

UNIVERSITY OF MINNESOTA

BOARD OF REGENTS

June 8, 2007

The meeting of the Board of Regents of the University of Minnesota was reconvened on Friday, June 8, 2007, at 9:00 a.m. in the Boardroom, 600 McNamara Alumni Center.

Regents present: Anthony Baraga, presiding; Clyde Allen, Dallas Bohnsack, Maureen Cisneros, Linda Cohen, John Frobenius, Venora Hung, Steven Hunter, Dean Johnson, David Larson, David Metzen, and Patricia Simmons.

Staff Present: President Robert Bruininks; Chancellors Charles Casey and Jacqueline Johnson; Senior Vice President and Provost E. Thomas Sullivan; Senior Vice Presidents Frank Cerra and Robert Jones; Vice Presidents Nancy Barceló, Kathryn Brown, Carol Carrier, R. Timothy Mulcahy, Kathleen O'Brien, Richard Pfutzenreuter; General Counsel Mark Rotenberg; Acting Executive Director Carol Kraus; and Associate Vice Presidents Margaret Carlson, Stuart Mason, Donna Peterson, and Michael Volna.

ANNUAL MEETING

ESTABLISHMENT OF MEETING DATES

A motion was made and seconded, and the Board of Regents voted unanimously to approve the following meeting schedule for 2007-2008:

July 11, 2007	One-Day Meeting
July 12-13, 2007	Board of Regents Retreat
August, 2007	No Meeting
September 6-7, 2007	
October 11-12, 2007	Meeting at University of Minnesota Morris
November 8-9, 2007	
December 13-14, 2007	
January, 2008	No Meeting
February 7-8, 2008	
March 13-14, 2008	
April 10-11, 2008	Meeting Tentative
May 8-9, 2008	
June 12-13, 2008	

NOMINATING COMMITTEE REPORT: ELECTION OF BOARD OFFICERS

Regent Metzen, Chair of the Nominating Committee, presented the report of the Nominating Committee for officers of the Board of Regents. The following individuals were placed in nomination for the respective Board officer positions for the term July 1, 2007 through June 30, 2009:

Treasurer:	Richard H. Pfutzenreuter
Secretary:	Ann D. Cieslak
Vice Chair:	Clyde E. Allen, Jr.
Chair:	Patricia S. Simmons

Chair Baraga asked if there were additional nominations. There were none and the nominations were closed.

A motion was made that the slate presented by the Nominating Committee be approved. The motion was seconded and the Board of Regents voted unanimously to approve the slate as presented.

MONTHLY MEETING

RECOGNITIONS

Recognition was given to the recipients of the President's Award for Outstanding Service. The award recognizes exceptional service to the University, its schools, colleges, departments, and service units by any active or retired member of the faculty or staff. Such service goes well beyond the regular duties of a faculty or a staff member, and demonstrates unusual commitment to the University community. The 2007 recipients are:

Jacqueline "Jaki" Cottingham-Zierdt, Consultant, Office of Equal Opportunity and Affirmative Action

Bill DeJohn, Director, MINITEX Library Information Network

Jigna Desai, Associate Professor, Gender, Women, and Sexuality Studies

Joycelyn Dorscher, M.D., Director, Center of American Indian and Minority Health, and Assistant Professor, Department of Family Medicine, University of Minnesota Medical School, Duluth

Melissa Hansen, Community Program Specialist/Research Coordinator, Cancer Center

Sande Hill, Administrative Director, Educational Psychology

John O. Look, Senior Research Associate, School of Dentistry

Jan Morlock, Director of Community Relations, University Relations

Duncan Okello, Student Health Benefits Office Supervisor, Boynton Health Service

Gyles W. Randall, Professor, Soil, Water, and Climate, Southern Research and Outreach Center in Waseca

Philip M. Raup, Professor Emeritus, Applied Economics

Lynne Schuman, Director of Career Services, Graduate Programs Office, Hubert H. Humphrey Institute of Public Affairs

APPROVAL OF MINUTES

A motion was made and seconded, and the Board of Regents voted unanimously to approve the minutes of the following meetings:

Audit Committee – May 10, 2007

Educational Planning & Policy Committee – May 10, 2007

Facilities Committee – May 10, 2007
Faculty, Staff & Student Affairs Committee – May 10, 2007
Finance & Operations Committee – May 10, 2007
Board of Regents – May 10, 2007
Board of Regents – May 10, 2007
Board of Regents – May 11, 2007

REPORT OF THE PRESIDENT

President Bruininks reported on the outcome of the 2006-07 Legislative session. The Legislature passed, and the Governor signed, the higher education bill. The President stated that the University, and higher education more broadly, received substantial legislative support that will enable the University to make important strategic investments. Bruininks noted, however, that the inability of the legislature to pass a bonding bill and the biomedical facilities funding authority presents significant challenges for the future of the University's research and state economic development. The President expressed appreciation to all who were involved in the lobbying efforts for the University during the session and thanked legislative leaders and the Governor for their belief in the University.

A motion was made by Regent Johnson requesting that a letter from the Board of Regents be sent to the Governor and legislative leaders expressing appreciation for their support for higher education during the 2007 legislative session and urging the governor to include the funding requests for the biomedical facilities funding authority, 717 Delaware Street S.E. building renovation, and Higher Education Asset Preservation and Replacement funds on the agenda if a special session is convened.

The Board of Regents voted unanimously to approve the motion.

President Bruininks also reported on his recent trip to Iceland, during which a cooperative agreement with the University of Iceland was renewed and expanded. The agreement explores new opportunities for exchange and cooperation with United States and Fulbright officials.

A copy of the Report of the President is on file in the Board Office.

REPORT OF THE CHAIR

Regents Baraga, Simmons, and Hunter presented a summary of the Presidential Performance Evaluation Committee. The committee recognized Bruininks' academic leadership, administrative and fiscal management, and his relationship with the Board of Regents and with internal and external constituencies.

A copy of the report of the Presidential Performance Evaluation Committee is on file in the Board Office.

Baraga reported that the Board will hold a public forum on the proposed University budget on June 13, 2007 at 1:00 p.m. There will also be a Board meeting on June 27, 2007 at 1:00 p.m. to adopt the University budget for FY2008. He also announced that the July 2007 meetings will be held on July 11, with July 12 and 13 reserved for a Board retreat at the Gainey Conference Center.

Baraga also noted that this would be his last meeting as chair of the Board of Regents. He stated that he was honored and privileged to serve as chair of the Board and thanked Board members for their counsel and support during his tenure. He

recognized the future leadership of Chair-elect Simmons and Vice-Chair-elect Allen, who begin two-year terms July 1, 2007.

President Bruininks recognized Chair Baraga for his leadership and commitment to the University of Minnesota.

RECEIVE AND FILE REPORTS

Regent Baraga noted the receipt and filing of the Quarterly Report of Grant and Contract Activity.

REPORT OF THE ALL-UNIVERSITY HONORS COMMITTEE

Chair Baraga noted that the Report of the All-University Honors Committee was forwarded to the Board from President Bruininks on May 21, 2007.

A motion was made and seconded, and the Board of Regents voted unanimously to approve the Report of the All-University Honors Committee. A copy of the report is on file in the Board Office.

GIFTS

Foundation President Gerald Fischer presented the list of gifts to the University of Minnesota, the University of Minnesota Foundation, the Arboretum Foundation, and the Minnesota Medical Foundation through April 30, 2007, as included in the docket materials.

A motion was made, seconded, and the Board of Regents voted unanimously to approve the receipt of gifts as presented.

APPOINTMENT OF REGENTS PROFESSORS

President Bruininks reported that a recommendation from the Regents Professor Nominating Committee was forwarded to the Board in a letter dated May 22, 2007. He would recommend approval of the recommendation.

The Board of Regents voted unanimously to approve the recommendation of the Regents Professor Nominating Committee.

QUARTERLY SUMMARY OF EXPENDITURES

Chair Baraga presented the Quarterly Summary of Expenditures for the Office of the Board of Regents, the President's Office, and Eastcliff Operations, for nine months ending March 31, 2007 as detailed in the docket materials.

A motion was made and seconded and the Board of Regents voted unanimously to approve the Summary of Expenditures for the period ending March 31, 2007.

REPORT OF THE FACULTY CONSULTATIVE COMMITTEE

Professor Carol Chomsky, Chair of the Faculty Consultative Committee (FCC), reported on the activities of the committee since its last report to the Board of Regents.

She reported that the Faculty Senate recently endorsed the revisions to the faculty tenure code. The revisions reflect significant strengthening of the tenure code standards and enhanced commitment to the University's mission, commitment to public engagement, interdisciplinary research and teaching, diversity, and technology transfer.

Chomsky reported on FCC membership and expressed appreciation for the positive working relationship with the Board during the past year.

A copy of the Faculty Consultative Committee report is included in the docket materials and is on file in the Board Office.

**RECOGNITION: FACULTY CONSULTATIVE COMMITTEE
OUTGOING CHAIR**

Recognition was given to Professor Carol Chomsky for her service as chair of the Faculty Consultative Committee. Chomsky served as chair during the 2006-07 academic year.

**ANNUAL UNIVERSITY OF MINNESOTA ALUMNI ASSOCIATION (UMAA)
REPORT**

Denny Schulstad, UMAA National President, highlighted the achievements of the University of Minnesota Alumni Association during fiscal year 2007. Schulstad recognized Margaret Carlson, Chief Executive Officer of UMAA, for her work during the past year, and introduced Tom LaSalle, the UMAA National President for the 2007-08 fiscal year.

A copy of UMAA's achievements were included in the docket materials on file in the Board Office.

Chair Baraga thanked Schulstad for his service and leadership on behalf of the University.

**RESOLUTION RELATED TO BOARD OF REGENTS POLICY:
APPOINTMENTS TO ORGANIZATIONS AND BOARDS**

General Counsel Rotenberg presented a Resolution Related to Board of Regents Policy: *Appointments to Organizations and Boards*, as presented in the docket materials. The resolution provides a rationale for proposed amendments to the policy that would terminate the Board's responsibility to approve appointments to the Hubert H. Humphrey Institute of Public Affairs Advisory Council. This will align the organizational structure of the Advisory Council with the structure of other comparable college advisory committees.

A motion was made and seconded, and the Board of Regents voted unanimously to approve the resolution related to Board of Regents Policy: *Appointments to Organizations and Boards*, as follows:

**RESOLUTION RELATED TO BOARD OF REGENTS POLICY:
APPOINTMENTS TO ORGANIZATIONS AND BOARDS**

WHEREAS, the Board of Regents (Board) on September 8, 1978 approved a Charter for the Advisory Committee (Charter) for the Hubert H. Humphrey Institute of Public Affairs, now called the Humphrey

Institute Advisory Council (Advisory Council), at the University of Minnesota (University); and

WHEREAS, the Charter directed the composition of the Advisory Council and directed that members of the Advisory Council serve by invitation of the Board, with recommendations to be made by the President; and

WHEREAS, while other University colleges have advisory committees, their structure and membership is not governed by the Board; and

WHEREAS, the Board wishes to align the organizational structure of the Advisory Council with the structure of the other comparable college advisory committees;

NOW, THEREFORE, BE IT RESOLVED, that the Charter approved on September 8, 1978 no longer applies, and responsibility for the organization and role of the Advisory Council is committed to the University administration.

BOARD OF REGENTS POLICY: APPOINTMENTS TO ORGANIZATIONS AND BOARDS

General Counsel Rotenberg presented for action proposed amendments to Board of Regents Policy: *Appointments to Organizations and Boards*, as included in the docket materials. The amended policy will remove language relating to the Hubert H. Humphrey Institute of Public Affairs Advisory Council and the University of Minnesota Rochester Advisory Committee. It will also reflect changes in the Board's role in electing or appointing members to selected boards and organizations.

A motion was made and seconded to adopt amendments to Board of Regents Policy: *Appointments to Organizations and Boards*, as follows:

Appointments to Organizations and Boards

This policy governs Board of Regents (Board) appointments to elected organizations and boards that advance the teaching, research, and outreach mission of the University of Minnesota (University).

SECTION I. BOARD AUTHORITY.

The Board shall appoint some or all of the members of the organizations and boards listed in Section II, below.

SECTION II. ORGANIZATIONS AND BOARDS.

Listed below is the process governing Board appointments to selected organizations and boards:

Subd. 1. Board of Trustees, University of Minnesota Medical Center Fairview (UMMCF).

Nominations: The Board's UMMCF Nominating Committee reviews nominations recommended by the senior vice president, Academic Health Center.

Number of Appointments: Half (6) of the UMMCF Board, plus the dean of the Medical School
Appointment Schedule: Annually in May
Appointment Term: 3-year, staggered terms
Reference: Academic Affiliation Agreement

Subd. 2. Board of Trustees, Fairview Health Services.

Nominations: The Board's UMMCF Nominating Committee reviews nominations recommended by the senior vice president, Academic Health Center.
Number of Appointments: 1 plus 2 ex officio (unless board size increases)
Appointment Schedule: December of each year in which there is a vacancy or reappointment needed
Appointment Term: 3-year term
Reference: Academic Affiliation Agreement

Subd. 3. Board of Trustees, University of Minnesota Foundation (UMF).

Nominations: Board chair, in consultation with the president, recommends nominees to the Board. UMF Board also may provide recommendations.
Number of Appointments: UMF Board – Board appoints the president and additional individuals (no more than 3 Regents) to constitute no less than one-fourth of UMF Board membership.
UMF Executive Committee – Board appoints the president and 3 additional individuals who are UMF trustees.
UMF Audit Committee – Board appoints 2 individuals who need not be UMF Board members.
Appointment Schedule: Annually in November
Appointment Term: 3 years, unless ex officio member
Reference: Board of Regents Policy; UMF/University of Minnesota Memorandum of Understanding

Subd. 4. Board of Trustees, Minnesota Medical Foundation (MMF).

Appointments: MMF Board – The Board appoints Executive Committee members (below) and the chair, Clinical Science Department, Medical School, Twin Cities; the chair, Basic Sciences Department, Medical School, Twin Cities; and the president, University of Minnesota Medical Alumni Society.
Executive Committee – The Board appoints the Board's chair or vice chair; the president; the senior vice president, Academic Health Center; the dean,

Medical School, Twin Cities; the dean, School of Public Health; and the senior associate dean, Medical School, Duluth campus, to constitute no less than one-fifth of Executive Committee.

The Board of Regents voted unanimously to adopt amendments to Board of Regents Policy: *Appointments to Organizations and Boards*.

ANNUAL CAPITAL IMPROVEMENT BUDGET FY2008

Vice Presidents O'Brien and Pfutzenreuter presented the Annual Capital Improvement Budget for FY2008 (Budget), as included in the docket and associated materials on file in the Board Office. The Budget authorizes projects totaling \$71,505,000 to begin design or construction during the next fiscal year. Projects included in the Budget have been approved by the respective Vice President or Chancellor, have completed an appropriate level of planning, have all the required funding identified, and would be ready to proceed when approved by the Board. The Budget also reflects the planning priorities established by the Six-Year Capital Improvement Plan approved annually by the Board of Regents.

O'Brien noted that the Board reviewed the proposed budget at its May 2007 meeting and it has been adjusted to reflect the outcome of the most recent legislative session. A summary of the changes is included in the docket materials. Pfutzenreuter referred to the sources of funding to support the projects included in this year's Budget, noting that the \$71.5 million dollar Budget is lower to reflect changes made by the lack of an approved bonding bill by the State.

A motion was made and seconded to approve the following resolution related to the Annual Capital Improvement Budget for FY2008:

WHEREAS, the Board of Regents directed the administration to annually submit a capital improvement budget and a 6-year capital improvement plan; and

WHEREAS, the Board has adopted principles to guide the formulation of the capital improvement budget and 6-year capital improvement plan; and

WHEREAS, the Board recognizes the importance of sustaining and improving the University's facilities in support of teaching, research, and outreach; and

WHEREAS, the administration has developed a capital planning framework designed to focus its capital planning efforts toward projects that support the University's institutional priorities within a financial strategy that is realistic;

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents approves the FY 2008 Capital Improvement Budget and reaffirms its prior year capital expenditure authorizations.

The Board of Regents voted unanimously to approve the Resolution Related to the Annual Capital Budget FY2008.

PRELIMINARY 2008 STATE CAPITAL REQUEST

Vice Presidents O'Brien and Pfutzenreuter presented the Preliminary 2008 State Capital Request (Request) as included in the docket and associated materials distributed at the meeting. The State of Minnesota requires that the University of Minnesota submit its Preliminary Capital Request in June 2007 for consideration by the Governor and the legislature in preparation for the 2008 legislative session. The administration will recommend a Final Capital Request and an updated six-year plan to the Board in fall 2007.

O'Brien reported that development of the Request is guided by a number of principles:

- Advance the academic excellence of the University of Minnesota by aligning capital projects with the established strategic positioning goals;
- Address service unit priorities that support academic priorities;
- Ensure that investments in existing facilities and infrastructure contribute to renewal, preservation, and restoration objectives and are aligned with the priorities of the capital plan;
- Give preference to projects that create flexible space, improve space utilization, and reduce operational costs;
- Capitalize on unique opportunities that are aligned with academic priorities;
- Protect the University's financial position by keeping capital expenditures within the projected debt capacity limits; and
- Advance the guiding principles of the master plan and the Regents sustainability policies.

O'Brien summarized a number of projects. She noted that individual projects fall into categories of health and safety, building systems, and utility infrastructure.

Pfutzenreuter noted that the 2008 Request is built upon a combination of funds appropriated by the State of Minnesota (\$218 million) and resources committed by the University of Minnesota (\$69 million).

A motion was made and seconded to approve the Resolution Related to Preliminary 2008 State Capital Request, as follows:

WHEREAS, the Board of Regents has directed the administration to annually submit a capital improvement budget and a 6-year capital improvement plan in support of the University's strategic priorities; and

WHEREAS, the Board of Regents has directed the administration to annually submit a capital improvement budget and a 6-year capital improvement plan in support of the University's strategic priorities; and

WHEREAS, the Board of Regents recognizes the importance of sustaining and improving the University's facilities in support of teaching, research, and outreach; and

WHEREAS, the administration has developed a capital planning framework designed to focus its capital planning efforts toward projects that support the University's institutional priorities within a financial strategy that is realistic;

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents approves the University's Preliminary 2008 State Capital

Request to the Minnesota Legislature in the amount of \$286,000,000 consisting of \$218,000,000 from the State of Minnesota and \$69,000,000 from the University of Minnesota.

The Board of Regents voted unanimously to approve the Resolution Related to the University's Preliminary 2008 State Capital Request.

**PRESIDENT'S RECOMMENDED ANNUAL OPERATING BUDGET FY2007-08
AND PRELIMINARY FINANCIAL PLAN FY2008-09**

President Bruininks presented the proposed FY2007-08 annual operating budget and preliminary FY2008-09 financial plan as detailed in the docket and associated materials presented at the meeting and on file in the Board Office.

Bruininks reported that the overall framework of the budget is consistent with the principles outlined in the biennial budget request approved by the Board at its November 2006 meeting and is aligned with the goals of the University's strategic plan priorities. The recommended budget continues to emphasize the University's primary goal of becoming one of the top three public research universities in the world.

Bruininks stated that the budget is built on a platform of continuous improvement and accountability for results. Investments of \$107.5 million are targeted in this budget for the following areas: increasing access for students; academic priorities; fostering innovation; enhancing infrastructure and technology; and compensation. Bruininks reviewed the projected allocations for each of the areas of investment and provided detailed rationale for each category.

Bruininks provided an overview of the revenue sources. He noted that, as in past years, the budget recommendations for the biennium were built on a model of shared responsibility between the State of Minnesota, University administrative and support units, and students.

Bruininks reviewed proposed tuition and fee increases for both undergraduate and graduate students. He reported that for FY2008, the administration is recommending an overall increase in tuition and fees of 4.5 percent for most resident students. The preliminary financial plan in the second year of the biennium includes a rise in tuition revenue beyond the 4.5 percent contemplated in the original biennial budget proposal to the state.

Bruininks summarized the preliminary financial plan for FY2008-09. Resources contemplated in the preliminary financial plan will provide funds for items that are considered essential or required, and contains an undesignated balance that will be allocated in the proposed FY2008-09 budget reviewed by the Board of Regents in May of 2008.

Meaghan Keil, Chair of the Student Representatives, commented briefly on the budget. She expressed support for the tuition reforms presented by the administration.

Action on the budget will be considered at the June 27, 2007 Board meeting.

REPORT OF THE EDUCATIONAL PLANNING & POLICY COMMITTEE

Regents Baraga and Frobenius recused themselves from the vote on the Resolution Related to Library Digitization Agreement with Google and the CIC due to a possible conflict of interest. They left the meeting.

Regent Larson, Chair of the committee, reported that the committee voted unanimously to recommend:

- a) Resolution Related to Library Digitization Agreement with Google and the CIC, as follows:

WHEREAS, the Committee on Institutional Cooperation (CIC) is an academic consortium comprised of the Big 10 Conference universities and the University of Chicago, and includes the University of Minnesota (University); and

WHEREAS, the CIC has negotiated an agreement (Agreement) with Google, Inc. (Google), a Delaware corporation, giving Google the right to digitize significant portions of the CIC universities' library collections in connection with the Google Book Project (Project); and

WHEREAS, under the Agreement, Google may digitize up to 10 million volumes from the CIC universities' libraries, focusing on works not already in Google's database and on collections of distinction; and

WHEREAS, the University of Minnesota Libraries will offer approximately one million volumes to the Project, and will include collections of distinction; and

WHEREAS, Google will fund the digitization of the books provided by the CIC university libraries, while the CIC universities will have to cover only the costs of retrieving and preparing their books for digitization, thereby providing potential significant value to the CIC universities, including the University; and

WHEREAS, providing worldwide access to the rich library holdings of the CIC universities represents an enormous potential public benefit; and

WHEREAS, given the deterioration of book paper over time, digitization will preserve the intellectual content of significant portions of the CIC universities' library collections; and

WHEREAS, the Board of Regents (Board) has been duly apprised of the terms of the Agreement, a copy of which is on file in the Office of the Board of Regents, and evaluated the legal and financial risks related to this transaction; and

WHEREAS, it is the understanding and intention of the Board that, except as expressly set forth in section 10.3 of the Agreement, with respect to each CIC Indemnitor's obligation to indemnify Google against certain third-party claims, nothing in the Agreement shall be construed to constitute any waiver or abrogation by the University of its sovereign immunity from suit in any state or federal court; and

WHEREAS, the Board understands that the CIC universities intend to enter into a separate agreement among themselves to clarify each party's rights and obligations regarding the Agreement, allocate legal risk, and provide a process for resolving disputes; and

WHEREAS, the President has recommended that the Board authorize the University administration to carry out the terms of the Agreement;

NOW, THEREFORE, BE IT RESOLVED, that the Board hereby determines that the Agreement provides significant benefits for the University, the people of Minnesota, and the public generally, and hereby authorizes the University administration to take all necessary and appropriate steps to carry out the terms of the Agreement.

The Board of Regents voted unanimously to approve the recommendation of the Educational Planning and Policy Committee. Regents Baraga and Frobenius returned to the meeting.

Larson reported that the committee also discussed information management and distribution in the 21st century research library.

REPORT OF THE FACILITIES COMMITTEE

Regent Metzen, Chair of the committee, reported that the committee voted unanimously to recommend:

- a) Approval of the following real estate transaction as presented to the committee and described in the June 7, 2007 minutes:
 1. Purchase of 1.2 Acres from City of Minneapolis, Huron Boulevard, Twin Cities campus.
- b) Approval of an amendment to the FY2007 Capital Budget as presented to the committee and described in the June 7, 2007 minutes by:
 1. \$2,956,000 to increase funding for the Bio Mass Heating Plant Addition, Morris Campus.

The Board of Regents voted unanimously to approve the recommendations of the Facilities Committee.

Metzen reported that the committee also discussed issues related to the Annual Capital Improvement Budget for FY2008, and reviewed a number of information items included in the docket materials.

The committee delayed discussion of the schematic plans for the Malowsky Stadium Renovation, Duluth Campus.

REPORT OF THE AUDIT COMMITTEE

Regent Frobenius, Chair of the committee, reported that the committee did not meet this month.

REPORT OF THE FACULTY, STAFF, & STUDENT AFFAIRS COMMITTEE

Regent Bohnsack, Chair of the committee, reported that the committee voted unanimously to recommend:

- a) Approval of the Consent Report for the Faculty, Staff & Student Affairs Committee as presented to the committee and described in the June 7, 2007 minutes.
- b) Approval of the promotion and/or tenure recommendations as presented in the docket materials effective with the beginning dates of their terms of appointment in 2007-08.
- c) Adoption of amendments to Board of Regents Policy: *Faculty Tenure*, as follows:

FACULTY TENURE

Adopted: February 9, 1945

Amended: November 22, 1963; April 10, 1964; January 13, 1967; December 8, 1972; March 13, 1981; February 8, 1985; September 13, 1991; March 12, 1993; November 10, 1994; October 10, 1995; November 7, 1996; December 13, 1996; June 13, 1997; September 12, 1997; June 9, 2000; March 9, 2001; June 8, 2007

PREAMBLE

The Board of Regents adopts these regulations with the conviction that a well-defined statement of rules is essential to the protection of academic freedom and to the promotion of excellence at the University of Minnesota. A well-designed promotion and tenure system ensures that considerations of academic quality will be the basis for academic personnel decisions, and thus provides the foundation for academic excellence.

Tenure is the keystone for academic freedom; it is essential for safeguarding the right of free expression and for encouraging risk-taking inquiry at the frontiers of knowledge. Both tenure and academic freedom are part of an implicit social compact which recognizes that tenure serves important public purposes and benefits society. The people of Minnesota are best served when faculty are free to teach, conduct research, and provide service without fear of reprisal and to pursue those activities with regard for long term benefits to society rather than short term rewards. In return, faculty have the responsibility of furthering the institution's programs of research, teaching, and service, and are accountable for their performance of these responsibilities. Additionally, a well-designed tenure system attracts capable and highly qualified individuals as faculty members, strengthens institutional stability by enhancing faculty members' institutional loyalty, and encourages academic excellence by retaining and rewarding the most able people. Tenure and promotion imply selectivity and choice; they are awarded for academic and professional merit, not for seniority. The length and intensity of the review leading to the grant of tenure ensures the retention only of well-qualified faculty committed to the University's mission.

The ideal attributes of the collective faculty of any unit are scholarly creativity, professional competence and leadership, intellectual diversity, the ability and desire to teach effectively and the willingness to cooperate with other units in promoting the work and welfare of the University as a whole. The administration and faculty should ensure, within each unit, not only a proper balance among these activities but also the

maintenance of each at the highest level, together with accountability and suitable recognition of individual achievement and service.

The tenure regulations provide a comprehensive set of policies dealing with the relationship between the University and its faculty. The regulations classify the faculty as tenured, probationary and term. They provide for annual performance reviews of all faculty, as well as especially thorough reviews before the granting of tenure, on promotion in rank, and when the performance of a tenured faculty member is alleged to be substandard. They provide for the reassignment of faculty in case of the reorganization of the University or changes in its scholarly direction, and for discipline when a faculty member fails to meet prescribed standards of conduct.

DEFINITIONS

For the purposes of this policy, the terms defined in this section have the meanings given them.

* (a) an "academic unit" is a department or similar unit. A school, college or division that is not further subdivided is also an academic unit.

* (b) "faculty member" means every faculty member employed by the University of Minnesota System.

* (c) the "head" of an academic unit is the academic administrator immediately responsible for it, such as a chair, head or director.

* (d) a "collegiate unit" or "college" is a major academic entity of the University. It may be a college, school, institute or campus.

* (e) the "dean" of a collegiate unit is the academic administrator immediately responsible for it, such as a dean or director or (on a campus that is not subdivided into colleges) a vice-chancellor.

* (f) a "senior academic administrator" is an officer who has final administrative review authority on academic personnel decisions, and who reports directly to the president and regents, such as a vice president, chancellor, or provost. The president will designate one or more senior academic administrators and define their respective jurisdictions.

* (g) the "senior vice president for academic affairs and provost" is the officer (of whatever title) holding primary responsibility for the development of University-wide academic policy. This officer may also serve as senior academic administrator for some or all of the University, if so designated by the president.

* (h) "tenured faculty" are those faculty who hold indefinite tenure.

FACULTY TENURE

Section 1. Academic Freedom.

1.1 Principles. Every member of the faculty is entitled to due process and academic freedom as established by academic tradition and

the constitutions and laws of the United States and the state of Minnesota and as amplified by resolutions of the Board of Regents. The Board of Regents hereby reaffirms its commitment to academic freedom and tenure as reflected in its resolution of January 28, 1938, and in the statement of December 14, 1963, which are set forth in the appendix to these regulations. The policies of the Board of Regents regarding academic freedom are currently stated in the board's statement of September 8, 1995, which provides:

The Regents of the University of Minnesota reaffirm the principles of academic freedom and responsibility. These are rooted in the belief that the mind is ennobled by the pursuit of understanding and the search for truth and the state well served when instruction is available to all at an institution dedicated to the advancement of learning. These principles are also refreshed by the recollection that there is commune vinculum omnibus artibus -- a common bond through all the arts.

Academic freedom is the freedom to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research and creative expression and to speak or write as a public citizen without institutional discipline or restraint. Academic responsibility implies the faithful performance of academic duties and obligations, the recognition of the demands of the scholarly enterprise and the candor to make it clear that the individual is not speaking for the institution in matters of public interest.

1.2 Protection Of Faculty. Denial of faculty appointment or reappointment or removal or suspension from office or censure or other penalty must not be based upon any belief, expression or conduct protected by law or by the principles of academic freedom. Cases of alleged violation of academic freedom may be brought directly to the Judicial Committee in accordance with Section 15.

Section 2. Applicability Of Regulations And Continuity Of Appointments.

2.1 Employment Contracts. These regulations govern the relationship between the Board of Regents and faculty members, except as inconsistent with the provisions of collective bargaining agreements. These regulations are part of the contract between the Board of Regents and faculty members.

2.2 Continuation Of Existing Appointments. On the effective date of these regulations, every person holding a faculty appointment governed by the 1945 regulations concerning faculty tenure as amended, will hold the same kind of appointment under these regulations, whether or not their appointments are appropriate for such status under these regulations.

Section 3. Faculty Ranks And Types Of Appointments.

3.1 In General. The faculty ranks are professor, associate professor, assistant professor, and instructor. Faculty appointment is appropriate only if the individual is engaged in teaching or research as defined in section 7.11. Appointment at these ranks are either regular tenured or tenure-track appointments or term appointments. An appointment must be designated as a regular or a term appointment when it is made.

3.2 Regular Appointments. A regular appointment is either with indefinite tenure or is probationary, leading to a decision concerning indefinite tenure within a specified period of time. A faculty member with indefinite tenure is entitled to retain that position until retirement in accordance with University regulations or until the appointment is terminated pursuant to the provisions of sections 10 or 11.

A faculty member on probationary appointment:

1. is entitled to consideration for indefinite tenure; and
2. is entitled to timely notice of termination in accordance with Section 6.

A regular appointment may only be held in an academic unit of a degree-granting college, or similar unit. A regular appointment must be for two-thirds time or more over the academic year.

3.3 Term Appointments. A term appointment is date-specific; that is, the appointment terminates at the end of a period specified in the appointment without further notice to the appointee. The senior academic administrator for the campus or area must give every person appointed to a term faculty position a statement in writing setting forth the conditions of the appointment, including the fact that it terminates without further notice.

No number of renewals of a term appointment creates a right to further renewals or to a decision concerning tenure. Every renewal of a term appointment for the seventh or succeeding year must be reported to the Tenure Committee with a justification of the reasons for the continuation of term status.

3.4 Appropriate uses of term appointments. Term appointments are appropriate and may be used provided one or more of the following conditions is met:

* (1) the duration, the percentage of time, or both require less than service for two-thirds time for the academic year;

* (2) the appointment is designated a Visiting appointment because the faculty member is from another educational institution or is a qualified professional from a government or private agency on a leave of absence to accept a temporary appointment at this University;

* (3) the appointment is designated a clinical appointment because the faculty member is a clinician in the community who gives service to the University part-time;

* (4) the appointment concerns a faculty member who principally is engaged in and primarily is supported by clinical activities or by discipline-related service.[1]

* (5) the appointment is designated an adjunct appointment because the faculty member's primary employment is outside the University or is in another unit of the University;

* (6) the appointment extends courtesy faculty rank without salary;

* (7) the position is subject to the joint control of the University and another institution;

* (8) the specific funding for the position is subject to the discretion of another agency;

* (9) the funding for the position is for a limited time;

* (10) the appointment is in a unit or program that is experimental or otherwise restricted in duration; and

* (11) the person is enrolled in a University of Minnesota degree program. A regular faculty member on a probationary appointment may transfer to term status during enrollment in such a program if the faculty member and the senior academic administrator agree. This transfer suspends the running of the maximum period of probationary service, but the faculty member retains other rights of regular appointment, including annual review, the right to timely notice and a terminal appointment period as provided in Section 6.

3.5 Administrators' Appointments. Academic administrators may hold regular or term faculty appointments. Administrative titles and duties are distinct and severable from such individuals' faculty appointments. Removal from an administrative position does not impair any rights the individual holds as a faculty member. Upon leaving an administrative position, the individual returns to faculty status, with salary and term of appointment reduced by the amount of the administrative augmentation, if any.

3.6 Special Contracts. These regulations do not bar a faculty appointment pursuant to a special contract specifying terms or conditions of employment which are different from those prescribed in these regulations. All other provisions of these regulations apply to such appointments. Every special contract must be in writing and must state that it is a special contract entered into pursuant to this subsection. It must be signed by the faculty member concerned, by the dean of the collegiate unit in which the faculty member will be employed and by the senior academic administrator and must be authorized by the Board of Regents or its expressly authorized delegate. In addition, the senior academic administrator will annually report to the Tenure Committee the terms of all special contracts and the reasons for their use.

A special contract may be used to reduce the minimum time of a regular appointment to one-half time in order to permit a faculty member to devote more time to family responsibilities. Such a contract must provide for the mutual responsibilities of the faculty member and the academic unit, including the type and percent time of the appointment, if any, to which the faculty member is entitled at the expiration of the special contract. In the case of a probationary faculty member, the contract will regulate the length of the probationary period, but the total probationary period may be extended by no more than a total of two years pursuant to this Section and subsection 5.5.

Section 4. Terms Of Faculty Employment.

4.1 Written Notice Of Appointment. Each faculty appointment or change of status is specified in a written notice of appointment issued

by or on behalf of the Board of Regents. The notice must include the following:

1. Whether the appointment is regular or term;
2. Whether it is full or part-time and the percentage of time involved;
3. If for a fixed term, its expiration date;
4. If regular, whether it is probationary or with indefinite tenure;
5. Whether it is on a twelve-month, academic year or other specified annual basis;
6. The rank of appointment;
7. The academic unit or units to which the individual is being appointed;
8. The recurring salary; and
9. Additional salary as described in Section 4.4.

The notice is only evidence of the appointment; clerical or computer errors in a notice of appointment do not affect the terms of the appointment unless the faculty member reasonably relied upon the mistake and suffered an injustice because of that reliance. Notices required by this section should be delivered before the effective date of the appointment or change of status, or as soon thereafter as is administratively feasible. A probationary appointee must also be given notice of the applicable maximum probationary period.

4.2 Action By The Board Of Regents. Faculty appointments and renewals or changes of status become effective when approved by the Board of Regents or its authorized delegate.

4.3 Changes In Terms Of Appointment Other Than Faculty Compensation. Except for raises in rank and except for action expressly authorized by these regulations, no changes of (1) through (7) items listed in subsection 4.1 may be made during the term of an appointment except with the agreement of the faculty member and the Board of Regents or its authorized delegate.

4.4 Faculty Salaries. Each faculty member shall receive a recurring salary, and may also receive an additional salary which may be for special awards or for activities in addition to regular faculty responsibilities such as clinical practice, administrative service, overload duties, summer school teaching and summer research support and similar activities.

Recurring salary will not be decreased except by action expressly authorized in this section or in Sections 7a, 10, 11, or 14 of these regulations or with the agreement of the faculty member. If a faculty member's recurring salary is decreased, the amount of the decrease and the reason therefore shall be set forth in a written notice and provided to the faculty member. No decrease in recurring salary shall occur in violation of the academic freedom of the faculty member.

At the time an appointment is made, the offer and written notice of appointment shall separately state the recurring salary and any additional salary, as described above, that the faculty member will receive. In each subsequent year, the faculty member shall be provided with a written notice separately stating any changes in recurring salary and any changes in additional salary for the following academic year. A faculty member's recurring salary shall consist of the initial recurring salary adjusted by any subsequent increase or decrease in recurring

salary provided for in a subsequent written notice. Increases will be presumed to be in recurring salary unless otherwise identified. For a faculty member employed when this section takes effect, the initial recurring salary will be the faculty member's recurring salary at the time this section takes effect, exclusive of any additional salary designated as special awards or designated as being for activities in addition to regular faculty responsibilities such as clinical practice, administrative service, overload duties, summer school teaching, summer research support and similar activities.

A faculty member whose recurring salary has been decreased may petition for review of that action under Section 15 of these regulations.

4.5 Reduction Or Postponement Of Compensation. If the University or a collegiate unit is faced with financial stringency that does not amount to a fiscal emergency, the president may propose a temporary reduction or postponement in compensation to be allocated to faculty in accordance with a mathematical formula or similar device. If approved by the Faculty Senate or the appropriate collegiate assembly, respectively, and the Board of Regents, the recurring salary of all faculty members in the University or in the designated collegiate units shall be reduced temporarily in accordance with the formula or device. The reduction may not continue for longer than two years, unless renewed by the same procedure.

Section 5. Maximum Period Of Probationary Service.

5.1 General Rule. To give the University ample opportunity to determine the qualifications of those faculty members whom it is considering for regular appointments with indefinite tenure, the maximum period of probationary service of a faculty member is normally six academic years, whether consecutive or not. The faculty assembly of a collegiate unit may propose to alter the maximum probationary period for all of that college, or for certain units within it, to no more than nine years. The tenured faculty of a college, by simple majority vote taken by secret ballot, may adopt such a change, with the approval of the dean and of the senior academic administrator. Any such change in the maximum probationary period applies to all probationary faculty hired in that college (or those units) after the decision, but any incumbent probationary faculty member may choose to be considered under the new rule. At the end of this probationary period, the faculty member must either be given a regular appointment with indefinite tenure or a one-year terminal appointment.

5.2 Early Decisions Permitted. These regulations do not prevent the granting of indefinite tenure prior to the expiration of the maximum period of probationary service and do not prevent a decision to terminate an appointee's probation prior to the end of the appointee's maximum probationary service, if timely notice is given.

5.3 Crediting Of Academic Year. A faculty member is considered to have served an academic year if the appointee serves at least two-thirds time during the faculty member's academic year appointment. Unless otherwise agreed in writing, periods during which a faculty member is on a single semester or other paid professional development leave or is on leave to teach or conduct research at another academic institution count as service, but periods in which the faculty member is

on sick or disability leave or on leave in some non-faculty capacity do not count as service.

If a faculty member transfers to a position outside of the regular faculty, the time spent in the other position does not count for the purpose of this section.

5.4 Prior Service.

5.41 In This University. Every academic year during which a faculty member has previously served at least two-thirds time under a regular appointment at this University reduces the maximum period of probationary service by one year.

5.42 Elsewhere. If a faculty member has previously served in regular faculty positions, as defined in these regulations, in one or more accredited universities or colleges, every academic year of such service (not exceeding three) reduces the maximum period of probationary service by one year.

5.43 Exceptions Permitted. If the prior service was in a different discipline, was in an academic unit or institution with teaching or research goals not comparable to those of the present appointment, or was too long ago to provide good evidence of the appointee's current professional development, the Board of Regents or its expressly authorized delegate may make an exception in writing at or near the beginning of the probationary period.

5.5 Exception For New Parent Or Caregiver, Or For Personal Medical Reasons. The maximum period of probationary service will be extended by one year at the request of a probationary faculty member:

1. On the occasion of the birth of that faculty member's child or adoptive/foster placement of a child with that faculty member; or
2. When the faculty member is a major caregiver for a family member [2] who has an extended serious illness, injury, or debilitating condition. A faculty member may use this provision no more than two times; or
3. When the faculty member has an extended serious illness, injury, or debilitating condition.

The request for extension must be made in writing within one year of the events giving rise to the claim and no later than June 30 preceding the year a final decision would otherwise be made on an appointment with indefinite tenure for that faculty member.

Section 6. Tenure Of Faculty On Regular Probationary Appointments.

6.1 In General. A regular probationary appointee is a candidate for indefinite tenure. A probationary appointment continues until it is superseded by an appointment with indefinite tenure or until terminated by timely notice or by resignation. Regular probationary appointments are generally made at the rank of assistant professor, but may be made at any rank.

6.2 Notice Requirements. Except as provided below, a probationary appointment may be terminated at the end of any academic year by giving notice of termination (in the form provided in Section 17) not later than May 15 of the preceding academic year. The notice must inform the faculty member of the right to request a hearing before the Judicial Committee and must advise the faculty member of the applicable time limit for making such a request.

6.21 Associate Professors And Professors On Probationary Appointments. An initial probationary appointment at the rank of associate professor or professor may specify in writing that it is for a minimum period of three years. In that case, the earliest time at which notice of termination can be given is before May 15 of the second year of service, to take effect at the end of the third year of service.

6.22 Instructors On Probationary Appointments. An initial probationary appointment at the rank of instructor may specify in writing that it is only for a minimum period of one year. The appointment may be terminated at the end of the first year by notice given not later than March 1 of that year, or at the end of the second year by notice given not later than December 15 of that year. In all other respects such appointments are governed by subsection 6.2. A promotion of an instructor to the rank of Assistant Professor without a grant of tenure does not affect the operation of this subsection.

6.3 Promotions. The promotion of a probationary appointee to the rank of associate professor or professor must be accompanied with an appointment with indefinite tenure. A promotion to assistant professor does not affect the faculty member's tenure status.

6.4 Rank Of Appointees With Indefinite Tenure. The grant of tenure to an instructor must be accompanied with a promotion to assistant professor. Since the standards for granting tenure are ordinarily at least as rigorous as those for promotion to associate professor, the granting of tenure to an assistant professor will ordinarily be accompanied by a promotion to associate professor. Otherwise, a grant of indefinite tenure need not be accompanied with a promotion in rank.

6.5 Effect Of Failure To Comply With This Section. No one is entitled to an appointment with indefinite tenure merely because the University failed to comply with this section. If an individual is given an extension of appointment beyond the maximum probationary period or is not given timely written notice, the University may either:

1. Grant an appointment with indefinite tenure;
2. Grant a further probationary appointment, if this would not exceed the maximum probationary period; or
3. Grant a terminal appointment ending at the end of the first full academic year which follows the May 15th after proper notice is given.

Section 7. Personnel Decisions Concerning Probationary Faculty.

7.1 Criteria For Decisions.

7.11 General Criteria. What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic

integrity. The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both [3]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [4]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [5]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. The awarding of indefinite tenure presupposes that the candidate's record shows strong promise of his or her achieving promotion to professor.

7.12 Departmental Statement. [6] Each department or equivalent academic unit must have a document that specifies (1) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 7.11 ("General Criteria" for the awarding of indefinite tenure) and (2) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 9.2 ("Criteria for Promotion to Professor"). The document must contain as an appendix the text and footnotes of subsections 7.11 and 9.2, and must be consistent with the criteria given there but may exceed them. Each departmental statement must be approved by a faculty vote (including both tenured and probationary members), the dean, and other appropriate academic administrators, including the senior vice president for academic affairs and provost. The chair or head of each academic unit must provide each probationary faculty member with a copy of the Departmental Statement at the beginning of the probationary service.

7.2 Annual Review. The tenured faculty [7] of each academic unit annually reviews the progress of each probationary faculty member toward satisfaction of the criteria for receiving tenure. The head of the unit prepares a written summary of that review and discusses the candidate's progress with the candidate, giving a copy of the report to the candidate.

7.3 Formal Action By The Faculty. The tenured faculty of the academic unit may recommend that a probationary faculty member be granted indefinite tenure or that the appointment be terminated. If it does neither, it is presumed to recommend a renewal of the appointment. In the final probationary year, if the tenured faculty does not recommend an appointment with indefinite tenure, it must recommend termination of the appointment. The recommendation is made by a vote of the regular faculty with indefinite tenure in the unit. The presiding officer is not disqualified from voting merely because of office.

7.4 Procedures For Taking Formal Action. The academic unit must observe University procedures established as provided in subsection 16.3. These procedures will provide the following:

* (a) A good faith effort is made to gather all relevant information necessary to the decision. The academic units have the primary

obligation to assemble the file, but the faculty member also has the right to add any material the faculty member considers relevant.

* (b) The decision is made by vote, by written unsigned secret ballot, at a meeting of the regular faculty who have indefinite tenure in the academic unit. The rules may provide for absentee ballots by informed absent faculty members.

* (c) Persons who have or have had a family or similar relationship to the candidate do not participate in the decision. The procedures may establish methods for raising and ruling on such questions in advance of the decision.

* (d) Action is to be taken by majority vote. An academic unit may adopt a uniformly applicable rule that a motion to recommend tenure must achieve a specified exceptional majority in order to constitute an affirmative recommendation of that unit. In such case a motion which achieves a majority, but not the required exceptional majority, must be sent forward for review by the appropriate review process despite the absence of the unit's affirmative recommendation.

* (e) The unit shall report the vote of the faculty, together with the reasons for the action taken. This statement of reasons must take the form of a summary of both majority and minority views which have substantial support which were expressed in the course of formal consideration of the action. All statements must be made without personal attribution. A preliminary draft is open to members of the faculty eligible to vote so they may comment and suggest changes. The final draft is sent to the affected faculty member and is open to the faculty eligible to vote.

* (f) Before submitting a formal recommendation for an appointment with indefinite tenure or for termination of a probationary appointment, the head of the academic unit informs the appointee of the recommendation and gives the appointee a copy of the final report. The appointee may submit any comments upon the report to the academic administrator who will review the report, with a copy to the head of the academic unit.

7.5 Nondisclosure Of Grounds For Recommendation Of Termination. The reasons for a recommendation to terminate a probationary appointment may not be disclosed, except as part of the review process, unless the faculty member requests such disclosure or makes a public statement concerning the reasons for termination.

7.6 Review Of Recommendations. Recommendations of academic units to grant indefinite tenure or to terminate probationary appointments are reviewed at the collegiate and university levels.

7.61 Procedures. The review must be conducted according to University procedures, established as provided in subsection 16.3. These procedures must provide for review and recommendations by the head of the academic unit, by the dean of the collegiate unit, by faculty committees at the collegiate or University level, and, when appropriate, by other academic administrators. The review must be conducted on the basis of the standards and criteria established by subsections 7.11 and 7.12 and the applicable rules and procedures. The rules may permit an administrator to refer the matter back to the unit for reconsideration, but

if the administrator and the unit do not agree after such reconsideration, both the recommendation and the administrator's comments must be sent forward for final administrative action. A copy of each review or recommendation must be supplied to the faculty member. The faculty member may comment thereon in writing to those who will review the matter further.

7.62 Conflict Of Interest. No one may participate both in an initial recommendation by an academic unit and in a subsequent review of that recommendation, except that the head of the academic unit may make the initial administrative review. No one who has participated in a recommendation or review may thereafter serve as a member of the Judicial Committee in further consideration of that case.

Members of the Judicial Committee may not serve on collegiate or University review committees. Members of the Judicial Committee may participate in initial recommendations by their own academic units, but are disqualified from thereafter participating in Judicial Committee consideration of those decisions.

7.63 Final Administrative Action. The University may not act contrary to the recommendation of the academic unit which made the initial recommendation except for substantive reasons which must be stated in writing by the senior academic administrator to the faculty member, to the members of the academic unit which made the recommendation, and to the president. The fact that participants in the review process have recommended against the unit's initial recommendation is not, by itself, a substantive reason.

The senior academic administrator takes the steps necessary to make the necessary appointment or to give notice of termination.

7.7 Improper Termination Of Probationary Appointments. A person holding a regular probationary appointment who has been given notice of termination may petition the Judicial Committee to review that action. The Judicial Committee will not base its ruling on the merits of the decision itself, but will review allegations that the decision was based in significant degree upon any of the following:

1. Personal beliefs, expressions or conduct which fall within the liberties protected by law or by the principles of academic freedom as established by academic tradition and the constitutions and laws of the United States and the state of Minnesota;
2. Factors proscribed by applicable federal or state law regarding fair employment practices;
3. Substantial and prejudicial deviation from the procedures prescribed in subsections 7.4 and 7.6 and the procedural rules promulgated pursuant to those subsections;
4. Failure to consider data available at the time of decision bearing materially on the faculty member's performance;
5. Demonstrable material prejudicial mistakes of fact concerning the faculty member's work or conduct;

6. Other immaterial or improper factors causing substantial prejudice;
or
7. Other violation of University policies or regulations.

Such proceedings are governed by Section 15.

Section 7a. Review Of Faculty Performance

7a.1. Goals And Expectations. The faculty of each academic unit must establish goals and expectations for all faculty members, including goals and expectations regarding teaching, scholarly productivity, and contributions to the service and outreach functions of the unit. The factors to be considered will parallel those used by the unit in the granting of tenure, but will take into account the different stages of professional development of faculty. The goals and expectations will be established in accordance with standards established by the University Senate. They can provide for flexibility, so that some faculty members can contribute more heavily to the accomplishment of one mission of the unit and others to the accomplishment of other missions. The goals and expectations shall not violate the individual faculty member's academic freedom in instruction or in the selection of topics or methods for research. They shall include reasonable indices of acceptable performance in each of the areas (e.g., teaching contributions and evaluations, scholarly productivity, service, governance and outreach activities). The dean reviews the goals and expectations of each unit and may request changes to meet the standards of the University and of the collegiate unit.

7a.2. Annual Review. Each academic unit, through its merit review process (established in accordance with the standards adopted by the senate), annually reviews with each faculty member the performance of that faculty member in light of the goals and expectations of the academic unit established under section 7a.1. This review is used for salary adjustment and faculty development. The faculty member will be advised of the evaluation and, if appropriate, of any steps that should be taken to improve performance and will be provided assistance in that effort. If the head of the unit and a peer merit review committee elected for annual merit review within that unit both find a faculty member's performance to be substantially below the goals and expectations adopted by that unit, they shall advise the faculty member in writing, including suggestions for improving performance, and establish a time period (of at least one year) within which improvement should be demonstrated.

7a.3. Special Peer Review In Cases Of Alleged Substandard Performance By Tenured Faculty. If, at the end of the time period for improvement described in the previous paragraph, a tenured faculty member's performance continues to be substantially below the goals and expectations of the unit and there has not been a sufficient improvement of performance, the head of the academic unit and the elected peer merit review committee may jointly request the dean to initiate a special peer review of that faculty member. Before doing so, the dean shall independently review the file to determine that special peer review is warranted. (in the case of an academic unit that is also a collegiate unit, the request shall be made to and the review conducted by the

responsible senior academic administrator.) The special peer review shall be conducted by a panel of five tenured faculty members of equal or higher rank, selected to review that individual. The faculty member under review shall have the option to appoint one member. The remaining members shall be elected by secret ballot by the tenured faculty of the unit. The members of the special review panel need not be members of the academic unit. The special review panel shall provide adequate opportunity for the faculty member to participate in the review process and shall consider alternative measures that would assist the faculty member to improve performance. The tenure subcommittee may adopt rules and procedures regulating the conduct of such reviews. The special review panel shall prepare a report on the teaching, scholarship, service, governance, and (when appropriate) outreach performance of the faculty member. It will also identify any supporting service or accommodation that the University should provide to enable the faculty member to improve performance. Depending on its findings, the panel may recommend:

* (a) that the performance is adequate to meet standards and that the review be concluded;

* (b) that the allocation of the faculty member's expected effort among the teaching, research, service and governance functions of the unit be altered in light of the faculty member's strengths and interests so as to maximize the faculty member's contribution to the mission of the University;

* (c) that the faculty member undertake specified steps to improve performance, subject only to future regular annual reviews as provided in Section 7a.2;

* (d) that the faculty member undertake specified steps to improve performance subject to a subsequent special review under Section 7a.3, to be conducted at a specified future time;

* (e) that the faculty member's performance is so inadequate as to justify limited reductions of salary, as provided in Section 7a.4;

* (f) that the faculty member's performance is so inadequate that the dean should commence formal proceedings for termination or involuntary leave of absence as provided in Sections 10 and 14; or

* (g) some combination of these measures.

The panel will send its report to the dean, the head of the academic unit, and the faculty member. Within 30 work days of receiving the report, the faculty member may appeal to the Judicial Committee, which shall review the report in a manner analogous to the review of tenure decisions (see Section 7.7).

7a.4. Salary Reductions. If the special review panel recommends that the faculty member's performance is so inadequate as to justify limited reductions of recurring salary, the head of the academic unit, with the approval of the dean, may reduce the faculty member's recurring pay, subject to the following limitations:

* (a) the amount of the decrease will not exceed 10% of the faculty member's recurring salary on the basis of any one special review;

* (b) recurring salary may not be reduced by more than 25% from the highest level of recurring pay ever held by the faculty member;

* (c) at least six months' notice of the decrease must be given;

* (d) any decrease in recurring salary may be restored by the annual review process provided in Section 7a.2.

Within 30 work days of notice of the decrease, the faculty member may appeal this action to the Judicial Committee, which shall review the action and the recommendation leading to it in a manner analogous to the review of tenure decisions (see Section 7.7). This review may not reconsider matters already decided by the Judicial Committee under Section 7a.3. Any decrease in recurring pay beyond the limits specified in this subsection can only be imposed pursuant to Sections 4.5, 10, 11, and 14.

7a.5. Peer Review Option. Upon application to it by the dean and faculty (or the elected faculty assembly) of a collegiate unit, the Faculty Senate may adopt a system of peer review of performance of faculty of that unit different from the system set forth in Sections 7a.1 through 7a.4 if in the Faculty Senate's judgment so proceeding is in the University's interest.

Section 8. Improper Refusal Of A New Appointment To A Term Faculty Member.

A person holding a term faculty appointment who has been refused a renewal of that appointment or has applied for and been refused a regular or a different term faculty appointment within six months of the end of that appointment may petition the Judicial Committee to review the refusal, but only on the ground that the decision was based in significant degree upon one or more of the following:

1. Personal beliefs, expressions or conduct which fall within the liberties protected by law or by the principles of academic freedom as established by academic tradition and the constitutions and laws of the United States and the state of Minnesota;
2. Factors proscribed by applicable federal or state law regarding fair employment practices;
3. Essential and substantial written misrepresentation of the nature of the original appointment; or
4. Other violation of University policies or regulations.

Such proceedings are governed by Section 15.

Section 9. Personnel Decisions for Associate Professors and Professors.

9.1 Appointment of Associate Professors and Professors With Indefinite Tenure. Initial appointments with indefinite tenure may only be made at the rank of associate professor or professor. Such appointments may be made only after receiving the recommendation of

the regular faculty holding indefinite tenure in the academic unit concerned.

9.2 Criteria for Promotion to Professor. The basis for promotion to the rank of professor is the determination that each candidate has (1) demonstrated the intellectual distinction and academic integrity expected of all faculty members, (2) added substantially to an already distinguished record of academic achievement, and (3) established the national or international reputation (or both) ordinarily resulting from such distinction and achievement [8]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [9]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. But the primary emphasis must be on demonstrated scholarly or other creative achievement and on teaching effectiveness, and service alone cannot qualify the candidate for promotion.

Section 10. Unrequested Leave Of Absence For Disability And Disciplinary Action

10.1 Unrequested Leave Of Absence For Disability. A faculty member who is physically or mentally unable to perform reasonably assigned duties may be placed on unrequested leave of absence. The faculty member is entitled to sick pay and disability insurance payments in accordance with University policy. The faculty member has a right to return to the faculty upon termination of the disability or upon cessation of disability payments.

10.2 Disciplinary Action.

10.21. Termination Or Suspension Of A Faculty Appointment Before Its Expiration. A faculty appointment may be terminated or suspended (except under Section 10.22) before its ordinary expiration only for one or more of the following causes:

* (a) sustained refusal or failure to perform reasonably assigned duties adequately;

* (b) unprofessional conduct which severely impairs a faculty member's fitness in a professional capacity;

* (c) egregious or repeated misuse of the powers of a professional position to solicit personal benefits or favors;

* (d) sexual harassment or any other egregious or repeated unreasonable conduct destructive of the human rights or academic freedom of other members of the academic community; or

* (e) other grave misconduct manifestly inconsistent with continued faculty appointment.

10.22 Procedure For Minor Disciplinary Actions. Minor sanctions, such as a letter of reprimand in the faculty member's file, or the like,

may be imposed for significant acts of unprofessional conduct. For minor sanctions, the dean may impose the sanction after providing the faculty member notice of the proposed action and of the reason that it has been proposed and giving the faculty member an opportunity to respond. If the faculty member files a grievance under the University grievance policy to challenge a minor disciplinary matter, the sanction shall be held in abeyance until the conclusion of the proceeding. The grievance panel shall have jurisdiction to consider all claims raised by the faculty member, and if the case goes to arbitration, the arbitrator shall be an individual with experience in academic matters.

10.3 Procedures. A faculty member may be placed on unrequested leave of absence or a faculty appointment may be terminated or suspended for these reasons only in accordance with the procedures set forth in Section 14.

Section 11. Fiscal Emergency.

11.1 Faculty Rights. The Board of Regents, if faced with the necessity of drastic reduction in the University budget, has the power to suspend or abolish positions, or even entire departments, divisions, or other administrative units. If confronted with such adverse contingency, the board will consult with and secure the advice of faculty representatives, as provided in this section. Faculty members have the right to full access to information about the situation and the alternatives being considered. In effecting retrenchment because of financial necessity, the regents will make reductions in faculty positions only to the extent that, in their judgment, is necessary after exploring various alternative methods of achieving savings. The regents fully intend that the tenure system as a whole and the tenure rights of each individual faculty member be protected in every feasible manner during periods of such retrenchment.

11.2 General Principles Of Priority. The following general principles of priority apply in any financial crisis.

* (a) first, the University must fully utilize all means consistent with its continued existence as an institution of high academic quality to reduce expenses or to increase income which do not involve the termination of faculty positions or the impairment of faculty rights.

* (b) second, the University may consider alternatives which involve only the temporary reduction or postponement of faculty compensation or the reduction of fringe benefits.

* (c) only thereafter may the University suspend or terminate faculty positions in accordance with the section.

11.3 First Stage: Alternative Approaches. If there has been a serious reduction in the University's income, the president will report the matter to the Senate Consultative Committee. The president will identify the magnitude of the shortfall, the measures which might be taken to alleviate it (which must not involve impairment of faculty rights), and alternative measures which have been rejected. The president will give the committee full access to all available information and will respond specifically to additional proposals suggested by the committee. At this stage, the University will consider reductions in other expenses. It will also consider increases in tuition, sales of assets, and borrowing. These

steps will be implemented by the president or the Board of Regents as is appropriate.

11.4 Second Stage: Reduction Or Postponement Of Compensation. If the University has implemented all of the measures which are required to be considered in the first stage, which are consistent with its continued operation as an institution of high academic quality, and they are inadequate to meet the shortfall, the president may, after consultation with the Faculty Consultative Committee, propose the temporary reduction or postponement of faculty compensation for a predetermined period not to exceed one year, according to a mathematic formula or similar device. The Faculty Consultative Committee will report on the adequacy of the steps taken in the first stage and make its recommendations on the proposal. If the Faculty Senate approves the proposed action (or any modification of it) by an absolute majority of its membership or by a two-thirds vote of the members present and voting (a quorum being present), the Board of Regents may take that action (or any less stringent action) and, to that extent, modify the terms of the appointments of all faculty members. The Board of Regents may rescind the action at any time thereafter. Such action may be repeated by the same procedures.

11.5 Third Stage: Fiscal Emergency. If there has been a reduction of the University's income which is so drastic as to threaten its survival, and this threat cannot be alleviated by the measures specified above, the Board of Regents may declare a fiscal emergency. During such an emergency, the Board of Regents may terminate or suspend faculty appointments as provided in this section.

11.51 Preliminary Procedures. Before recommending to the Board of Regents that it declare a fiscal emergency, the president must meet with the Senate Consultative Committee to examine alternatives to and consequences of such a declaration. The president must provide the committee access to all available information. The president must provide a written report identifying the dollar amount to be saved by reducing faculty positions. This report must also identify the dollar amount proposed to be saved by any other measures to be taken, including the level of any concurrent reductions in non-faculty staff during the emergency. The Faculty Consultative Committee will prepare a written report on the president's proposal, to which the Senate Consultative Committee may add additional comments. The Faculty Senate will first consider and act on the proposal and reports. Thereafter, the University Senate may consider them. The president must attend both senate meetings to explain the proposal and to answer questions.

After receiving the president's recommendation and the resolutions of the senates, the Board of Regents may declare a state of fiscal emergency. Before action contrary to the recommendation of the University Senate is subsequently taken, the president must report in writing and in person the reasons for this action to the Senate Consultative Committee. The Board of Regents' resolution states the maximum amount to be realized from termination or suspension of faculty appointments.

11.52 Duration. A fiscal emergency lasts no longer than 12 months unless renewed by the same procedure. A fiscal emergency may be rescinded at any time by the Board of Regents.

11.53 Allocation Of Shortfall. After consultation with the Faculty Consultative Committee and the Senate Consultative Committee, the president proposes an initial allocation of the shortfall to the various collegiate units, which need not be prorated. The committee must obtain the views of the faculty in the affected units and must hold an open meeting at which anyone may comment upon the proposed action. It may also request the assistance of other University or Senate committees in studying all or particular aspects of the educational policies and priorities involved in the action. The colleges and campuses then allocate the shortfall to the various academic units after similar consultation with the representative bodies and academic units in the colleges and similar open meetings. The plans must reflect the principles and priorities established in subsection 11.6. The colleges and campuses return their plans to the senior vice president for academic affairs and provost, who prepares a comprehensive plan for the University, including a list of the persons whose appointments will be suspended or terminated. This plan is submitted to the University Senate and the Faculty Senate for their recommendation. The recommendations of the senates and the senior vice president for academic affairs and provost's plan will be presented to the president and the Board of Regents for action.

11.6 Principles Governing Termination Or Suspension.

11.61 General Principles.

* (a) Savings achieved through resignations, retirements, renegotiations of contracts, inloading or other measures must be credited to the assigned shortfall before terminating or suspending faculty appointments.

* (b) A good faith effort should be made to use temporary suspensions or voluntary furloughs rather than terminations. In this third stage, the Board of Regents may impose the temporary or permanent reduction of faculty compensation or the reduction of fringe benefits, in excess of those approved in the second stage. Suspensions without pay for no more than one-third of the annual appointment in any year may be ordered in accordance with objective criteria, provided that faculty members are given at least six months notice.

* (c) Terminations may not be used in case of a short-term financial crisis, but only if the circumstances are such that the shortfall is reasonably expected to continue over a substantial number of years.

* (d) A good faith effort must be made to cover as much of the shortfall as possible by allowing non-regular appointments to lapse and by giving notice to probationary faculty in accordance with the terms of their appointments.

* (e) A good faith effort must be made to cover as much of the shortfall as possible by transferring faculty members to other positions for which they are qualified or by offering them retraining for available positions.

* (f) The selection of faculty members within an academic unit for termination must be made on objective criteria. It may not involve a comparative evaluation of the relative merits of individuals or a repetition of the tenure-granting process.

11.62 Priorities.

(a) Unless the unit can demonstrate that essential functions could not otherwise be performed:

1. all non-regular faculty within an academic unit must be suspended or terminated before any regular faculty may be suspended or terminated in that unit; and
2. all probationary faculty within an academic unit must be suspended or terminated before any tenured faculty may be suspended or terminated in that unit.

(b) Care must be taken to protect the employment of women and minorities entitled to affirmative action. The senior vice president for academic affairs and provost must insure that for the University as a whole the plan which is submitted does not reduce the proportion of appointments with indefinite tenure held by women or minorities entitled to affirmative action, and does not reduce the proportion of non-regular appointments held by women or minorities entitled to affirmative action.

11.63 Notice And Severance Pay. A faculty member whose appointment is to be terminated or suspended is entitled to a minimum of one full academic year's notice or to one year's salary as severance pay in lieu of notice, unless the appointments would otherwise expire earlier.

11.64 Reemployment Rights. The University will not fill any faculty position for which a faculty member with indefinite tenure who has been terminated is qualified for five years after notice of termination, unless it first offers the position to each such faculty member and gives a reasonable time for the faculty member to accept or reject it.

11.7 Judicial Committee Report. A faculty member whose appointment is terminated or suspended may make a written request for review by the Judicial Committee. The review will be conducted in accordance with Section 15. The Judicial Committee will not reexamine the determination that a fiscal emergency exists, nor will it reexamine the educational policies and priorities pursued unless it finds a substantial failure to follow the procedures established in this section. It will only examine whether the action was taken in accordance with the procedures and standards set forth in this section, whether the action was based on a violation of academic freedom or constitutional or legal rights, or was substantially based on immaterial or improper factors. It may consolidate cases involving common issues for a single hearing.

Section 12. Programmatic Change.

12.1 Programmatic Change. The University and faculty recognize that changes in academic programs are an essential part of the development and growth of the institution. These changes should be based on academic considerations and on long-term policy and planning, and may be undertaken only after consultation with the faculty, including the appropriate governance structure.

12.2 Faculty Rights And Duties. In the event that programmatic change leads to discontinuation of a program in which a member of the faculty is employed, the University recognizes its obligation to continue the employment of regular faculty in accordance with the terms of their

employment, and to continue the employment of non-regular faculty for the term of appointment. In case of fiscal emergency, the provisions of Section 11 apply.

Regular faculty members who are so retained have the responsibility to accept teaching or other assignments for which they are qualified, and to accept training to qualify them for assignment in other fields. The University has the responsibility to assign such faculty members to responsibilities as closely related to their original field of tenure as is practicable, to allow them time in which to continue scholarship in their original field if they wish, and to recognize scholarly contributions in that field as valuable in assessing their contribution to the University for pay, promotion and other purposes.

In addition to the steps mentioned above, the University has the right to offer inducements to faculty members voluntarily to change fields of study, to seek employment elsewhere, or to accept early retirement.

12.3 Reassignments. In cases of programmatic change, an officer designated by the president will make the reassignment or offer of training. The officer will consult with the faculty member and the receiving unit and will seek a mutually satisfactory assignment. If agreement cannot be reached, the University officer will assign new responsibilities after consultation with the individual.

The University may give the faculty member other assignments only if assignments to teaching in the faculty member's discipline are not feasible. For example, faculty might be assigned

- * to teach in another field in which the individual is qualified
- * to perform professional or administrative duties, including professional practice in a field in which the individual is qualified.
- * to transfer effort, by assignment in a suitable professional capacity, at another educational institution or similar entity, while retaining University tenure, compensation, and benefits.

A faculty member must accept any reasonable reassignment or offer of retraining. Following the assignment, any dispute about the reasonableness of reassignment may be taken to the Judicial Committee, as provided in Section 15. The faculty member shall perform the reassignment pending resolution of the dispute, unless the president on the recommendation of the chair of the Judicial Committee determines that provisional measures are appropriate.

12.4 Termination Of Appointment. A faculty member who chooses not to accept a reasonable reassignment or retraining opportunity shall receive:

1. Assistance in locating other employment;
2. A minimum of one full academic year's notice or one year's salary as severance pay in lieu of notice, unless the appointment would otherwise expire earlier.
3. Continuation of the University's contribution to health benefits for one year after the date of the termination of the appointment.

In place of the severance payment provided by this section, a faculty member may select another severance program for which the faculty member is otherwise eligible at the time the appointment is terminated.

Section 13. Judicial Committee.

13.1 Membership. The Judicial Committee is composed of at least nine members of the regular faculty. The number of members and manner of appointment is governed by the Faculty Senate bylaws.

13.2 Procedures. The Judicial Committee applies and interprets this tenure code in complaints that come before it. The Judicial Committee has its own Rules of Procedure and may adopt additional rules with the approval of the Tenure Committee, as provided in Section 16.3.

In every case before the Judicial Committee the senior academic administrator may designate the academic administrator who will represent the University as respondent. If the case involves two or more campuses or areas, the president or the senior vice president for academic affairs and provost may designate the respondent.

13.3 Duty To Testify. Faculty members and administrators have an obligation to appear before the Judicial Committee if asked to give testimony in matters pending before it.

13.4 Panels. The Judicial Committee may sit in panels to hear individual cases. In cases under Sections 10 and 14, the panel must consist of at least five members. In all other cases, the panel must consist of at least three members. The rules of the Judicial Committee will establish the respective functions of the committee as a whole and of the individual panels.

13.5 Legal Officer. The Judicial Committee shall have its own legal officer, appointed by the Judicial Committee with the approval of the president. The Judicial Committee also may, with the approval of the president, appoint a deputy legal officer, or a substitute legal officer for a particular case, as necessary. At the direction of the committee, the legal officer may preside at hearings of Judicial Committee panels or regulate the procedure in Judicial Committee cases. The legal officer may be present and participate in the deliberation of a panel, but shall have no vote.

Section 14. Procedures In Cases Of Unrequested Leave Of Absence Or Termination Or Suspension Of A Faculty Appointment For Cause.

14.1 Preliminary Proceedings. Only a dean or an academic administrator specially designated by the senior vice president for academic affairs and provost or by the senior academic administrator may initiate preliminary proceedings under this section leading to unrequested leave of absence or to suspension or removal or to temporary or permanent reduction in rank. The dean [10] must first attempt to discuss and resolve the matter with the faculty member involved.

The dean must then submit the matter to the tenured faculty of the academic unit involved for their recommendation.

If the senior vice president for academic affairs and provost and the Faculty Senate have expressly approved the submission of allegations of the violation of a specified policy to another body for preliminary recommendation, in place of submission to the tenured faculty of the academic unit, the dean must submit the matter to that body for its recommendation.

Both the dean and the faculty member may submit their views, in person or in writing, to the body making the recommendation, but neither of them may participate in the deliberation or vote. The body making the recommendation does so by secret ballot and makes a written report to the dean within 40 days of submission of the issue to it, indicating the number of votes for and against the proposed action and the reasons articulated. A copy of the report shall be sent to the senior academic administrator and to the faculty member.

14.2 Formal Action. Within 40 days after receiving the recommendation of the tenured faculty or other body, the dean must decide whether to proceed with formal action. Before taking formal action, the dean must consult with the senior academic administrator. If the dean does not proceed within 40 days, the charges are dropped and the faculty member and the academic unit are so notified in writing. If the dean decides to proceed with formal action, the dean must give written notice to the faculty member. The notice must specify the action proposed, identify the specific ground upon which it has been taken, and summarize the evidence in support. It must inform the faculty member of the right to request a hearing before the Judicial Committee and advise the faculty member of the applicable time limit for making such a request.

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

14.3 Judicial Committee Hearing. The faculty member may request a hearing before the Judicial Committee by written request to the chair of the committee, filed within 30 days of the notice. The Judicial Committee may extend the 30 day period for good cause. The dean will be responsible for presenting the case. The dean has the burden of proving the case for the proposed action by clear and convincing evidence and also has the burden of demonstrating the appropriateness of the proposed action, rather than some lesser measure.

The Judicial Committee makes written findings of fact, conclusions, and a recommendation for the disposition of the case. If the committee finds that action is warranted, it may recommend action that is less severe than that requested in the written notice, including but not limited to, permanent or temporary reduction in salary or rank. It may not recommend more severe measures than those proposed in the dean's notice.

The Judicial Committee sends its report to the president with copies to the faculty member, the dean and the senior administrator.

14.4 Action By The President. The president shall give the faculty member and the dean the opportunity to submit written comments on the report. In determining what action to take, the president may consult privately with any administrators, including attorneys, who have had no

previous responsibility for the decision at issue in the case and have not participated in the presentation of the matter to the Judicial Committee. The president may not discuss the case with any administrator who was responsible for the decision at issue in the case or who participated in the presentation of the matter to the senate Judicial Committee. Such administrators may communicate with the president in writing, but only if the full text of the communication is given to the faculty member and the faculty member is given a reasonable opportunity to respond to it.

The president shall not take action materially different from that recommended by the panel unless, prior to the action, the president has consulted with the committee. Parties and their representatives shall not be present at any meeting between the president and the committee nor shall their consent be required for such meeting.

In addition, the president may request the Judicial Committee to make further findings of fact, to clarify its recommendation or to reconsider its recommendation. The reconsideration will be made by those who have heard of all of the evidence in the case, but the full Judicial Committee may consult with them on questions of general policy.

The president may impose the action recommended by the committee, or any action more favorable to the faculty member. The president may impose action less favorable to the faculty member only for important substantive reasons, which must be stated in writing, with specific detailed reference to the report of the Judicial Committee, the evidence presented, and the policies involved. The president's written statement must be given to the parties and to the Judicial Committee. If the Judicial Committee decides that the president has imposed an action that is less favorable to the faculty member than it had recommended, it shall inform the faculty by publication of the president's action in the docket of the Faculty Senate. If the faculty member waives rights to confidentiality, the full text of the statement will be published. Otherwise a summary of the statement will be published without identification of the faculty member or information that may indirectly identify the faculty member.

14.5 Appeal To The Board Of Regents. If the action involves removal or if the action involves a sanction more severe than that recommended by the Judicial Committee, the faculty member may appeal to the Board of Regents. In cases in which the president imposes a sanction more severe than that recommended by the Judicial Committee, the faculty member and the president may present to the board evidence with respect to issues on which the president differs from the recommendation of the Judicial Committee. The request for a hearing must be made to the secretary of the board within ten days of the president's action.

14.6 Temporary Suspension During Proceedings. The dean may temporarily suspend a faculty member during the proceedings, but only if there is clear evidence that the faculty member is likely to cause serious harm or injury or is not available for work. The suspension will be with full pay, unless the faculty member is not available for work. Before ordering such suspension, the dean must present the evidence to a special panel of the Faculty Consultative Committee and receive their written report. The faculty member must be given the opportunity to contest the suspension before the panel.

If no final decision has been rendered one year after the commencement of formal proceedings, the faculty member shall be temporarily suspended without pay, unless the parties agree otherwise, or unless the hearing panel of the Judicial Committee extends the time period because of undue delays in the procedure attributable to the action of the University. This provision applies only in a case in which the majority of the tenured faculty of the academic unit concurred in the recommendation to terminate the appointment. If the faculty member is reinstated or if the president determines that the temporary suspension without pay was not warranted, then the president shall order the repayment of back pay to the faculty member with interest thereon from the date it would originally have been paid.

In case of any suspension under this section, the faculty member shall continue to receive full medical insurance and disability benefits without regard to the suspension.

14.7 Resignation During Proceedings. A faculty member may submit a written notice of resignation to the president at any time during Judicial Committee proceedings pursuant to this section. Upon the effective date of such resignation, the proceedings will be discontinued unless the faculty member concurrently files a written request with the Judicial Committee that they be carried to completion.

Section 15. Appeals To The Judicial Committee.

15.1 Right To Review. Any faculty member who claims that his or her rights or status under these regulations have been adversely affected without his or her consent may seek review before the Judicial Committee. Cases arising under Sections 1, 4, 7, 7a, 8, 10, 11 or 12 must be brought directly to the Judicial Committee. In these cases, that is, the Judicial Committee has original jurisdiction. In other cases, the faculty member must exhaust all other available University remedies before bringing the case to the Judicial Committee; the Judicial Committee will not proceed with such a case until the appropriate University body has either decided it or has refused to consider it. In such cases, the Judicial Committee has appellate jurisdiction.

15.2 Procedure For Securing Review. A written request for review must be filed with the chair of the Judicial Committee within 30 days of written notice of the action challenged. The request must specify the action complained of and the remedial action the individual seeks. Within 30 days of filing, the chair of the Judicial Committee must send copies of the request to the head of the academic unit concerned and to the senior academic administrator.

The Judicial Committee, however, may extend the time for filing for review for reasons that seem compelling to the committee, such as mental or physical illness, or serious personal or family problems, or doubt concerning when final action was taken.

15.3 Hearings Before The Judicial Committee. The person seeking review has the burden of proving by the preponderance of the evidence that the action complained of was improper unless the Judicial Committee, for good cause, otherwise directs.

The Judicial Committee does not itself decide whether the faculty member is professionally worthy of a faculty position, but only

determines whether the action was based in significant degree upon any of the factors specified in subsection 7.7 or Section 8.

In cases involving Section 7, 8, or 11, the Judicial Committee hears the merits of the case, as provided in those sections. In other cases, if there is an appropriate University body to review the matter, the Judicial Committee will only determine whether that body has given the faculty member due process and whether, on the basis of the facts found by that body, there has been a violation of these regulations or of the faculty member's academic freedom. If there is no appropriate University body to hear such a case, or if the Judicial Committee finds that the body which heard the case did not provide due process, the Judicial Committee may hear the merits or may appoint an ad hoc tribunal to hear them.

15.4 Action By The Judicial Committee. The Judicial Committee makes written findings of fact, conclusions, and a recommendation for the disposition of the case.

If the Judicial Committee finds that the action complained of was improper, it also specifies the respects in which it finds the action to have been improper and recommends appropriate remedial action.

If it recommends reconsideration, it may specify the manner in which reconsideration will be undertaken to avoid the influence of improper factors. If a probationary faculty member has reached the maximum probationary period, the committee may recommend a non-regular appointment for an additional academic year to provide for reconsideration.

The Judicial Committee sends its report to the president with copies to the faculty member and the administrator who appeared as respondent.

15.5 Action By The President. The president must give the faculty member and the administrator the opportunity to submit written comments on the report. In determining what action to take, the president may consult privately with any administrators, including attorneys, who have had no previous responsibility for the decision at issue in the case and have not participated in the presentation of the matter to the Judicial Committee. The president may not discuss the case with any administrator who was responsible for the decision at issue in the case or who participated in the presentation of the matter to the senate Judicial Committee. Such administrators may communicate with the president in writing, but only if the full text of the communications is given to the faculty member and the faculty member is given a reasonable opportunity to respond to it.

The president shall not take action materially different from that recommended by the panel unless, prior to the action, the president has consulted with the committee. The parties and their representatives shall not be present at any meeting between the president and the committee nor shall their consent be required for such meeting.

In addition, the president may request the Judicial Committee to make further findings of fact, to clarify its recommendation or to reconsider its recommendation. The reconsideration will be made by those who have heard all of the evidence in the case, but the full Judicial Committee may consult with them on questions of general policy.

The president may impose the action recommended by the committee or any action more favorable to the faculty member. The president may impose action less favorable to the faculty member only for important substantive reasons, which must be stated in writing, with specific detailed reference to the report of the Judicial Committee, the evidence presented, and the policies involved. The president's written statement must be given to the parties and to the Judicial Committee. If the Judicial Committee decides that the president has imposed an action that is less favorable to the faculty member than it had recommended, it shall inform the faculty by publication of the president's action in the docket of the Faculty Senate. If the faculty member waives rights to confidentiality, the full text of the statement will be published. Otherwise a summary of the statement will be published without identification of the faculty member or information that may indirectly identify the faculty member. The president's written statement must be given to the parties and to the Judicial Committee.

15.6 Actions Requiring Reconsideration. If the Judicial Committee recommends reconsideration of an action, that reconsideration will be undertaken under the supervision of the senior academic administrator, unless otherwise specified. The Judicial Committee may retain provisional jurisdiction of the matter to review allegations that the reconsideration itself was improper, and may make supplementary findings, conclusions, and recommendations in this regard.

15.7 Recommendations For Changes In University Policies And Procedures. As a result of Judicial Committee proceedings, the Judicial Committee, the Tenure Committee or the senior vice president for academic affairs and provost may initiate steps to clarify or improve University rules or policies involved. The changes will not affect the outcome of the case before the committee.

Section 16. Academic Freedom and Tenure Committee.

16.1 Membership. The Academic Freedom and Tenure Committee (referred to elsewhere in these regulations as the Tenure Committee) is composed of at least seven members of the faculty and such other persons as the Faculty Senate bylaws shall provide. The manner of appointment is governed by the Faculty Senate bylaws.

16.2 Interpretations. The senior vice president for academic affairs and provost and the Tenure Committee may propose formal interpretations of these regulations, consistent with their terms. Such interpretations must be reported to the Faculty Senate and the Board of Regents. If adopted by the Board of Regents, such interpretations will be binding in all cases subsequently arising.

16.3 Procedures. The senior vice president for academic affairs and provost and the Tenure Committee may jointly adopt the procedures provided by subsections 7.4 and 7.61, and jointly approve the procedures proposed by the Judicial Committee under Section 13.2. Such procedures must be reported to the Faculty Senate and the Board of Regents before they go into effect.

16.4 Additional Functions. The Tenure Committee also advises the University and makes recommendations concerning the interpretation and amendment of these regulations.

Section 17. Written Notice.

Notices of termination of a probationary appointment, of suspension or termination of an appointment, or of placement on unrequested leave of absence for disability, must be sent by registered or certified mail to the last known residence address of the faculty member concerned and also by campus mail to the faculty member's campus address, if any. The written notice satisfies the applicable time requirement if it is postmarked at or before midnight of the applicable date.

Failure to comply fully with this section is immaterial if, in fact, the faculty member was not prejudiced by such failure.

Section 18. Publication.

These regulations, and the interpretations referred to in Section 16, will be published and made available to all faculty members. Every faculty member who holds a regular or non-regular appointment, except for courtesy faculty appointments without salary, must be given a copy of the current regulations and copies of subsequent amendments or published interpretations.

Section 19. Amendment.

These regulations are subject to amendment by the Board of Regents. Proposed amendments from any source will be submitted to the Faculty Senate for its advice and recommendation before final action by the Board of Regents. The Faculty Senate will solicit the recommendations of the Faculty Affairs Committee, the Judicial Committee, and the Tenure Committee, before giving its advice and recommendation.

FOOTNOTES

- [1] "Service" means performance within the faculty member's expertise, other than teaching and research as defined in section 7.11.
- [2] The term "family member" is meant to include a spouse or domestic partner, an adopted or foster child, or other relative.
- [3] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus.
- [4] The persons responsible and the process for making this determination are described in subsections 7.3 through 7.6.

"Scholarly research" must include significant publications and, as appropriate, the development and dissemination by other means of new knowledge, technology, or scientific procedures resulting in innovative products, practices, and ideas of significance and value to society.

"Other creative work" refers to all forms of creative production across a wide range of disciplines, including, but not limited to, visual and performing arts, design, architecture of structures and environments, writing, media, and other modes of expression.

"Teaching" is not limited to classroom instruction. It includes extension and outreach education, and other forms of communicating knowledge to both registered University students and persons in the extended community, as well as supervising, mentoring, and advising students.

"Service" may be professional or institutional. Professional service, based on one's academic expertise, is that provided to the profession, to the University, or to the local, state, national, or international community. Institutional service may be administrative, committee, and related contributions to one's department or college, or the University. All faculty members are expected to engage in service activities, but only modest institutional service should be expected of probationary faculty.

- [5] Indefinite tenure may be granted at any time the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if the appointee is not making satisfactory progress within that period toward meeting the criteria.
- [6] "Departmental" refers to an academic department or its equivalent, such as division, institute, or unit.
- [7] As used in this policy, "tenured faculty" means those members of the faculty who hold indefinite tenure.
- [8] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus. Not being promoted to the rank of professor will not in itself result in special post-tenure review of a tenured associate professor.
- [9] The persons responsible for this determination are the full professors in the unit who are eligible to vote. The outcome of the vote is either promotion to the rank of professor or continuation in rank as an associate professor. The procedures for voting are identical to those outlined in Section 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (Section 7.5), and the review of recommendations (Section 7.6). In addition, a petition to the Judicial Committee for review of a recommendation of continuation in rank as an associate professor follows the procedures specified in Section 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.

See the definitions of "scholarly research," "other creative work," "teaching," and "service" in footnote [4]. A greater contribution in the area of institutional service is expected of candidates for the rank of professor than was expected for the award of tenure.

- [10] Throughout this section the word "dean" means the dean of the collegiate unit or other equivalent officer or an academic administrator specifically designated for this purpose by the senior academic administrator or by the senior vice president for academic affairs and provost.

INTERPRETATIONS

Dated April 12, 1985; September 8, 1988; March 12, 1993 and October 13, 1985; June 9, 2000

1. Interpretation of Sections 3-9 Promotion and Tenure Decisions Permitted by Provosts and Chancellors during 1995-96.

Expired.

2. Interpretation of Section 4.4: Definition of Recurring Salaries.

It is expected that any salary increases normally will be added to recurring salary if recurring funds are available for that purpose. Section 4.4 does not give any specific faculty member a legal entitlement or right to an increase in recurring salary.

3. Interpretation of Section 4.5: Financial Stringency.

Financial stringency in section 4.5 is understood to mean financial difficulties that are unusual in extent and require extraordinary rather than ordinary responses. Section 11 may be invoked if the regents are "faced with the necessity of drastic reduction in the University budget," reductions so severe that they may "threaten [the] survival" of the University. It is understood that the financial difficulty that would permit the president to propose temporary reductions or postponements in compensation under section 4.5 is less severe than the "fiscal emergency" outlined in section 11, but it is also understood that "financial stringency" should not be invoked to respond to foreseeable fluctuations in the University's budget and finances.

4. Interpretation of Subsection 5.5: Retroactive Application.

A probationary faculty member may elect to extend the probationary period by one year if

(1) the member became a parent, by birth or by adoptive/foster placement, within five years before the effective date of subsection 5.5; and

(2) has not been given notice of termination.

5. Interpretation of Subsection 5.5: Major Caregiver Responsibilities.

A request for extension of the maximum probationary period for major caregiver responsibilities should be made only if those responsibilities are very substantial and continue over an extended period of time. The probationary faculty member must submit a written application to the head of the academic unit, who will forward it for action and approval through the appropriate University channels. If an administrator does not approve the request, the faculty member may file a grievance under applicable University policies.

6. Interpretation of Subsection 7.11: Consideration of Factors Other than Primary Tenure Criteria.

The use of any factor other than teaching, research, and service in making the decision about a probationary faculty member must be specifically stated and justified at the time of the decision. This rule applies both when that factor is a criterion for judging the candidate's progress and when it is an element in establishing or modifying the standard which the faculty member should achieve.

The faculty of an academic unit are expected to periodically review their criteria for awarding indefinite tenure and reflect any new criteria in a revision of their Subsection 7.12 Statement. The new criteria and Subsection 7.12 Statement must be adopted in accordance the established procedures of the University, after consultation as required by those procedures. Current probationary faculty in the unit may elect to be evaluated on the criteria in the previous Subsection 7.12 Statement or on the new criteria. This option is also available to current tenured faculty in their evaluation for promotion to the next level. Probationary or tenured faculty must make this decision within one year of the date of administrative approval of the new criteria.

7. Interpretation of Subsection 7.11: Discipline-Related Service.

Discipline-related service, as one of the primary criteria for tenure evaluation, is limited to those endeavors specifically related to the individual's academic expertise and faculty appointment in accordance with the academic unit's Mission Statement. This service must be defined in the Mission Statement as central and necessary to the operation of the academic unit. An equivalent term might be "unit mission-related service" — for example, clinical service in a teaching hospital situation that does not involve students directly.

8. Interpretation of Amendment to Subsection 10.2: Faculty Assignments.

Faculty members are free to choose topics for research or outreach and to discuss all relevant matters in the classroom, in accordance with the principles of academic freedom and responsibility. The head of the academic unit will assign individual faculty members to teach specific courses in accordance with the academic workload statement and other policies adopted by the faculty of that unit. A faculty member may challenge an assignment by showing that it is unreasonable. An assignment is unreasonable if: (a) taken as a whole, it exceeds the workload expected in the workload statement of that unit, (b) the faculty member lacks the basic qualifications to teach the course, or (c) the assignment was made in violation of the faculty member's academic freedom or in violation of another specific university policy. The faculty member should carry out the teaching assignment pending resolution of any grievance, unless the responsible grievance or hearing officer or panel indicates that provisional measures are appropriate.

9. Interpretation of Sections 14 and 15: Working Days.

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

10. Interpretation of Amendments to Subsections 14.1 and 14.2: Timely Responses in Cases of Unrequested Leave of Absence, Termination, or Suspension.

The timelines for responses by either the involved faculty member or administrator may be extended by agreement of the parties to the proceeding or for extraordinary circumstances. An agreement of the parties to extend the time limit shall be in writing, signed by both parties or their representatives. If the parties do not agree, either party may apply to the chair of the Senate Judicial Committee for an extension of the time in which to take the steps required in this section. If the faculty member has failed to act within the time limits prescribed in these sections, the responsible administrator may request the chair of the Senate Judicial Committee to set a specific date by which the faculty member must take action; if the faculty member fails to do so, the petition for review will be dismissed without further proceedings and the requested disciplinary action (or any lesser sanction) may be taken. If the responsible administrator has failed to act within the time limits prescribed in these sections, the faculty member may request the chair of the Senate Judicial Committee to set a specific date by which the administrator must take action; if the administrator fails to do so, the proceedings shall be dismissed and further action can be taken only by reinitiating the entire proceedings.

11. Interpretation of Section 15: Judicial Committee Review of Decisions on Promotions.

As stated in the Preamble, the tenure regulations "provide a comprehensive set of policies dealing with the relationship between the University and its faculty," including decisions regarding promotions in rank that may or may not involve questions of tenure. When a faculty member's request for promotion is not approved, the Judicial Committee shall conduct a review in a manner analogous to the review of tenure decisions (see Section 7.7). Such cases may be brought directly to the Judicial Committee without a requirement that the faculty member exhaust all other available University remedies before bringing the case to the Judicial Committee.

The Board of Regents voted unanimously to approve the committee's recommendations.

Bohnsack also reported that the committee received reports on faculty compensation comparisons and analysis; an update on UPlan/employee healthcare benefits; and a Report on Perspectives on Student Outcomes: Recent Graduate Tracking Surveys. The committee also reviewed a number of information items contained in the docket materials.

REPORT OF THE FINANCE & OPERATIONS COMMITTEE

Regent Allen, Chair of the committee, reported that the committee voted unanimously to recommend:

- a) Approval of the Consent Report for the Finance & Operations Committee as presented to the committee and described in the June 7, 2007 minutes.

The Board of Regents voted unanimously to approve the recommendation of the Finance & Operations Committee.

Allen also reported that the committee received reports on issues related to the Annual Operating Budget FY2007-08 and Preliminary Financial Plan FY2008-09; discussed issues related to University tax compliance activities and programs; and discussed issues related to the Preliminary 2008 State Capital Request. The committee also reviewed a number of information items contained in the docket materials.

REPORT OF THE LITIGATION REVIEW COMMITTEE

Chair Baraga reported that the committee did not meet this month.

The meeting adjourned at 11:45 a.m.



CAROL E. KRAUS
Acting Executive Director and
Corporate Secretary