Force on Liberal Education, changing the curriculum, or coming up with more general strategies?*

Hopkins: I think the most important problem faced by the units that report to me is that they are underfunded and understaffed. We're just trying to do too much with too few resources. Everything else that you perceive as a problem in many ways comes from that. The Institute of Technology has big space problems. The College of Liberal Arts faculty is way understaffed—and so on. But you don't just throw up your hands, you try to proceed. The quality of the curriculum is always very important and that's why we

continued, p. 2

Hopkins, from p. 1

have a liberal education task force. But I believe the most fundamental problems are related to resources.

Footnote: *You've had some lobbying experience. Do you think that this background, combined with the lack of resources in those colleges, will lead you to do a lot of lobbying at the legislature?*

Hopkins: Of course, but I want to proceed carefully. I need to learn the Minnesota way of doing things. I have substantial respect for the participatory and open nature of Minnesota politics. My field of study in political science is state politics, and I've been trying since I came here to learn more about Minnesota politics. I'm sure I will go and testify some. How much depends on what looks like the most appropriate and effective thing to do. If it is useful for me to be there a lot, I will be.

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Footnote: *Resources aside, what can be accomplished in the area of the curriculum?*

Hopkins: I think it's time that the University rethought its approach to liberal education. I was very pleased that the president appointed the Task Force on Liberal Education. I look forward to some interesting modifications of what we do now. One of the most important curricular issues is that there is no campus-wide curriculum, except by default. We seem not to have defined a series of objectives and then built a curriculum around that. The colleges have gone their separate ways or followed CLA's lead. I think liberal education really needs to be a campuswide enterprise.

Footnote: *Will changes in the liberal education curriculum primarily affect the lower division?*

Hopkins: I think it's a really good idea when you're introducing what we call breadth requirements that they get reinforced later in the curriculum—that you don't just have breadth courses in your first and second year and then forget about them and move on to your major. You need to keep reinforcing things, just as you should have composition courses in the beginning, and continue writing in courses throughout your academic career so that you keep expanding your understanding and ability.

Footnote: *How will you be involved in curricular decision making?*

Hopkins: The task force will make a report to the president, and then it will become a topic of general discussion how and if we proceed, and I will actively participate in that discussion.

We probably need some kind of structure that can implement a new curriculum. Right now the curricular decisions of each college are for that college only. Nobody else reviews them, and if you have any kinds of requirements or programs across colleges there's no faculty-governance-based mechanism to ensure they are monitored. I don't think we need some gigantic new

structure, but we need something. I would assume that the liberal education task force will make some recommendations for that. I do expect to be substantially involved in discussing changes, but they aren't the kinds of things you decide precipitously. There will be wide consultation among the faculty and with the administration.

Footnote: *Do you expect to work closely with the Graduate School on research-related issues?*

Hopkins: I believe that research is an integral part of the work of all colleges, and that the deans are responsible for research as well as for all the educational programs in their college. The evidence at this university suggests that faculty, supported by their chairs, heads, and deans, have been the primary stimulators and promoters of research.

The Graduate School has also been involved and plays an important role in the promotion and support of faculty research. I am involved in research decisions and I also work with the Graduate School. I sit on the Research Executive Council, which makes a number of decisions about policies, research priorities, and support for research across the University. But this is a very decentralized university, and research is also very decentralized. If you look at the total amount of external funding we get for research, almost all of it comes from the initiative of the individual investigator supported by both the department and the college.

Footnote: *How do you view faculty governance at this university? Do you think it is an effective force in influencing policy?*

Hopkins: I just don't know yet. Faculty governance is very active and some bodies, such as the Faculty Consultative Committee, seem very effective. But I am concerned about the great amount of faculty time spent on so many committees. I come out of a strong background in faculty self-governance. I was very active in those things before I came here, and since I'm oriented toward faculty anyway,

I am concerned that faculty governance be effective.

Footnote: *How is the undergraduate initiative progressing?*

Hopkins: The provost has appointed a steering committee to oversee its implementation. I will chair that committee; the other members will be Marvalene Hughes, the new vice president for student affairs; Gene Allen, vice president for agriculture, forestry, and home economics; Bob Kvavik, associate vice president for academic affairs; and Pete Magee [dean of CBS] and David Taylor [dean of GC], who are co-chairs of the Council of Undergraduate Deans. There will be two structures working on the undergraduate initiative. One is this steering committee, the other is the ongoing and well-functioning Council of Undergraduate Deans.

Footnote: *So the steering committee is more geared toward implementing the initiative.*

Hopkins: That's right. No more planning, no more task forces, we need to move ahead. I'm all for consultation, but on the vast majority of these issues, many task forces and committees have worked very hard, issuing a variety of reports and recommendations over the last five years or so. One important thing about faculty governance, and it hits on some of the other things you've asked: it's very important that faculty time be well used. You need to know when to study and consult and when to act. On many aspects of the undergraduate initiative it's just time to act. The idea behind the steering committee is to draw together these people who are responsible for working with the colleges and student programs. Of course there will be lots of consultation along the way; you don't just decree changes. But it's time for some action. ■

special responsibility for minority affairs, delivered a detailed report of **the status of minorities at the University.**

She cited a number of improvements in minority funding and recruiting over the last year. Minority admissions have increased 31 percent over the same time last year, she said, and the number of tenured or tenure-track faculty positions offered to minorities—24—is 7 more than in July of 1989. These positions include an endowed chair and the dean of the College of Liberal Arts at Duluth. John Red Horse, an American Indian, has accepted the position at UMD.

Several speakers at the meeting, including current University students, attested to the strength of University-affiliated programs that prepare and retain minority students. Dennis Cabral, who heads the University's precollege program (and who will replace Cross as acting associate provost), outlined several University-related initiatives, such as Upward Bound and summer enrichment programs, which have been successful in bringing minority students to the University.

These are encouraging steps toward realizing President Haselmo's Blueprint for Action, Cross said. The goals of this initiative are to improve the retention rates of minority students 50 percent by 1994; to double the hiring of minority faculty by 1994; to increase the enrollment of minority students to 10 percent of the University total by the same year; and to integrate diversity with the Access to Excellence plan.

Cross reserved her greatest praise for the University's planning process, which she said may be the most thorough in the country. With the aid of her office, 12 units on the Twin Cities campus and two coordinate campuses have developed plans to strengthen diversity. Other individualized plans are under way. Each unit has devised its plan to meet its own needs and respond to its own unique situation while at the same time conforming to Blueprint for Action. For example, the University of Minnesota-Crookston's plan addresses the challenge of recruiting and retain-

ing American Indian and Hispanic students, who because of the number of Indian reservations and the high population of migrant farm workers in the area are the largest target groups for UMC. The College of Agriculture has developed a pipeline to the Chicago High School for Agricultural Sciences, which provides a number of top minority undergraduates every year.

"Because of our planning, we are in a unique position in that we know what it is we need," Cross said. Among the University's recognized needs, she said, are more resources for individual units and programs, more financial aid, greater incentives for colleges to improve their multicultural curricula, and more precollege initiatives to prepare minorities for an education at the University.

The needs will not be easily met. Members of the Task Force on Strengthening Excellence Through Diversity—students, faculty, and staff who have made a series of detailed recommendations to improve the minority presence at the University—spelled out some of the existing problems. On the topic of recruiting minority faculty, "there is a real bottleneck on the supply side," said member Edwin Fogelman. He recommended that the University offer guaranteed financial support to minority graduate students for four or five years to encourage them to enter academic careers. But the most important need at Minnesota, he said, is to improve the atmosphere of acceptance.

Other members pointed out that the University's financial aid programs for minorities are not competitive, that its many minority-oriented programs are not well coordinated, and that it must diversify its strategies for recruiting different minority groups. The task force's recommendations deal with most of these problems, and chair Richard Skok promised that the group would continue to look closely at strategies for developing minority faculty at the University.

□ NEWS

In her valedictory presentation to the Board of Regents, Dolores Cross, associate provost and associate vice president for academic affairs with

FOOTNOTE

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University of Minnesota
Minneapolis, MN 55455

IN THIS ISSUE
Vice Provost Anne Hopkins
Report on Diversity

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Next Footnote—August 28

FOOTNOTE

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The Only Game in Town

State Fiscal Forecast Will Force More Reallocations

From the standpoint of state institutions, not least the University, Minnesota's fiscal outlook is little better than dismal. Revenue and expenditure projections indicate almost no money for new initiatives in the 1991-93 biennium. The governor has recommended no new income for the University in those two fiscal years, not even inflationary run-ups. The word of the moment is reallocation; or, in the forthright language of institutional *realpolitik*, retrenchment.

The problems are many. Despite a projected economic growth rate of 5 or 6 percent a year, the state will enter the biennium with a negative balance. The current biennium began with a balance of nearly \$400 million, but that—along with all the revenues—is either committed or spent. Meanwhile, projected expenditures are going up as fast as projected revenues. For the next biennium projected revenues are actually up about a billion dollars over

1989-91, but the cushion provided by that income has disappeared. The cost of entitlements such as Medicaid will continue to rise, and fiscal tails from this biennium have already accounted for most of the remaining income.

Fiscal tails are commitments made in one biennium that compound in the next. For example, an institution that receives nothing in the first year of the biennium and \$1 million in the second year has just committed \$2 million for the next biennium—because in the future the new base must be maintained both years of the biennium. A number of tails, including the tax law per statute, are due to compound in 1991-93.

Governor Perpich has called on the state to balance its income with expenses and to leave the state reserve of \$550 million alone. He has asked state-funded institutions to focus on improving productivity

and efficiency, because they shouldn't expect any new money. Perpich would allow flexibility in reallocating funds within the base. It is all right with him, for example, if the University takes money from state specials (usually individual projects with special funding) to give to the operations and maintenance budget. The legislature is never so easily persuaded, however, to allow the migration of funds across well-defined boundaries.

"What [the governor] essentially told us in higher education is, 'Do better with what you've got,' " says finance vice president Gus Donhowe. "That's a very progressive position to take, but considering what we've got, it really is putting a very rational face on a nasty fiscal mess."

Perpich's recommendation will be a bit too austere for the vote-conscious legislature. For example, it offers no salary supplement, the source of pay increases for state employees. "This obviously won't hold," Donhowe says. "The salary supplement is the critical concern of AFSCME, the Teamsters, and other unions representing state employees who are a critical constituent base for many Democratic members of the legislature."

Many legislators, and the governor himself, are up for reelection in November, two months before the start of the legislative session that will determine the fiscal fate of state-funded agencies in 1991-93. Few legislators are expected to accept Perpich's recommendations in full. More likely they will try to fund an inflationary run-up (inflation is expected to be 4.5 percent a year)—perhaps through clever "revenue enhancements." But nobody is predicting that they will find much money for increases

Minnesota's Biennial Forecast

Comparing Fiscal Years 1989-91 and 1991-93

	Current Biennium (Millions)	Next Biennium (Millions)
Beginning Balance	\$396	\$-18
Revenues	\$13,382	\$14,868
Expenditures	\$13,796	\$14,831
Ending Balance	\$-18	\$19
Reserve	\$550	\$550

Revenues through July 1990 are \$28 million ahead of projection.
Next forecast is in November 1990.

Forecast, from p.1
above inflation.

"Clearly, planning that leads to reallocation is the only game in town, here and elsewhere in institutions supported by the legislature," Donhowe says. "We'll have to concentrate on . . . levels of reallocation that are substantially greater than we have heretofore contemplated."

If no inflationary increases are forthcoming, the University might be forced to call for a 9 percent across-the-board reallocation just to maintain the base. This could justifiably be called retrenchment, because a sizable part of the sum would evaporate with inflation.

"You would essentially undo anything you've done up to this date in terms of Academic Priorities," Donhowe adds. "Even if we get a little good news on the inflationary run-ups, we're still going to have to find a significant pool of money to move the institution forward. I think it would be an enormous mistake if we simply say

we're going to take a two-year time-out [on reallocations for Academic Priorities]. Either way, I think we're talking about a different order of magnitude of reallocation."

Many University people agree with Donhowe that Academic Priorities should not be put on ice in the face of a recession. But the prospect of going it alone, with absolutely no help from the state in the next two fiscal years, is troubling. Academic salary adjustments, which are consuming 80 percent of the reallocations this year, will continue to require funding from somewhere. If the inflationary run-up is nominal or nonexistent next biennium, that will hurt salaries most. "Most of that run-up goes into salaries," says academic affairs vice president Leonard Kuhi. "There is a part of it that goes into supplies, equipment, and expense, but by far the largest amount is salaries."

Meanwhile, Academic Priorities is not benefiting from the 2 percent annual reallocations as much as hoped. This year's reallocation has netted only about a third of the \$4 million target. Short of axing entire programs, the University may have trouble benefiting from the current course of affairs. "Several very strong voices from the regents are saying the rate of reallocation and reshaping is much too slow," Donhowe says. "Those voices are not about to be stilled."

Some people have argued that the steady attrition caused by relatively small reallocations over a long time is far more destructive than a large permanent cut during a single biennium. "This 2 percent a year—which we've made quite clear to everybody is going to go on for some indefinite period into the future—is just nibbling away," says Kuhi. "A far better approach would be to say, 'Look: everybody's got to come up with x percent now, or at least a plan for it over the next two years or so.'"

There are other ways to manage continued reallocation. If the University did get an inflationary run-up, it could take a tax off the increase and apply it to new programs. "That has the same net effect but it's not as painful as the present system," Kuhi says.

A more problematic possibility is to institute central control over vacated positions, turning a percentage of those positions over to the administration for reallocation. Kuhi is not sanguine about this option. "It's a terribly complex problem," he says. "I don't know whether we want to do that or not. It might be better simply to assign targets to colleges, saying that you've got to come up with a scheme for reallocating the equivalent of eight faculty positions or whatever—I don't know."

No matter what the internal solution, it will probably involve more reallocations and perhaps program cuts as well. Specific cuts are always politically unpopular, as the controversy over CLA's decision to cut the Religious Studies program testifies. But in times when everybody is squeezed, such measures sometimes become less unpopular, and people are more inclined to see them as genuine attempts to preserve the University's strengths and focus its educational mission.

Still, one has to be careful—especially in light of the lessons learned a few years ago when the administration was battered by politicians and the public for considering a proposal to close the College of Veterinary Medicine, the School of Dentistry, and other programs. "It doesn't make much sense to have a big report with . . . half a dozen items on the hit list and have them lie there and quiver for six or twelve months without doing anything about it," Donhowe says. "If you do that, it's just a shooting gallery. There must be champions of those positions, and those champions must be faculty, not just administrators. There's got to be faculty buy-in on these kinds of moves, so there are at least some faculty voices respected by the community saying, 'I don't think that's such a dumb idea.'"

It may be too early to be promulgating drastic measures. At present, the University is still hoping to make some modest gains at the legislature. Officials agree that the minimum the University should request is the base plus the total inflationary run-up. That alone is an increase of more than \$80 million

FOOTNOTE

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Managing Editor: Rabun Taylor
Design Consultant: Dawn Mathers

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over the base. Opinions are divided over whether the University should ask for more, but meanwhile two other versions of the request are being prepared. One, currently standing at \$180 million, is the sort of request that would be made under normal fiscal circumstances. Another, at \$120 million, is a compromise request.

If any money is requested above inflation, part or all of it certainly will be for salaries. There is some talk that after the next state revenue forecast in November the legislature will be willing to offer some money for salaries, but probably not enough to improve the University's standing among peer institutions. Kuhi and President Hasselmo, eager to proceed with programmatic improvements, are reluctant to use future across-the-board reallocations for salaries. They are still resolved to ask the legislature for a 2 percent increase above inflation—a total increase of 6.5 percent—for faculty and professional/academic salaries.

The gloomiest of fiscal times always bring a ray of light for students, because growth of the institution is tied directly to growth of tuition. By state law, tuition must account for one third of the University's instructional costs. If the University receives no new funding, then tuition will hold fairly steady as well. In contrast, the \$180 million request, of which about \$100 million is instructional, would require a tuition increase in the neighborhood of 10 percent.

The University could actually reduce overall tuition receipts as much as 3.4 percent for the upcoming biennium if it could push through certain initiatives. (Because of declining enrollments, tuition rates per student would still increase somewhat.)

One initiative would be to restructure student aid for the high-cost professional schools. The second would be to reclassify some current instructional costs as non-instructional, thereby reducing the overall instructional budget and hence the tuition bound to it by formula.

In past legislative sessions the University has had some success with this second approach. But

certain "instructional" costs remain blatantly misclassified. "In the College of Veterinary Medicine a lot of activity that is really not related to professional instruction at all is carried on our support budget and therefore falls into the instructional figures," says Dave Berg of Management Planning and Information Services. "Our veterinarians go out on call with no students with them. They're being paid out of 0100 money, and the students are sharing the cost of doing that." Stipends to medical residents are also treated as instructional costs. "It's clearly student aid, or else it's payment for hospital services; but it certainly isn't instructional costs," Berg says.

"The one we absolutely will win—because it's a matter of improving our accounting system—is our work-study expenditures, which by definition at the state level are not instructional. But until the middle of the last long session we did not have the accounting ability to isolate that. We've got it now."

Students could be helped in another way this session. Currently the state financial aid formula recognizes the average annual student budget as \$6,000. But the actual average is over \$7,500. The Higher Education Coordinating Board will ask for an \$800 increase in the recognized student budget. If the legislature complies—a big "if"—then University students on financial aid will find some relief next biennium from the sharp rise in tuition rates this coming academic year.

The University will be preparing its legislative request in greater detail early this fall. Inevitably, some of the request's emphases will shift after the elections and the new fiscal forecast in November. The most important decision—whether to request the "bare-bones" inflationary increase of \$80 million or to ask for more—will depend largely on the perceived attitudes of legislators. University officials will be following not only the fiscal climate, but the public mood as well. The fall campaign and subsequent elections should indicate whether there is room for optimism in 1991. ■

□ THE CHAIR'S REPORT

By Warren Ibele

Chair, Faculty Consultative Committee

The summer has been marked by an intensification of efforts to fashion the University's biennial request to the legislature for the period from July 1991 to July 1993. The legislative session begins in January 1991; the University's budget request must be ready by this October. For a budget as large and complex as the University's, which requires extensive consultation, a tight schedule is the inevitable result.

Consultations among campus administrators, deans, and directors were held early in the summer. This led to a draft request which the president and his cabinet considered in late July. A revised version went to the Board of Regents for discussion at their August retreat. Vice presidents Kuhi and Donhowe met twice with the Senate Committee on Finance and Planning to review the draft document. While there is yet the opportunity to change the request, the president or his representatives will meet with the Senate Consultative Committee, the Academic Staff Committee, and the Civil Service Committee to review the draft. During this period the deans will have the opportunity to review and comment on the proposed request.

At this writing it appears that the incremental requests will concentrate on relatively few, high-priority needs. Some of these are University-wide, such as improvements in access, a supplement for salary increases beyond the overall price-level increase, new space operating costs, and building repair and replacement. Our goal of improving instruction at all levels would initially appear to require more internal reallocation [see main article]. New state funds, if any were forthcoming, would accelerate the full implementation of the undergraduate initiative and hasten improvements in graduate and professional education as well as in academic support services (libraries, academic computing, and instruc-

continued, p. 4

Chair, from p. 3

tional equipment). Requests in the areas of research and public services will be in the context of the University's total effort in those sectors. In each case they consist of a small number of initiatives that have the greatest multiplier effect and that best respond to state need. In research, for example, the University seeks the return of the remaining \$6.5 million of indirect cost recovery funds; in public service, it is requesting a small number of practitioner-oriented master's degree programs.

Predicting how our request will fare is always hazardous; this year it is particularly risky. In addition to the usual state legislative elections this fall, there is a gubernatorial contest. Reapportionment will have the legislature's attention, and there is uncertainty about the state

and national economies. Were this not enough to deter the most reckless prognosticator, the possible impact of recent events in the Middle East ought at least to give us pause. Under the circumstances, the governor's "standstill" request for state-supported agencies and systems is not surprising. The major question now becomes how the University and the state's other systems of higher education should respond to such instructions.

Prudence requires that the University understand the circumstances confronting state government; that said, it is my view that the University should, circumspectly and discreetly, set forth its needs. Higher education appropriations are biennial investments in the future; the executive and legislative branches have the responsibility to choose the extent of

that investment. But the University must present its needs, or it will not be clear what is to be gained or lost by making or not making an investment. In any event, our case in both the short and long term will be enhanced if we can give evidence of having made choices ourselves.

Our legislative liaison this session, Prof. Geoffrey Maruyama, wants to strengthen the voice of our faculty members as constituents. In cooperation with various faculty groups he has developed plans to inform legislative candidates of the institution's needs and seek their opinions of the University. We should take the time, each of us, to contact our state legislators to acquaint them with the University's request. Prof. Maruyama will be able to help us with that important effort. ■

FOOTNOTE

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IN THIS ISSUE

The Fiscal Climate for 1991-93

Next Footnote—September 25

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FOOTNOTE

☐ September 25, 1990

☐ Volume 4, Number 4

☐ Published by the Faculty Consultative Committee

A Mission for the 1990s

A Message from the President

By Nils Hasselmo

As the school year begins and I approach the end of the second year of my administration, this seems a good time to consider the direction of the University and its role in the overall picture of higher education in Minnesota.

I will be making a series of speeches this fall about the University and its leadership role in the improvement of higher education in Minnesota. This series will include an all-University convocation on October 3 in the Humphrey Center on the Minneapolis campus. (See box, this page.) I would like to share with you now some of the concerns I will be addressing in these speeches.

At the convocation on October 3, I will address the financial outlook for the University and tasks that we at the University must undertake to improve the quality of what we do. A most basic question underlies all of these concerns: What is the mission of the University, and what does our mission imply about choices we and the state must make in the next few years? It is this basic, underlying question that I will address here.

The University is a land-grant institution, with a mission to teach, to conduct research, and to share the fruits of research and service with the state of Minnesota, with the nation, and with the world.

Since the founding of the University, a more complex set of institutions for higher education has developed in the state, and the responsibility for public higher education, which was originally ours alone, is now shared among the Technical College System, the Community College System, the State University System, and our

University. What makes sense is for each of these systems and institutions, public and private, to contribute to the overall higher education mission in ways that it is best or uniquely qualified to do. Our special role at the University is to be the sole research university among the four public systems.

This means that our contribution is to be an intellectual engine for the state through research, scholarship, and artistic activity, and to provide teaching and service of the special kinds that are possible only, or at least especially, at a research university.

The Research Mission

The University of Minnesota is an institution where specialists in a broad range of fields can interact, and where graduate students who are, in effect, apprentices can work with masters in their fields. Re-

search, scholarship, and artistic activity produced at a university like ours affect everything in people's lives. The physical environment in which they live, the music they listen to, operations on their hearts, their understanding of the universe—all of these and much more come from University activities. Even the barley in our beer was developed by University of Minnesota research! Research at the University drives the state's economic growth, and contributes in no small way to the state's economy just by the money it directly brings into the state—\$265 million in 1990, which provided 21,000 non-student jobs. But most important, research enriches our lives by broadening our understanding of the world and of ourselves.

A research university does certain kinds of teaching best, and those are what we should concentrate on doing, and doing well. First

continued, p. 2

The Silent Crisis in Higher Education

President Nils Hasselmo will present the State of the University Address.

Date: Wednesday, October 3, 1990

Time: 3:00 p.m., refreshments

3:30 p.m., address

4:00 p.m., questions/responses

4:30 p.m., refreshments

Place: Cowles Memorial Auditorium
Hubert H. Humphrey Center
West Bank

Complimentary refreshments will be served in the center's atrium before and after the address.

President, from p.1

and foremost, a research university is the only place for doctoral and postgraduate professional training. Only a research university can provide the critical mass of specialists, equipment, and strength in related fields that are required for advanced graduate training. Much master's-degree training is also best done at a research university, but some, frankly, may better be done at other sorts of institutions. We are exploring ways to cooperate with other systems in a division of labor at the master's level.

The Undergraduate Experience

As for undergraduate teaching, the research university is very good for many undergraduates—and not so good for others. There are some disadvantages to undergraduate study at a research university, chiefly associated with size, complexity,

and the potential for anonymity. Faculty, staff, and students are involved in a wide range of activities, and some young students are not equipped to deal with such a complex community—and vice versa.

On the other hand, some undergraduates badly need what a research university can offer: instruction by faculty who are actively engaged in the creation of new knowledge; rapid dissemination of new research results; access to specialized courses and equipment; interaction with graduate students who are advanced in their work but closer in age and tastes to undergraduates than are faculty; direct participation in a search; and a parade of cultural and other events for which the research university acts as a magnet. Here at the University, undergraduates are using confocal microscopes in physiology, or in biochemistry are performing DNA-sequencing procedures that won Nobel prizes only a few years ago.

For certain kinds of students, such advantages far outweigh the disadvantages of size and complexity, and those students should come to us. For other kinds of students, the disadvantages loom larger, and those students should seek another kind of institution. It is important that the young people of Minnesota have available to them an excellent research university and excellent colleges and universities of other sorts, so that they will have choices that lead by different paths to excellent education.

On the Twin Cities campus, our role in undergraduate education has been a mixed one. We have been the one place in the state for any student seeking a research university, and we have also historically been the primary provider of public four-year undergraduate education for the metropolitan region, which comprises about half the population of the state. This has not been very satisfactory. It has meant that many metropolitan-area students have not realistically had a choice among alternatives, and have tried to squeeze their needs into the offerings of a research university regardless of the fit. Also, our mission of providing undergraduate instruction at a research university

has not been well focused because of the many competing needs we have tried to meet. As a result of enrollment pressure and the mixed mission, we have become very large—too large for the resources that have been available. And with size, in some areas, has come rigidity and resistance to change.

Among our various missions, undergraduate education needs the special attention of the Initiative for Excellence in Undergraduate Education. This initiative seeks to better meet our mission in undergraduate education by (a) enhancing the advantages of a research university, (b) mitigating some of the disadvantages of size and complexity, and (c) working out with the metropolitan-area community colleges, Metropolitan State University, St. Cloud State University, and private institutions a better division of labor. In this way, we will better serve students from the entire state, and metropolitan-area students will have clear choices available to them. The University will be more able to focus on the kind of undergraduate education for which it is most uniquely qualified. This year we have made a start on the undergraduate initiative, mainly in the area of mitigating disadvantages (the second objective listed above), by spending \$185,000 to improve access to courses, \$373,000 to improve the quality of larger introductory courses, \$215,000 to improve admissions procedures, and \$351,000 to improve advising. We are serious about seeking improvement in this area.

The Service Component

The third major area of our mission is service. The University has a wonderful history of providing the fruits of research to the people of the state through an extension system that runs through the state like a nervous system. People's needs for research are changing as the economy of the state changes, but they still need what we are so well equipped to provide—rapid diffusion of the best research results as these apply to their practical needs. Today people need technology for small businesses, consumer economics and financial understand-

FOOTNOTE

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Managing Editor: Rabun Taylor
Design Consultant: Dawn Mathers

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ing; and they need help with the problems of families and youth, among many other concerns. We must keep in place the network we have built up to provide services to the state, while broadening the research context to bring a wide range of research areas at the University to bear on the more complex needs of today's society.

I have dwelt on the mission of the University at such length because I have found in talking to people around the University that there is a good deal of confusion both about our mission and about my personal view of our mission. The undergraduate initiative does not signal a change in mission. It simply takes note of the fact that one important part of that mission—undergraduate education—needs improvement, and that there are steps we can and will take to seek that improvement. Many of those steps to improve instruction will also improve our capacities for research and service.

Quality and Balance

I do not believe that the parts of our mission exist in a zero-sum relationship to each other. It is not just rhetoric to note that good research feeds good teaching, and vice versa. As you look around the University you will find that there are at least a score or so of departments where everything seems to go right. These departments are acclaimed for their scholarship, they put energy and care into their teaching, and they contribute disproportionately as citizens, both of the University and of the community. There is a sense of balance evident in such departments that I hope we can achieve, both in individual units and for the University as a whole. One thing, above all, that I hope to contribute to the University as president is a concern for quality and a sense of balance in what we do.

Quality means that students leave us with an education that has awakened their minds, made them better citizens, and prepared them to function well in our society; that research meets the highest standards of peer review and either is significant to the development of

theory, or in the case of applied research, addresses the practical needs of its users; and that service goes to the people who need it, and gives them what they need in a form that they can use.

Quality needs to be measured in relation to the needs of our "customers," those who use what we produce. A concern for quality means that we must identify our customers—a diverse set including, among others, the national and international scholarly communities that assess our research and respond to it; the people of Minnesota, ranging from farmers to high-technology entrepreneurs, all of whom depend on us for economically useful research; our students, who depend on us for their opportunity to develop their fullest potential as individuals and citizens; and all the others who seek our advice and assistance. We must concentrate our efforts on meeting the needs of those customers with quality. And we must find ways to prevent habit, sloth, and bureaucratic comfort from slowing down that pursuit of quality.

Balance means working for quality in all areas of our mission, and it means especially reminding ourselves that quality in one area enhances quality in the others. It means seeking out areas where different parts of the mission most clearly reinforce each other, such as the involvement of undergraduate students in research projects or cooperative arrangements between a laboratory and a local business.

Like almost everything else at a university, quality and balance are primarily to be sought and built at the level of the department or program. Departments where everything seems to go right are balanced departments, with cultures that strongly support excellence in all areas of the University's mission. Although, of course, no relationship is perfect, our departments that are strong in academic research tend to be balanced in other ways as well. As just one example, consider the Department of Chemical Engineering and Materials Science. Evaluated by its peers as the best research department in the country in its field, its teaching is excellent. All its undergraduate courses are team-taught

and all its laboratory exercises are supervised by faculty rather than graduate assistants. Moreover, its members give disproportionately of themselves in service.

How is such balance achieved? Partly, it is a matter of resources and of ratios of students to faculty. Chemical Engineering is able to do what it does partly because it has a good student/faculty ratio. This particular requirement for balance is being better met across the University as our enrollment management improves student/faculty ratios, and this is in fact one important way in which the pursuit of quality and balance is becoming easier across the whole University.

However, there is also wide variation across departments in how they have responded to their circumstances. It is a bit of a mystery why department A achieves balance and quality, while department B does not. That's where individual leadership plays an important role, and there is perhaps no better example than Regents' Professor Emeritus Neal Amundson's leadership of Chemical Engineering. One small step I intend for this year is to convene one or more seminars of faculty from departments that appear to have achieved quality and balance, in order to consider what we can do to help more departments take on those characteristics. We must find ways to make this happen more often.

My vision of the University, as you have no doubt concluded from what I have already said, is of a place pursuing a balanced mission—a mission that is unique to this research university in its particular circumstances—and pursuing it at a high level of quality that is accomplished through a constant concern for the needs of the people it serves. Many things need to be considered in working toward this goal—things ranging from the noble and romantic to the mundane—and I will speak on a number of them at the October convocation. But most important is having a clear vision of what we are striving for. This is my vision, and it will inform all of my efforts as your president. ■

□ THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

The Senate Consultative Committee and the Senate Committee on Finance and Planning met in a mid-September retreat to continue consultation with central administrative officers on the biennial legislative request and to plan agendas for the forthcoming academic year. President Hasselmo joined the committees during the day to discuss a number of broad concerns to which he will be directing attention: communications, mission clarification, balance of the University's effort among the traditional triad of the land-grant research university's responsibilities, quality in its many dimensions, and community. In pursuit of these goals the president will present a "state of the University" report in October (see box, page 1).

The Faculty Consultative Com-

mittee agenda for the year is formidable, consisting of items carried forward from last year and new items requiring attention:

- **Liberal Education Task Force:** Under Professor John Howe's leadership, the task force works to fashion some preliminary recommendations for discussion.

- **Health-Care Benefits Task Force:** Widespread faculty concern with the change in health-care benefits marked the beginning of the 1989-90 academic year. The recommendations of the task force are awaited with keen interest.

- **Mandatory Retirement Task Force Report:** Some recommendations have been approved by the Senate and the University administration. Others will be reviewed by the faculty governance structure for further consideration and possible implementation.

- **Task Force on Extending the Probationary Period:** The draft of the final report of this group has been prepared and will be considered by the appropriate faculty committees during the fall term.

- **Academic Freedom Statement:** Reaction to the views of some

speakers led to a review of the existing statement on academic freedom. Discussions continue about how the statement should be revised in order to give better guidance in these times.

- **Biennial Request:** Discussions also continue regarding the contents of the request, the optimum strategy for presenting it to the legislature and the public, and the response it is likely to receive.

- **1990-91 Budget:** Here the greatest concern is with the impact that the imposition of Gramm-Rudman rescissions will have on University programs if the federal government cannot arrive at a budget for fiscal 1991 that meets the bill's criteria.

Our own concerns and activities exist amid ferment and change that increasingly involve all higher education. Although a particularly thorny and complex issue on our campus is not made less so by the knowledge that others elsewhere have it no easier, there is a small measure of encouragement in knowing we are not alone. We live in interesting times. ■

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IN THIS ISSUE

Message from the President

Next Footnote—October 9

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 October 9, 1990

 Volume 4, Number 5

 Published by the Faculty Consultative Committee

The Legislative Request: What Can Faculty Do?

By **Geoffrey Maruyama**

*Legislative Liaison, Faculty Consultative
Committee
September 28, 1990.*

As we begin another school year, we face a year very unlike those of the recent past. In those years, faculty could grumble about the University being treated poorly compared to others in the state, yet the state was in relatively good financial condition and there was money for the legislature to spend. This year we face quite different conditions: our image has improved but the legislature has committed virtually all the new money that will be available in the next biennium. Thus, any increases for us would have to come from unexpected revenues (unlikely given the Kuwait situation), from increases in revenues produced by new taxes or fees, or from reductions in spending elsewhere in the budget. In effect, there seem to be no easy or likely sources of revenue increases.

On the other hand, legislators are unlikely to want to participate in a session in which all they do is cut spending; even though fiscally responsible, such activities are not conducive to getting reelected. Thus, it seems reasonable to assume that legislators will attempt to find sources of new spending, but not until after the November election. If revenues are found, the situation becomes one much more familiar to us. At that point, it is again time to argue persuasively that the University and its faculty contribute in important ways to the state of Minnesota and that the University needs new funding.

In this column I will describe how faculty efforts to influence

legislators will be organized. I first provide some background on who we're competing against for funding, then describe what I plan to do this year as liaison, and finally suggest several things faculty can do to help the University's case.

The Competition

As many of you know, state funding is divided up among five appropriations divisions in each house of the state legislature. Each appropriations division is lobbied by influential interest groups who want to make sure their cause receives adequate funding. For instance, the Minnesota Education Association (MEA) and Minnesota Federation of Teachers (MFT), traditionally DFL-aligned teacher unions primarily concerned with K-12 education, lobby on behalf of the particular school districts in which they have an interest.

MEA recently contributed \$55,000 to Arnie Carlson's campaign, and MFT contributed \$25,000 to Gov. Perpich's campaign. While money alone does not buy favors, support from those groups extends to phone-calling, door-knocking, literature drops, envelope-stuffing, and displaying lawn signs. Those groups establish contacts with legislators early, when legislators are accessible and need support, and that access continues into the legislative session. Repeated exposure to the concerns and needs of constituent groups helps build legislators' sympathy toward the positions of those groups.

The point is not that we should try to compete with those groups,

but that we need to be realistic in setting our priorities and our expectations and that we should get involved personally as much as possible so we can pass along the good stories we have to tell about the University. Further, we should recognize that any help we provide now to our friends in the legislature may be of help to us later, when we need access to legislators.

Despite the competition, the Minnesota Legislature has recognized the importance of higher education and has been a strong supporter of it. At the same time, however, the legislature has a tradition of egalitarianism that does not benefit us: within the education division, we compete with higher education institutions from three other systems for funding. In fact, many institutions from other higher education systems use us as a standard for their request, saying they want to be treated like the University. Two of those systems, the State University System and the Community College System, have experienced increasing enrollment recently, so they have needs linked to their increased student bases. Faculty in those systems are unionized; State University faculty recently broke away from MEA to form the Inter-faculty Organization (IFO), which has a budget of a quarter-million dollars and a regular faculty lobbyist. This goes to show that other groups have legitimate needs as well as the resources to seek legislative support. In addition, they have become more sophisticated in their efforts to secure support, which reinforces the need for us to

Request, from p. 1

do all we can to be effective in seeking support for the University.

Finally, legislators from outside the Twin Cities metropolitan area have historically been much stronger supporters of their institutions than have Twin Cities legislators. Legislators from rural Minnesota frequently see their higher education institutions as important parts of their districts, and, accordingly, they have done their best to be sure that their institutions are funded adequately. In contrast, local legislators seem in several instances to have taken greater pleasure in criticizing the University than in supporting it. Fortunately, there have been exceptions, most notably Sen. Larry Pogemiller, who has consistently spoken up for us, and Rep. Mary Jo McGuire, who last session helped us by reshaping the "administrator training" bill and then shepherding that bill through the house.

FOOTNOTE

Volume 4, Number 5
October 9, 1990

Managing Editor: Nancy Rowe
Design Consultant: Dawn Mathers

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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.

Strategies

First, during the upcoming year I will be organizing groups of faculty within legislative districts. Along with the Faculty Consultative Committee, I will try to build a grass-roots network of faculty constituents who can contact legislators on issues of importance to the University and who can meet with legislators to discuss issues of importance to us. We need metropolitan legislators to take a more active and supportive interest in the University and its faculty.

Second, I will be organizing mailings to legislators (continuing a tradition started by my predecessor, Irwin Rubenstein) to help them better understand the University. (Those letters will be much shorter than this column.)

Third, I will be meeting with and keeping in touch with legislators, particularly those directly involved with the University's legislative request. During the legislative session I'll attend hearings, testify on behalf of faculty, and keep faculty apprised of what is happening.

Fourth, along with the External Relations office, I will try to make legislators aware of the array of University experts who are just a local phone call away and who can provide legislators with information on a variety of subjects. Great opportunities exist for constructive public relations efforts on our part.

Finally, I am willing to meet with groups of faculty to discuss strategies, concerns, etc. My University phone number is 624-3315.

What You Can Do

First, you can get involved by contributing to the candidate of your choice. This past year the legislature passed a tax credit for political contributions to state legislative candidates. The state will refund up to \$50 (\$100 per couple) for contributions. You can file the refund form any time after you receive a receipt from the candidate(s) to whom you contribute. When you contribute, I strongly encourage you to tell the legislator that you are a faculty member at the University. Further, if you get a chance, tell

about why the University is important to the state and why it is unique.

Second, when interacting with legislators and others, remember that most legislators don't really understand what we do. For example, they often ask such questions as, 'Why don't you teach more?' and 'Do you realize how many hours public school teachers spend in the classroom?' Do what you can to increase legislators' realization that we work hard and that our efforts uniquely benefit the state and the world. Personal examples can help. Perhaps you also can remind legislators that much of outsiders' image of Minnesota comes from the University and its array of accomplishments in basic and applied research, technology, and training (plus athletics).

Unfortunately, University faculty are often stereotyped as know-it-alls who are arrogant, poor listeners, argumentative, and tweedy liberals. Even though we know we're not like that, people sometimes get the wrong impression, and we need to do our best to ensure that they can't get such impressions. In your conversations, try to promote the strengths of the University and its value rather than complaining about the shortcomings of our funding. Constructive, upbeat comments can be a marked contrast to the whining comments that legislators often hear.

Third, it helps me to know what is going on in other states. If you are talking to colleagues elsewhere, find out what you can about their funding situation, and let me know what you discover.

Finally, if you feel unappreciated, perhaps you'll get some sympathy from legislators. Many of the most competent and powerful legislators seem to get less respect and appreciation from their constituents than they deserve. Sen. Roger Moe, the majority leader, won his primary with less than two thirds of the vote; Sen. Mel Frederick, assistant minority leader, lost his primary. Perhaps appreciation goes only to athletes and other more conspicuous individuals. On the other hand, you could be punter for the Vikings... ■

THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

The following column is reprinted from the Chair's Report that appeared in the July 3 issue of Footnote. Because it deals with a matter that remains before the University, several faculty members suggested repeating it when most of the faculty would be on campus. Your comments regarding this matter would be welcomed.

Academic Priorities

Since the Academic Priorities document was created three years ago, the Senate Committee on Finance and Planning and the FCC have continued to monitor progress toward its goals. The FCC has also taken the position that the goals represented in Academic Priorities be reexamined from time to time in order to determine whether they continue to be appropriate for current and perceived future circumstances. Preparations for such a reexamination are now being initiated and will be carried out by the governance system with the start of the 1990-91 academic year. In order to carry out those academic priorities—continuing or revised—the University will need resources.

Three major income streams provide funds for the operation of the University: legislative appropriations, student tuition, and research contract and grant awards. Self-supporting service operations and the fees-for-service income stream are not considered here. As we consider these sources and the resources required to accomplish Academic Priorities and the undergraduate initiative, the outline of a major problem emerges. As undergraduate enrollment has stabilized and declined the legislature has, until now, continued to fund the University at levels above that which would have been forthcoming based on enrollment. The University's educational improvements, however, are bringing con-

tinued tuition increases—increases made greater because the student responsibility for one third of instructional costs has to be borne by a constant or declining student body.

In light of the state's economic outlook for the immediate future and the competition for the funds available for higher education, there is a limit to what can be expected by way of increased legislative appropriations. Student concern for tuition levels has risen despite educational improvements and the promise of more to follow, and will be exacerbated by the 1990 capital appropriation, which makes one third of the debt cost of instructional facilities also dependent on tuition income.

Given the increasingly apparent limits to legislative and tuition sources, which fall short of the resources required for Academic Priorities and the undergraduate initiative, to what source can we turn?

Before answering that question it is important to observe that most of our programs and departments are currently fully committed in carrying out their instructional and research activities. Indeed the major finding of years of Graduate School program reviews is that our programs—graduate and undergraduate—customarily operate with faculties half the size of peer programs at other institutions having the same levels of graduate and undergraduate enrollment and contract and grant activity. In most departments major new departures in undergraduate (and graduate) education, without additional resources, can only come at the expense of research and contract activity.

If we are to proceed with Academic Priorities and the undergraduate initiative, internal reallocation is the only remaining major source for effecting these plans. Since the elimination of entire colleges proved unacceptable, we now confront 2 percent retrenchments each year "for as far as the eye can see."

The difficulty with this approach is that it too frequently results in a general belt-tightening for all programs regardless of their relative importance or quality. Over time morale falls, horizons contract, and

a general ennui pervades the departments and the colleges. I believe the regents sense this, for in the amended 1990-91 budget resolution the possible effects of the continuing 2 percent retrenchment are addressed and colleges are urged to explore means for improving educational quality through greater efficiency but also by selected program reduction or elimination. My sense of the matter is that the public, through the legislature, is in the process of fulfilling its share of the bargain; the students, through increased tuition, are honoring their commitment; it remains for us to demonstrate that we can follow through with our part. I also believe that the legislature and community leadership throughout the state hold the same opinion. No one expects it to be easy. Existing programs are usually good and useful and have constituencies; new programs and innovations have yet to find theirs. So it's our move. Do we have the will and the wit to carry it off? ■

Advocacy Office Moves

The Academic Staff Advocacy and Grievance Advisory Program (also known as the Academic Staff Advisory Office) has moved to Suite 315 of the University Technology Center, 1313 5th Street S.E. in Dinkytown. Maurine Venters, a third-year law student and former faculty member, is the Academic Staff Advisory Officer. Faculty and academic staff with employment-related problems can see Venters for help in considering the appropriateness of the grievance process, negotiation, or mediation to resolve these problems. Venters also assists in selecting advocates for the formal grievance procedure if that procedure is necessary.

The office is open part time, Monday through Friday. Its phone number is 627-4032. ■

□ YOUR BENEFITS: Q & A

Q. I have a substantial "general account" balance with Minnesota Mutual/Northwestern National Life as part of my Faculty Retirement Plan. If I transfer money from this account to another investment option, will I lose my current interest rate if I decide to transfer money back?

A. Money invested with MM/NWNL before January 1, 1990, earns 9.5 percent interest, while money invested after that date earns 8.5 percent.

MM/NWNL uses a first-in-first-out accounting system. When you request a transfer, MM/NWNL will take money first from your old 9.5 percent account, and will take money from your 8.5 percent account only after your 9.5 percent account is exhausted. Money that you transfer back into MM/NWNL later will be considered new money

and will earn the then-current rate (now 8.5 percent) for new money.

Q. Do faculty benefits include postretirement long-term-care coverage?

A. Not currently. Postretirement long-term care is still in the first stages of development, and, because of limited experience with claims, insurance companies are having difficulty determining the actual cost to them of offering this coverage.

Employee Benefits will monitor and report on post-retirement long-term care as it develops, and may offer this coverage in the future.

Q. I didn't sign up for life insurance in addition to what I automatically have with the University, but my paycheck shows a life insurance deduction. Please explain the deduction.

A. Full-time faculty members receive employer-paid life insurance from two sources. Under the Faculty Group Term Life Insurance

Plan, all 100 percent-time faculty and professional/administrative staff are eligible for \$20,000 of coverage. Under the State Insurance Plan, all employees with 75 percent appointments or above are eligible for coverage equal to their annual base salary rounded up to the next \$5,000. For example, a faculty member with a base salary of \$42,000 would be covered for \$45,000 under this plan and for \$20,000 under the Faculty Group Term Life Insurance Plan, for a total of \$65,000 of coverage.

When an employee's employer-paid life insurance coverage is over \$50,000, the University is required to report and withhold tax on the value of this excess coverage. The life insurance deduction on your paycheck is the amount of tax withheld on your life insurance coverage over \$50,000. The amount of tax withheld is low in most cases, but you can waive your life insurance coverage in excess of \$50,000 if you wish to avoid paying this tax. Waiver forms are available from Employee Benefits. ■

FOOTNOTE

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100 Church Street S.E.
University of Minnesota
Minneapolis, MN 55455

IN THIS ISSUE

**The Request:
What Faculty Can Do
Funding Academic Priorities**

Serials
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Next Footnote—Oct. 23

FOOTNOTE

□ October 23, 1990

□ Volume 4, Number 6

□ Published by the Faculty Consultative Committee

Looking Ahead: Hasselmo Talks About Hard Choices

As he began his State of the University speech October 3, President Nils Hasselmo said he had a twofold goal. He wanted to raise people's spirits, yet talk about hard choices and shifting dollars.

An ambitious reallocation target of \$20 million has been set for the next two years, and perhaps \$50 million will be reallocated over the next five years, Hasselmo said. Central administration will propose "reorganization, consolidation, curtailment, and elimination of programs" to meet the \$20 million target.

"This is not an empty exercise. It won't be much fun. But it is absolutely necessary," Hasselmo said. Reallocation is needed if the University is to maintain and improve its strengths, take a few new initiatives, and build credibility with state leaders.

"The reallocations must be programmatic, not only in where we reallocate *to*, but also in where we reallocate *from*," he said. "This has been a weakness in the reallocations of the past two years." Most of the money came from a 2 percent across-the-board reallocation, and too much of that money came not from programmatic cuts in the colleges but from "the thinning out of already strained budgets, for travel, supplies, equipment, and teaching assistants."

In looking ahead to more reallocation, Hasselmo said the next day in a discussion with the Faculty Consultative Committee (FCC), he hopes people will see not only the cuts but "the good things that are going to be accomplished. Reallocation is the means."

Reasons for Pride

"We are a strong University with a great future," Hasselmo said in his address, attended by about 250

people in the Cowles Auditorium of the Humphrey Center in Minneapolis. "Have faith in this University. Be proud of this University. Have faith in yourselves."

Hasselmo ticked off a few reasons for pride, a few glimpses of life at the University:

- Thirty Presidential Scholars, bright undergraduates, grilling Hasselmo with questions at Eastcliff. ("Yes, even Eastcliff can be a positive factor," he said.)
- The recent lectures at the Humphrey Institute's Mondale Forum on what is happening in the Soviet Union right now.
- Collaboration between faculty scientists and corporate fellows in the Center for Interfacial Engineering.
- Community planning and leadership programs in Redwood Falls under the auspices of the Minnesota Extension Service.
- Saturday chemistry demonstrations to hundreds of high school students arranged with the help of the chemistry department on the Twin Cities campus.
- The celebration of decades of distinguished teaching by University faculty, past and new winners of the Morse-Amoco or Morse-Alumni award, in the Law School auditorium last spring.
- Regents' Professor Margaret Davis's recent million-dollar grant from the National Sciences Foundation to study global change, one of ten projects funded out of 500.
- Forty percent of the incoming class at Morris coming from the top 5 percent of their high school graduating classes.
- The performance by the UMD Theatre Department at Kennedy Center in Washington.

Not only does the good work of the University continue, Hasselmo said, but tangible improvements

have been made in the past few years. The average section size throughout the University is down 8 percent, from 25.2 to 23.3. The largest section is down from more than 1,000 to 602, and only 14 sections now are larger than 300.

The average Twin Cities registration-line time is down to seven minutes. Student loan applications are now processed in two days instead of two months.

One of the most encouraging numbers, he said, is that funding per student has increased by about 8 percent over the past five years, from \$6,630 in 1985 to \$7,162 in 1990 in constant dollars.

Go After the Bad

Does the University still have problems? "Of course we have problems," Hasselmo acknowledged. For one example, he still hears about problems in Physical Plant. But Physical Plant now has outstanding leadership in its new director, Sue Markham, and she is getting support from the union leadership and individual workers. "We are on our way to change," he said.

"Do we still have too many very large classes? Yes, we do," he said. "Do we still have teaching assistants who have difficulty making themselves understood in English? Yes, we do. Do we still have faculty and staff members who do not treat students with the respect and concern they deserve? Yes, unfortunately, we do. Do we still have classes conducted in classrooms that are substandard, in laboratories without the equipment needed? Yes. Do we still mess up in central administration once in a while? Yes, we do."

But those conditions are not accepted, and the problems are being addressed, he said.

Speech, from p. 1

"How do I summarize where we are? Maybe by saying that we're 90 percent good and 10 percent bad. I don't know what the proportions are. It's overwhelmingly on the side of good, but the bad is clearly not acceptable. Be buoyed by the good, and let's go after the bad."

Links With K-12

One way of addressing problems in higher education is to work more closely with the K-12 system to improve education from the start, Hasselmo said.

"I say this not because I believe we have magic solutions. Both my parents were schoolteachers, I taught junior high school myself—before I decided to go on to easier pursuits—and I know that it is difficult in the trenches. But the University can, and must, help where it can."

The University has been active in setting preparation standards, in working directly with young minority students while they are in

the lower grades, and in offering special programs for science teachers. A new five-year licensure program in the College of Education will improve teacher training by incorporating a substantive undergraduate major into the teacher's preparation. "Over the past few months, we have been taking stock of our dozens of efforts to work with the K-12 system in order to expand those efforts that seem most productive," Hasselmo said.

New preparation requirements have already had a positive effect, he said. A comparison between students entering in the falls of 1985 and 1988 shows increased preparation in every area. Percentages are for the Twin Cities campus only, including General College.

In math, 83 percent of the entering students met the preparation requirements in 1985, 88 percent in 1988. In science the increase was from 72 percent to 77 percent, in social studies from 97 percent to 100 percent, and in English from 76 percent to 83 percent. The most dramatic increase was in foreign language, from 48 percent to 76 percent.

With all of these increases recorded before the new requirements go into effect in 1991, further improvement can be expected.

A Way of Life

After drawing a hopeful picture of the University, Hasselmo turned to "the more negative aspect of the current situation"—the lack of resources and the need for reallocation.

Prospects for legislative funding are bleak. The state expects to have about \$1 billion available for increased spending—if the economic forecasts do not get gloomier as the crisis in the Middle East deepens—but the "tails" (funding commitments that were already made by past legislatures) are expected to eat up that entire amount.

"The Department of Finance has instructed us not to ask for any new money for the next biennium, but simply to justify what we now have," he said. Even if the legislature does give the University a funding increase, it will not be enough to meet the need.

"Reallocation is going to be a way of life," Hasselmo said in a

question session following the speech.

What will the timetable be? Programs targeted for reduction may be phased out over five years, he said. Students will be given a chance to finish their programs, and tenured faculty members will keep their jobs until they retire.

Which programs will be cut? "I don't carry in my pocket a blacklist or a hit list," Hasselmo said. Members of the University community will be consulted, he said, but "we have to do some analysis before we can go forward with a meaningful public discussion."

After a student asked a question about tuition, FCC chair Warren Ibele pointed out one advantage of reallocation. When dollars are added to the instructional budget, students have to pay part of the cost in increased tuition. When dollars are shifted, they don't. "A redirection of resources brings about an increase in quality without any cost to students."

Pilot Study

In opening his speech, Hasselmo called it a "pilot study in communication." If people within the University found it useful, he said, he would plan a State of the University address every year.

In the FCC discussion the next day, Ibele called the speech "a balanced and hopeful presentation" that had been well received. "The sustained applause I took as very indicative of a positive response from those who were there."

W. Andrew Collins, FCC vice chair, asked why the address had not been broadcast live to the other campuses on closed-circuit television. Hasselmo said he did not want to appear on those campuses as a face on a television screen, but would be visiting each campus personally. Even so, Collins said, the State of the University address was an important event, and making it available on all campuses might have been useful.

Just about everybody favors programmatic reallocation in principle, Hasselmo and the FCC members agreed. It's when particular units are targeted for reduction that the outcry begins. In the past, Hasselmo said, proposals for cuts may have been the subject of public

Speech, to p. 4

FOOTNOTE

Volume 4, Number 6
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Managing Editor: Maureen Smith
Design Consultant: Dawn Mathers

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Intercollegiate Athletics: The Faculty Considers its Role

What to do about intercollegiate athletics will be the topic of discussion at the Twin Cities Campus Assembly meeting November 1. No vote is expected, but the Faculty Steering Committee will conduct a survey to try to get a sense of what direction the assembly thinks is appropriate.

To give some of the background and explain the choices, the committee sent this letter to all assembly members October 12:

The recent report of the ad hoc committee on intercollegiate athletics, cochaired by Regent Alan Page and Professor Jack Merwin, has been passed on to the assembly for its information. It is the sense of the Faculty Steering Committee that the report raises a variety of issues relevant to the role of faculty oversight of athletics and the role of the faculty governance system therein. In addition, a number of other issues that the Page-Merwin committee did not have time to address need the attention of the assembly in the coming months.

The recent history of assembly deliberations causes us to look to the assembly for guidance on how to proceed in this area. Twice we have recommended restoring to the Assembly Committee on Intercollegiate Athletics (ACIA) final authority over the eligibility of students to participate in intercollegiate athletics. This is one of the most fundamental powers of the faculty with respect to athletics; it was part of the charge to the Committee on Athletics beginning with its inception in 1912. When the assembly bylaws were revised in the mid-1980s, that section granting ACIA its authority over eligibility was inadvertently omitted; twice the assembly has declined to restore to ACIA that authority.

The result of the two votes, on its face, is perplexing. Why does the assembly vote to deny to one of its own committees a most fundamental authority? Although the Faculty Steering Committee is aware of the underlying faculty discontent that those two votes signal, what the

next steps should be is not clear. We propose to spend some time at the upcoming meeting of the assembly discussing the unresolved issues. We also wish your opinion on a range of alternatives that might be considered.

Thus the Faculty Steering Committee will present the options printed below to the assembly. These are the ones that seem to reflect most closely the several opinions expressed at previous meetings. A ballot will be distributed at the meeting; the Faculty Steering Committee will request that each member of the assembly rank-order the options by number: A "1" indicates that is the option you prefer *most*; a "5" means that is the option you rank *least* desirable. In addition, for each option you will be asked to indicate your sense of the degree to which the option is likely to have a beneficial effect on faculty influence over athletic programs at the University.

We would like to have this survey serve as a guide to further committee action rather than as the basis for any formal vote to be taken at the November 1 meeting. Inasmuch as this will not be a set of formal motions, the assembly may wish to add to the list of options prior to the distribution of the ballots.

1. The recommendations of the Page-Merwin committee should be implemented. Thus, the situation requires no additional faculty action.
2. Appoint a special faculty review group to take up issues that the Page-Merwin committee did not have time to address, issues that are of concern to the faculty (e.g., rules compliance, "faculty control," budgeting, freshman participation, limits on games and practices, etc.). Recommendations should be formulated that, if not adopted within a stipulated period (perhaps three to five years) by either the Big Ten Conference or the National Collegiate Athletic Association,

should be adopted unilaterally by the University of Minnesota.

3. Present the assembly with a proposal to reconstitute the Assembly Committee on Intercollegiate Athletics so it is more heavily faculty; include a provision for the appointment of faculty who are more disinterested and dispassionate about intercollegiate athletics than has perhaps been the case in the past. (The current voting membership of ACIA includes eight faculty and six nonfaculty; the eight faculty include the two presidentially appointed "faculty representatives" to the Big Ten and the NCAA. One option would be to add two (or more) "regular" faculty to the committee and remove the voting power of the two "faculty representatives.")
4. Present the assembly with the opportunity to vote to terminate its involvement in the governance of intercollegiate athletics (which would include disestablishment of ACIA). (Inasmuch as the Big Ten Conference in principle requires "faculty control," exercise of this option may lead the administration to appoint a separate faculty body outside the senate/assembly governance system—but intercollegiate athletics would no longer be a concern of the assembly and its committees.)
5. Present to the assembly, again, the opportunity to vote to restore to ACIA its authority over the eligibility of students for participation in intercollegiate athletics. ■

□ THE CHAIR'S REPORT

By Warren Ibele

Chair, Faculty Consultative Committee

In the developing discussion about the current state and the future of higher education in Minnesota two indices stand out: 1) the state stands 6th in the country in per capita taxes for supporting higher education; and 2) the state stands 41st in average expenditures per student enrolled in higher education. The first of those has remained stable over the years, reflecting the state's historical commitment to education. The second results from a rather precipitous decline from 24th position over just a few years. These data give a sharp edge to the dilemma confronting all of higher education in Minnesota. If quality is to be increased—and expenditures per student (including student aid) bear a sure relationship to quality—how is it to be achieved when the citizenry's generosity is already a reality and the tuition burden on students approaches a limit?

The state's four components of higher education—technical colleges, community colleges, state universities, and the University of Minnesota—are engaged at more than 60 sites across the state. When account is taken of Minnesota's

population, there are few states in the country that provide as many locations. The number of campuses and the relatively low enrollments of some raise a fundamental question regarding the optimal division of resources between physical facilities and educational programs of desired quality. The problem is not unlike that encountered some years ago at the high-school level, in which case school consolidation sought to achieve diversity of programs and quality through economies of scale. For those of us in the higher education systems, the call that we cooperate, and coordinate and articulate our efforts, will be heard from many quarters.

As the discussion proceeds, it is very important that the University clearly articulate its own vision—both as to the general configuration of the four elements and their interrelation, and as to the University's particular role and function within that configuration. The importance of University leadership is evident in the prompt response of the state's high schools to the specification of new preparation standards for admission to the University (effective fall 1991) and the recent report of a blue-ribbon commission on access and quality in the Minnesota State University System ("Q-7: Quality on the Line, a Vision for University Education in the New Century").

President Hasselmo's October 3 State of the University address on

the Twin Cities campus and his remarks in Rochester during the Board of Regents' October meeting set forth what is at stake in this ongoing discussion. As we proceed with our own difficult task of programmatic change and quality improvement, we should be conscious of the influence our decisions can have on other elements of the state's system of higher education. ■

Speech, from p. 2

debate prematurely. But people in targeted units rightfully expect to have their say, mathematics professor Charlotte Striebel said. "We can't just say, [public debate] doesn't work, so we're going to do it by edict." Hasselmo promised that he would outline a process, including stages of consultation, within a few weeks.

Both in the speech and the FCC discussion, Hasselmo kept returning to the reason for reallocation. "This is a positive thing to strengthen the institution," he said. He ended his speech by outlining his vision for the University, a university "that is a strong and vibrant intellectual community, where all members feel intellectually challenged, stimulated, fairly treated, and secure—be they students, faculty members, or staff members."

"Per aspera ad astra," he said. "Through adversity towards the stars." ■

FOOTNOTE

6 Morrill Hall
100 Church Street S.E.
University of Minnesota
Minneapolis, MN 55455

IN THIS ISSUE

Future of the University

Intercollegiate Athletics Revisited

Next Footnote—Nov. 6

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FOOTNOTE

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☐ Volume 4, Number 7

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Conflicting Policies:

University Examines Discrimination in ROTC Program

Brian Olson is quick to credit the ROTC program with much of his success at the University. A senior in aerospace engineering, Olson carries a 4.00 grade point average into the final months of his college career. That may not have been possible had it not been for an ROTC scholarship that enabled him to devote a major portion of his time to his studies without having to worry about paying for tuition, fees, and books.

Olson says he could have found another way to finance his college education, but he may not have had the time necessary to produce perfect grades. "To do well in school takes time, and the ROTC program afforded me the extra time to put in the quality work that college demands to get A's," he says.

Robert Jacobson, a member of the Minnesota Student Association (MSA), also sees ROTC as an important part of the University, but not so important that it should be allowed to discriminate against gays, lesbians, and bisexuals—a U.S. Department of Defense policy that is in direct conflict with the University's equal opportunity policy prohibiting discrimination based on sexual orientation.

"I don't want to minimize the benefits of ROTC," says Jacobson, a sophomore in prespeech communications. "ROTC is a good program. I have nothing against ROTC, but I do not support ROTC while it discriminates."

The discrimination issue has caused a stir at every level of the University. Most agree that discrimination cannot be tolerated at the University, and that the University cannot continue operating with conflicting policies. There is some disagreement, though, concerning

what the University should do to remedy the problem. At least two groups—the Senate Committee on Social Concerns and the MSA—recommend that the University sever its relations with ROTC unless the conflicting policies are resolved.

President Nils Hasselmo and the administration have been engaged in a lobbying effort aimed at Congress, the defense department, and various other groups that could help influence a change in the military's policy. Meanwhile, student and faculty groups have recommended timetables in which the University should either resolve the matter or eliminate the ROTC program.

Hasselmo, in a September report to the Board of Regents, identified the conflict and pledged to continue lobbying at the national level. "The Board's policy is clear, and so is the conflicting federal policy," he says. "Caught in the middle is our longstanding ROTC program, which embodies the fundamental principle of civilian control of the military through civilian education of the military officer corps. I am not recommending any changes in the status of our ROTC program, but I do recognize the need to continue seeking resolution at the federal level." He says he believes change at the national level will come with time.

The social concerns committee and the MSA don't appear to be quite as patient. Last May, the MSA passed a resolution that supports the University's equal opportunity policy, denounces the defense department's policy, and calls for action if the conflict isn't resolved. The MSA's resolution, which may go before the University Senate at its winter quarter meeting, calls for the regents to give written notice to

the defense department before the end of this academic year that all current contracts with ROTC will be terminated following the 1994-95 academic year unless discrimination is stopped. The four-year period would allow those students enrolled in the program to complete their training while the program was being phased out.

The social concerns committee adopted a resolution that calls for Hasselmo to continue lobbying at the national level to resolve the conflict. But if the issue has not been resolved by January 1, 1993, the senate would establish a committee to consider final options. And if the conflict hasn't been resolved by June 30, 1993, the University would begin severing relations with ROTC by allowing students already enrolled in ROTC to complete the program but disallowing the admission of any new students.

The committee has been working on the issue for more than two years, says committee chair John Beatty, associate professor of ecology and behavioral biology. The resolution, which was scheduled for discussion by the senate last week, is similar to a resolution passed by the senate last year. The major difference is that the new resolution has set deadlines for action.

"We're placing emphasis on getting this issue resolved, but we're all wondering if the issue can be resolved without some serious pressure to cut ties," Beatty says. "It's a matter of whether the (federal) government and military will commit themselves to a good-faith effort to resolve the matter. They seem to be more resolute to discriminate against homosexuals and to be more resolute not to defend themselves

ROTC, to p. 2

ROTC, from p. 1

publicly. It seems that in order to resolve the issue we need some serious pressure.

"We haven't seriously challenged ROTC policy," Beatty says. "By allowing ROTC to continue operating on campus, we're undermining our own equal opportunity policy. We have to decide which of those values is more important to the University as an educational institution. We believe that the University's equal opportunity policy . . . is more important to our mission as an educational institution than our policy to (offer) ROTC."

The defense department has remained silent over the issue and has done little to respond to the University's inquiries, Hasselmo says. Leaders at ROTC have also elected to remain silent until after the senate has discussed the committee's resolution or more definite action is taken.

Although the resolutions from the two groups differ slightly, there is widespread support of the University's equal opportunity policy and its efforts to resolve the conflicting policies. But the resolutions also raise several questions that undoubtedly will generate a lot of discussion before any action is taken. Questions include the University's legal obligations as a land-grant institution, the financial implications of eliminating the ROTC program, the educational void that would occur as a result of such action, and the best method of resolving the issue.

As a land-grant institution, the University is legally obligated to offer military training through its curriculum. Since ROTC didn't exist when the Land-Grant Act was passed into law by President Lincoln in 1862, the University apparently has no obligation to have an ROTC program per se, Beatty says.

"The laws behind the University and military training are very old laws that have a historical context, namely the Civil War period," Beatty says. "Is this law still well motivated? There may be all kinds of different military training. We could have, for example, instruction on teaching strategies of war."

The law, in fact, appears to offer the University plenty of latitude in the type of military training it is obligated to offer, associate University attorney Barbara Shiels says. The law says the University is obligated to teach or offer instruction in "military tactics."

Shiels says her research on the subject has been limited but there appears to be no current case law on the issue. The most recent case she found dated back to 1934.

"If the University discontinued ROTC, we'd have to carefully evaluate how we could fulfill our obligation," she says. "The question I have to ask is that if we don't have the cooperation of the military, how can we fulfill that obligation? It's entirely possible that other land-grant institutions don't have ROTC programs and are fulfilling their obligations in other ways. That definitely would be worth researching."

The ROTC program is primarily funded by the defense department. The University offers the use of the Armory and funds the maintenance

and operation of the building, which cost about \$186,000 last year. The University's budget last year also included \$20,493 in operating costs for the program and \$151,340 for support personnel, according to ROTC's annual report, submitted to the president's office August 14. The defense department spent \$2.2 million for faculty and staff salaries, scholarships, financial aid, and student summer-training salaries.

Last year, ROTC enrolled 384 students, down 7 percent from the previous year. The program's enrollment has been slowly decreasing each year since 1986-87, when 503 students were enrolled. Last year, 72 students were commissioned by the military as officers. ROTC is projecting 59 commissions this year.

ROTC offered 150 scholarships last year, totaling about \$500,000 for tuition, fees, and books. ROTC paid an additional \$231,518 in financial aid, and \$52,513 for summer-training salaries.

ROTC courses are open to all University students. In fact, last year 279 non-ROTC students enrolled in ROTC courses, generating \$21,922 in tuition for the University. And although the defense department pays ROTC faculty and staff salaries, which amounted to about \$1.3 million last year, the University receives the tuition paid by ROTC cadets and midshipmen as well as non-ROTC students. Last year, tuition totaled \$149,619.

The benefits of the ROTC program go beyond dollar amounts, though, says Jennifer Conlin, Olson's core commander in the Air Force program. Through its military-related courses, ROTC develops valuable qualities, such as leadership, discipline, and goal-setting, she says.

"(Corporate) CEOs prefer ROTC cadets because they get on the fast track quicker," says Conlin, referring to an article in *Newsweek* magazine last year. "You're not going to find too many students getting out of bed at 6 o'clock, putting on a uniform, and standing at attention. I'm in charge of 92 cadets—how many other seniors in college can say they have that experience? This is very practical for management."

But ROTC isn't the only pro-

FOOTNOTE

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Managing Editor: Geoff Gorvin
Design Consultant: Dawn Mathers

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gram at the University where students can acquire those kinds of qualities, Beatty says. "It could be a loss for the University in terms of what some students are able to get, but the point is, we don't want a program that benefits only some students. Leadership is taught all across campus, such as through the business college. Leadership itself doesn't seem to be the goal of ROTC. There may be all kinds of things ROTC offers to students that the University would have to try to make up. We do lose something in terms of what we offer in our curriculum, but it's still more important to defend the rights of all students. Plus, someone would have to make the case that we couldn't make it up."

That leaves the question of how the University should go about resolving the conflict. Eliminating ROTC would make a tremendous statement by the University but it would also allow the defense department to dodge the issue without having to respond to the University's charges, says Warren Ibele, chair of the Faculty Consultative Committee. Considering that the military is facing substantial budget cuts, military officials would probably be happy to wait for the University, and possibly other universities throughout the country, to remove ROTC from campus, thus saving the military millions of dollars while letting the University answer to public reaction, he says.

Recent history suggests that the University may be more effective by eliminating ROTC rather than addressing the problem at the national level, says Frank Sorauf, professor of political science. "The University's position really boils down to the fact that you have a better chance to change (national) policy from insider politics. Increasingly, the lessons in the last 25 years have been that more open, confrontational politics may be more successful. The University, however, isn't very well equipped to conduct that kind of a campaign.

"Ultimately, the question comes down to, do you want to see a long-term change in national policy? That, of course, begs the question of whether the University ought to (concern itself with) national policy or whether it should simply follow

its own rules and do what's best for it and its students. And if you follow that, then it seems the logic is that you enforce the University policy," Sorauf says.

Eliminating ROTC would also allow the U.S. Supreme Court to sidestep the issue again, Sorauf says. The federal courts and the supreme court have upheld the military policy and appear to be satisfied with those decisions.

"I thought 10 years ago it would have been resolved in federal court or the supreme court, but the increasing conservatism to appointments makes that seem less likely," Sorauf says. "It seems that 10 to 15 years ago it was only a matter of time before the supreme court upheld the 5th and 14th Amendments . . . that simply do not permit this kind of discrimination. But now I think it's less certain that the supreme court would do that. Gay groups have charged the defense department with discrimination and the supreme court has refused to (offer them protection against discrimination). It may be a question that will be caught up in deadlock for years."

Jacobson agrees that the problem is local and shouldn't be handled at the national level. "The heart and soul of the (committee's) resolution is the same as MSA's, and that is saying that it's time to stop dicker-ing at the national level and it's time to start worrying about the impact locally. It's not a national problem, it's a local problem."

Jacobson says that after the senate meeting, when the MSA has a better feel for the senate's position on the committee's resolution, MSA members will meet with faculty groups to make the two resolutions more consistent to avoid confusion.

The impact on the University would be minimal if it eliminated ROTC, Jacobson says. The program uses valuable classroom space, costs the University about \$340,000 a year, and provides scholarships to only a handful of students. "The greatest irony is that gays and lesbians have to pay for the ROTC program," he says.

The University joins the University of Wisconsin-Madison in combatting ROTC discrimination. Madison was in a similar situation

one year ago when a faculty group brought conflicting policies to the administration's attention. The issue resulted in dozens of meetings and several faculty votes on the university's course of action. In fact, a special meeting of the entire faculty was called for the first time in more than 15 years, says Roger Howard, Madison's associate dean of students.

The result was a decision to organize an intense lobbying effort with Congress, educational organizations, and other institutions to change military policy and public opinion. A committee of faculty, staff and students was formed to advise the chancellor on the lobbying steps being taken and provide Madison's board of regents with annual progress reports, the first of which will be submitted later this year. No deadline was set, though, for resolution of the problem, Howard says.

Madison was criticized for not setting any deadlines to resolve the issue. "The argument about the dates really revolved around the reality of them," Howard says. "We asked ourselves, 'Is this in fact accomplishable? Don't you in fact destroy the very institution you're trying to change by this deadline business? Haven't you destroyed ROTC because its students become reluctant to commit themselves to it because it's uncertain?'"

"From my point of view, the reality is that politically . . . this is the kind of issue where the state is going to have to make a commitment," Howard says. "It's foolish for the university to look at this issue as a decision it's going to make successfully on its own. The State of Wisconsin is going to have to determine if this is a high enough priority on a clear enough issue to stand behind the university."

Howard says Madison, like the University of Minnesota, is hoping that more universities—not only in the Big Ten but nationwide—will support Wisconsin's efforts, which are aimed not only at the defense department but also at public opinion. "This issue is not going to get changed unless we can do something about public opinion, which is either apathetically in support of or actively in support of the status quo," he says. ■

□ THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

Various factors determine faculty satisfaction and productivity, but faculty compensation ranks high. A year ago, faculty and staff expressed considerable concern over a change in health-care benefits, an important component of the total compensation package. This led to the appointment of a health-plan task force that is exploring various alternatives that would meet the health-care needs of University personnel. A report from the task force is expected sometime during this academic year.

Faculty salaries are another part—the most important part—of the compensation package. From time to time, concerns have been expressed about our system by which salary increases are awarded to the faculty and the professional and administrative group. Although a considerable effort by faculty and administrators is invested in assessing faculty performance for the purpose of setting salaries, the results do not always satisfy the principles that ought to

guide the exercise. Moreover, it is not at all clear that the effort is spent in the most effective and efficient manner. There is considerable unevenness between departments, for example, in the assessment of quality and the relationship between these assessments and salary schedules.

Historically, there has been a consensus that merit should be the principle that guides salary decisions. However, during those all-too-frequent years when the funds available for faculty salary increases are less than, or only equal to, the cost of living, following the principle has often had the effect of cutting the real salary for many faculty members whose service by any reasonable standard was entirely satisfactory. It is, in brief, a system that does pretty well for the "stars" among us—may their tribe increase!—but less well for the majority who, in a competent and workmanlike way, continue to meet their professional responsibilities. Moreover, there are large salary differences between individuals, judged equally eminent in their disciplines, differences that are difficult to justify entirely by factors of the marketplace.

Given this state of affairs, it is timely that the academic salary structure be reviewed. Accordingly, a group has been appointed jointly

by Academic Affairs, the Faculty Consultative Committee (FCC), and the Senate Committee on Faculty Affairs, and charged with this review. Professors Roberta Humphreys (astronomy) and Morris Kleiner (HHH Institute of Public Affairs) chair the group.

In my view, three factors ought to shape a performance-based pay system:

1. Periodic reviews conducted at intervals more compatible with the nature and rhythm of research, scholarship, and creative activity;
2. the availability of adequate resources to provide both cost-of-living and merit increases; and
3. the establishment of criteria and the conducting of periodic reviews by appropriate committees of the faculty.

The group reviewing academic salary structures has a very important task to perform, and the FCC will not only follow their work closely but will stand ready to assist them at their call. In launching this effort it is appropriate to recognize the initiative of Vice President Len Kuhi, who, viewing our salary structure for the first time and from a different perspective, thought we could do better. I believe that most, if not all, of the faculty agree with him. ■

FOOTNOTE

6 Morrill Hall
100 Church Street S.E.
University of Minnesota
Minneapolis, MN 55455

IN THIS ISSUE

ROTC Controversy

Faculty Salary Structure

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Next Footnote—Nov. 20

FOOTNOTE

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Reallocation:

University Sets \$50 Million Target; Waseca Campus Could Be Phased Out

Three years have elapsed since the University adopted Academic Priorities, a guide aimed at improving the quality of the University through efficient and effective use of its resources.

Academic Priorities laid out steps by which the University could accomplish that goal by 1993. But administrators say the report did not go far enough; it fell short of identifying some of the problems facing underfunded programs. And it didn't anticipate tight budget constraints imposed by the legislature for the coming biennium. Academic Priorities, however, did provide a foundation for President Nils Hasselmo's plan to reallocate \$50 million over the next five years—a 2 percent average per year by campus or vice-presidential area.

Hasselmo sent a memo October 31 to chancellors, vice presidents, deans, and directors, instructing them to begin planning reallocation strategies in their own areas. The process, as outlined by the memo, is intended to maintain high quality in the faculty and staff, preserve the University's physical assets, raise the quality of education, provide better access to the University, continue a high rate of growth in research, and increase technology transfer and outreach.

Those priorities will be strengthened by Hasselmo's plan to move funds from activities that can be consolidated, curtailed, or eliminated to the high-priority programs identified in Academic Priorities. The goal, according to the memo, is to "improve efficiency in such a way as to improve both the quality of the work environment for our faculty and staff, and the quality of the teaching, research, and public service programs that are our special responsibility."

Units that will lose funds will have their budgets reduced by an average of 2 percent each year to meet the 10 percent target after five years. That will be accomplished by allowing those units to borrow money from the University's internal loan fund to accommodate the reductions or to increase productivity by, for example, purchasing software to automate an office computer system.

Central administrators are hoping that this time around individual units will take a different approach in determining what to cut, says Len Kuhl, senior vice president for academic affairs. Last year units tended to cut 2 percent across the board without cutting programs. That left faculty with less support and students with fewer services.

"We wanted units to look at their programs and not just cut flatly across the board, but instead make programmatic changes," Kuhl says. "The memo stressed the fact of much closer examination of unit programs. We're hoping that with this current set of instructions, people will look at Academic Priorities more carefully. We're asking for a five-year plan so that they can get out of this mode of doing whatever's most convenient."

Reallocation proposals from each unit and campus in the University system are due December 15. Central administrators will review the proposals and will consult with various University groups and administrators to reach some conclusions by late February or early March. Those conclusions will then go before the Board of Regents for review and action.

"It's very important that we look at what we're doing in the perspective of what this institution has been trying to do over the last 10 to

15 years through a systematic planning process," Hasselmo says. "We're continuing the planning process, and we're saying that we have to continue to hone our priorities. The continuity is as important here as the new, hard look."

The administration, Hasselmo says, has to look at reallocation from three different perspectives: the 1991-92 budget, which is due in late spring; the 1991-93 biennium, in which the University must reallocate \$20 million; and a five-year perspective, the specifics of which are unknown past the biennium.

"It's important to point in the direction in which we want to go because some programmatic changes are going to take quite some time," Hasselmo says. "Some of them may take as long as five years to accomplish. That's because we're making a very fundamental and important assumption which I also want to stress very much: we intend to do this and honor all contractual obligations. I think this is a matter of fairness, and it is also a matter of trying to get the entire University community to engage in this process."

The contractual obligations extend to faculty, staff, and students, who will be allowed to complete programs that will be eliminated through the reallocation process. Honoring those obligations, Hasselmo says, will help keep some employees from worrying about "turf protection," and instead focus on constructive change. But eliminating programs will still have a negative effect on some people, Hasselmo says.

"Obviously, some people will feel threatened because their programs will be phased out," he

Reallocation, from p. 1

says. "Even with our statement that we will honor our contractual obligations, are they going to be honored in a context that will be as conducive to what they want to do as what they now have?"

Tenured faculty, according to the University's tenure code, will be protected if their programs are eliminated because tenure is in the University, not in individual units. Tenured faculty whose programs are eliminated will be relocated within the University system. New faculty also will be reassigned.

An example of what could happen through reallocation is the elimination of the Waseca campus, a possibility that has received statewide attention recently. Hasselmo says that the campus could be phased out if Waseca and the central administration can't find a way to make the college a more efficient operation.

Currently, Waseca has a \$6.7

million budget. Its enrollment—774 full-time students, 1,042 overall—is down 25 to 30 percent from optimum levels and continues to slowly decrease. Faculty members total 40, with an additional 100 staff members. Of the 40 faculty members, about 25 are tenured, says acting chancellor Tom Lindahl. But the figure that troubles central administrators is the \$10,000 the University spends per student at Waseca, which is much higher than any other program in the University system.

Waseca's low enrollment may be a result of many factors, including a fairly narrow curriculum and duplication of some programs offered in area community and technical colleges, Hasselmo says. Waseca is also in competition with Mankato State University, less than 30 miles away.

The University has suggested several ways to help Waseca increase enrollment and make the campus a stronger part of the University, Hasselmo says. The options include better marketing, changes in the curriculum to attract more students, and a conversion of the campus to a general service center that would provide outreach services to the area.

The Waseca situation is nothing new, Hasselmo says. The University has watched Waseca's enrollment gradually erode during the last several years, never reaching the level necessary for the campus to be a truly viable part of the University. But the issue intensified recently when Hasselmo discontinued the search for a new chancellor.

"I abolished the chancellor search because I got such a diversity of reaction among the constituencies on those candidates," Hasselmo says. "But it also brought home the fact that to pick a chancellor you have to know which direction you're going. And it became more and more clear that we really did not have as good a notion of where we were heading as was necessary to make a chancellor appointment."

The University's reluctance to appoint a chancellor, and talk of closing the campus, have made the Waseca faculty, staff, and students nervous, Lindahl says. The faculty feels that the campus is being singled out by the University when

they believe it in fact serves an important function and doesn't differ much from the Crookston campus. Also, the faculty is concerned that proposals to make the Waseca campus operate more efficiently may not receive adequate attention by the central administration.

"Our emphasis is not on the closing part of it," Lindahl says. "We're emphasizing the challenge that the president gave us to look at how we might reallocate and restructure to become a more viable campus. Obviously, we realize that the options we put on the table will have to be reviewed by the central administration, but we feel that we are a unique campus in many ways and there are a lot of functions that are performed here that should be done in this part of the state by the University."

Lindahl has a three-member task force studying ways to restructure the campus. He expects to have a preliminary report by December 1, after which he will be involved in finalizing the proposal to meet the central administration's December 15 deadline.

One option the task force is considering involves eliminating some programs and emphasizing an outreach service that would bring together the statewide educational systems with the University's resources to serve agricultural and rural communities throughout Minnesota. "(Waseca) would be a center for people to point to if they want to look at programming for agricultural or rural communities," Lindahl says. Other options include reductions on campus to decrease costs or adding new programs to attract more students.

But regardless of the task force's recommendations, the entire campus will be uneasy until Hasselmo makes his final determination next spring, Lindahl says. Even faculty members who would retain their employment with the University are not feeling reassured. In some cases, they might find it fulfilling to move to another job, but in most cases, it wouldn't be professionally rewarding. "Most of us choose where we're going for a reason. It's good to know you're not going to be left without a paycheck, but that doesn't necessarily satisfy

FOOTNOTE

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Managing Editor: Geoff Gorvin
Copy Editor: Nancy Rowe

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you professionally," he says.

Eliminating the campus would leave a huge void for the students as well, because its programs are unique, Lindahl says. Most of Waseca's students wouldn't excel at a community college because the curricula at most community colleges stress liberal arts as opposed to the technical curriculum offered at Waseca. And technical colleges don't have the resources to offer the programs available at Waseca.

To make matters more complicated, Waseca received a 10-year accreditation last year and recently received accreditation for its veterinary technology program.

"We are a quality campus," Lindahl says. "Our graduation rate and job rate are very high—90 percent plus. Even our graduates 5 to 10 years down the road are still working in related areas, which is basically in the rural part of Minnesota. I think our outside peers say that we're really doing a quality job."

Hasselmo sees Waseca as different from Crookston in important ways, he says. Waseca's program focuses on a broad range of agricultural courses, such as agribusiness, the food and fiber industry, horticulture, and veterinary technology. Crookston, however, is more diversified, offering such programs as business, hospitality, biology, liberal arts studies, and home economics, as well as a wide range of agricultural-related programs. And Crookston, unlike Waseca, has developed into a feeder system for the rest of the University by providing a starting point for students in northwest Minnesota.

"The University has major responsibilities to the agricultural sector and rural Minnesota," Hasselmo says. "The worst thing that could happen would be a withdrawal of the University from its mission to greater Minnesota. On the contrary, I think that what we're looking at is to free up resources so we can serve that mission more effectively. We have to put more money into the extension service and we probably have to put more money into the Agricultural Experiment Station. We have to invest there."

The Waseca situation is just one

example of the issues facing the University as it heads into the reallocation process. Significant progress already has been made on reallocations as outlined by Academic Priorities, Kuhl says.

Units such as agriculture, General College, nursing, education, dentistry, and concerts and lectures were targeted for \$4 million in funding reductions through Academic Priorities. Over the first three years of the project, funding for those programs has been reduced by \$1.43 million.

At the receiving end of reallocated funds are the College of Liberal Arts (CLA), the Institute of Technology (IT), the College of Biological Sciences, public health, computer services, libraries, research centers, minority programs, management, architecture and landscape architecture, and the extension service. Academic Priorities set a goal of adding \$35.2 million to those programs. The first three years of the project resulted in increases of \$18.5 million in recurring funds and \$21 million in nonrecurring funds. Both figures include legislative allocations and internal reallocations.

But Academic Priorities didn't go far enough, Kuhl says. It grossly understated the needs of some programs, such as CLA, which is targeted for \$3 million in additional recurring funds. By the end of 1991, CLA will have received \$2.5 million in recurring funds and \$250,000 in nonrecurring funds. IT, targeted for \$4.5 million through reallocation, will have received \$4 million in recurring funds by the end of 1991 and an additional \$1.2 million in nonrecurring funds.

Problems the University anticipates are that, even while reallocation pares down some programs and stabilizes others, there will be unusual turnover among faculty and a substantial increase in students by the end of the decade, Hasselmo says.

"We will have a breather because the number of high school graduates is at an all-time low for a couple decades," he says. "We face a significant influx of new students in the late '90s. We're not in a position to meet that influx. I see enrollment increases that are absolutely inevitable for the Uni-

versity. We are not operating in an efficient manner. We have a lot of small programs that do not serve a sufficient number of students to justify them." ■

□ NEWS

The salaries of female faculty members are now in line with the salaries of their male counterparts, according to a report that was presented to the Board of Regents at its November 9 meeting.

The University spent \$3 million over the last two years to increase the salaries of female faculty members to establish salary parity throughout the faculty ranks. That was the terms of an out-of-court settlement reached in 1989, after the University was sued for salary discrimination by female faculty members.

The settlement, under the Rajender consent decree, found a 6-percent salary differential between male and female faculty members in 1986-87. A complicated formula, presented to the board by Dave Berg, an assistant to the president, revealed that no evidence of salary disparity now exists at the University. And female faculty members continued to receive merit increases over the last two years while receiving the settlement payments.

Before the settlement, female faculty members claimed that they were being paid 12 percent less than male faculty members. The University contended that no salary discrimination existed. In the settlement, the University and female faculty members agreed to a statistical model that showed the 6-percent disparity.

At the meeting, mathematics associate professor Charlotte Striebel, a strong advocate of pay equity, said she will study the report's statistical information independently.

President Nils Hasselmo assured the board that the University would maintain salary equity in the future by monitoring salaries. ■

□ THE CHAIR'S REPORT

By Warren Ibele

Chair, Faculty Consultative Committee

During the Twin Cities Campus Assembly meeting November 1, there was a discussion of what should be the relationship between the Twin Cities campus governance system and intercollegiate athletic programs. The discussion was prompted by assembly votes on two occasions last academic year, which had the effect of denying to the Assembly Committee on Intercollegiate Athletics (ACIA) the nominal authority to determine the eligibility of student-athletes. In view of these actions, and no clear sense of what the assembly's wishes were in the matter, the Assembly Steering Committee sought the guidance of the assembly through discussion and balloting during the November 1 meeting.

The six options before the assembly ranged from implementing recommendations of the Page-Merwin Committee with no further action, to terminating assembly involvement in the governance of

intercollegiate athletics. Other options included appointing a special assembly committee to address a range of issues concerning the conduct of intercollegiate athletics, reconstituting the ACIA with a larger faculty presence, and restoring ACIA's authority to determine student eligibility for participation in intercollegiate athletics. These options could conceivably all be pursued since they are complementary. The sixth option, to abolish intercollegiate athletics, was added in the course of the discussion, although it does not address the same question as the others.

The results of the ballot indicate little sentiment for eliminating assembly involvement in the conduct of intercollegiate athletics and even less for abolishing such activities. There is strong support for appointing a special committee to consider specific aspects of the governance of the intercollegiate athletic programs, for implementing the Page-Merwin Committee recommendations, and for strengthening the faculty presence in ACIA. Restoring ACIA's authority to determine the eligibility of students to participate in athletics would appear to be an appropriate part of a larger set of recommendations that

might be anticipated from the deliberations of a special assembly committee. The Faculty Consultative Committee (FCC) will consider the results of the assembly discussion and ballot during its next meetings.

FCC Agenda Items

The FCC's next meeting will be concerned in part with two issues: revision of the University's mission statement, and review of Academic Priorities. The two issues are very important as planning horizons are extended into the future. The first seeks to describe the purpose of the University; the second plots a course for achieving those purposes. Given the choices before the University and the narrowing span of time within which these choices must be made, it is timely and essential that both issues and their relationship be examined closely. Subsequent issues of *Footnote* will deal with aspects of mission and Academic Priorities and their implications.

Commentary by the faculty on these and other matters is always welcome. ■

FOOTNOTE

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IN THIS ISSUE

Reallocation

Governing Intercollegiate Athletics

Next *Footnote*—Dec. 4

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FOOTNOTE

❑ December 4, 1990

❑ Volume 4, Number 9

❑ Published by the Faculty Consultative Committee

Preparation Standards: Freshmen Are Entering The University Better Prepared

Something significant has been happening to the University's freshmen during the last four years: they're starting their college careers with stronger academic backgrounds.

An increasing number of freshmen are entering the University with a second language and more English, social studies, math, and science. As a result, more students are starting their postsecondary educations better prepared for the challenging courses ahead of them.

This trend is no fluke. The University and an increasing number of higher education institutions across the country have recognized the need for more stringent academic requirements for entering freshmen. The University's intent is not to boost admission standards as a way to weed out students who have not completed the required courses in high school. Rather, the preparation standards are an effort to make the transition from high school academics to college academics as easy as possible for students while eliminating the need for University faculty to teach material that should have been covered in high school.

The University addressed preparation standards in 1985-86 with the formation of the Special Committee on Unified and Increased Preparation Requirements. The committee released a report in March 1986 that recommended academic standards for students applying for admission to the University as freshmen. Those standards were adopted by the Board of Regents and will become effective next fall.

The new minimum requirements for students entering the Duluth, Morris, and Twin Cities campuses are four years of English

with an emphasis on writing; three years of math, including one year of geometry and one of intermediate algebra; three years of science, including one biological and one physical science; two years of a second language; and two years of social studies, including American history. The University also strongly recommends that students take courses in visual and performing arts and computer skills in high school.

Colleges on the three campuses may admit students who have not met the requirements, but those students would need to take additional courses at the University within their first 90 quarter hours to satisfy the requirements. The added workload will be determined on a case-by-case basis.

The University's new requirements have received strong support statewide from school districts, which have been counseling their students accordingly, says Margaret Gardner, student support services associate. The counseling is evident in figures compiled by the University's admissions office. According to a recent study, the percentage of students entering the University with the required courses increased significantly in all areas since 1985. The percentage of entering freshmen who successfully completed the required math courses increased from 83 percent in 1985 to 88 percent in 1988. In science, the increase was from 72 percent to 77 percent; in social studies, from 97 percent to 100 percent; in English, from 76 percent to 83 percent; and in a second language, from 48 percent to 76 percent.

More importantly, the number of high school students completing *all* of the required courses has in-

creased as well. As of November 16, 88 percent of the 789 applicants for the College of Liberal Arts had completed all the required courses. In the Institute of Technology, 92 percent of the 248 applicants had completed the required courses; in the College of Agriculture, 84 percent of the 19 applicants; in the College of Human Ecology, 81 percent of the 21 applicants; and 33 percent of the 405 applicants for General College met all the requirements.

The numbers up to this point are encouraging, but the University will have a better idea of the effects of the preparation standards after the December 15 deadline for fall 1991 freshmen priority admission, says Anne Hopkins, vice provost for arts, sciences, and engineering.

"(After the admission season) we will learn more about the profile of students, and we'll see if colleges are more or less full than last year," she says.

Hopkins says that although the preparation standards appear to be working, some confusion still exists concerning students who do not complete the requirements but still apply for admission. The preparation standards, she explains, are part of the admission decision, not the final factor.

Students who don't complete the requirements but apply for admission will be reviewed by the admissions office, which will examine each student's overall high school record and how it differs from the preparation requirements, Gardner says. "We do expect students to have these requirements. We're looking for (the requirements), but students aren't automatically rejected if they haven't met all the

Standards, next page

Standards, from previous page

preparation requirements."

Gardner, who tracks the academic records of students applying at the University, says the results of the preparation requirements haven't been surprising so far.

"We've noticed an overall increase in students who meet the preparation requirements," she says. "In some areas, students are lagging behind, like in science and foreign language. But we don't ever expect 100 percent compliance because there will always be exceptions to the requirements for students coming from educational systems where they are disadvantaged because (their school) doesn't offer the courses, for example."

Gardner also works closely with high schools in determining the courses that will meet the University's requirements. Overall, she says, high schools and parents have been very supportive of the preparation requirements and have had few problems during the

transition.

The confusion has been minimal, for instance, at GFW High School in Winthrop, says superintendent Arnold Prince. GFW has had no problem adjusting to the new standards and has had a wide variety of students structure their courses to meet the requirements. But many students still aren't aware of the new requirements.

"(Many students) are not really cognizant of what the expectations are," Prince says. "I don't think it's hitting home yet as something that's very real."

Senior Shane Zellmann was among the students who *were* cognizant of the requirements. He will complete his senior year with the full complement of required courses and plans to attend either Duluth or Morris.

"It wasn't that big of a deal," Zellmann says. "I'm getting good preparation in math, chemistry, and science, and I'm in my second year of Spanish."

Zellmann says some of his college-bound classmates didn't use as much foresight and will complete their senior year without some of the required courses.

"They're wishing they would have taken those courses now," he says.

Prince says that one of the problems with the University's preparation standards is that requirements aren't outcome-based. They merely list the kinds of courses high school students need to *take* without specifying what students need to *know* going into college.

The competency question plagued the Special Committee on Unified and Increased Preparation Requirements as well and has stymied colleges and universities across the country. Hopkins says the University is addressing that question along with the issue of what courses should be required of transfer students. Most community and technical colleges, and even the Crookston and Waseca campuses, don't have preparation requirements that compare with those of the Twin Cities, Duluth, and Morris campuses.

According to former president Kenneth Keller's *Commitment to Focus*, policies governing preparation standards were needed because

rigorous preparation enables students to learn more effectively and allows the faculty to focus on improving the quality of undergraduate programs. Preparation standards, the committee report says, are critical to the University's goal of providing access to a quality education. They will help students in their high school planning and will prepare them for rigorous course work once they enter the University.

The committee focused on four areas: the impact on access to the University by all students, including minorities, older adult students, and international students; the impact on secondary schools, with particular concern for curriculum and budget; the impact on the University's academic programs, including curriculum and advising; and the impact on student services and financial aid.

The resulting report—20 recommendations covering course work required, access to the University, the University's academic program, student services, and implementation—was comprehensive and consistent with similar efforts by other universities and colleges, says committee chair W. Andrew Collins, professor in the Institute of Child Development.

"I'm still very proud of it," he says of the report. "I think it's one of the things that has been accomplished in an effort to reconsider the University's role in undergraduate education. One of the things I feel best about is that 'truth-in-advertising' business. Let's not tell people that they can come here and get a degree if they're not prepared to do it. Let's tell them what they need in order to succeed at the University."

"I think access to success is what this is all about," he says. "I think it's a mistake on the part of many people to think that the important thing is to get people admitted to the University. Yes, we have an obligation to admit them but we also need to be very clear with them about what it's going to take to succeed. And this is one of the concrete ways to convey that kind of message."

Marjorie Cowmeadow, associate dean of General College and a member of the committee, agrees. She says the University has a moral

Standards, to p. 4

FOOTNOTE

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Managing Editor: Geoff Gorvin
Copy Editor: Nancy Rowe

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Health Care Benefits:

Survey Results Are In

The majority of University faculty and staff apparently are satisfied with their health insurance and the health-plan choices offered through the University.

A survey of University employees last spring revealed that 62 percent of respondents said their health plan meets their needs. Fifteen percent were not sure and 23 percent said their health plan does not meet their needs.

Overall, 56 percent of respondents were satisfied with the health-plan choices offered during last year's open enrollment. Participants in traditional health maintenance organizations (HMOs), like Group Health Inc., were most satisfied, while those enrolled in the State Health Plan were least satisfied.

The survey results are being used by a health care task force to decide if the University should separate its health insurance plan from the state's plan, and to determine the design of the health plan if University employees are insured as a separate group.

The task force hopes to have a recommendation for central administration by early January, says Roger Forrester, director of personnel and a member of the task force. The survey results will weigh heavily in the task force's recommendations, as will actuarial information such as cost for other plans.

The survey results included a few surprises for the task force and confirmed some suspicions such as employee concerns with costs and freedom to choose doctors, Forrester says. The results "put things in perspective for us."

One of the surprises in the results concerned wellness programs, Forrester says. About 70 percent of respondents said the University should help them learn more about wellness. About 85 percent thought the University should offer lower life-insurance rates for nonsmokers. And 80 percent agreed that the University should be smoke-free.

Some 17,500 surveys were distributed throughout all of the

campuses; 9,055 were completed and returned for a 52 percent response rate.

According to the results, employees who changed plans in 1989 and 1990 were clearly more dissatisfied than those who did not change plans. The most common reasons for their dissatisfaction were lack of freedom to select physicians and hospitals, health-plan premium costs, and benefit levels such as deductibles, coinsurance, copayments, and exclusions.

The group of employees most dissatisfied with the choices were outstate faculty (51 percent). The majority of employees at Waseca (58 percent) and Morris (65 percent) were dissatisfied with their choices, as were 55 percent of employees with family incomes over \$80,000.

The only groups with more than a 60 percent satisfaction rate with their choices were graduate assistants (65 percent) and employees earning less than \$20,000 (63 percent). In the rest of the groups, satisfaction rates were just over 50 percent.

Participants in HMOs had much higher levels of satisfaction than participants in Physicians Health Plan or the State Health Plan. In 1988, 47 percent of respondents belonged to the Blue Cross and Blue Shield-administered State Health Plan (at that time it was Blue Cross Aware Gold), versus 27 percent in 1990. The main reason employees switched was the high cost of premiums.

Respondents overall ranked HMOs the most important health-plan option, followed by preferred-provider organizations (PPOs) with out-of-network options, and then by fee-for-service plans. The fee-for-service plan was ranked as the most important plan by 33 percent of the Twin Cities faculty and 40 percent of the highest paid employees.

Nearly half of respondents, 46 percent, say they'd like Boynton Health Service and the University Hospital included in a health-plan option. In the Twin Cities, 67 percent favored that option.

Respondents say they are willing

to pay more for an HMO than a PPO or a fee-for-service plan, although Twin Cities faculty and the highest paid employees favored the fee-for-service plan. But most respondents weren't willing to pay more than \$25 a month for single coverage and \$50 a month for family coverage, although participants in the State Health Plan, Physicians Health Plan, and MedCenters Health Plan now pay more than \$50 a month for family coverage.

If the University had flexible benefits (allowing employees to apply employer-provided benefit credits toward any type of coverage they choose), most respondents would apply their flex credits first to health care benefits, followed by employee life insurance and health care reimbursement accounts.

The following are survey results by campus.

Crookston

Crookston employees have only one health-plan provider: State Health Plan. More than 60 percent of respondents ranked a PPO as the most important health care option, followed by a fee-for-service plan, and then an HMO.

Duluth

Duluth respondents were highly dissatisfied with benefit levels: 25 percent listed benefit levels as the greatest cause of dissatisfaction at the last open enrollment. Duluth also had the highest percentage of employees switch coverages in 1990—30 percent. But 21 percent say they switched because their prior health insurance option was no longer available.

Morris

More Morris respondents—65 percent—were dissatisfied with their health-plan choices than on any other campus.

Twin Cities

Twin Cities respondents had the greatest complaint about high

Standards, from p. 2

and ethical obligation to tell students what is expected of them when they enter the University. And so far, the University's campaign has been effective.

"Did the University get the message to the high schools, and are the high schools responding, and are students getting the message about coming prepared to the University? I'd say absolutely," Cowmeadow says.

The committee's most difficult task was trying to decide if the requirements should include the arts, she says. Although the arts are essential elements in a liberal education, the committee found that the range of arts instruction available in secondary schools would not accommodate the variation in ability and interests among students who might choose to attend the University. The

committee decided instead to recommend, not require, arts instruction.

The University's new requirements have had a major impact on the ways school districts statewide prepare their students for college, but other factors have contributed as well, Cowmeadow says. "The Higher Education Coordinating Board has had a role to play in that, but I think the state legislature has also played a role, and society in general, too, in terms of the economic futures of young people with dreams who look at education as being a way to fulfill those dreams. That theme is still there except now the message clearly is that if you want to get into college, you'd better be prepared, and people will hold you to these preparation requirements." ■

Benefits, from previous page

premium costs. Participation in Group Health, the lowest cost plan, has increased from 34 percent in 1988 to 48 percent in 1990, while participation in the State Health Plan, the most expensive plan, dropped from 43 percent in 1988 to 18 percent in 1990. The main reason for the changes was premium costs.

Waseca

More respondents said the rising cost of health care was a problem for them (83 percent) and the University (93 percent) than on any other campus. ■

The Chair's Report will resume in the next issue

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IN THIS ISSUE

Preparation Standards
Health Benefits Survey Results

Next Footnote—January 8

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FOOTNOTE

□ January 8, 1991

□ Volume 4, Number 10

□ Published by the Faculty Consultative Committee

Decision Time: Reallocation Proposal Ready For Discussion

Improving undergraduate education is central administration's top priority as it begins making reallocation decisions that will signal the end of some programs and additional funding for others.

While some programs are facing major changes, faculty and staff could be facing two years without salary and inflationary increases unless the University receives additional state funding.

The University's goal is to reallocate \$10 million a year for the next five years, or an average of 2 percent per year by campus or vice-presidential area. Under the plan, costly programs with a low demand will be eliminated, consolidated, or curtailed. Funds that had supported those programs will be used to improve programs that are in higher demand and offer the greatest benefit to the state.

The University has accelerated its reallocation planning process because of the dismal state fiscal projection and talk of a national recession. Meanwhile, the University has needs that must be met in order for it to continue serving Minnesota as its top educational and research institution. But state officials instructed University central administrators to justify the University's appropriation base, and not to ask for any new funds, when they bring the University's 1991-92 budget request to the legislature.

"The basic thrust of our discussion now is to protect our base," President Nils Hasselmo says. "The base is clearly threatened. We feel that reallocation and restructuring to use our resources more effectively is the best way to protect that base. If we don't reallocate, you can be sure that we'll be pretty defenseless. Politically, it's the best thing to do."

Reallocation, Hasselmo maintains, is not crisis management, but rather a continuation of planning and a signal to the legislature that the University is carefully examining its programs and is recommending major changes to make the best use of its resources. Hasselmo will present reallocation proposals to the Board of Regents January 11, followed by intense consultation systemwide. The board is expected to act on Hasselmo's final recommendations in March.

"There's continuity and a continuation of doing things that we have been planning—that is, honing the profile of the University, setting priorities, and putting resources into those priorities," Hasselmo says. "But we have another factor now and that is the state's situation that is squeezing us harder, which is causing faster decisions."

Hasselmo is uncertain about where the legislature and Governor-elect Arne Carlson stand in terms of funding for the University, but he has been instructed to plan for contingencies. Carlson took office January 7 and won't put forth his budget until February. But cuts are possible for the current year's budget, and cuts could be as high as 10 percent for the 1991-93 biennium. "We have not been asked to cut this year's budget yet," Hasselmo says. "We've considered what we will do if cuts come." If the University is asked to make cuts this year, adjustments will be made using temporary resources, he says.

Should the University receive state funding in addition to its base, the money would be used for salary and inflationary increases, Hasselmo says. "We have laid down certain principles that we will be discussing with the board beginning

in January. One of those principles will have to be that if we get any new monies, they will go to inflationary increases and salary increases for faculty and staff.

"At this point, we're not reallocating specifically to cover inflationary increases or faculty and staff salaries," he says. "We're reallocating to make programmatic improvements. But if we get squeezed, we'll have to, in some instances, cover inflationary increases. Whether we make salary adjustments through reallocation is still an open question, but we are very reluctant to think in those terms."

Part of the problem facing the University is the cost of salary increases. Giving faculty and staff a 1 percent increase each year of the biennium would cost \$13 million, while anything less than a 3 percent increase might be taken as an insult, Hasselmo says. "It may be that unless we can get significant assistance from the state, we won't get salary increases," he says. "I agree, though, that the most important resource we have at the University is the people who work here."

The University used reallocated funds for salary increases during the current biennium and received mixed comments on that decision. That was the right thing to do then, Hasselmo says, but he's not sure it's the answer this time.

Reallocated funds, however, will certainly be used to strengthen undergraduate education, which is the top priority of reallocation, Hasselmo says. A key measure of improved quality will be a higher graduation rate. "Our most important products are the graduates of this university. Everything else pales by comparison. If people don't

Reallocation, next page

Reallocation, from previous page

reach that stage of their education, I think that we have not fulfilled our responsibility."

Colleges that have a major responsibility in undergraduate education, such as the College of Liberal Arts (CLA), the Institute of Technology (IT), and the Morris and Duluth campuses, will benefit from reallocation, Hasselmo says. Other parts of the land-grant mission—research and public service—also will be given high priority.

But even those colleges and campuses that will be net gainers in reallocations were required to examine their operations and may suffer cuts in some areas to benefit the unit as a whole. "That's how we create credibility for what we're doing. We need to continually review what we do," Hasselmo says.

Reallocation and the ongoing review and planning process also aim to improve institutional quality through efficient and effective use of its resources. The process is

intended to maintain high quality in the faculty and staff, preserve the University's physical assets, improve the quality of education, provide better access to the University, continue a high rate of growth in research, and increase technology transfer and outreach.

The University's criteria for reallocation are: quality of the program's faculty, students, library collections, and other indices; centrality, in terms of the program's contribution to the University's mission; the unique characteristics that make the program appropriate to the University; the program's short- and long-term demand; and its efficiency and effectiveness.

Through reallocation, Hasselmo says he will reduce nonacademic areas by 10 percent and use those funds to improve academic areas. The University Building Energy Efficiency Project is expected to be one source of significant savings.

"Our planning centers around the drive for quality," Hasselmo says. "By quality, I mean that students graduate and complete their education at the University of Minnesota in a timely fashion." To accomplish that, the University needs to make financial aid available to more students and help students get the classes they need to progress at their desired rate, he adds.

As the University removes some of the obstacles to a timely graduation, it must also offer students incentives to take as many credits each quarter as possible, says Bruce Overmier, professor of psychology and a Faculty Consultative Committee (FCC) member. Incentives could include a fee that all students would have to pay when registering, regardless of the number of credits they take. Such incentives would help students complete their education faster and avoid increases in tuition and fees that typically delay graduation.

If reallocation changes require the University to reduce the number of undergraduate students, the reductions would come in the lower division because courses at that level are available at dozens of other higher education institutions statewide, Hasselmo says. The University will continue to offer a strong undergraduate program, and even at its low-enrollment point will have

32,000 undergraduates. "We have to define what we want to do, then use the resources we have to do that with quality," he says.

Other potential changes include a reduction in the number of majors without limiting opportunities for students, Hasselmo says. Efficient use of faculty time is also being examined. Central administrators are studying ways to offer some types of instruction by other means, which would free up faculty for more "meaningful interaction" with students.

Major changes that affect the most lives and are of the most serious nature should be carefully examined for integrity by thoroughly consulting faculty members in the affected area, FCC chair Warren Ibele says. "The University could profit from their best judgment."

As programs are eliminated, the University is committed to fulfilling its contractual obligations to faculty, staff, and students, Hasselmo says. Students enrolled in a program that will be cut will be able to complete the program in a reasonable amount of time.

Tenured faculty will not be laid off.

Hasselmo says the University will go beyond the legal requirements of fulfilling contractual obligations to faculty and staff. Central administration will offer reassignment or retraining to those who will be affected by the cuts. "It's important for fairness and it's important for the morale of the institution, because we have to get members of the University to buy into this process. We want to create an environment where people are prepared to work toward constructive change.

"We're not going to run roughshod over the lives of employees of this institution. There are going to be some difficult changes for some of them, but we're going to be as protective as we possibly can," Hasselmo says.

FCC members expressed concern about the futures of tenured faculty whose programs will be eliminated and the process by which those faculty members are reassigned to different departments. "What happens to tenured faculty if they're not accepted by other colleges? Do they just stay in limbo?" asks Charlotte Striebel,

FOOTNOTE

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mathematics associate professor.

Hasselmo says the University will provide advising for faculty in that position and adds that departments will have to be somewhat flexible in accepting tenured faculty from units that are cut or reduced. "If vacancies occur and we can fill them in a satisfactory manner with faculty from other areas, we may have to do that," he says. "There will have to be a lot of negotiating."

The University will benefit from some natural turnover that will create openings for faculty whose units have been eliminated, Hasselmo says. Some faculty members will have the opportunity to relocate in another area of expertise, and some vacancies will be filled with reassigned faculty instead of faculty who normally are hired through a national search.

FCC member Norman Kerr, professor of genetics and cell biology, suggests that Governor Carlson take a stand in protecting tenured faculty members by removing the barriers between universities, colleges, and community colleges throughout the state. Then faculty members whose units had been eliminated could take a new position at a different institution without the fear of losing tenure.

"Meaningful changes will have to cut across all systems," Hasselmo says. "We may hear something like that from the new governor."

Faculty members from the Crookston and Waseca campuses, if they are faced with being reassigned to another campus, would have different concerns, says FCC member Paul Holm, associate professor of arts and sciences in Crookston. Those faculty members would encounter a totally different environment at other campuses, where a strong research record is expected for tenure. Also, they could have the added concern of selling a house.

Hasselmo says he hasn't examined the issue of moving faculty members geographically, but he hopes the University has a minimal number of such cases.

The first round of central administration's reallocation decisions, which focus primarily on the 1991-92 budget and possibly the 1991-93 biennium, will be dis-

cussed with the Board of Regents January 11. Hasselmo will offer recommendations to the board in February, and the board may take action on the final recommendations in March.

At the board's January meeting, Hasselmo will outline the circumstances surrounding the reallocation process and will identify areas that need improvement, with an emphasis on undergraduate education. Then he will identify seven or eight major unit cuts that will help fund the improvements.

After the January meeting, Hasselmo will meet with faculty, staff, and student groups system-wide to discuss his proposal. He will meet with each Twin Cities campus collegiate unit between January 28 and April 28. He will meet with academic staff on March 21 and April 8, and civil service staff on February 13 and March 19.

Open meetings on the Twin Cities campus include two president's forums scheduled for January 31 at Coffman Memorial

Union and February 5 at the St. Paul Student Center, and a Board of Regents open forum scheduled for January 30 in the Earle Brown Center. Written or oral comments can be made to the board before its forum. Comments also can be sent to Warren Ibele, FCC chair, 125 Mechanical Engineering.

Hasselmo will meet with governance groups and conduct open forums at Waseca on January 10, Duluth on January 14, and Crookston and Morris on January 15. He also is scheduling meetings with alumni, the University Foundation, the Commission on Women, and the President's Minority Advisory Committee.

"This doesn't represent any change in direction or the mission of the University," Hasselmo says. "It means that we're going to try to strengthen the special obligations we have as an institution." ■

Nominees Needed

Nominations are now being accepted for new Twin Cities campus faculty positions on the Senate Consultative Committee, the executive committee of the University Senate. The committee oversees the work of the University Senate and its committees, and its members meet regularly with the president and other officials to discuss and give advice on the many vital issues affecting the University. Twin Cities members of the consultative committee also serve as the Twin Cities Campus Assembly Steering Committee. Members do not represent specific constituencies, but serve the total University community.

Nominees should have a broad perspective on University affairs, an interest in major policy and budgeting issues, some experience in University or college governance, and a readiness to help shape the University's agenda in the years immediately ahead. Service on the committee involves a substantial time commitment. Nominations are for three-year terms.

Nominations, citing the nominee's qualifications, are due January 15 and may come from any college. Write or call Martha Kvanbeck, Senate Office, 427 Morrill Hall, (612) 625-9369.

Twin Cities members whose terms expire in June are Warren Ibele (technology) and J. Bruce Overmier (liberal arts).

Twin Cities members whose terms continue beyond this academic year are W. Andrew Collins (education), Amos Deinard (Medical School), Norman Kerr (biological sciences), Thomas Scott (liberal arts), and Charlotte Striebel (technology).

The terms of Paul Holm from the Crookston campus and James Van Alstine from the Morris campus continue through June 1993.

Members of the Nominating Committee on the Twin Cities campus are: Carl Adams, 624-5220; William Gerberich, 625-8548; Larry Smith, 625-2778; Michael Steffes, 625-2661; and Jean Ward, 625-5598.

THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

Hate Crimes

The incidents at Bailey Hall and Frontier Hall during fall term are instances of racism and bigotry that fit the pattern repeated on college and university campuses across the country. Their frequency has become a matter of grave concern. At its December meeting, the Senate Consultative Committee discussed the incidents and approved a statement that was sent to each faculty member, with a request that the substance of the statement be conveyed to students at the first class meeting of winter term.

Further plans were being made for an all-University convocation on January 14 with the opportunity for small-group discussions to follow. Other programs are being planned for considering issues of concern in an informed, deliberate manner. These discussions can expand our knowledge and understanding. For the long term, the University's Task Force on Diversity will continue to recommend policies and programs that, in a fundamental manner, address the University's goals with respect to diversity.

For those too young to remember the 1960s and early 1970s, these

racial attacks on students are shocking. For those old enough to remember those times, the attacks are a sober reminder of the work yet to be done. As reprehensible as these acts are, they can serve as a catalyst for change if members of the University are moved to that purpose.

Reallocation Process

The Faculty and Senate Consultative Committees met with President Hasselmo January 3 to discuss the planning principles and schedule for the next steps in reallocation. The Senate Committees on Educational Policy and Finance and Planning will also have met with senior vice presidents Leonard Kuhi and Gus Donhowe respectively early in January to discuss the same process.

The University's goal is to reallocate \$10 million each year for the next five years or an average of 2 percent annually by campus or vice-presidential area. It is expected that the work in the colleges during fall term will have identified programs and activities that can be reduced, consolidated, restructured, or eliminated. The savings from these actions will be used to improve programs of higher priority.

The process has been advanced by one month, but, with some special meetings of the major senate committees, it should be possible to provide central administrators with reactions, recommendations, and counsel.

Action by the Board of Regents is scheduled for March. An open forum by the board is scheduled for 1 to 4 p.m. January 30 at the Earle Brown Center. The consultative committees will hold several meetings prior to the board's March meeting. This exercise clearly will claim a large portion of the agendas of the various senate committees, but, given the importance of the reallocation process to Academic Priorities, that does not seem inappropriate. With the process further constrained by the state's economic outlook, that commitment of faculty time would seem to be essential. ■

Editor's Note: You may have noticed a slight difference in the quality of type in the last two editions of *Footnote*. The difference was due to an effort on our part to save production costs.

In the December 4 *Footnote*, we eliminated a production step by using in-house laser printing instead of the more expensive high-resolution output. We're fine-tuning the new production process in this and subsequent editions.

The quality of type in *Footnote* should not vary much from this point on. Along the way, we ask for your patience and comments. If you have concerns about the appearance or readability of *Footnote*, or if you have suggestions, call Geoff Gorvin at (612)-624-6065. ■

FOOTNOTE

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IN THIS ISSUE

Reallocation Process
Hate Crimes

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Next *Footnote*—January 22

FOOTNOTE

 January 22, 1991

 Volume 4, Number 11

 Published by the Faculty Consultative Committee

Proposals Are On The Table

Faculty Support Sought For \$58 Million Reallocation Plan

Faculty support for the University's \$58 million reallocation proposals seems to be growing as discussion among faculty groups intensifies. Some faculty members agree with the principle behind the proposals but are asking for more detail before they fully commit themselves.

The Senate Committee on Finance and Planning voted unanimously during its January 15 meeting (with two students abstaining) to support the proposal in principle. The Faculty Consultative Committee (FCC) and the Senate Consultative Committee (SCC), at their January 17 meetings, stopped short of supporting the proposals,

opting instead to wait for more details. If those details come out before the Board of Regents' January 30 open forum, the SCC may call a special meeting to review the new information before offering comments at the forum.

Central administrators have called on the faculty to back the proposals. "We do want your support. Without the support of the faculty, this could all collapse," Leonard Kuhi, senior vice president for academic affairs, told the FCC.

Several faculty members agree, including Burton Shapiro, finance and planning committee chair and

professor of oral science. "If the faculty doesn't support it, it's a dead issue," he says. "It's important for them to get our support."

"The better informed we are, the better advocates we can be," says Warren Ibele, FCC chair and professor of mechanical engineering. "My sense is that it has taken some courage for the deans to come up with these recommendations. It seems to me that to have the thing deteriorate because people don't like one part of it or another would be unfortunate. If we start picking it apart, it's likely to unravel."

Charlotte Striebel, FCC member

Reallocation, next page

Reallocation Proposals

Net increases:

College of Liberal Arts	\$ 4,500,000
Institute of Technology	3,000,000
Duluth Campus	1,000,000
Morris Campus	500,000
Carlson School of Management	400,000
College of Pharmacy	250,000
School of Public Health	500,000
Extension Service, Experiment Stations	1,500,000
University Libraries	1,000,000
Biomedical Engineering	500,000
Special System-wide Initiatives	7,920,000
Total	\$21,070,000

Net decreases:

Central Admin., Services, Operations	\$ 8,950,000
Waseca Campus	6,430,000
Health Sciences Units	600,000
General College	510,000
College of Education	1,880,000
Continuing Education and Extension	1,760,000
Graduate School	210,000
Colleges of Agriculture, Natural Resources, Human Ecology	530,000
University College	60,000
Special State Appropriations	140,000
Total	\$21,070,000

Internal Reallocations:

College of Liberal Arts	\$ 4,740,000
Institute of Technology	4,890,000
Duluth Campus	4,080,000
Morris Campus	1,150,000
Crookston Campus	720,000
Carlson School of Management	1,430,000
Health Sciences	8,800,000
Colleges of Agriculture, Natural Resources, Human Ecology	5,640,000
University Libraries	1,360,000
College of Biological Sciences	1,090,000
Law School	250,000
College of Architecture and Landscape Architecture	240,000
Humphrey Institute	140,000
Information Services	1,200,000
Student Affairs	1,130,000
Graduate School	30,000
Total	\$36,890,000

Total Reallocation:

Among major units	\$21,070,000
Within units	36,890,000
Grand total	\$57,960,000

Reallocation, from previous page
and program director for mathematics, warns that the reallocation process could be an invitation for "creative accounting" by some colleges. "It's not that hard to rename things and shuffle money around," she says. "I have a feeling that some of that is going on."

Reallocation is not "smoke and mirrors," and reallocating money to other colleges cannot be done with creative accounting, associate vice president Robert Kvavik told the SCC. "If that occurs and we let that occur, then we fail."

The proposals, which were presented to the Board of Regents January 11, will be the topic of many more meetings and forums in the coming weeks. The board will receive final reallocation recommendations at its February meeting and is scheduled to take action in March.

The proposals involve redistributing \$21 million between colleges

or units, and shifting \$37 million within colleges and units (internal reallocation) in the next three to five years. Although most of the details and implementation plans of the proposals have not been determined, program cuts are inevitable and many faculty will find themselves faced with difficult decisions if they intend to remain at the University.

The two colleges that would receive the most reallocated money under the proposals are the College of Liberal Arts (CLA) and the Institute of Technology (IT), which would receive \$4.5 million and \$3 million respectively. The Duluth campus would receive \$1 million, and the Morris campus would net \$500,000. Another \$8 million would fund special system-wide initiatives: the Undergraduate Initiative, minority recruitment and retention, K-12 initiatives, research, international education, and telecommunications for greater Minnesota.

CLA and IT would receive a substantial portion of the money reallocated between units because they provide instruction to 75 percent of all lower division students on the Twin Cities campus and more than 60 percent of all undergraduates. Both colleges also have nationally prominent departments that are threatened by a lack of funding.

"CLA is very understaffed for the number of students it serves," Anne Hopkins, vice provost for arts, sciences, and engineering, told the SCC. "We need to take a good chunk of the money and invest it in new lines in departments that have great needs."

Through internal reallocation, the College of Agriculture would fund its new undergraduate curriculum and some general education courses, and would increase research. The College of Natural Resources would integrate research and education programs and deal with rapid enrollment increases by improving quality and increasing efficiency. The College of Human Ecology would consolidate and redesign courses and programs and improve advising and research productivity.

Duluth would use both its net increase and its internally allo-

cated funds to add faculty for American Indian studies, political science, theater, and composition. Recent improvements to Duluth's arts and sciences curriculums also would be funded, and funding would be increased for programs in business and social work to meet accreditation standards.

Areas heaviest hit by the proposals would be central administration, services, and operations, which would lose about \$9 million. Another \$6.4 million would come from the Waseca campus, which would be phased out by June 1992.

Some of the programs facing elimination include Williams Laboratory and the Mineral Resources Research Center in IT, KUOM radio station, Duluth's dental hygiene program, and the MacPhail Center for the Arts.

Central administration has been reorganizing its units and services and improving management and work practices to increase productivity. Those efforts would continue under the proposals. Large savings would be realized through an improved financial system, which would reduce the number of forms used by the University, change the method of data input, and automate many areas, Gordon Donhowe, senior vice president for finance and operations, told the finance and planning committee.

Central administration also has a task force studying workers' compensation, which costs the University \$38 million a year and is rapidly increasing. The University needs to reduce those costs by using methods such as incentives for employees who work in areas with high accident rates. "It's not a question of denying benefits to anyone, it's a question of ensuring safety among workers and treating this as a human and cost issue. There's a lot of those kinds of things that we haven't looked at yet," Donhowe says.

Ibele is concerned about the proposed cuts to central administration, services, and operations because sometimes, he says, those cuts reappear in departments as additional expenses. "It needs to be real savings or we're deceiving ourselves."

The proposal to phase out the

FOOTNOTE

Volume 4, Number 11
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Managing Editor: Geoff Gorvin
Copy Editor: Nancy Rowe

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Waseca campus has gained the most attention. The University spends nearly \$10,000 per student at Waseca—almost twice the amount for lower division students on the Twin Cities campus. Also, alternative programs are available at other nearby institutions. In fact, all but two of Waseca's programs are offered at other colleges or universities within 80 miles of Waseca.

Members of the finance and planning committee asked Donhowe what would happen to Waseca's 40 faculty members if the campus closed.

"We'd have to look very creatively at that if it happens," Donhowe says, adding that faculty salaries at Waseca cost the University \$1.5 million. Salaries for Waseca's professional/administrative positions are another \$1 million.

Donhowe emphasized the importance of the Waseca proposal to the overall reallocation plan. "It seems to me that the crucial issue is keeping Waseca in this package," he says. "I don't see any interest at all by the legislature to overturn it. In fact, they'd probably applaud it. I'm not sure if we have that much support for that action by the Board of Regents. I heard a lot of discussion to temper the recommendations. None of them were saying flat-footed that they'd back this package. If this thing has any tendency to unwind, it'll unwind over Waseca. And if that happens, the package crashes."

As programs are eliminated, the University will work with the affected faculty members to offer other opportunities in the University system. Faculty members will not be laid off and a hiring freeze will not be instituted, Kuhi says. Instead, the University will rely heavily on attrition to solve many of the faculty-related issues.

Each year, Kuhi says, about 125 faculty members retire, resign, or leave the University for other reasons. "We hope to achieve a lot of this change by attrition. We also have the issue of tenure, which limits our flexibility greatly."

Although central administrators say they're committed to retraining and helping relocate faculty members who are affected by program cuts, central administrators

shouldn't lose control of the process, because it could be detrimental to the entire reallocation plan, says Bruce Overmier, FCC member and professor of psychology. "What about faculty members who want to move to a unit that is slated for reductions? Central administration needs to consult with the faculty. It must be a compromise between your best interest and the best interest of the University. All the moves could go exactly in the wrong direction" he says.

But concentrating on relocating faculty to fill vacancies within the University could eliminate the chance for the University to renew its faculty with new faculty members, says W. Andrew Collins, FCC vice chair and professor in the Institute of Child Development.

Programs receiving new funds may get new faculty, though, Kuhi says. "You can't take money away and expect to hire, too. We could hire in departments that show the most potential for improvement."

As the University adds new faculty positions, it also needs to add support staff, Overmier says. In some cases, vacant faculty positions could be converted to support-staff positions. "Every time you add a faculty member without support staff, the faculty gets short-changed," he says.

Kuhi agrees and emphasizes that colleges often cut support staff first when faced with budget cuts. "Pretty soon you'll have all faculty and no support staff," he says.

Other concerns raised by faculty members include decreased funding in the Graduate School, elimination of programs in the College of Education, and problems with Continuing Education and Extension (CEE), which also faces reduced funding.

The decrease in funding for the Graduate School (\$210,000) sends a message to the graduate faculty that the University is moving away from graduate programs, Overmier says. "There's concern because of the number of programs in the Graduate School that can't be pursued fully because of a lack of funds."

But the \$210,000 isn't a significant shift, Kuhi says. Also, much of the money that IT would gain through reallocation would be used

for its graduate programs and research initiatives. "When you're talking about the Undergraduate Initiative, people think you're getting out of the graduate program, but that's not the case. The amount of money for research is enormous," he says.

Another issue of concern to faculty members is the large cut in the College of Education—\$1.9 million. The University slowly has been phasing out the college's prebaccalaureate teacher certification program because of Minnesota's teacher surplus and duplication of the program by other institutions in the state. The College of Education would concentrate on offering master's degrees instead.

"The downsizing (of the program) won't have an effect on the supply of teachers that much," Kuhi says. "When it's complete, there's a potential for large savings."

The College of Education also has to be involved in the K-12 initiative, which is part of the system-wide initiatives slated to gain reallocated money. The K-12 initiative is an effort to improve science and math teaching for K-12 students. The amount of money needed for that initiative is unknown, Kuhi says, but the College of Education will probably benefit from it.

Continuing Education and Extension may lose \$1.7 million at the expense of some of the best and most demanding students, Overmier says. But those students don't always get the level of instruction they deserve because of the program's structure.

"We're sensitive to the issue," Kvavik says. "We're planning to organize a review of Continuing Education and Extension and decide how those services should be offered."

SCC members also discussed the direction of higher education in Minnesota. The proposals call for a blue ribbon committee to study the different public systems and recommend a master plan to coordinate the systems in an effort to reduce program duplication by institutions in the same region of the state.

Reallocation, from previous page

"The state has no choice but to look at the structure of higher education in Minnesota," C. Eugene Allen, vice president of the Institute of Agriculture, Forestry, and Home Economics, told the SCC. "If each system starts making decisions without the help of a committee, we may not have higher education in areas that need it in the 1990s and the 21st century. The state can't continue to fund it all. If higher education doesn't get coordinated, programs will be dribbled all over the state." He suggests using more telecommunications as an affordable way to offer diverse programs. ■

Reallocation Forums Scheduled

The Board of Regents and President Nils Hasselmo will conduct open forums in the coming weeks to discuss the University's reallocation proposals.

The board's forum will be from 1 to 4 p.m. January 30 in room 135 of the Earle Brown Center. The forum is an opportunity for constituents to convey their views on the proposals. The board is interested in hearing both critical and supportive opinions.

Those who wish to speak at the forum must contact the regents' office by January 25. The office is in 220 Morrill Hall, 100 Church St. S.E., University of Minnesota, Minneapolis, Minnesota 55455; the telephone number is (612) 625-6300. Speakers must provide their

name, address, telephone number, the reallocation issue they wish to address, and their connection with the University. Speakers will be notified of their time on the agenda and will be limited to five minutes.

If the number of speakers exceeds the time available, those who best represent views on a variety of issues will be given time on the agenda. Speakers who wish to provide written information must submit the material in advance to the regents' office for duplication.

The president's forums will be from noon to 1 p.m. January 31 in the Mississippi Room of Coffman Memorial Union, and from 1 to 2 p.m. February 5 in the St. Paul Student Center Theater. The forums are open to faculty, staff, and students. ■

The Chair's Report will resume in the next issue

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University of Minnesota
Minneapolis, MN 55455

IN THIS ISSUE

Reallocation Reaction
Open Forums Schedule

Next Footnote—February 5

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FOOTNOTE

February 5, 1991

Volume 4, Number 12

Published by the Faculty Consultative Committee

New Health Care Plan Proposed

The University is preparing to implement a new health insurance plan that makes major changes in benefits available to employees, program administration, and choice of providers.

The Health Plan Task Force has a proposal that would overhaul the current health care program by breaking away from the state and setting up the University's own health care program. The proposal will be discussed during the next month with various groups on each campus before being presented to central administration. If all goes well, University employees could choose from a new menu of health plan options starting next fall during open enrollment. The changes would take effect January 1, 1992.

"This plan offers more flexibility and more self-determination by employees on how to use their benefit dollars," says Robert Dickler, director of University Hospital and Clinic and task force chair. "We felt there were a number of exciting possibilities that permitted a very diverse community to tailor their benefits to their needs."

Dickler was appointed task force chair after former chair Gus Donhowe, senior vice president for finance and operations, died January 19. Donhowe played a major role in initiating the review and in restructuring the University's health plan. Dickler says the task force is past the most crucial part of the process, so Donhowe's death shouldn't deter the completion of the project.

The proposal involves four options: an HMO Plan, Choice Plan, Catastrophic Plan, and no coverage (see box). The first phase would start January 1 next year, when flexible benefits and the new program design would be available to employees. Phase two would start as early as 1993 and could

include improvements in life insurance, disability, and savings options.

The proposal was developed because employees were dissatisfied with the state program offered in 1990 and with the University's lack of influence on the state's decisions. The state plan, for example, eliminated Boynton Health Service from its network last year, leaving Boynton to make its own arrangements with PHP to remain as a network option for employees.

A University-wide survey revealed that employees felt they no longer had a choice of plans and providers because of the relatively high contributions required for the state plan and PHP, and the out-of-pocket cost for going to non-network providers under the state plan. These costs effectively limited employees' options to one of the

HMOs or to only network providers.

"We felt that not only could we address many of the issues that people had identified," Dickler says, "but we could provide more stability and more sensitivity to future University issues."

The proposal meets many of the task force's objectives, he says, including giving the University control of health benefits, devising a package that wouldn't cost the University more money and would remain affordable for employees, and offering more health care providers.

"We can't go back to what a lot of us would like to see, and that's indemnity insurance, which is low priced. That doesn't exist," Dickler says. "Given that, this proposal would permit people to enroll in the

Health, next page

Health Plan Proposal at a Glance

The **HMO Plan** in the Twin Cities would likely be an improved Group Health plan with a network that would include University Hospital and Clinic, and Boynton Health Service. Under this plan, benefits are paid when you use Group Health providers. The cost for the HMO Plan would be similar to, or slightly less than, the current Group Health plan.

Under the **Choice Plan**, any health care provider could be used, but using a network provider would result in greater benefits at a lower cost. This option would have better out-of-network benefits than the state health plan currently provides. The network for the Choice Plan would include University Hospital and Boynton Health Service. This option would be offered to employees on all campuses and would cost more than the HMO Plan but less than what PHP and the state health plan cost.

The **Catastrophic Plan**, which also would be offered to employees on all campuses, is the least expensive option, with a \$1,000 deductible and 80 percent/20 percent coverage. This plan would be for employees who have other coverage or who are willing to assume some health risk in exchange for lower contributions. Under the Catastrophic Plan, employees would receive a cash refund or credits that could be used to purchase other benefits.

A **no-coverage option** would be available for those who have health care coverage under another plan. You receive a cash refund or credits if you select this option. ■

Health, from previous page

type of health care delivery system they're most comfortable with, and would give them the flexibility in the Choice Plan option to do things differently if they so choose during the course of the year."

Although the proposal serves as a good base for a new health care package, the task force still has work to do, says Avner Ben-Ner, associate professor of industrial relations and a task force member. "As the recommendations stand, they're preferable to what we have now, but we can improve on them."

Robert Hexter, chemistry professor and task force member, agrees. "We're far from being completely finished. We have four skeletons, now we have to hang some skin on them. But we have something that we can all work with. It satisfies the various criticisms and questions and wonderings that a lot of us have had as the plan was developed."

The biggest advantage the proposal has over the current plan is

the greater choice of health care providers, which was a major concern of faculty members, Dickler says. The Choice Plan should meet everyone's needs since it allows employees to move in and out of the provider network throughout the year.

One of the most commonly asked questions, Dickler says, is why the plan can't include all health care providers. "You need to get sufficient value to get a good price and to be able to manage the overall utilization patterns and premium levels. It's not possible to reshape the system on top of providing everything we've had in the past and still have reasonable premiums. Unfortunately, that's not feasible."

Hexter agrees that faculty want more choices of health care providers. They apparently value health care more and are willing to pay for it. "This plan, in principle, gives the faculty member, or anyone else, that option: better coverage for what is presumed to be more money," he says.

And if some providers drop out of the plan, other options are available for employees who want to stay with those providers, Hexter says. "It's much better than the capricious method of the state plan, which excluded numerous fine physicians without any explanation whatsoever, either to the physician or to us."

A University-controlled health care system also will have a greater consideration of faculty concerns than the state system, which is primarily geared toward civil service employees and various state unions, Dickler says. With the proposed plan, University faculty members should have a greater opportunity to influence decisions.

Another major consideration of the task force, Dickler says, was cost. This would vary among employees, but many would not pay a higher premium. In cases where employee premiums would be higher, total costs would depend on variables such as marital status, family coverage, the amount of health care coverage they have, and how much out-of-network care is used. In many instances, Dickler says, people who might face a higher premium would pay less out-

of-pocket costs overall than in the current state health plan or PHP.

Although the proposal offers more flexibility than the current package, it does not provide a classic indemnity option like Blue Cross Blue Shield Aware Gold, Dickler says. "That is, in contemporary society, a policy that exceeds the economic resources available at the University and one which will, because of its lack of control, be increasingly less viable in the future. So the task force did not feel that it's viable today."

"It's not a full indemnity plan—it's a co-pay and that bothers some people," Ben-Ner says. But increasing the co-payment and lowering the premium and deductible will balance out and should keep people from using services they don't need.

"I don't think the task force wants to represent this as being less expensive to everyone," Dickler says, "but on average, it has the potential for being less expensive, either on premium alone or in aggregate health costs. We spent a lot of time trying to look at the balance between premium costs, out-of-pocket costs, and flexibility and freedom for the employees. You always come up with compromises."

The University, however, didn't compromise over using its health facilities. University Hospital and Boynton Health Service are included in each option, as requested by more than half of the survey respondents. But the task force did not design the plan around the University facilities, Dickler says.

"We wanted to ensure access, but we were trying to structure health care insurance and a delivery system that were responsive to employees' personal health care needs," Dickler says.

"Some think this is a solution to help the University more than the faculty," Ben-Ner adds. "I'm all for helping the University if it helps faculty and staff as well."

An advantage the proposal would offer the University is greater control over the structure of the plan and the quality of services delivered. The proposal would also give the University ample time and more control over communicating changes to employees.

But Ben-Ner cautions that the network and the method of control

FOOTNOTE

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Copy Editor: Pam LaVigne

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haven't been determined. "I will vote against this plan if the network is inferior and the control does not materialize," he says.

Hexter is equally cautious. "With all the administrative talent we have in this university, there is no one who has the experience of administering a health plan of this sort. A lot of details we'll have to undertake to present a final working plan," he says.

Ben-Ner has other concerns as well. He's not convinced that the plan could be implemented as proposed while keeping the cost affordable. "In a sense, it's too good to be true. If we can do it so well, we should take over the state program."

He's also skeptical about the claim that eliminating the PHP and MedCenters plans would save the

University money. The consultant to the task force, he says, argued that "if everyone gets their way, you'd dilute the plan." Employees who want those two plans would probably be high-risk individuals who would be willing to pay more for health benefits and would probably use the services more. "We shouldn't restrict the option of paying for a more expensive option," Ben-Ner says.

The proposal does hold risks and disadvantages to the University and employees. Employees, for example, would have fewer provider-network options, meaning some would need to change physicians if they wanted to take advantage of the benefits at the network level. And with its own plan, the University would assume more financial risk. With the state's plan, the University's

only financial risk has been the rates set by the state.

Faculty and staff will have the opportunity to react to the proposal during the next month. Task force members and central administrators will meet with faculty and staff groups systemwide to discuss the proposal and collect comments. By the end of February, the task force should have a final proposal for central administration.

The time factor is becoming crucial, Dickler says. To have a new health care package in place by January 1, 1992, the University must send out requests for proposals to potential providers by the end of March. "If we want to break away from the state, we need to move expeditiously," he says. "The lead time is very important here if we're going to do this correctly." ■

□ THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

Senior vice president Len Kuhi met with the FCC January 17 to discuss the University's reallocation plan, and later that day, administrators Anne Hopkins, Bob Kvavik, and Gene Allen met with the SCC to continue discussions. The plan is a bold proposal to reallocate \$21 million of current University resources toward units and programs where student enrollment and the need to improve quality and vitality are compelling. In addition, the plan calls for the reallocation, within units, of \$37 million, for a total of \$58 million over five years.

It may seem that, given the general economic outlook and the state's bleak financial situation, the timing for such an undertaking could have been better. Further reflection suggests, however, that few, if any, educational institutions have voluntarily undertaken serious restructuring except when recessions and their impact on state appropriations have provided the stimulus.

The reallocation plan proposed for 1991-96 envisions reinvesting \$60 million, about 10 percent of the University's annual state-funded

base, in quality improvements to programs identified as the highest priorities in the University's academic plans. Two thirds of the total, \$37 million, will occur within academic units according to campus, college, and departmental plans. About \$21 million will be reallocated among major units, that is, transferred from existing budgets and reallocated to other academic units. These units are identified in the Academic Priorities plan for the Twin Cities campus and in the Strategy for Focus plan of the coordinate campuses.

The reallocation plan is a courageous step for the University to propose. That it comes at a time when the state faces a \$1.2 billion to \$1.6 billion revenue shortage should be a persuasive argument for not cutting the University's base budget: it says that we are making the difficult choices to improve quality in units of central importance from our own resources without asking for legislative assistance or instructions.

Withdrawing the University's request of \$34 million for programmatic improvements, given the revenue outlook for the 1991-93 biennium, should also strengthen the University's position for defending its base appropriation. This decision means that if there is a salary supplement bill in the legislature, or a modification in the school aids formula, the University

will be in a sound position to ask for equivalent and equitable treatment in cost-of-living increases, primarily to support faculty and staff salaries. Thus, the University's legislative objectives are to defend the base and obtain an equitable share in any cost-of-living increases.

The strategy is not without its risks. One risk is that the University has never taken this approach before; another is that the University is the only public system taking this tack. Some argue that the latter risk could actually give the University an advantage by demonstrating its willingness to use its own resources to improve quality. I find this point a telling one. Quality in all University programs has been a central issue in our planning efforts dating back more than a decade. Unless we ourselves can take measures and make decisions to improve quality, as difficult and as risky as that may be, how can we hope to convince others outside the University that quality is a serious problem?

The senate committees on finance and planning and on educational policy have approved the reallocation plan in principle at recent meetings. The faculty and student consultative committees have scheduled special meetings to determine their positions. [Note: The FCC met January 29 and passed a resolution that "strongly endorses

Reallocation, next page

A Tribute to Gus Donhowe

By Warren Ibele

When Gus Donhowe was interviewed for the job of senior vice president for finance and operations, the search committee asked him about the substance and style that would mark his administration.

"What you see is what you get," he replied.

Had this come from a candidate the committee had just met, the remark would have been frivolous. From Gus it was characteristically to the point, for he had already been acting vice president for a year, and during that time we had seen enough to know what his conduct of this office would be.

Gus came to the University during one of its darkest periods. Financial mismanagement was the most serious of the ills that beset us, and Gus's appointment seemed with one stroke to restore confidence in the University, in state government, and across the state. His appointment, one of Hasselmo's first acts as president, allowed us to catch our breath and even to hope again.

We soon learned that Gus was sensitive to, and supportive of,

academic goals and values. Indeed, several important goals were realized because they were grounded on the financial skills and political savvy that Gus brought to his work. While careful not to intrude inappropriately into the academic domain, he did on occasion and with his usual good humor speculate about whether the University's extensive consultative process was as much hindrance as assistance in producing results.

Results he left in abundance, from launching programs, to improving the University's health care benefits program, to devising a way to complete the recreational sports facilities, to instituting a quality assurance program for all activities reporting to him.

Gus's talents, wit, good humor, and kindness enabled him in a short time to accomplish what others would be proud to have done over a full career. He helped make the University confident to move boldly to begin shaping its own future at a time when this is essential. As Gus said, what we saw was what we would get, and it was exactly what we needed. ■

Nominees Needed

The Senate Committee on Committees is accepting nominations of faculty, academic professional staff, and students to serve on senate and assembly committees beginning July 1.

Committee members have played a vital role in shaping University policy. The committee on committees has received an increasing number of requests for individuals willing to serve on subcommittees.

Nominations, which can include self-nominations, are needed for the following committees: all-University honors, computing and information systems, educational policy, equal employment opportunity for women, faculty affairs, finance and planning, intercollegiate athletics, judicial, library, physical plant and space allocation, research, services for the handicapped, social concerns, student behavior, and support services.

Nominations are due February 20. Write or call Martha Kvanbeck, Senate Office, 427 Morrill Hall, 100 Church St. S.E., Minneapolis, MN 55455, (612) 625-9369. ■

Reallocation, from previous page

the objectives and principles" of the reallocation plan.]

Although there may be fine-tuning of one item or another, my own review leads me to strongly support the plan as the first impor-

tant step in addressing an issue of crucial importance to the education of undergraduates and graduate students, and the continued effectiveness of research and service at the University. Furthermore, it does so in a manner that should raise the

question of access and quality across all higher education in the state, which is precisely what the state's lead system of higher education should do at this important juncture in the state's history. ■

FOOTNOTE

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IN THIS ISSUE

Health Plan Proposal
Reallocation

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Next Footnote—February 19

FOOTNOTE

□ February 19, 1991

□ Volume 4, Number 13

□ Published by the Faculty Consultative Committee

Liberal Education Report:

Preparing Students for the 1990s and Beyond

Twenty years have passed since the University established the current liberal education requirements on the Twin Cities campus. Those requirements have served the University well, but their content and purpose have become outdated as college students experience changes in fields of knowledge, educational goals, and the social and economic environment of higher education.

These changes, plus a renewed University commitment to undergraduate education, led to the need for a new liberal education agenda that would be required in all baccalaureate programs and would meet the ambitious goals of the University's undergraduate initiative. The Twin Cities Campus Task Force on Liberal Education recently completed a report that outlines recommendations to accomplish those goals. The task force is now meeting with various groups and conducting public forums to answer questions and collect comments and concerns.

One of the four most important recommendations is the formation of a diversified core curriculum, says task force chair John Howe. The core would include three physical and biological sciences courses (13-14 credits), three history and social sciences courses (12 credits), three humanities and fine arts courses (12 credits), and one math course (five credits).

"The issue of educational breadth has always been an essential element of a liberal education," Howe says. "The change comes from our call for a special set of courses for the diversified core curriculum. The present system throws it open to each college to

decide which courses to use to meet these breadth requirements. Those free-for-all systems have no focus and no coherence." The current requirements call for three physical and biological sciences courses, three history and social science courses, two humanities and fine arts courses, two math courses, and two writing courses.

The task force recommendations go beyond the number of courses needed in each category, though, Howe says. For example, only one composition or rhetoric course is required in the proposed recommendations. Yet, writing skills are emphasized in other ways. The recommendations include the use of writing portfolios, tests, or other means to assess the writing skills of new students and to help departments place them in writing courses. The task force also recommends that all core courses and senior projects have a writing component.

"We're establishing, in some sense, the floor that we hope individual colleges will not substantially modify," Howe says. "That begins to inhibit transfer across college lines. The most we can do in a program like this is to introduce students to various things to give them a kind of entry into some of the humanities and so forth. And then it's the student's responsibility. Some of those things will take hold and generate interest and curiosity at some point."

A second important aspect of the report is that it extends the definition of liberal education to include a multicultural awareness and international perspective, Howe says. The task force recommends that faculty who teach core courses should include issues of race,

gender, ethnicity, or international perspective where appropriate. Students should also take courses within their majors that focus on international perspectives and cultural diversity. Core courses should be developed to address these issues.

"Given the times in which we live, an appreciation of cultural diversity and understanding the international dimensions of contemporary life are critical aspects of what it means to be liberally educated," the report says.

In addition to cultural and international issues, students would also be required to examine citizen ethics by taking either two courses that emphasize citizen ethics or one course dedicated primarily to citizen ethics. Such course work would prepare students for responsible citizenship, ethical reflection, and community service, the report says.

Another recommendation calls for the University to strengthen advising and establish colloquia for new students. The colloquia should not teach "survival skills," study habits, or personal development, but rather discuss the history and values of liberal education.

"Lots of students come to the University without a clear understanding of how the University works, or of their academic expectations, and certainly without a clear understanding of the values and purpose of a liberal education," Howe says. "That's part of the problem with students working into the University confidently and getting off to a good start."

The fourth recommendation is that the liberal education courses should be taken throughout the student's undergraduate career

Education, from previous page

instead of concentrating them during the lower division years. "There's been too sharp a distinction made in some people's minds between the lower division, general-education work and the upper division, serious work of the major," Howe says. "This false dichotomy does not help students think about liberal education. We think major programs have an important responsibility to set their in-depth training in a liberal education context."

The task force wanted to include a second-language requirement but ran into resistance by language departments in the College of Liberal Arts. The language departments don't have the resources to meet the teaching load for such a requirement, Howe says. Also, a recent faculty survey revealed limited support for a second-language requirement, and implementation of that requirement would require considerable plan-

ning by other colleges to incorporate it into existing degree credit requirements.

"I think we bumped up against a reality of this process, which is that we can't make a requirement that our faculty is not prepared under any circumstances to carry out," says Karen Seashore Louis, a task force member and associate professor of educational policy and administration.

The report calls for the formation of a 24-member Council on Liberal Education to oversee the liberal education agenda. Council members, which would consist of faculty, academic staff, students, and administrators from across the Twin Cities campus, would be appointed by the provost. Most council members, including the chair, would be faculty members.

The council would develop the core curriculum and admit courses to it; certify courses that would fall within such special designators as cultural diversity, international perspective, and citizen ethics; work with administrators to implement recommendations in the report; evaluate the report's initiatives; develop additional recommendations to further strengthen liberal education; and generate a continuing dialogue through a campus-wide program of speakers and workshops.

Much of the task force proposal's success lies in the hands of the faculty, Howe says. "It depends on the faculty to say that this is an important part of what we do at the University. We have to pay attention to it; we have to put more resources into it," he says.

On the surface, the recommendations appear to increase faculty work load and extend the undergraduate careers of most students. But that shouldn't be the case, Howe says. Instead, faculty who elect to teach core classes may have to quit teaching something else, or teach core classes and other courses alternately. Some introductory courses may be modified to be considered core classes, which would serve two purposes for some faculty.

Norman Kerr, professor of genetics and cell biology and Faculty Consultative Committee

member, says the recommendations suggest that everyone needs a biology course, which would require his department to get "massive help from agriculture and health sciences. It's not that we couldn't do it, but we'd be doing it in classes of 600, which wouldn't meet (the task force's) objectives."

Colleges and departments have to ask themselves, "Are these things we can do and are these things we're willing to do," Howe says. "We'll see where the priorities lie and what happens with the resources." The majority of core courses would be taught by faculty in undergraduate programs, but some courses may be taught by faculty from professional colleges, such as the Medical and Law Schools.

"We think we're designing a system of teaching that ought to be attractive and will entice faculty to have a go at it," Howe says. "We're calling on faculty to rethink a lot of the things we're doing. We need to refashion courses and build new courses into existing work loads so that you give up something or you teach it less frequently."

The recommendations shouldn't increase the work load and course requirements for students, either, Howe says. The task force worked hard to maintain the 180 credits required for students to graduate. The task force wanted to avoid extending students' college careers because tuition continues to increase, the University is already suffering from low graduation rates, and the state's funding formula is based on full-year-equivalent students.

"It puts constraints on what we can do," Howe says, but it also requires departments to think creatively on how to work within those parameters.

A liberal education agenda won't come cheaply, Howe says. Using a wide range of variables and assumptions, Peter Zetterberg, associate vice provost for arts, sciences, and engineering, estimates the plan would cost about \$10 million to implement. That figure is restricted to the task force recommendations that don't overlap with components included in the University's undergraduate initiative plans, such as

Education, to back page

FOOTNOTE

Volume 4, Number 13
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Managing Editor: Geoff Gorvin
Copy Editor: Nancy Rowe

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□ THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

Note: The following is a letter and resolution written by FCC chair Warren Ibele to the Board of Regents. It was an information item for the University Senate on February 14.

The restructuring and reallocation plan proposed by the president is a bold, courageous plan to improve the quality of the University. It is a plan that derives from over a decade of instructional planning, an effort in which the faculty have been continuously engaged. We have been working to improve quality for some time now, and the results slowly begin to show: smaller classes, better advising, modern equipment in undergraduate laboratories, longer library hours, and improving student retention and graduation rates. It is essential that we provide the funds necessary to continue this progress until our performance is finally acceptable. This is what the taxpayers expect and what the students deserve.

The plan is bold because it comes before us when the economy is in recession and the state faces a projected \$1.2 billion to \$1.6 billion deficit for the 1991-93 biennium. The plan is courageous because it confronts us with the difficult choices of internal reallocation. Until now, our improvements in quality have been bought with increased legislative appropriations and increasing tuition charges. At least for the next biennium, we cannot reasonably expect much more from these sources. If our progress is to continue, only internal reallocation remains, and as perverse as it may seem, the national economy and the expected status of the state's treasury provide the only conditions under which the hard decisions of internal reallocation are ever likely to be made. Public institutions are much like families in this respect. The best and

only time for making hard choices on budgets is when the paycheck shrinks or stays the same.

Our record on internal reallocations is not particularly good. The last time the state faced hard times (1981-82) and cut the University's budget there was an across-the-board reduction for all programs. A mindless exercise for the most part, it sent a message that we could not, or would not, distinguish between programs on the basis of quality, centrality, efficiency, effectiveness, and the other dimensions by which value is assessed. The results were as one might expect—morale fell, horizons contracted, and a general feeling of weariness settled over the campuses.

The FCC has spent four meetings discussing the reallocation process and proposal. Information has been shared as it became available and we have had extended discussions with the president and vice presidents. Yesterday (January 29) we voted approval of the following resolution:

Whereas, the restructuring and reallocation plan submitted by President Hasselmo to the Board of Regents on January 9, 1991, is consistent with and extends the principles and plans of Academic Priorities for the Twin Cities campus and the Strategy for Focus plans of three of the coordinate campuses, and

Whereas, the plan addresses the issue of quality, which has long been a faculty concern in the planning process, and

Whereas, the plan provides for significant improvement in undergraduate instruction, and

Whereas, the plan calls for the University to improve the quality of its efforts in research, graduate education, and service to the state, and

Whereas, it is fitting for the University to initiate discussions and lead by example as the state considers the task of rationalizing higher education in Minnesota,

Therefore, be it resolved, the FCC strongly endorses the objectives and principles of restructuring and reallocation and urges the Board of Regents to act favorably on the plan.

In conveying our resolution of

support, I stress two points: 1) The reallocation proposal is well founded on the planning process. It has purpose, integrity, and the important element of self-discipline, which we have long needed. 2) It is essential that the plan remains intact. If any one of the major elements is removed, the closing of the Waseca campus for example—for this is the most sensitive element politically—then the entire plan will fail, with serious adverse consequences.

The FCC is composed of faculty members from various campuses and colleges. The quality of an individual's service on the committee is judged by that person's ability to rise above the parochial interests of special constituencies in order to serve the entire University. In this respect, we are not unlike the Board of Regents. As recently as 1988, three University presidents serving at the request of Governor Perpich's Blue Ribbon Commission wrote these wise words about the Boards of Regents:

"For this reason, we recommend that the legislature, with the assistance of the advisory council, explicitly state as a matter of legislative intent that individual board members represent all the people of the state, and no particular interest, ideology, or community."

It is ever our fate that we fall short of professed ideals. It is a cause for celebration when despite frailties and differences, we can join as one in support of a greater, higher purpose. The faculty believes that the plan now before us serves such a purpose and that the time to act is now. We urge the board to speak with one voice in strong support of the restructuring and reallocation plan in order that we can get on with the business of making the University a better place to teach, to learn, and to serve. ■

Education, from page 2

improving advising. Estimates include start-up costs, ongoing costs, and some costs that could be reallocated.

"Many of these (costs) will be covered by redirected effort, but others will require net increases in faculty, staff, and teaching assistant lines, especially if work loads are not to be significantly increased, an assumption we believe is essential to the success of the entire enterprise," the report says.

One implementation problem the task force faces is with the

professional and technical programs that have specific requirements of professional accrediting associations. Majors like engineering, human ecology, studio arts, and music have extended their programs into premajor programs, which leave little room for liberal education courses, Howe says.

"We think the values and purposes of a liberal education are very important, and a way has to be found to build that experience into every program," Howe says. "And as we understand an accreditation requirement tells us this, we also

understand that the University's requirements tell us that."

Four public forums were scheduled to discuss the recommendations. The three remaining forums are 3:15 p.m. to 4:15 p.m. February 19 in 115 Ford Hall, 2:30 p.m. to 3:30 p.m. February 25 in 145 Classroom Office Building, and 3:15 p.m. to 4:15 p.m. February 26 in 235 Blegen Hall. A final report is due this spring.

Copies of the report are available in the office of each college dean and in the Twin Cities Campus Assembly office, 427 Morrill Hall. ■

FOOTNOTE

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IN THIS ISSUE

Liberal Education Report
Reallocation Resolution

Next Footnote—March 5

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FOOTNOTE

☐ March 5, 1991

☐ Volume 4, Number 14

☐ Published by the Faculty Consultative Committee

Career Transition Program:

New Center Offers Guidance to Those Affected by Reallocation Cuts

One of the cruel realities of the University's \$60 million reallocation plan is that people will lose their jobs. It's inevitable.

Central administrators have said all along that many positions will be cut as smaller, lower priority programs are eliminated, consolidated, or cut back in an effort to improve the quality of other programs.

But the University doesn't intend to desert those who will be affected by the cuts. In fact, central administrators have repeatedly stated that the University will fulfill its contractual obligations and will help everyone who is affected to find new jobs. That means faculty members—tenured or not—will benefit from a variety of services intended to keep them at the University if possible.

The University's efforts to help are already evident. The University Technology Center (the old Marshall University High School) is now home to the Career Transition Center, which provides a variety of services to help find new jobs within or outside the University for the faculty, professional/administrative staff, and civil service employees whose positions have been eliminated or reduced. Those services are part of the Career Transition Program, which opened for business March 1.

"We're excited about it, and we think it's really going to be an effective way to place many of the employees affected by the budget cuts and reallocation," says director of University personnel Roger Forrester, who oversees the civil service side of the program.

A joint effort between the offices of civil service and academic personnel, the center offers services such as personal and career counsel-

ing, job-search assistance, and seminars and workshops to help employees improve their job-hunting skills. Training and education, either through the University or outside sources, also are available for those who elect to change fields.

The center, designed to serve as many as 500 people affected by reallocation, needs to be flexible to accommodate a wide range of individuals and needs, Forrester says. Most of those who will need the center's services will be civil service employees, and most, he hopes, will be placed within the University system. Services also are available to those on the coordinate campuses.

The center is more than a secretary at a desk and a bulletin board with job listings: it has space for most of its services, such as workshops, job listings, and counseling.

The center's services are individualized to meet the needs of each person, Forrester says. In most cases, counselors will study the person's background, skills, experience, and interests to find a position within or outside the University that would appeal to that person.

If a person is in a field where jobs are scarce, the center will help that person acquire training or education in a more marketable field. "We have to look at job trends—where the jobs are," Forrester says. "We don't want to train someone for jobs that just don't exist.

"If they're focused in on an area, we'll put together a career plan to make them as marketable as possible in or out of the University. It's a personalized approach," he says.

Market trends are among the topics of seminars and workshops

offered through the center. Sessions also focus on resume writing, interviewing skills, and career assessment.

Counseling is a major part of the center as well. Career counselors will help individuals determine career plans and hunt for new jobs, while personal counseling is available to help address other issues such as family and relocation concerns.

The center emphasizes placing faculty and staff within the University by using internal searches to fill positions or transferring employees from one unit to another without using a search. The center also will list open University positions and will be in continuous contact with corporations, agencies, and other potential employers to provide listings of jobs outside the University.

Even though the center intends to draw heavily on existing University resources, it has two coordinators—a part-time academic staff coordinator and a full-time civil service coordinator—and an administrative assistant. Counselors will be available as needed. "We wanted to build flexibility into the program in terms of the number of counselors needed," Forrester says. "We want to purchase those services on an as-needed basis so that we have access to a number of counselors during the peaks and valleys (of business)." Most of the counselors probably will come from the University's Employee Assistance Program.

The program will cost about \$200,000 a year, Forrester says. Most of that cost—about \$107,000—is already secured by transferring resources from the civil

Careers, from previous page

service placement program, which offers similar services. The remaining \$93,000 will need to be allocated from nonrecurring funds.

The center will save the University money in the long run, Forrester says, by minimizing the unemployment-compensation contribution that would be paid to many of the employees affected.

Another advantage of the program is that it could become a permanent career development program. "If it's as successful as we think it can be, it could evolve into that," Forrester says. "The employees certainly want it and they certainly deserve it."

Serving faculty members who are affected by the cuts, especially tenured faculty, may be more difficult, says associate vice president for academic affairs Carol Carrier, who oversees the academic side of the program. The center will help all affected faculty, whether

tenured or not, to find new positions within or outside the University, depending on their interests and job openings.

According to the tenure code, faculty are tenured within an academic unit. The University's obligation, however, is to keep them employed at the University, Carrier says. "Just because their tenure home may go away, that doesn't eliminate our responsibility to that person."

The process of relocating tenured faculty members begins with counselors working with the individual faculty members to determine their expertise, interests, and desired departments. The counselors then will work with those departments to determine their needs and demands.

"It will be between the individual's interests and the receiving department," Carrier says. "And certainly we would want, wherever possible, to take into account a faculty member's preference for going to one place or another. It will be a negotiating process, but there's a point at which faculty members have to decide if they want to stay at the University or not."

The process after a potential match is found is still somewhat unclear. Carrier says she's not sure whether the faculty from the receiving department would get to vote on tenure for the transferring faculty member, which is the process under normal conditions. "My understanding is that there'd be every effort to transfer, but I think we'd still have to have a faculty vote," she says.

One issue that must be resolved on a case-by-case basis concerns the budget line item for the transferring faculty member, Carrier says. The line item may transfer with the faculty member, or departments may have to split the cost in some cases.

Tenure-track faculty will be in a different situation. If their unit is eliminated through reallocation, the department could use that action as a reason for not giving tenure to the faculty member, Carrier says. Faculty members may get some credit toward tenure, though.

A worst-case scenario where faculty members would need the

most help from the center would be at one of the coordinate campuses. Faculty members of eliminated units may have to move to the Twin Cities campus to continue teaching at the University. Many faculty members in that situation, Carrier says, would not relish the thought of having to move to a metropolitan area.

"We're dealing not only with the individual employee here, but the disruption and stress of the entire family," she says. "We want to make sure the employee can use the services of the personal counselor at the center."

Some of the personal issues that could face faculty in such a situation include employment for spouses, housing, and school or day care for their children, Carrier says. Issues like these would be discussed with the personal counselor.

Should faculty members choose to move to a much larger University campus, counselors would work with receiving departments as well. "We'll do what we can to prepare the departments that would be receiving these people to be sensitive to what they're facing and to do what they can to make sure the faculty in those units are as responsive as they can be to someone who may be coming in from a very different kind of institution," Carrier says. "We'd talk about the person's work load and concerns there might be with moving into that group of faculty."

Carrier says she wants to familiarize herself with every academic employee case filed at the center to become familiar with everyone's concerns and help out where she can. She's not sure how many people that will involve, but it could be several hundred over the next several years.

"We can expect that many will look to other universities in the country," Carrier says. "But there's no way to determine how many would want to stay."

Norman Kerr, professor of genetics and cell biology and a member of the Faculty Consultative Committee (FCC), was in a similar situation in the mid-1970s when the zoology department was eliminated. About half the faculty, including Kerr, went to the Department of Genetics

FOOTNOTE

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and Cell Biology while the rest went to ecology and behavioral biology. One faculty member ended up in the Medical School.

Negotiations between the faculty members and the receiving departments took place, and everyone was welcomed by at least one department, Kerr says. But there were still hard feelings. "People in zoology weren't very happy."

The choices for most were cut and dried at the time, Kerr says, but many people suffered because they didn't really fit into other departments. "Some may still feel that they're out of the mainstream," he says, adding that the same could happen this time around.

The University at that time didn't have a formal counseling program designed to help affected faculty members. This time, faculty members will benefit from such a service. "Counseling will be important for those for whom it won't be

obvious where they will go," Kerr says. "If they're specialized in a particular field, it may be hard to find a home for them."

Last December, Kerr drafted a report for the FCC that offered some guidelines by which tenured faculty should be involved in deciding where they're transferred. The guidelines were used for discussion but never acted upon.

The guidelines suggest that tenured faculty members from units that are eliminated and potential receiving departments be consulted about possible transfers. Also, the faculty within a department should formally vote to accept a new tenured faculty member, and the dean must agree to the appointment. As for the cost of the transfer, the guidelines suggest that budgetary line items of tenured faculty members ordinarily follow them. "It is possible, of course, that the receiving department may receive

this position as its reallocation, or even be required to mortgage a future retirement against the position of their new colleague," the guidelines say.

In discussing some of the guidelines during the Senate Consultative Committee meeting January 31, President Nils Hasselmo said he hoped such discussions would take place, but that they may not always result in a mutually agreeable arrangement.

The FCC is not the only group talking about the possibilities facing many units and faculty members. "There's a good bit of concern out there," Carrier says. "I don't know whether all the concern is warranted. I think people simply are not aware of how their unit is going to be affected. They know there's money going to be given up, but nobody knows for sure what that's going to mean for personnel." ■

□ THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

Progress has been made on a number of issues of concern to the faculty.

Extending Probationary Periods

A task force, chaired by Professor William Gerberich, has recommended no change to the current policy of seven years probation for faculty. The task force also recommends no change in allowing individual colleges to depart from the Universitywide probationary period.

For background: Of the 21 public and private institutions surveyed, only five are different from ours. Four of these are private institutions: Harvard, Yale, Duke, and Johns Hopkins. The fifth, the University of California system, has had an eight-year probationary period (seven plus one terminal year) for more than 100 years. Only Duke and Northwestern permit

their medical schools to have a probationary period different from that of the rest of the institution, granting an additional three years of probation to clinical faculty only.

The task force concurs with the Medical School's concern for clinical faculty being able to meet the current tenure requirements within seven years. The task force recommends that other strategies be considered for addressing the circumstances confronting clinical faculty in the Medical School and similar conditions encountered in other units. One possibility is using multiyear, nontenure contracts to measure stability of three-year initial appointments before the tenure-track probationary period starts.

The FCC endorsed the task force's recommendations. A report of the group's findings will be made at the next Faculty Senate meeting. Copies of the report are available from the Senate Consultative Committee office, 626-0858.

Liberal Education Draft Report

The draft report from the Task Force on Liberal Education, chaired by Professor John Howe, has been distributed for discussion. Various

Twin Cities campus governance committees have considered the proposals, and the Twin Cities Assembly discussed the report at its February 14 meeting. Since then, four open hearings have been held on the Twin Cities campus, and additional discussion is planned for the April assembly meeting.

The task force has worked within restraints and in the context of the Twin Cities campus. Its recommendations are campuswide, apply to all colleges, and are intended for the 180-credit norm for the baccalaureate degree, even though only 6 percent of 1989 graduates had 180 or fewer credits. Such considerations as graduation rates, tuition charges, student debt burden, and legislative funding formulas urge the honoring of some reasonable credit limit. The task force also took account of the quite different degree requirements for majors across the campus, whether leading to B.S., B.A., or professional degrees. The credits required for majors can vary from 53 credits to well over 100 and premajor requirements effectively extend the major into the lower division.

Finally, the task force was restrained by its estimate of the

Education, from previous page

resources likely to be available for implementing its recommendations. As was clear at the outset, designing the liberal education component of various degree programs is important. It is also complicated and difficult. Task force members have worked long and hard, and at times contentiously. They have struggled to resolve differences in viewpoints that were, and are, strongly held. Despite this, the task force members join in a strong consensus to support the draft report recommendations. These are thoughtful recommendations that deserve our careful consideration, for they have

as their purpose the goal of achieving a balanced and integrated program of liberal education. I urge each faculty member to study the report carefully and to join the discussion about its recommendations.

Health Care Proposal

Recent newsletters from the Employee Benefits Department discuss aspects of the University's proposed health care program. The elements of this proposal are the product of a special task force formed to study University health care. The senate committees on faculty affairs, chaired by Professor Avner Ben-Ner, and finance and

planning, chaired by Professor Burton Shapiro, have discussed the proposal as have other groups on campus. The plan is not yet final; details may change before enrollment begins.

During fall 1989, serious concerns were voiced by the faculty because of changes in options of the staff plan. The proposed health care program is a response to those concerns. Each faculty member should study the plan and its options in order to determine whether it responds to earlier concerns. Forward your comments to either of the two committees above or to the FCC office, 626-0858. ■

FOOTNOTE

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IN THIS ISSUE

Career Transition Program
Chair's Report

Next Footnote—March 26

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FOOTNOTE

 March 26, 1991

 Volume 4, Number 15

 Published by the Faculty Consultative Committee

A Tough Decision

Task Force Delays New Health Plan for One Year

The Health Plan Task Force on March 14 unanimously voted to delay the proposed effective date of a new University health plan until January 1, 1993.

At the emergency meeting, the task force decided to defer implementation of the new plan for a year after originally targeting January 1, 1992, as the implementation date. The task force had planned to separate University health care from the state this spring, offer the new options to employees during open enrollment next fall, then begin the new plan January 1. But a number of variables, including concerns that arose during consultation with faculty and staff groups, led the task force to defer implementation.

The task force is not modifying its recommendations that the University separate its health care from the state or that a health-care program that meets a variety of principles laid down by the Board of Regents be created, says Robert Dickler, director of the University Hospital and Clinic and task force chair. "What the task force is saying is that it seems prudent to assure that we can make the very best possible decision and to assure ourselves that we can fulfill these principles, and that we defer the implementation date to have sufficient time to do this in the very best possible way."

The time frame in which the University will proceed is now uncertain, Dickler says. The original recommendation called for a regents vote in April to separate University health care from the state. Now, the regents may want to defer action, Dickler says, since the University won't need to separate from

the state for another year.

"We estimated an aggressive timetable," Dickler says. "We thought the timetable was feasible, and it still may be feasible. But as we added more and more information to the RFP (request for proposals), as we recognized the need to honor our obligations, as we coordinated the timetable with the state, all those factors in aggregate made that timetable less certain.

"It (the delay) was a very tough decision," Dickler continues. "You have to give credit to the task force; it worked hard to listen to the input we received and it tried hard to step back and ask if we're on track and if everything is where it should be."

One of the major reasons for the delay concerned the RFP, which is being expanded to include significantly more information. The additional information will mean more work for the insurance companies and the task force, which will have to wade through more information to determine the best direction for the health plan.

The plan calls for the University to offer its own health-care program with four options. The HMO Plan would likely be an improved Group Health plan and would pay benefits when Group Health providers are used. Under the Choice Plan, any health-care provider could be used, but using a network provider would result in greater benefits than the State Health Plan currently provides. The Catastrophic Plan would be less expensive, with a \$1,000 deductible and 80 percent/20 percent coverage. This plan would be for employees who have other coverage or who are willing to assume some risk in exchange for lower contributions. A no-coverage

option would be available for those who have health-care coverage under another plan. Those who select this option would receive a cash refund or credits. The University Hospital and Clinic and Boynton Health Service are included as health-care providers in the first three options.

The first phase of the plan was to go into effect January 1, 1992, when flexible benefits and the new health plan would be available to employees. Phase two would have started as early as 1993 and would include improvements in life insurance, disability, and savings options.

The cost of the options to employees would vary but most employees would not pay higher premiums. In many cases, Dickler says, people who might face a higher premium under the new plan would pay less in out-of-pocket costs overall than in the current State Health Plan or PHP.

The proposed health plan had been gaining support during the last several months. The Senate Committees on Faculty Affairs and on Finance and Planning unanimously passed motions in support of the plan with suggested modifications. But a common concern surfaced at most of the meetings and forums where the plan was discussed. Employees—and faculty members in particular—want a fee-for-service plan that would allow them to use a wide range of providers.

The problem with such an option would be the cost to employees, Dickler says. The task force was charged with devising a program that would recognize the diversity of University employees and maintain affordable premiums

Health Plan, to next page

Health Plan, from previous page

and out-of-pocket costs. A fee-for-service plan would not meet that mandate.

A fee-for-service plan, which would probably involve a deductible and an 80 percent/20 percent copayment, would be expensive because the high cost of the plan would be spread over a small number of people expected to use it. And no primary care gatekeeper would be included to control use, says Tom Kuhlman, the task force's consultant.

The Choice Plan is the closest thing the proposal has to a fee-for-service plan. Using the limited number of network providers in the Choice Plan would result in greater benefits at a low cost. Employees also could use out-of-network providers with a \$600 yearly family deductible, an 80 percent/20 percent copayment, and an out-of-pocket limit of \$3,000 annually per family.

"We want to make sure that the

out-of-network benefits remain substantially better than those currently available," Dickler says. "And in this program, they are substantially better as projected.

"The difficulty that the task force ran into was that there is such a wide range of options in the Choice Plan that it's unclear if (a) a fifth option makes sense; and (b) what the parameters of a fifth option should be," he says. "PHP makes more sense than a pure indemnity plan for the fifth option."

Not everyone is so sure. "I think a lot of faculty and staff members would prefer to pay their costs up front," says law professor Fred Morrison, a Senate Committee on Finance and Planning member. "I see this as a process in which the ability to insure against health costs is being denied to the faculty and instead you're being provided with something that is a fixed and limited list of people whom you may or may not want to use.

"This seems to be designed to economically force all faculty into a narrow network of providers at the University Hospital when faculty and staff use a wider range of providers. My choice would be a system much like the Choice Plan but with a much broader provider network including direct access to specialists," Morrison says.

Under direction of the task force, Kuhlman is examining ways to provide an option that would be similar to a full-indemnity plan. The task force also elected to include a provision in the RFP that will reserve the University's right to solicit bids for a fifth option.

Three other modifications are being made to the RFP as well. Bidders will be asked to provide the costs for networks of various sizes, to define the potential cost implications of different copayment levels, and to assess the costs of both requiring and not requiring a primary care physician within the network.

"The task force believes that those three changes will give the University the ability to look at trade-offs inherent in the program and understand variables of the program," Dickler says.

Many of the changes the task

force has made to its plan and the RFP were results of comments made at meetings and forums conducted during the last several months. Freedom of choice was the predominant concern the task force heard since revealing its plan. Other concerns include the timing of the proposal, the list of doctors that the network would include, and the structure of a copayment system for office visits and prescription drugs, Dickler says.

Some employees also wonder why the University can't separate from the state and offer the same coverage at the same price, Dickler says. That program would cost the University more because it's now subsidized by the state, and University employees tend to use health benefits at a higher rate than do state employees.

Most of the concern about timing involved the relationship among the University separating from the state, the collection and review of proposals from insurance companies, and the decision on a health program in time for fall open enrollment. There also was concern about negotiations with the University's collective bargaining units this spring. The University now has 6,000 union members. Two employee groups will be voting on whether to unionize this year; those elections could increase the number of union members to 11,000, Dickler says. The University would have to successfully negotiate health benefits with the unions before separating from the state.

Many employees, Dickler says, also are concerned that their doctors will not be in the provider network, which won't be determined until after the University awards contracts for the health-care plan. Employees are expected to have fewer network providers to choose from, meaning some would need to change physicians if they wanted to take advantage of the benefits at the network level. But employees who do not want to change physicians can use the out-of-network benefits in the Choice Plan.

The network issue was addressed in one of several motions unanimously passed by the senate committees. Among the motions are two suggested changes to the RFP: encouraging bidders to bid multiple

FOOTNOTE

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Copy Editor: Nancy Rowe

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networks with different numbers of physicians and encouraging bids that offer a greater choice of providers even at a higher premium to employees.

Another motion calls for the formation of a group to oversee the plan and its results. The group would include representatives from faculty, bargaining units, and civil service. It would serve a function similar to that of the faculty affairs subcommittee that oversees the Faculty Retirement Plan.

A fourth motion calls for developing a system that would measure the quality of care through the program. The results would then be conveyed to employees. A reliable and useful system to measure the quality of care doesn't exist, Dickler says, but that's a rapidly evolving area of research among large corporations around the country. Such a system could exist in two to three

years. The most desirable system, he says, would measure outcome at the time of care as well as permanent outcomes.

The reason a task force was formed to create a health-care plan that would be administered by the University was because of employee dissatisfaction with the state program offered in 1990 and with the University's lack of influence on the state's health-care decisions. A University survey revealed that employees felt they no longer had a choice of plans and providers because of the relatively high contributions required for the state plan and PHP, and the out-of-pocket cost for going to out-of-network providers under the state plan. These costs effectively limited employees' options to one of the HMOs or to network providers.

A University-controlled health-

care system would have a greater consideration of faculty concerns than the state system, which is primarily geared toward civil service employees and various state unions, Dickler says. With the proposed plan, University faculty members should have a greater opportunity to influence decisions.

An advantage to the University is greater control over the structure of the plan and the quality of the services delivered. The University also would have ample time and opportunity to tell employees about changes.

The proposal, however, does hold disadvantages for the University, which would assume more financial risk. With the state's plan, the University's only financial risk has been the rates set by the state. ■

□ THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

Reallocation Plan

At its March meeting, the Board of Regents passed a plan for restructuring the University over the next three to five years through internal reallocation. The plan was introduced in January and discussed during the board's February meeting before final action was taken. It was not an easy decision. Having to choose between programs, all of which serve a useful purpose, in order to strengthen those considered to be more important is always difficult. In addition, some regents made this difficult decision in the face of strong public opposition, which is to their credit.

I attended the board's meetings when the plan was discussed and acted on, and I was encouraged as much by the manner in which the decision was reached as by the outcome itself. The deliberations were thoughtful, principled, and generous toward those holding

opposing views. The commentary leading to the final vote was marked by a gravity and judiciousness appropriate to the issue's importance. The regents deserve our appreciation and support for their action. It now remains for us to see that the promises inherent in the plan are fulfilled.

Student Retention and Graduation Rates

The recent publication of student retention and graduation rates for the University overall and by campus provoked a lively interest in some quarters. Certainly the five-year graduation rate of 27.1 percent (for 1984 freshmen) is a cause for concern when compared with the rates published in *Business Week* (October 15, 1990). Several of the institutions listed are comparable to ours in some respects but not all.

For five large, urban, public, research universities (University of California-Berkeley, Maryland, UCLA, Ohio State, University of Washington) the five-year graduation rates range from 46 percent (Ohio State) to 86 percent (Berkeley) and average 58 percent. Those familiar with the compilation of that data caution that institutions differ in their count of graduates.

Some include only those who complete their degrees on that particular campus or within the campus's system. Others classify graduates as those who began their study at the institution and completed a baccalaureate degree five years later at any institution. Our graduation rate is calculated on the first basis. Notwithstanding the uncertainty about how the count is taken, the disparity between our rate and the group of five is disturbing.

Apparently, a search is on for explanations of our low rate. By way of letters, telephone calls, faculty meetings, luncheon conversations, and hallway conjecture, I have a partial list of possible influences: The distractions of urban life; a small number of residential students due to restraints placed upon the size of the campus; and the presence of the quarter system instead of the semester system, which gives students one more opportunity to drop out or delay graduation.

Other influences may include per-credit tuition, which encourages some students to avoid full-time commitment; the need for many students to work while attending school; and advising that encourages students to average fewer credits

Report, back page

Report, from previous page

per quarter than is needed to graduate in four years.

This list does not exhaust the possibilities. Fortunately, staff members in Student Support Services and colleges continue to collect and interpret data that should provide answers to some of the questions being posed. Thus informed and with an understand-

ing of the factors that have the most influence on retention and graduation rates, we should be able to lay plans for correcting a situation that at least is an embarrassment.

A Correction and Apology

A reader took exception to my use of the term "financial mismanagement" as the most serious of a

series of events that befell us in 1988 (as written in the February 5 edition of *Footnote*). The point is well taken. It was thoughtless to use those mythical code words that the local press finds convenient despite their lack of correspondence to the facts that pertain. I apologize for a reference that, at best, was infelicitous. ■

Erickson Named As New Senior Vice President

The University's new senior vice president for finance and operations is Robert O. Erickson, a University alumnus and former vice president for Super Valu Stores, Inc.

Erickson, 45, started work at the University March 11. He was the single candidate recommended by the search committee after it reviewed 415 nominations and applications for the position. He succeeds Gus Donhowe, who died January 19 while cross-country skiing.

"I am convinced that this has been one of the most thorough and effective searches we have conducted in the two years that I have been president," wrote President Nils Hasselmo in a March 6 letter to the regents. The regents approved the appointment March 8 with only Regent Mary Schertler voting against the recommendation.

Erickson received a bachelor's

degree in economics from the University in 1967 and earned a master's degree in accounting and finance in 1972 from the University. He worked as a tax accountant before joining Super Valu in 1974.

Erickson's initial responsibilities at Super Valu—income and property taxes—were later extended to include budgeting and treasury functions. In 1983, he became vice president of market development. He was named vice president of corporate strategic planning in 1988 to initiate strategic planning for the company.

"In the view of the committee, he is technically competent, he clearly knows finance, and he has gained a broad set of competencies as a manager of operations in a large decentralized organization," the search committee wrote.

In 1989, after successfully establishing Super Valu's strategic

planning, Erickson resigned to travel throughout the world with his family and plan a second career.

Erickson participated extensively in civic and professional activities while employed at Super Valu. He has been a commissioner on the Bloomington Port Authority, which oversees development of the \$625 million Mall of America, since 1982. He has been president of the port authority for the past three years.

He also has been a board member for the Citizens League, the Eden Prairie Chamber of Commerce, and the Walk-In Counseling Center. Erickson served on the Hennepin County Capital Budgeting Task Force as well.

Erickson and his wife, Nancy, have been married 18 years. They have two children, Jay, 15, and Chad, 10. ■

FOOTNOTE

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IN THIS ISSUE

Health Plan Delayed
Senior VP Named

Serials
U of M Libs./1AJE4646
OMWL

Next *Footnote*—April 9

FOOTNOTE

□ April 9, 1991

□ Volume 4, Number 16

□ Published by the Faculty Consultative Committee

Retention and Graduation Rates:

Why Does the University Rank So Low?

The statistics are hard for central administrators to swallow, but even harder to dispute. The problem is simple: the Twin Cities campus has lousy undergraduate retention and graduation rates. Administrators wish the solution were as obvious.

The numbers speak for themselves: from 1981 to 1985, the Twin Cities campus averaged a four-year graduation rate of 8.6 percent, near the bottom in relation to several similar universities (see graph). A National Association of Independent Colleges and Universities study showed that only 15 percent of students at four-year colleges graduate in four years.

The Twin Cities campus is last in six-year graduation rates. From 1981 to 1983, it graduated 42.1 percent of its students after six years, compared to Michigan's high of 77.8 percent and Illinois's 76.5 percent.

The Twin Cities campus is ahead of only Ohio State and Arizona in freshman retention rates (the number of freshmen who return for fall quarter their second year), with 79.9 percent compared to 93.4 percent at Illinois, 79.8 percent at Ohio State, and 72.6 percent at Arizona.

Retention and graduation rates are important to the University because they are the main factors used to measure quality and improvements to undergraduate education, says Anne Hopkins, vice provost for arts, sciences, and engineering. But, she says, the University needs to ask itself if retention and graduation should be its real goal. "Some things in the past would suggest that that was not our primary goal." She cites, as an example, admission standards that

provide access to more students.

"Success might not mean graduation from the University of Minnesota," Hopkins says. "It may mean students who go to a technical school because they come here in error. Or they may want a different kind of program or a different kind of environment. This state as a whole has an interest in ensuring that people get what they need, and that is not always graduation from a particular institution."

But the University has elected to use retention and graduation rates as its measuring stick of quality education, even though it short-changed itself in the past by not using some information that other universities use, Hopkins says. For example, the Twin Cities campus will begin including in its data base Continuing Education and Extension students next fall. Graduation rates may not change much, but retention rates should increase because the University will be able to show that students who elected to take evening courses instead of day classes were retained, says

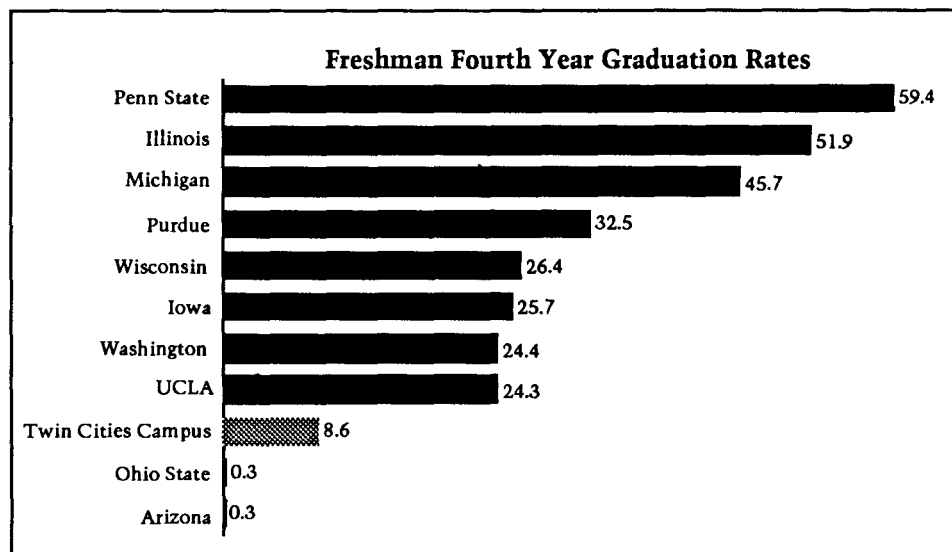
Steve DesJardins of Student Support Services.

Also, Minnesota's higher education systems don't have a method of tracking students who transfer between higher education systems. Many large institutions have tracking capability and typically include transfer students in their graduation rates, regardless of the institution from which those students graduate.

That poses a problem for the University, Hopkins says, because the state has a large number of transfer students but can only track students who transfer through its own campuses. "It's conceivable that we could be talking about 10-, 15-, 20-percent changes in (graduation rates) because of the transfers," she says.

Acquiring information on transfer students would do more than help the University bolster its reported graduation rates, Hopkins says. It also would be valuable in identifying the role each institution plays—whether it's a way station, a

Rates, next page



Rates, from previous page

starting point, or an ending point. "For planning, I can't imagine any single piece of information more interesting," she says. "We'd be so much better informed by knowing where our students went. If they went other places to graduate, that wouldn't be failure at all. If they don't ever emerge in the higher education system, then something's wrong."

In the past, the state apparently has had a lack of resources for and interest in addressing that issue, and it hasn't been a priority, says Jim Preus, assistant vice president for student affairs. But interest may be mounting for a method that would not only track transfer students throughout Minnesota, but in reciprocity states as well.

"It's sort of a plea that we could really do so much more and we could really help ourselves do better if we could have that information," Hopkins says. "It's doable. Somebody just has to do it."

FOOTNOTE

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The inability to track transfer students is one of many factors that add to the low retention and graduation rates on the Twin Cities campus. The University has less control over most of the other factors:

- More students are working their way through college.
- Students, especially those who live off campus, face a growing number of distractions because of the large number of things to do in the Twin Cities.
- The University has a high number of commuter and part-time students, many of whom are disassociated from the University except for classes.
- Many colleges and majors require more than 180 credits to graduate.
- Most students take more credits than are required and many change majors.

A simple solution to the problem doesn't exist, Preus says. The University is making improvements where it can, as outlined in the Undergraduate Initiative, which includes measures such as increasing access to classes that have a high demand. Advising is being improved, too.

The root of the problem, however, is that the Twin Cities campus is a commuter campus with an abnormally large number of part-time students. Full-time students tend to be more likely to stay in school and graduate in a timely fashion, Hopkins says. Part-time students take longer to graduate and are less likely to graduate. They also tend to have lower college-entrance test scores (ACT, PSAT), which means they may be less prepared for college. And one can argue that students who exhibit an intense educational effort will walk away with a better education. "Full-time students are more prepared, and the better you performed in high school, the more apt you are to succeed here," she says.

National studies show that students on the Twin Cities campus also tend to work more than students at other large institutions. In a survey conducted last spring of Twin Cities undergraduates, 83.3 percent of respondents said they had worked for pay during the

academic year while attending school. They worked an average of 17.9 hours per week. And, of those who worked, about a fifth had more than one paying job.

While students are working more, parents are paying smaller shares of their children's college education, requiring students either to work or borrow money to help pay for college, Hopkins says. Students, on average, accumulate \$9,500 of debt for an undergraduate degree. The University needs to make more grant money available to reduce the number of students who rely on work and loans to complete their education, Preus says.

Working part-time while attending the University is not such a bad thing, as long as work doesn't interfere with a student's timely progress toward graduation, Hopkins says. "If you're a good student, you can work 20 hours a week and still do good schoolwork."

Working a lot, attending school part-time, and living off campus add up to another problem the University is trying to address—connecting students to the University through such things as a job on campus or providing areas on campus that students can use during their free time.

Many students lack that connection because they are on campus only during the time they're in class. They work off campus and socialize with people who aren't connected to the University. Students need to feel they're a part of the University and that graduating with the rest of their "class" is important, Preus says. "I think we forget how hard it is for students to break away from friends and social orientations."

As for study areas, many departments are addressing their lack of study space and places that commuter students can use while they are on campus. For the most part, though, the University lacks lockers and study space, and needs better signage to inform students of where the study areas are. "There are many places to study that are out of the ordinary, but people don't know where they are," Desjardins says.

An example of a college taking steps to develop a sense of community is the College of Agriculture's

Project Sunrise, an undergraduate curriculum-enhancement program intended to better prepare students for today's technological, integrated, and international society. The two-year-old project, which involves all faculty in the college, was established through a three-year grant.

Part of Project Sunrise involves developing methods to help students feel more at home in interdepartmental majors. A concern when interdepartmental majors were proposed was that students wouldn't have a place or faculty group with which they could identify.

The college is using such things as orientation classes, coffee mugs, newsletters, luncheons, and displays with student photographs to make students feel more a part of their program. Receptions and a special class on leadership are being conducted this year to encourage greater student and faculty attendance at community-building events.

Another problem the University faces, as Hopkins sees it, is the low expectation placed on students in regard to their course load. Sometimes students who start with 12 credits continue to take that load, which places them farther behind the four-year pace every quarter. Instead, Hopkins says, advisers should advise students to take 15 credits a quarter, the amount needed to graduate from most 180-credit majors in four years. If students have to work, advisers should encourage them to keep their credit loads up. If students must cut back on their course loads, they should know the consequences up front, she says.

Most advisers follow that direction, says Barbara Becker, director of student academic support services in the College of Liberal Arts (CLA). "From the very start at orientation, we tell students in advising appointments and college publications that they need to take 15 credits a quarter to graduate in four years," she says. "I would like to see more students taking 15 credits, but students wanting to go to college part-time have long been attracted to the University. For the last 15 years, students on the Twin Cities campus as a group have carried, on average, 12 credits a quarter."

Advisers use a variety of information to develop programs for each student, Becker says. They examine students' educational backgrounds, personal priorities, and employment demands while discussing with them the credit loads they feel they're able to carry. The first quarter of a student's freshman year is different, though, Becker adds. They need a lighter load their first quarter because it's a transitional period for most—a time to adjust to a different lifestyle, more rigorous academic expectations, and new responsibilities.

"We encourage students to take as many credits as they can handle," Becker says. "But it doesn't do students a favor during the first quarter to suggest 15 credits if they don't have the academic background and time available to be successful in their course work.

"It's a complicated issue that merits more formal study, but I don't think students take 12 credits because advisers set 12 credits as an expectation. I think students take 12 credits because that's what they know they can handle. I don't think this is a pattern that's driven by advisers. It's a pattern that's driven by student need," she says. "We need to learn more about the reasons students choose to be part-time students and students' motivations to work."

Students who don't have to work 20 hours a week and are academically prepared are those who average 15 credits a quarter, says Bill Beyer, coordinator of CLA premajor advising.

Beyer has a hypothesis concerning the time it takes students to graduate: "What happens here is that students study and do career exploration over six or seven years. At smaller liberal arts colleges, students graduate in four years, then flop around for two to three years while doing their career exploration. It's basically a wash."

Most of the problems the Twin Cities campus faces don't exist at the Morris campus. That's why Morris ranks first among the University's three four-year campuses in five-year graduation rates, with 42.7 percent. Duluth has 31.7 percent, followed by the Twin

Cities campus with 27.1 percent.

Those figures are due to some obvious differences between the Morris and Twin Cities campuses. A higher percentage of Morris students attend school full-time, work less, and receive financial aid. Also, Morris is a small campus that allows students to establish closer relationships with the faculty. And Morris students tend to be successful in high school, making them better prepared for college.

Morris's graduation rates are expected to continue rising as the result of a freshman course implemented recently, says Gary McGrath, vice chancellor for student affairs on the Morris campus. It's a general education course called Inquiry and it must be taken by all freshmen during fall quarter. The class sections are limited to 15 students and emphasize discussion, reading, and writing. "It's a good introduction to college," McGrath says.

Another reason for Morris's success is that most students are connected to the campus. Half of Morris's 2,000 students live on campus, and another 350 to 400 rent housing in town. "You're in a campus environment almost every day," McGrath says.

On the Twin Cities campus, about 15 percent—or 4,500 students—of the 25,000-member student body lives on campus.

The University's problem will never be completely solved, but the best way to improve the situation is to get everyone in the University involved in making the education process for students as enjoyable and personal as possible, Hopkins says. "The kind of thing you want is for lots of people to be involved and expend their own personal energies, because then they develop a stake in it and they want to do something about it. The more people who are concerned and think about their own programs and how they can be improved, the better we will do with it." ■

□ THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

The advent of spring quarter always begins a flurry of activity as we approach the end of the academic year. The following issues are before the University governance system:

In the fall of 1989, faculty reaction to changes in the State Health Plan led to the formation of a task force to explore possible health care plans if the University withdraws from the state plan and makes its own arrangements. The chief source of discontent was the termination of the Blue Cross Blue Shield Aware Gold option. One of the principal objectives of the task force was to fashion a choice plan that continued many, if not all, of the attractive features of Aware Gold.

Task force members worked long and hard to place before us an array of choices that would become effective January 1, 1992. But the task force voted unanimously to delay the proposed effective date for one year, which I believe was a wise decision. The task force has been very responsive to suggestions from senate committees, notably the Senate Committee on Faculty

Affairs, chaired by Professor Avner Ben-Ner, as well as from individual faculty members. That responsiveness, however, contributed to an extension of the deliberations.

For the Choice Plan, there are two major concerns: the nature and size of the provider network and the premium necessary to pay for the option. Until these become known with greater precision, we will not be able to make informed choices. The vote to delay implementation until 1993 has not altered the task force recommendation that the University develop its own program. Discussions continue with certain senate committees.

The faculty affairs committee has had a busy agenda this year and contemplates being able to report on the following issues in May: a possible revision in the tenure code to permit pregnant faculty members to stop the "tenure clock" for a period of time; procedures to follow when it is necessary to place departments "in receivership;" the proposal to establish a clinical tenure track for Medical School faculty; proposals to improve sabbatical leaves; and a consideration of the eligibility criteria for Bush Sabbaticals.

The Senate Committee on Educational Policy has given considerable time to the discussion of the draft report from the Task Force on Liberal Education. The committee,

now chaired by Professor J. Kim Munholland while Professor Thomas Clayton is on quarter leave, wrestles with the financial implications of the draft recommendations given the budget outlook. For the immediate future and the "best guess" for recurring costs (about \$10 million), it is clear why the committee continues its careful consideration. Much depends on the willingness of programs and faculty members to redirect their instructional efforts, in part, toward the design and development of courses that the task force envisions. If restructuring and reallocation is to fulfill its promise, it should be reflected in our course offerings, and in some instances, at least, the mode of instruction.

The faculties of the professional schools have a role and responsibility in this area. Discussions should continue until that role and responsibility are given clarity. Senate consideration of the task force report is contemplated at the second spring meeting of the Twin Cities Assembly.

The committee also continues to consider the review of honor program eligibility criteria for the Morse-Alumni Association Teaching Award and instruction assessment.

Comments on these items or other concerns of individual faculty members are always welcome. ■

FOOTNOTE

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IN THIS ISSUE

Retention and Graduation Rates
Health Care Plan

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LIBRARY COLLECTIONS
10 WA LIB
MINNEAPOLIS MN
55455

Next Footnote—April 23

FOOTNOTE

□ April 23, 1991

□ Volume 4, Number 17

□ Published by the Faculty Consultative Committee

Budget Principles:

A Game Plan for Managing an Expected Cut in State Funding

As central administrators get set to prepare the University's 1991-92 budget, they're keeping an eye on the legislature and closely monitoring the budget figures being tossed around at the state Capitol. In addition, some administrators have addressed legislative committees to educate them about the University's needs and mission.

Meanwhile, administrators have established some guidelines for the University to follow when the legislature settles on funding for the 1991-93 biennium. Those guidelines, which were presented to the Board of Regents April 12, outline possible steps the University can take to minimize the effects of an expected cut in its state appropriation. The regents will act on the budget principles in May.

Central administrators remain hopeful that the legislature will appropriate more than Governor Arne Carlson has recommended, but they're preparing for the worst. Carlson's proposal calls for a \$28 million cut in the University's 1991-92 base budget and a \$51 million cut the following year. The proposal includes a 3.7 percent inflationary increase in resident tuition next year, which would generate \$4.7 million. Tuition increases for nonresident and nonreciprocity students would amount to \$6.2 million under Carlson's plan.

The legislature is scheduled to adopt its budget by the end of May.

Central administrators are examining cost-saving measures and discussing program reductions beyond those outlined in the \$60 million reallocation plan. "It's critical that if we are forced to take something below the base budget,

that we do it in the least disruptive way," says Robert Erickson, senior vice president for finance and operations.

The University has been lobbying legislators hard to maintain its base budget, but its top priority is salary increases. "Our number one priority has always been, and will continue to be, salary increases for faculty and staff," President Nils Hasselmo says. "These are very serious circumstances we face here when we say that we may not be able to offer salary increases to faculty and staff this year and possibly next year."

Administrators recommend against inflationary salary increases if the state does not provide the needed funding. And the University does not plan to ask for increases unless other state employees receive them.

Central administrators have been wrestling with various issues that affect salaries, says Nick LaFontaine, director of budget management. The University is concerned with maintaining salaries that are competitive in the marketplace. But defining "competitive" and "the marketplace" has been a topic of ongoing discussions.

The University should consider other factors as well, according to Charlotte Striebel, associate professor of mathematics and a Faculty Consultative Committee (FCC) member. "The only thing the University cares about is being competitive. Doesn't it matter if people are happy or treated fairly or anything like that?" she asks.

Fred Morrison, a law professor and member of the Senate Committee on Finance and Planning, cites a recent report by the American

Association of University Professors that ranks average faculty salaries nationwide. The rankings show that the University's average faculty salary has been dropping recently. "No inflationary increases represents an institutional choice to let those rankings continue to slip," he says. "Is that the intent of the University or can we think of an alternative?"

Salaries aside, the University is facing a \$20 million deficit when 1990-91 expenses are compared with next year's expected revenues. The University's 1991-92 revenue estimates are \$640 million, based on Carlson's appropriations and tuition recommendations. Revenues include \$440 million in appropriations, \$146 million in tuition, and \$36 million in cost recoveries.

On the expenditure side, the University funded \$660 million in recurring programs last year. But the University is also facing an estimated \$6 million in increases next year for fuel and utilities, library materials, supplies, postage, waste disposal, and debt service. The debt service alone will increase from \$300,000 to \$1.3 million because the University now pays one third of the debt service for new building projects.

The \$20 million deficit doesn't tell the whole story and doesn't include forgone salary increases, Erickson says. "The true magnitude is really much greater."

Because the budget must be balanced, a variety of cost-saving measures are being discussed by administrators. The University could rely either on cutting additional programs or spreading cuts

Budget, from previous page

across all units. Cutting programs would keep remaining programs intact, but the process would require more time and more difficult decisions, and would produce savings at a slower rate.

Across-the-board cuts tend to be demoralizing and opportunistic in terms of such things as hiring freezes, and they have an adverse impact on the quality of virtually all programs. Across-the-board cuts produce savings quickly, but all programs suffer, LaFontaine says.

Erickson believes cutting programs may be the answer. "I think there has been unanimity that we are much better off to do program reductions than we are to have this slow, creeping death that we've had over the past several years." Constant budget cuts of 2 and 3 percent a year are applied unevenly and become difficult, he says.

"On the basis of our discussions, the general consensus has been that further across-the-board erosion of

everything gets us nothing," he continues. "So if we're going to be in a situation where we have to do something, let's not further diminish the institution. Let's bite the bullet if we have to."

Striebel agrees. "I think everyone understands that," she says. "I think people are more afraid of this (incremental reduction) where everything is chopped off."

Administrators haven't determined which programs to cut if cuts are needed, and those decisions won't be easy. "It's going to be quite drastic and that's the message we're trying to give," Erickson says.

The administration also recommends that departments be allowed to continue to carry forward dedicated fund balances and that the University use \$37.5 million as a June 30, 1992, target for its central reserve balance. Administrators hope to eventually increase the central reserve to \$40 million or \$50 million.

"It's very important to have the central reserve; it's our cushion," Erickson says. As an example, Erickson refers to the University's ability to use its central reserve to cover an unexpected \$8.8 million reduction in state funding this year. The University plans to replace that amount over the next several years by cutting spending.

The University, however, won't use its central reserve to cover shortfalls in the 1991-92 budget, Erickson says, but the reserve will provide "bridge" funding during programmatic changes. "That's valuable to us because it permits us to operate more with a knife than a meat axe."

Dedicated fund balances are protected, even though central administrators are trying to determine why they have increased by about \$150 million during the last five or six years, LaFontaine says. Dedicated funds are contributions made to specific departments from outside sources for a variety of purposes, including research projects. "All we're saying is that they exist; we're not taxing them or harvesting them," he says.

Although dedicated funds will continue to be protected, the interest they generate may become a source of revenue for the Univer-

sity. Departments can include their dedicated fund balances in the University's temporary investment pool, which earns interest at treasury bill rates (more than 6 percent), which are higher than banks' rates. The University may consider collecting some of the interest from those investments.

In addition to collecting some of the interest on those accounts, administrators are considering penalizing departments that run deficits in their board-allocated accounts, which are state-appropriated (0100) funds. Many departments, Erickson says, follow good management practices by running up deficits in their board-allocated accounts while keeping surpluses in their dedicated fund accounts. But those practices have to change, he says. One possibility is to charge departments interest on their deficits.

"I think we should reduce the ability to have deficits on the 0100 money offset by a surplus on the other funds," Erickson says. "If we get into a difficult situation, we may have to talk about handling some of these things differently.

"We can't overlook any source of funding," Erickson says.

"We think this is a fruitful field to harvest," LaFontaine says, referring to charging interest on fund deficits and reducing interest on balances.

Mario Bognanno, professor of industrial relations and an FCC member, says that taxing dedicated fund balances may encourage some units to pursue larger board allocations more aggressively in order to protect their dedicated balances.

Other cost-saving measures being considered include closing the University during holidays or class breaks and offering early retirement in order to generate immediate nonrecurring savings.

One area that doesn't have much fat left to cut is supplies, expenses, and equipment (SEE), Erickson says. The University Building Energy Efficiency Project may reduce fuel and utility expenses, but it requires the University to recover its initial investment before realizing savings. Also, the University must change practices like keeping all buildings ready for 100 percent occupancy 24

FOOTNOTE

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Copy Editor: Sharon Grimes

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hours a day, seven days a week.

Cuts in most SEE areas are not possible, Erickson says. The University's budget for technology investments and library acquisitions is already inadequate, and repair and replacement allocations are not keeping pace with deferred maintenance. "There is no significant area for cutting here," Erickson says. "We could probably argue that we've cut too much."

In terms of enrollment and tuition, the administration recommends that the University maintain its enrollment targets, develop a single undergraduate tuition rate, raise tuition to meet legislative intent but no higher, and hold individual tuition-rate increases at no more than 1.5 times the general rate

increase. The administration also is considering increasing financial aid to offset tuition increases, and implementing a surcharge of \$1 per credit if tuition increases are needed above the general rate increase. The surcharge would take the place of a permanent tuition increase.

The tuition recommendations spurred concern by some regents, who lashed out at administrators for promising not to balance the budget on the backs of students but then recommending tuition increases to cover some of the projected state shortfall.

"This is obscene in terms of the tuition increases in this budget," said Regent Mary Schertler, who supports tuition freezes or decreases.

Tim Wolf, student representative to the regents, suggested a morato-

rium on tuition increases and said that the University should be proactive instead of reactive in setting tuition rates.

The University, Hasselmo told the regents, has a policy of setting tuition rates as low as possible while still offering quality education.

Discussions are continuing at the administrative level, and concern looms for many faculty members. John Sullivan, political science professor and finance and planning committee member, said, when discussing the choice between program cuts and across-the-board cuts, "It seems to me that we're looking at a serious decline in the institution." ■

Board of Regents Sets Open Forum for ROTC Discussion

The Board of Regents has scheduled an open forum to allow members of the public to present their views on the University's relationship to ROTC and the Department of Defense policy of prohibiting gays, lesbians, and bisexuals from being admitted into the ROTC program.

The forum will be 10 a.m. to noon Thursday, May 9, in Room 42 of the Earle Brown Center.

The forum is intended to help the regents decide how to handle the conflict between the University's policy prohibiting discrimination on the basis of sexual orientation and the defense department's prohibition of gays, lesbians, and bisexuals in ROTC.

The regents discussed the issue at their April 11 meeting, when they heard a resolution that the University Senate passed in February. The resolution calls for administrators to work with other educational institutions and associations in lobbying the federal government to change the military's regulations. It also calls for the University to end its relationship with ROTC if the conflict is not resolved by June 30, 1993.

The regents are especially interested in possible strategies that administrators can use to encourage a change in the military's policy. "We need to focus on this issue," President Nils Hasselmo told the regents. "This is not just a local

issue, it's a national issue."

If you wish to speak at the forum, you must contact the Regents Office, 220 Morrill Hall, (612) 625-6300. Give your name, address, telephone number, the position you wish to present, and your connection to the University. You will be notified of your time on the agenda and will be limited to five minutes. If the number of speakers exceeds the time available, preference will be given to speakers from the University and those who represent a group. Speakers who wish to provide the board with written information should do so in advance. ■

Faculty, Academic Professionals Needed for Advocacy Program

Volunteers are needed to act as advocates in the University's Faculty/Academic Staff Advocacy and Grievance Advisory Program, which helps faculty and academic professionals solve employment-related conflicts.

Advocates should be faculty members or academic professionals so that they can help colleagues during the sometimes lengthy grievance process. They also should be fair-minded and just, and should have some knowledge of University rules and procedures, program director Maurine Venters says. A

special appeal is going out to professors emeriti to serve as advocates.

Volunteer names will be added to a list of advocates who will be called when grievances are filed. The time commitment will vary by case, but the average grievance process, which typically lasted about two years in the past, is now expected to last less than one year, Venters says. The process usually includes two hearings, at which the advocate may either offer support or speak on the grievant's behalf.

Venters says the program has

less than 10 advocates but she would like it to have at least 20, even though the University has only a few grievance cases each year. People file grievances for reasons such as promotion denial, racial or sexual discrimination, or violation of academic freedom.

Advocates are needed from all campuses and need not be full-time faculty members or academic professionals. For more information, call the program office at 612-627-4032. ■

□ THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

The Senate Consultative Committee and the Senate Committee on Finance and Planning have had presentations and discussions of the 1991-92 budget with senior vice presidents Len Kuhi and Robert Erickson and controller Nick LaFontaine. While this has not always been the case, the budget principles are clearly formulated and easily understood but their implications are sobering.

Should the governor's original recommendations hold up, we will be confronted with very difficult choices. The governor has since reduced somewhat the size of the reductions initially proposed for higher education, including the University. And discussions within the legislative committees con-

cerned with University appropriations suggest that legislative recommendations will further reduce the size of the reduction to the University's base budget. At this writing, it appears unlikely, however, that the base cuts will be eliminated entirely.

In regard to faculty and staff salaries, the outlook is equally bleak even if increases are limited to offsetting inflationary effects. Little has been said in St. Paul about cost-of-living increases for state employees. Rather, the reports mention personnel reductions for various state agencies, no replacements for retirements and resignations, and a salary freeze for state employees. If there is not to be cost-of-living increases for faculty and staff, let alone merit increases, the consequence will be that the faculty and staff in a real sense will provide a subsidy to the on-going programs of instruction, research, and service while the increased costs of coal, electricity, water, supplies, and equipment must be paid in order to continue operating. It is the nature

of higher education institutions to have inflationary personnel costs borne by faculty and staff.

We believe that the need for faculty and staff salaries must continue to be pressed in appropriate legislative committees. We, the faculty and staff, are not unmindful of the economic health of the nation and the state, and the issue of faculty and staff salary needs has to be pursued in full awareness of these realities. But even if unsuccessful, the advocacy of faculty and staff salary needs establishes a record to which reference can be made in the future. At the least, if there are no cost-of-living increases next year, both the legislature and public should be educated about the extensive subsidy faculty and staff provide to the continuing programs of the University. Somehow, among the budget principles and the 1991-92 budget there should be some way of communicating this "gift" by dedicated faculty and staff to this institution. ■

FOOTNOTE

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Minneapolis, MN 55455

IN THIS ISSUE
Budget Principles
ROTC Open Forum

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Next Footnote—May 7

FOOTNOTE

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Faculty Salaries:

Increases Are Doubtful but They May Come as a Result of Layoffs

As the budget debate heats up in the legislature, one thing is becoming increasingly clear: University faculty and staff won't get salary increases next year. Period.

The bad news doesn't stop there, though. The University apparently won't have extra funds for promotions, merit increases, or retention cases either. Individual departments or colleges will be responsible for funding those cases, if they have the extra resources to do so.

The only bright spot concerning salaries is that a working group is close to completing a study of the University's salary structure and offering recommendations on how to improve it.

But for now, attention is focused on the capitol, where legislators are haggling over how much to cut from the University's appropriation base and how much to raise tuition to soften the cuts. They no longer are discussing raises for faculty and staff. In fact, Geoffrey Maruyama, faculty legislative liaison, has all but abandoned his lobbying efforts for salary increases. "I haven't pushed that much for quite a while because it seemed like a lost cause," he says.

Inflationary increases were a high priority going into this legislative session, but President Nils Hasselmo says the University apparently won't get any new funds for salary adjustments. "We're now operating under the assumption that no new salary money means no salary increases," Hasselmo told the Faculty Consultative Committee (FCC) May 2.

The prospects of a legislature-imposed salary freeze appear remote. That means salary adjustments would be made only as a result of layoffs, Hasselmo says. But

he assures faculty that all units within the University will be treated fairly. "That's easy to say but not easy to do. The units are so different."

Part of the reason that legislators are not discussing salary increases for faculty and staff is that they are not a high priority for Minnesotans in general. The public is more interested in health care, property taxes, and children's issues, Maruyama says. Since faculty salaries do not fall into any of those categories, they are being sacrificed.

The situation could be worse, though, as faculty and staff at higher education institutions throughout the country are finding out. Institutions nationwide are facing similar budget problems. Some are not stopping at denying faculty inflationary increases; they also are requiring faculty to take unpaid holidays or are shutting down their campuses during breaks or holidays, Maruyama says.

Maruyama hasn't stopped lobbying altogether, though. "Never say never," he says.

It's not too late for last-minute lobbying. Maruyama encourages faculty and staff to call their representatives to express their frustrations over the salary situation.

As for promotion and retention pools, individual departments and colleges must use their own resources for those cases, says Robert Kvavik, associate vice president for academic affairs.

"The deans have been told that they are to handle retention cases the best they can by using and cannibalizing collegiate funds," Kvavik says. "If deans can find money in their strapped budgets, they can respond to a retention

case. But they can't expect to come over to central administration to find the funds."

Colleges and departments build up funding pools for retention and promotion cases by "skimming" state appropriations. In the past, as the University received state funding for salary increases, it typically "skimmed" a small portion for the colleges to save for retention and promotion. For example, if the University received funding for 5 percent salary increases, administration would take 0.5 percent or so for the pools and distribute the other 4.5 percent as salary increases.

"But when you get zero, you can't do that," Kvavik says. "You have to cannibalize a vacant faculty position or you're stuck."

"I'm sure the pools have been whittled down pretty hard," he says. "I think it's going to be tough (to fund promotion and retention cases). Can (departments) do it? The answer is yes. Are they able to do it financially? I don't know, and I don't think they know because they don't know what their budget's going to be."

Some faculty will still receive promotions regardless of what happens at the state capitol, but the money will have to come from the deans. "The administration's position is that, even if there's a zero salary base, we would not object to promotion money being paid," Kvavik says. "But like retention money, it would have to come out of money that the colleges have."

"It's clearly a disturbing situation because their (faculty members') property taxes are going up and there's inflation, so the state is

Salaries, from previous page

clearly eroding the financial status of faculty as well as civil service, P/A, and everybody," Kvakik says. "Are there going to be ramifications to that? You betcha.

"The problem with this discussion is that there are so many what-ifs. We want to get salaries up. The president has said time and time again that salaries are the number-one priority, but..."

The salary structure, not salary increases, is the focus of the Working Group to Review Academic Salary Structures. The group has been meeting for several months and recently completed a preliminary report, which it presented to the Senate Committee on Faculty Affairs (SCFA) April 25. A final report is due in June.

The group is studying the current salary ranges of faculty and staff, how salaries and performance appraisals are determined at this and other universities, the role that

faculty could play in generating review guidelines, and possible review structures and procedures.

The committee also is discussing the effects of evaluating faculty for merit and cost-of-living increases less frequently. The University now has a variety of review procedures that determine salaries. Most evaluations are done annually and include some faculty participation. Some evaluations are done by faculty committees that forward recommendations to deans or department chairs; some are done by department chairs who link objectives to performance. And, the group found, some evaluations seem to be done in an arbitrary and capricious manner with little faculty involvement.

In studying other universities, the group examined the salary structures and evaluation processes at the University of Michigan, which has a structure similar to the University's, and the University of California, which requires an elaborate administrative structure for evaluating full professors every third or fourth year. It also provides for increases that are determined by a step system based on time in rank.

"California faculty noted that the benefit of their system is that the faculty tend to be involved in more long-term research projects, whereas a system of annual evaluations... results in more short-term projects," says Morris Kleiner, co-chair of the working group and professor in the Hubert H. Humphrey Institute of Public Affairs.

One of the benefits of evaluating faculty for merit and cost-of-living increases less frequently is that the system becomes fixed and equality-based, the report says. But without annual evaluations, departments may have less ability to provide direction for faculty and staff.

One of the current problems at the University, Kleiner says, is that research programs do not necessarily follow the annual evaluation process because of the length of some research projects. Offering merit and cost-of-living pay increases less frequently would reduce the need for annual evaluations and might result in ways of "smoothing the linkage between

productivity and the awarding of salary increases," he says.

"There is support among many members of the committee to provide greater accountability of department chairs to faculty, as well as having department chairs provide rationales for compensation changes," Kleiner says. "Greater accountability may result in salary determination processes that enjoy greater credibility with the faculty and that generate greater incentives for higher academic achievements."

The working group is nearly unanimous in its support for reviews and in-depth evaluations of full professors. The evaluations would be more fruitful, the group says, if they could be linked to additional merit increases for those whose exceptional performance goes unrewarded. And those who don't perform at acceptable levels could be identified and remedial action would be taken.

The committee needs to separate some of the salary-structure issues and prioritize them, says SCFA chair Avner Ben-Ner, associate professor of industrial relations. He would like to see more than one recommendation from the group.

The following are excerpts from the SCFA's discussion about the report:

Leonard Kuhi, senior vice president for academic affairs: "One task the committee should be addressing is creating uniform criteria across the University. There should be an overlying set of criteria that everyone can refer to as having been used in evaluations. Part of the criteria is the balance between the different parts of a person's duties—that is, research, teaching, service, and so on. With such a wide range of criteria being used, there's no guarantee that justice, whether deserved or not, is being served."

Kleiner: "I think the current system is doing a pretty good job. It needs some modifications, but when you compare it to other institutions like Michigan or California, I think it's doing a relatively good job.

"I think one of the major problems is the smoothing issue, that pay for performance be provided in the same period. Another issue is

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accountability. But in terms of moving to a system that is very fixed and rigid, I don't know how much support there is on the committee."

SCFA member Don Rasmusson, professor of agronomy and plant genetics: "There's such a myriad of issues and it's so complex that it seems to me that you have to look at the framework of the critical issues. It seems to me that if you put a framework in place, then you begin to deal with lesser issues. Are you in a position to support evaluation on a continuing basis for faculty?"

Kleiner: "At the last meeting, there was great support for that. To enforce it, you'd have to provide information to faculty and department chairs on the evaluation criteria and comparisons of other faculty members. The deans play a role in keeping it from becoming an arbitrary and capricious process. The grievance process is a (possible enforcement tool), too.

"Much of our discussion focused on having departments, by a faculty vote or consensus, decide on different ways to allocate salaries. Some departments may cut up lines and allocate that to faculty with the understanding that they may be teaching more because they're not hiring additional faculty. Others may hire more people and keep salaries down. Right now, there's a great deal of flexibility by departments based on the objectives of those departments. Much of the feeling on the committee has been that the flexibility the departments have and their objectives are, in general, a good thing."

Rasmusson: "We should decide that faculty ought to be evaluated, and the purpose is to identify productive individuals who are deserving of greater rewards in the system. There needs to be a merit system that the committee should endorse. There are all kinds of horror stories about equity and failure to communicate, so a set of guidelines should be in place that could be administered to help this operation.

"I was disappointed to hear you (Kleiner) say that you thought the system was operating okay. I'd like to see your committee take an aggressive position that we can do

much better. We ought not to be so concerned about irrational and inequitable and unfair treatment. These people are trying to do the best they can. Let's put in some guidelines with the assumption that they will be to our benefit and they will be adhered to."

Kuhi: "I second that. One reason we put this committee in place was to look at these issues. There's no question that the faculty has to be evaluated on a more rigorous basis every four or five years, or whatever. With the removal of mandatory retirement, the department needs a form of evaluation. I don't know how you came to the conclusion that there are no problems or that the system is just fine, because that's not the impression I have. The lack of uniform criteria and uniform procedures and the question of who has responsibility are critical issues.

"There are some departments that have very good systems in place. Maybe we could use those as guides. I think what we want out of all this is a system that people can feel happy with, that is to say they've been fairly treated and their excellent performance has been appropriately rewarded. You can compare us to other institutions but the issue is, how do we deal with the people right here? They're the ones we work with and share our lives with. We want to make sure those individuals feel they're part of the University and are fairly treated.

"We should never have had a Rajender settlement. That was an indication that something is drastically wrong with the system. One thing is that there is no system. Every department has its own system."

FCC chair Warren Ibele: "The problem is made more difficult because in many instances in the past where salary increases were only equal to or less than the cost of living, they had the handicap of reducing, effectively, the salary of those who didn't achieve. One advantage of having a merit system that's clearly understood, that includes cost-of-living and merit components, is that guidelines are spelled out. That gives a sense of integrity and credibility to the system internally. It also has the

advantage of being more defensible when you go to the legislature to ask for more funds for cost-of-living and merit increases. If there's an internal system that the faculty itself had a strong hand in administering, it makes that case convincing.

"Even in the past when we have gotten monies that included the cost of living, the question always arises in some legislative quarters, 'Can we be sure that those increases are going to people who deserve it, and are other people being slighted?' The system has to have that kind of integrity that can support it both internally and externally."

Salary group member Ruth Kanfer, associate professor of psychology: "In the original document, it was not clear if we were supposed to consider the implications of a new salary structure or if we were to originate a structure that would be appropriate to this University. It is unclear to me from today's discussion whether we are to look at a structure that incorporates and deals with problems that we've encountered. For example, Rajender issues. I'm not sure what we're charged with.

"I'd like to look at each component. I'd like to extrapolate the costs and benefits of each one of the components, what the decision-making costs and benefits are for a centralized set of criteria that takes it out of local hands and puts it into central administration hands. Then bring a matrix of components to the committee (to fit together for different scenarios). I'd rather buy a whole system, one way or another."

Ibele: "Internally, there should be a certain level of credibility and acceptance by the faculty. I think you can do that through the combination of a general set of criteria (and modifications by department or college). Any discipline, in order to be successful, has to have the flexibility to cope with that situation. I would hope that we wouldn't turn a decision like that over to central administration." ■

□ NEWS

The following are items that President Nils Hasselmo discussed with the Faculty and Senate Consultative Committees May 2.

- Feedback from central administration's budget principles indicates that, with all the uncertainty at the legislature, the principles may have sent the wrong message to the University community, Hasselmo says. He will recommend to the Board of Regents May 10 that it postpone action on the principles until after the legislature has adjourned. Central administration is still examining potential budget adjustments, program cuts, and tuition increases in anticipation of the legislature's action. "We're trying to look at scenarios that will balance these factors to make cuts as painless as possible," he says.

- The University is among many higher education institutions nationwide that are working at the

national level to resolve conflicting policies concerning ROTC. The University's policy prohibiting discrimination on the basis of sexual orientation is in direct conflict with the Department of Defense prohibition of gays, lesbians, and bisexuals in ROTC.

The Board of Regents has scheduled an open forum to allow members of the public to present their views on the conflicting policies. The forum will be 10 a.m. to noon Thursday, May 9, in Room 42 of the Earle Brown Center. Hasselmo says he may have a report on the issue for the regents' June meeting.

The regents are considering a resolution that calls for University administrators to work with other educational institutions and associations throughout the country in lobbying the federal government to change the military's regulations. It also calls for the University to end its

relationship with ROTC if the conflict is not resolved by June 30, 1993.

Among the institutions and associations working on the issue are the Universities of Wisconsin and Kansas, other land-grant institutions, and four national associations, including the American Association of Universities and the American Council on Education. Hasselmo has been in contact with the presidents of 40 other institutions that have a similar policy conflict. In addition to lobbying Congress and the defense department, the group is exploring legal and political channels. "We're not sitting idly by," Hasselmo says. "We're working hard toward resolving this issue."

- A search committee should have a list of finalists for the vice president for health services within two weeks, Hasselmo says. ■

The Chair's Report will resume in the next issue

FOOTNOTE

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IN THIS ISSUE

Faculty Salaries

Budget Principles

Next Footnote—May 21

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FOOTNOTE

☐ May 21, 1991

☐ Volume 4, Number 19

☐ Published by the Faculty Consultative Committee

Rating the Brass

New Administrative Evaluation System is Fast, Adds Consistency, and Opens Process to Faculty and Peers

If you've got about seven minutes on your hands, a computer or pencil, and an opinion about an academic administrator's leadership behaviors, you could get the chance to evaluate that person.

The University is implementing an annual academic administrator evaluation system that will make evaluations quick, easy, and consistent throughout the University, and will open the process for colleagues and faculty to offer semi-anonymous views, whether solicited or not. The evaluators' names will be known to the administrator but their evaluations will be anonymous.

Effective evaluation systems now exist in some departments, but the University has no consistent policy for evaluating academic administrators, which has resulted in a wide variety of evaluation systems throughout the University. Those systems range from excellent to meaningless, says Carole Bland, a Medical School professor who is playing a major role in developing the new system.

The new system is intended to provide supervisors with information to help them make salary decisions, manage administrators, demonstrate accountability to internal and external constituents, and achieve University objectives as outlined in such University-wide plans as Academic Priorities and Commitment to Focus.

The primary reason for the new system, however, is to improve administrative productivity and effectiveness, Bland says. Although an administrator development program for new department chairs has recently been developed, most administrators have had no opportunities for formal leadership

training; they are selected for their academic reputations and not their administrative skills or training.

"Administrators are just kind of thrown into the position," Bland says. "It's an incredible personnel job. Department heads alone make 80 percent of the administrative decisions at the University because of such things as hiring and salary allocations. It's a major career shift for many of them."

The evaluation system also will identify marginal administrators, Bland says.

Most administrators, however, will need improvement in only some areas, which is where their supervisors come in. "The supervisor is taken out of the sole judge role and put in a coaching role," Bland says. "Supervisors should be very happy to have this information. They're getting valuable information about how the administrators relate to others and what they do during the day, because they normally don't have a lot of daily contact with the administrators who report to them."

The system has two parts: a self-developed annual goals statement and year-end goal-accomplishment report, and ratings and comments by colleagues on leadership behaviors used to accomplish those goals. "Most people have goals, but we didn't have a meaningful way to collect the information on behaviors," Bland says. "The only place where you get colleague review is in promotion and tenure reviews. There's no real system for administrators to collect and benefit from colleague review."

Some colleges, like the College of Agriculture, have good evalua-

tion systems. Parts of those systems were incorporated into the new system. "We didn't want to start a system that would conflict with existing good systems," Bland says.

Under the new system, administrators would have their leadership behaviors evaluated every other year by faculty members and peer and subordinate administrators. All administrators will discuss their goals each year with their supervisors.

The new system will not replace end-of-term reviews. Those reviews, which take place at the end of an administrator's term or periodically after several years in office, aren't frequent enough to help administrators improve, Bland says. "This system is more timely and has more meaningful information for the administrator."

Here's how the system works:

The goals component starts at the beginning of the year when administrators outline their goals for the coming year and their strategies for accomplishing those goals. The goals must include individual and University-wide goals and priorities. Administrators must get their supervisors' approval of their goals, and they are encouraged to review the plans with their subordinates as well.

At the end of the year, administrators and their supervisors discuss the goals and evidence that they've been accomplished.

"The goals provide a mechanism for contributing to the University's goals," Bland says. "Administrators are asked to provide some goals that are the same as the University goals and a way to track those goals. So, it's not only an individual manage-

Evaluations, next page

Evaluations, from previous page
ment system, but a University-wide management system as well."

But that's just half the system. Bland uses the analogy of reviewing successful football coaches by using only their records and not looking at how they achieved their success. The other half of the equation involves rating the administrator on leadership behaviors. "You can't only look at outcomes. You also need to look at how those outcomes were achieved," she says. Enter evaluators.

The pool of evaluators includes people chosen by the administrator and supervisor, and also includes unsolicited volunteers. The system initially was going to include only those evaluators invited by the administrator or the supervisor, but after consulting with various groups, Bland saw a need to open the process up to anyone who wanted to participate. The answers from the "volunteer" group, like all other pre-identified categories of

evaluators, are reported separately as well as in a merged form.

Bland says that a lottery approach to identify the pool of evaluators was not used because "a lot of times you don't get to those who know a lot about the administrator. Then, instead of meaningful results, you get vanilla."

The system also requires that administrators rate themselves and that their supervisors rate them. A study of administrators' self ratings in a national corporation found that those who were rated very low in a particular area by evaluators tended to rate themselves high in that area, Bland says. And those who were rated high in a particular area rated themselves similarly high. Thus, collecting ratings from three groups—self, supervisor, and colleagues—provides a reality check.

The evaluators use rating forms uniquely tailored by the administrator to include behaviors he or she believes are important. Leadership behaviors include such activities as running meetings, explaining decisions, and consulting with colleagues.

To produce the individualized rating form, administrators use a computer program called Insight, developed by an Arizona firm. The program lists general behaviors that administrators can use or modify, or they can develop their own unique list of leadership behaviors. Several core items applicable to all administrators are included on the form as well. Each item is rated on a one-to-ten scale. The evaluators also can include written comments about the administrator.

The evaluation form can be administered in three ways: on paper, on computer disk, or on a combination of both. This summer, the program also is being put on an electronic network to avoid the problem of incompatible computers. The evaluators either pass around the disk, work on the network, or fill out the paperwork and have it input into the computer system. Any way they complete the evaluation, their results are kept secret and are combined with evaluators of the same category, such as peer administrators, volunteers, or faculty members. When all of the evaluations are done, the

administrator gets computer-generated results immediately.

"This system is just a skeleton," Bland says. "(The University is) so diverse that there's no way we could have a standard evaluation form for everyone. Within the skeleton, the system is not only flexible, but it forces flexibility."

A pilot program involving the ratings half of the system was conducted last fall and included 39 administrators—from deans on up—from the Twin Cities campus. A workshop before the ratings segment taught the pilot group about the system. A second workshop after the evaluations were completed showed the group how to interpret the results. A pilot program on the goals half was conducted last spring.

The pilot programs' results are now being studied. Preliminary results show that the majority of participants were generally satisfied, Bland says.

Of the 31 pilot-program participants who responded to a satisfaction survey, 90 percent said they like having the administrator select the behaviors to be evaluated, 97 percent said they like having the administrator select the evaluators, 94 percent said they like having the administrator select the evaluation format, 75 percent said they like the core items used in the evaluation, and 81 percent said they like the summary format. Less than 13 percent of the respondents answered "no" or "no opinion" to any one of those questions.

Seventy-one percent of respondents were satisfied overall with the process and would recommend using the process; 13 percent weren't satisfied overall and wouldn't recommend it; and 16 percent were neutral.

The survey results are encouraging, Bland says, but the 13 percent who didn't think the process was a good idea were vocal about their opinions of the system. "Some of these administrators said they believe leaders are born or already trained via experience, and that this is unnecessary," she says.

Bland says she was impressed with the level of participation by administrators in the pilot programs. "The administrators were

FOOTNOTE

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Copy Editor: Nancy Rowe

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amazing to do this. This is a stressful time on campus so I'm pretty darn impressed with them. The president and provost gave it high priority and I think everyone respected that."

Faculty participation in the pilot program was minimal, but some deans included faculty in their pools of evaluators. Bland foresees more faculty getting involved when department heads are evaluated.

Faculty have been involved in the consulting process and will continue to be consulted, Bland says. She will address the Faculty Consultative Committee (FCC) May 30.

Bland addressed the FCC in February and heard concerns about

problem administrators and how the pool of evaluators is determined.

Charlotte Striebel, associate professor of mathematics, asked Bland how faculty members can use the evaluation to express concern about administrators who are "dictatorial, secretive, and vindictive." People can't complain to the administrator's supervisor because the supervisor will tell the administrator and then the faculty member will find his or her "neck on the line," she said.

Bland responded that the initial design of the system wouldn't allow for those views to be expressed, but now, by including the volunteer group, many of those

concerns will surface in the results of the evaluation.

As a result of the studies on the two parts of the evaluation system, administrators plan to implement the system University-wide. However, Bland says, administrators will not be required to use the Insight software for gathering colleague feedback, although it is encouraged and each college will offer training for it. Administrators who choose to use another approach will need to use one that contains all the essential features of the new system, such as gathering information from multiple groups and using individually tailored forms. ■

□ THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

The Board of Regents' open forum on the conflict between the University's policy prohibiting discrimination on the basis of sexual orientation and the Department of Defense's prohibition of scholarships and commissions for gays, lesbians, and bisexuals produced little that was new or startling (save for one unscheduled, cameo appearance). What was striking was the agreement by most that the optimum solution would have the ROTC programs continue on our campus but open to all interested students with the necessary academic and physical qualifications.

The issue is complex with local, state, and national aspects. The ROTC programs are caught between changing social conditions and the policies of the defense department, of which they are a part.

There are benefits in having the ROTC programs on the campuses of the large, land-grant universities of the nation's heartland. For the students involved, the programs often provide the financial means without which a college education may have been beyond reach, and, on completion of the program, an opportunity to serve their country

as commissioned officers.

For the nation, the programs provide citizen officers, educated in the midst of the rough-and-tumble atmosphere of an urban, comprehensive, research university—a more likely place to encounter both the virtues and flaws of our democracy than more cloistered, and perhaps compliant, campuses. It is an approach to providing the armed services with required officer personnel from diverse sources that has served the country well.

The University also has its own policies, approved by the Board of Regents, regarding equal access to all programs and facilities on its campuses. As currently conducted, the ROTC programs stand in violation of these policies because of the differential treatment accorded gays, lesbians, and bisexuals with regard to scholarships and commissioning. That is the dilemma before us.

The University Senate has confronted this dilemma through its regular deliberative processes and on February 14 passed a resolution reaffirming the University's policy. The vote was nearly unanimous, there being only a sprinkling of votes in opposition.

Although the optimum solution is to have the ROTC program remain but become open to full participation by students currently denied equal opportunity, there are differences regarding the strategy that should be employed. Some hold that a bold stance by a single, national university, which would

sever its ties to ROTC programs if defense department policy were not changed by June 30, 1993, would be a powerful act, one that would encourage other educational institutions to follow with comparable decisions. The cumulative effect nationally would be to cause the defense department to change its policies.

Others counter that, given the budget restrictions facing the defense department, it might indeed welcome (unofficially) the termination of ROTC programs at several isolated universities. The defense department's action would occur with minimum negative publicity as relatively painless events that helped balance its budget. And once gone, it might be difficult for ROTC to return, even when the defense department eventually changed its policy.

At the institution taking the bold, independent action, there is also the possibility that some might conclude that all that could be done about the problem had been done and campus concern would shift to another focus, leaving support for the national movement for change to falter.

An alternate strategy envisions a concerted effort to build a strong, unified coalition of national education associations and regional conferences of educational institutions for changing defense department policy. The prospect of having such a coalition prepared to sever

ROTC, from previous page
ties with campus ROTC programs is not a matter the defense department could regard lightly because of the sure impact it would have on the military services and the public concern it would evoke. This in turn, as this strategy contemplates, would cause the defense department to change its policy.

This approach also is not without risks. Patience is required and there is a need for a sustained, good-faith effort if this approach is to succeed. It also asks much of those who would continue to be denied

rights and benefits enjoyed by other students enrolled during this period.

Developing an optimum strategy in such situations is not an exact science. It is clear to me that the direction and strength of social change will overtake the defense department, which will change its policy in time. As a naval ROTC graduate and World War II veteran, I know the benefits and opportunities the campus programs provide and the extraordinarily diverse kinds of service that the modern military requires. I fully expect that when the policy is changed, as surely it

will be, the military branches will have no difficulty finding appropriate service assignments for those currently denied participation. So the major task is selecting that strategy, or combination of strategies, that will shorten the time required to reach the optimum solution. When such a diverse array of participants as appeared at the regents' forum agree upon the optimum goal, surely they should join in a common effort to achieve that end. ■

□ NEWS

Tom Scott, professor of political science, was elected chair of the Faculty Consultative Committee (FCC) at the FCC's May 16 meeting. Scott's one-year term begins July 1. he will replace Warren Ibele, professor of mechanical engineering, who served as chair during the last two years.

The FCC also elected Norman Kerr, professor of genetics and cell biology, as vice chair. He will replace W. Andrew Collins, professor in the Institute of Child Development, who announced his resignation from the FCC effective June 30.

The Twin Cities Campus Assembly overwhelmingly approved the recommendations of the Liberal

Education Task Force during the assembly's May 16 meeting. The recommendations will make sweeping changes to the 20-year-old liberal education program, which is required of all undergraduate students on the Twin Cities campus.

The recommendations were approved in their entirety despite two last-minute amendments, which were defeated in close votes.

W. Phillips Shively and Sam Krislov, both professors of political science, proposed the two amendments. One amendment called for the deletion of the four designated themes of liberal education: cultural diversity, international perspective, citizenship and public ethics, and environmental education. Students will be required to take six courses that reflect these themes, but the courses can fulfill

other requirements as well.

Shively and Krislov argued that those themes are important but they could think of other themes that are just as important. They also said the themes are not essential parts of a liberal education.

Their second amendment called for the new student colloquia course to be available to, but not required of, all entering students. Shively and Krislov argued that many well-prepared students would find the course unproductive and it wouldn't help encourage their undergraduate studies.

The liberal education recommendations will be forwarded to central administrators who will begin implementing them. ■

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IN THIS ISSUE

Administrator Evaluations

ROTC Conflict

Next Footnote—June 4

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FOOTNOTE

☐ June 4, 1991

☐ Volume 4, Number 20

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Fact or Fiction?

New Policy Will Provide Thorough Investigation of Scientific Misconduct Claims

The University of Minnesota is no different from most research universities: It has thousands of researchers under tremendous pressure to complete their work successfully and get their findings published. For most, the pressure for promotions and salary increases, and even the ego trip from the notoriety of making a significant discovery, accompanies their work. For some, the pressure may lead to research fraud, or scientific misconduct.

One of the most notorious misconduct cases occurred several years ago and involved Nobel laureate David Baltimore, now president of Rockefeller University. Baltimore coauthored a scientific paper with Thereza Imanishi-Kari, an assistant professor of immunology at Tufts University who apparently fabricated data for the paper, according to a draft report by the Office of Scientific Integrity (OSI). Baltimore retracted the paper as a result of the report, but not before he helped bring national attention to the issue of scientific misconduct and the need for research universities to have uniform guidelines for handling allegations of misconduct.

The OSI, an office of the National Institutes of Health (NIH), was formed just prior to the Baltimore case to crack down on scientific misconduct. To accomplish that, it established guidelines for scientific misconduct policies, which are required of all research universities that receive research funding from the NIH—one of the largest sources of grant support for research universities. Research universities' misconduct policies must also conform to National Science Foundation guidelines.

Although the University of Minnesota has never had a scien-

tific misconduct case as renowned as the Baltimore case, administrators receive three or four allegations a year, most of which are dropped before an investigation.

For those allegations that warrant investigation, the University has been operating under an interim scientific misconduct policy since fall 1989, and is developing a permanent misconduct policy that could be ready for University Senate action in November.

"We have to have a responsible system to deal with complaints that lead to allegations," says Mark Brenner, associate dean of the Graduate School. "We have to maintain the integrity of the science done here at the University. It's important to have a procedure that's fair to all parties involved and deals with the allegations in a timely manner."

Brenner is quick to point out that the misconduct policy is a guide for the University to investigate research *data*—not the *researcher*. In most misconduct cases, he says, the product of the research is suspect. "It's a question of their data."

The process outlined in the working draft of the University's proposed policy begins with a person who believes that a researcher has either falsified research information, plagiarized someone else's work, or seriously deviated from commonly accepted practices in proposing, conducting, or reporting research. The complainant meets with one or more members of a Science and Scholarly Activity Panel, which would comprise nine research leaders from the University, appointed to three-year terms by the Faculty Consultative Committee (FCC).

The discussion with the complainant allows the panel member or members to determine whether the complaint is frivolous or warrants a closer examination. The discussion also is somewhat therapeutic for the complainant, Brenner says, because claiming that someone has deliberately falsified research information is a traumatic experience, even though the initial stages of the process are confidential. And, the complainants are usually junior faculty members with a lot to lose.

"Before they really want to file a complaint, (complainants) want to talk to someone," Brenner says. "We need to be very sensitive toward those who come forward, and we need to inform them of what they could be getting themselves into and what could be the outcome. A lot of times, these issues are interwoven with personal issues, and the idea is to filter that out early on."

If either the complainant or panel decides to pursue the allegations, they file a complaint with the senior vice president for academic affairs. The senior vice president refers the case to the appropriate academic vice president or vice provost, who then contacts the dean of the unit in which the case originated. The dean serves as senior administrator during the process unless a possible conflict of interest exists. In that case, another administrator would act as senior administrator.

The Science and Scholarly Activity Panel then recommends members for an inquiry panel, which examines the allegations and some of the data to determine if an investigation is warranted.

Misconduct, next page

Misconduct, from previous page

If the inquiry panel decides an investigation is warranted, a separate investigation panel is formed to look in-depth at the facts and evidence, "leaving no stone unturned," Brenner says. If misconduct is found, the investigation panel will write a draft report of its findings and allow the respondent to offer final comments on the findings. Those comments will be included in a final report that is forwarded to the senior administrator, who determines disciplinary action.

If warranted during the investigation, the University could protect research subjects and patients, and the interests of students and colleagues, by taking administrative measures such as reassigning the respondent, restricting the respondent's research activities, or issuing a temporary suspension. Disciplinary measures for misconduct may include anything from an oral reprimand to a firing.

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The proposed policy is different from the current interim policy in several ways, including the dean's role in the process. In the interim policy, deans apparently don't have to form an inquiry panel; they can conduct the inquiry themselves. Also, the members of inquiry and investigation panels are selected by the dean.

The new policy protects the dean from potential conflict-of-interest charges by leaving the selection of panel members to the Science and Scholarly Activity Panel. "That's an important role for the Science and Scholarly Activity Panel," Brenner says. "We want to protect the dean from being accused of stacking the panels."

Another difference between the interim and proposed policies is in who the complainant talks to. The interim policy calls for the complainant to file an allegation with the senior vice president for academic affairs, who forwards the allegation to the dean.

Filing an allegation with the senior vice president can be intimidating for a complainant, Brenner says. That's why the proposed policy includes a Science and Scholarly Activity Panel. Panel members would be neutral parties for the most part but could still provide insight for the complainants.

Both policies try to protect the complainants by keeping their identities anonymous throughout as much of the process as possible, but the Minnesota Data Practices Act makes total complainant confidentiality impossible. "We'd try to protect that information as much as possible, but ultimately that information might become available," Brenner says. "There still may be some ways around it that we're exploring."

The two policies also differ when it comes to the rights of the respondent to answer to the allegation and evidence. The proposed policy protects the rights of the respondents by providing them timely information throughout the process, allowing them to testify and offer evidence, and giving them a chance to review and comment on transcripts of interviews conducted during the investigation. The interim policy doesn't offer respondents the chance to answer to any evidence or

claims by anyone interviewed during the investigation.

That cross-examination issue was discussed at length by Brenner last month when he reviewed the proposed policy with the FCC. Some FCC members believe that the respondent should have the opportunity to cross-examine the complainant sometime during the process. Some members, like Karen Louis, associate professor of educational policy and administration, are more interested in protecting the complainant.

"There should be some guidelines for protecting those who report misconduct and who are in vulnerable positions, like assistant professors," Louis says. "I'm very concerned about this. Graduate students are actually in the best position to observe misconduct. The research on this says they observe more than people would like to think and yet they report virtually unanimously that they wouldn't feel comfortable bringing it up to anyone because they feel their careers would be on the line."

Cross-examination could take place as part of a grievance, but that process can't be initiated until after the misconduct investigation is completed and cannot take the place of the misconduct investigation, Brenner says. "It all gets back to the issue of misconduct. We're looking at the research data and not the individual. This is the sticky issue we're trying to resolve. There's active discussion of ways to protect individuals from personal harm but also to make sure they're given due process," he says.

There are three views on the cross-examination issue:

- Direct cross-examination during the investigation is unnecessary because the respondent can review and comment on transcripts of any interview.

- The opportunity for cross-examination exists during a grievance process after the misconduct procedure is completed and misconduct is found.

- The proposed policy should be changed so that direct cross-examination occurs during the investigation.

While universities nationwide are interested in protecting the com-

plainant, they're also interested in protecting the relationship between the respondent and the sponsor of the research. When an allegation is forwarded from an inquiry panel to an investigation panel, the respondent's name appears on a "confidential alert list" that goes to the sponsoring agency. Being on an alert list doesn't affect existing research funding, but it does affect respondents who are up for grant renewals. Their renewals are restricted to three-month grants instead of full grants.

Brenner says some research

institutions are asking OSI to change its requirements concerning the alert list because of the potential damage it could do to a researcher. OSI has agreed to review its requirements.

Some FCC members believe that misconduct allegations should be handled through the University's grievance process or tied more directly to grievance procedures to simplify the misconduct process and offer the respondent as much due process as possible.

Brenner says the investigation and inquiry involve scientific information that needs to be exam-

ined by experts. "You simply can't put it out to a group of 'good citizens of the University.' It needs to be looked at by a panel of experts in that particular field to deal with the issues at hand," Brenner says. "There's a big difference between this and a grievance.

"There is some concern that we're making this much more complicated and slowing it down," Brenner says. "I think it's an enhancement. I'm really interested in being sensitive to the difficulty of such an issue." ■

Budget Discussions Are Underway Throughout the University

The University's state appropriation for the next two years is not as bad as it could have been, central administrators say, but some faculty are concerned over the administration's decision to delay the 1992-93 budget until December.

The Board of Regents will receive the University's 1991-92 budget next week for information only. But because of financial uncertainties facing the state, central administrators will wait until the state's economic forecast is released in November before completing the 1992-93 budget and forwarding it to the regents in December.

Delaying the second-year budget could lower faculty and staff morale, says Fred Morrison, law professor and member of the Senate Committee on Finance and Planning (SCFP). Faculty and staff already are facing no salary increases this year, and they shouldn't have to wait until December to find out if they will get salary increases in two years, Morrison says. Rather, he says, President Nils Hasselmo should address the salary situation in the coming weeks.

Central administrators are sensitive to the salary issue, says Robert Erickson, senior vice president for finance and operations. "The sooner the uncertainty is resolved, the better it would be for everyone," he says. Erickson explains that administrators felt it was important to wait for the state's economic forecast before assembling the second-year budget in case the economy improves.

The legislature's higher education bill includes a \$41 million biennial cut for the University, or about \$20 million each year. The cut, administrators say, is the smallest base cut that was discussed at any time during the legislative process.

The bill is silent in terms of tuition, but tuition rates will probably increase both years to help offset the base cut, Erickson says.

Three components that will bring the University's 1991-92 budget into balance, assuming Governor Arne Carlson signs the higher education bill, are: \$13 million in program reductions; a projected tuition increase of 9 percent that will generate \$12 million; and \$23.5 million in forgone salary increases, says Nick LaFontaine, director of budget management.

The University is expecting to generate \$11 million next year by not paying interest on temporary investment funds held by departments. That adjustment will have a varying impact on departments. For example, the University Hospital and Clinic will forgo \$7 million in interest while the Medical School will forgo \$2 million.

Craig Kissock, education professor on the Morris campus and an SCFP member, has other ideas on how the University should handle the state appropriation. He recommends that the University fund faculty salary increases next year based on equity instead of across-the-board. The increases would be between 4 and 10 percent of the individual's salary.

Most faculty would not receive salary increases while others would get raises to help resolve the University's salary inequities.

Kissock also recommends that:

- Newly promoted faculty receive salary increases based on dollar figures instead of a percentage, such as \$500 or \$1,000 for each individual.

- Savings from reallocation should be used to fund the salary increases mentioned above and to cover reductions in the state's base funding before other program cuts are made.

- The University should refuse retention requests where faculty use offers from other institutions to request an increase.

SCFP members disagree with Kissock's recommendation that reallocation funds be used for selected salary increases. "I think we put our credibility behind the reallocation plan," says Virginia Gray, political science professor and SCFP member. "I think that's why we got as far as we did with the legislature. They saw us making programmatic cuts to improve our undergraduate education, not to put that money in our pockets."

The Faculty Consultative Committee expects to meet this week to discuss the budget with senior vice presidents Len Kuhi and Robert Erickson. ■

□ THE CHAIR'S REPORT

By Warren Ibele
Chair, Faculty Consultative Committee

Sabbatical Leave Program

At its May 30 meeting, the Faculty Consultative Committee (FCC) heard a report from the Senate Committee on Faculty Affairs (SCFA), which proposes to make sabbatical leaves more attractive. Currently, only one-third of eligible faculty are able to take sabbatical leaves—in contrast with single-quarter leaves, which are usually fully subsidized to the authorized maximum.

SCFA's proposal would increase the salary formula to two-thirds of full pay for faculty on sabbatical leave for the entire academic year, and three-quarters of full salary for a two-quarter leave. Because the Bush Sabbatical Award program facilitates sabbatical leaves and will continue to do so, SCFA also recommends extending eligibility for such awards to previous recipients.

These recommendations are consistent with the recommendations of the Swan Report on Faculty Development and were approved unanimously by the FCC.

The potential cost of implementing this sabbatical leave plan is uncertain and difficult to estimate.

The pattern by which sabbatical leaves are financed varies between units and campuses, and the adoption of the plan could trigger a surge of interest, to be followed by a more normal, steady use. Given the underutilization of the current sabbatical program, it is conceivable that the new plan may entail no more institutional resources than would have to be used had all currently eligible faculty decided to take sabbaticals.

As might be expected under current circumstances, administrative response has been favorable in principle but guarded with respect to timing because the strengthening of the sabbatical leave program has been a recurring theme with the faculty over the years. However, the FCC joins the SCFA in recommending that the proposal be given serious consideration. It has great potential for sustaining faculty vitality.

Scientific Misconduct

The FCC continued its discussion with Mark Brenner, associate dean of the Graduate School, who is devising a policy to deal with the increasing concern over the sensitive area of scientific and scholarly misconduct without chilling research and scholarly interests or inadvertently establishing an "official" research orthodoxy. The agencies sponsoring research at universities understandably exer-

cise a strong influence in this arena and our discussions have been sensitive to this concern. We also have examined the proposed policy for its likely impact on research and scholarship generally, while insisting that the scholar's and scientist's pursuit of knowledge and understanding remain free.

It has not been an easy task, and our discussions continue. There also is a need to reconcile the procedures associated with this policy with those recently introduced under the grievance policy now in its first year of implementation. With continued discussion, we hope to arrive at a policy that responds to the concerns of the federal granting agencies, preserves academic freedom and responsibility, and establishes procedures for dealing with misconduct and grievances. The committee and Brenner welcome comments and suggestions from individual faculty members. ■

Summer Schedule

Footnote will be published every four weeks instead of biweekly during the summer. The summer publication dates are: July 2, July 30, August 27, and September 24. *Footnote* will then resume its biweekly schedule except during quarter breaks, when the schedule will be modified slightly.

FOOTNOTE

University of Minnesota
6 Morrill Hall
100 Church Street S.E.
Minneapolis, MN 55455

IN THIS ISSUE

Scientific Misconduct
Budget Discussions

Next *Footnote*—July 2

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