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# Faculty Information Bulletin

All-University

Fall 1980

## PRESIDENTS OF THE UNIVERSITY

William Watts Folwell .....	1869-1884
Cyrus Northrop .....	1884-1911
George E. Vincent .....	1911-1917
Marion L. Burton .....	1917-1920
Lotus D. Coffman .....	1920-1938
Guy Stanton Ford .....	1938-1941
Walter C. Coffey .....	1941-1945
James Lewis Morrill .....	1945-1960
O. Meredith Wilson .....	1960-1967
Malcolm Moos .....	1967-1974
C. Peter Magrath .....	1974-

E. W. Ziebarth served as president from June 17 to September 1, 1974.

## Human Rights Statement

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, creed, color, sex, national origin, or handicap. In adhering to this policy, the University abides by the requirements of Title IX of the Education Amendments of 1972, by Section 504 of the Rehabilitation Act of 1973, and by other applicable statutes and regulations relating to equality of opportunity.

Inquiries regarding compliance may be directed to Lillian H. Williams, Director, Office of Equal Opportunity and Affirmative Action, 419 Morrill Hall, 100 Church St. S.E., University of Minnesota, Minneapolis, Minnesota 55455, (612) 373-7969, or to the Director of the Office of Civil Rights, Department of Education, 400 Maryland Ave. S.W., Washington, D.C. 20202, or to the Director, Office of Federal Contract Compliance Programs, U.S. Department of Labor, Washington, D.C. 20210.

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Dear Colleague:

This publication represents an effort to assist all faculty members, and especially new members of our academic community, in their understanding of the University of Minnesota. What you will find in the pages that follow is a summary of policies that relate to the duties, rights, privileges, and responsibilities of each faculty member.

Admittedly, this bulletin does not contain a comprehensive description of all the programs, structures, and policies that exist in an institution as large and diverse as the University of Minnesota. However, the information contained here does address the most common faculty concerns and questions about general University policies. More detailed information on certain issues can be found in the administrative offices of each campus, college, and department. Information specific to each campus is covered in the campus supplements to the *Faculty Information Bulletin*.

I hope that you will find the *Faculty Information Bulletin* to be a useful guide, and I know that the Department of University Relations would welcome any comments or observations you might have as to how the publication could be improved.

Cordially,

C. Peter Magrath

C. Peter Magrath  
President

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# I. THE UNIVERSITY

## History

The University of Minnesota was founded as a preparatory school in 1851, seven years before the territory of Minnesota became a state. The school struggled financially in its early years and was forced to close during the Civil War. But the institution survived, partly because of the guidance and financial help of Minneapolis businessman John Sargent Pillsbury, who served as a University regent, state senator, and governor and is known today as the "Father of the University." The Morrill Act or Land-Grant Act, signed into law by President Lincoln in 1862, also played a big part in the school's survival. The act gave each state a grant of land within its borders, the income from which was to be used to provide education for people of the state.

The preparatory school reopened in 1867. Two years later, after a major reorganization, it became a full-fledged institution of higher education. On December 22, 1869, William Watts Folwell was inaugurated as the first president of the University. In his inaugural address he foretold of a great "federation of schools," a university "not merely from the people, but for the people." There were only 9 faculty members and 18 students that year. Four years later at the first commencement, two students received bachelor of arts degrees. In the years since then, the University has awarded over 332,000 degrees.

The University is now one of the largest in the United States, with an enrollment of more than 56,000 day students on its five campuses and 21,000 students in extension courses. State residents make up approximately 89 percent of the University's undergraduate enrollment and over 56 percent of its graduate enrollment. About a third of the state's college students attend the University, and thousands of other Minnesotans benefit each year from its extension courses, adult education seminars, short courses, and a multitude of University services.

University campuses and research stations are in all areas of the state. The University of Minnesota, Twin Cities, is made up of 18 colleges and offers the full range of academic and professional degrees. The University of Minnesota, Duluth, a part of the University system in northeastern Minnesota since 1947, offers undergraduate and graduate academic programs. The University of Minnesota, Morris, which opened in western Minnesota in 1960, offers a four-year liberal arts program. The University of Minnesota Technical College, Crookston, which opened in northwestern Minnesota in 1966, and the University of Minnesota Technical College, Waseca, which opened in southern Minnesota in 1971, provide two years of paraprofessional and technical education, primarily in agriculture-related fields.

Other important parts of the University are the Hormel Institute in Austin; the Mayo Graduate School of Medicine in Rochester; the Lake Itasca Forestry and Biological Station in Itasca State Park; the Gray Freshwater Biological

Institute at Navarre; the Cloquet Forestry Center; the Cedar Creek Natural History Area near Bethel; the Rosemount Research Center; the Horticultural Research Center at Excelsior; the Landscape Arboretum near Chaska; the Sand Plain Experimental Field at Becker; the Continuing Education and Extension centers at Rochester, Duluth, Morris, and Crookston; and the agricultural experiment stations at Rosemount, Crookston, Grand Rapids, Lamberton, Morris, and Waseca. A University-affiliated private undergraduate medical school is operated by the Mayo Foundation in Rochester.

The University is supported by appropriations from the state legislature; by student tuition and fees; by federal and other research grants; by proceeds from sales, service, and auxiliary enterprises; by gifts, grants, and contracts from corporations, foundations, individuals, and others; and by income from investment of its permanent endowment funds and operating balances.

Today the University of Minnesota is one of the great universities of the nation. Among its faculty members are men and women with international reputations as scholars and researchers.

## Presidents of the University

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## Board of Regents

The Board of Regents is the governing body of the University. Principal responsibilities are election of the chancellor; enactment of rules, regulations, and policies governing the University; control of University expenditures; and approval of all staff changes. (The term president is commonly used instead of chancellor.)

The 12 regents are elected by the state legislature: one regent from each of Minnesota's eight Congressional districts and four from the state at large. A 1976 law requires that one regent be a University student or have been graduated from the University within the five years prior to election. Regents serve without compensation for six-year terms. Vacancies occurring when

the legislature is not in session are filled by the governor. (Current members of the board are listed in the Student-Staff Directory.)

The president of the University is ex officio president of the Board of Regents. A chairman and a vice chairman are elected from its membership; a secretary and a treasurer are elected from outside its membership. All officers, except the president, serve for two years.

The board meets in regular session once each month. Much of the business considered by the board is reviewed first by one or more of its standing committees, which meet prior to the monthly board meetings. The five committees are Physical Plant and Investments; Faculty and Staff Affairs; Educational Policy and Long-Range Planning; Student Concerns; and the Committee of the Whole. Dates of board meetings are announced in the Official Daily Bulletin, which is published in the *Minnesota Daily* (the Twin Cities campus student newspaper) when classes are in session and as a special bulletin during quarter breaks. The dates are also announced at the coordinate campuses in their publications, and in *Brief*, the weekly newsletter for faculty and staff on all campuses. Materials for consideration by the board are usually submitted through the office of one of the vice presidents and then through the office of the secretary to the board.

A *Mission and Policy Statement for the University of Minnesota* was adopted by the Board of Regents in July 1975 and revised in 1980. Copies of the statement are available from the Department of University Relations.

## **Administrative Officers**

The president of the University is responsible to the Board of Regents. He is the chief executive officer of the University and the representative of the faculty and the University Senate to the Board of Regents.

Six vice presidents, appointed by the president, divide the responsibilities of administering the University into six areas: academic affairs; administration and planning; finance; health sciences; institutional relations; and student affairs. (Current administrative officers are listed in the Student-Staff Directory.)

## **University Senate**

The University Senate is the voice of the University faculty and students. It has legislative control over educational matters concerning the University as a whole, but not over the internal affairs of an individual college, institute, or school, unless they affect the interests of other colleges or the University as a whole.

The University Senate delegates authority and responsibility to campus assemblies in educational matters concerning only one campus of the Univer-

sity. Each campus determines its own assembly and adopts its own constitution and bylaws, which are consistent with the constitution and bylaws of the senate.

The senate meets at least once each quarter of the academic year, at a time and place set by the president. Special meetings may be called by the president, at the request of the Consultative Committee, or at the written request of 10 members of the senate.

The senate is composed of elected representatives of the various schools and colleges, as well as the president and members of the Council of Academic Officers, who are ex officio nonvoting members. Representatives are elected within each school or college by secret ballot by faculty members with the rank of instructor and above. Colleges have one senator for each 20 faculty members, or portion thereof; each college has at least one senator. Senate members also serve on their campus assemblies. Office is held for three years.

Student representation on the senate began in 1969. Provision is made for the handling of some issues by the faculty component alone and others by the student component alone.

Senate agenda and minutes are sent to all faculty members eligible to vote for senators. Faculty members who are not senators may attend senate meetings and participate, at the discretion of the senate, except for voting. The docket is published in the *Minnesota Daily* in advance of each meeting.

The president of the University is chairman of the senate. He may suspend action taken by the senate or any college faculty and ask for reconsideration of the action. If the president and the senate or college faculty do not reach agreement, the question may be appealed to the regents by the president, the senate, or the college faculty.

The vice chairman is elected by the senate from its membership at the first spring quarter meeting of each academic year. The clerk of the senate and the parliamentarian, who need not be members, are appointed by the president with the consent of the senate.

**Committees.** Senate committees are established by the senate under the bylaws and are delegated responsibilities in broad areas of University concern. The permanent continuity of their activities is essential to total senate government and University affairs. The senate committees are Council of Academic Officers, Academic Standing and Relations, Committees, Consultative, Educational Policy, Faculty Affairs, Judicial, Library, Research, Resources and Planning, and Social Concerns.

University committees are standing committees created by the senate and assigned a relationship and responsibility to appropriate senate committees. Each University committee is concerned with policy matters designated by the senate or referred by the responsible senate committee. It may initiate studies and policy proposals within its area of responsibility for consideration by the senate committee and the University Senate.



The following descriptions of senate and University committees are abbreviated. More information may be found in the "Handbook: A Compilation of Rules and Operational Procedures." Copies of the handbook and of the senate constitution and bylaws are available on request from the clerk of the University Senate.

The **Council of Academic Officers** is composed of the president, vice presidents, deans, and other academic and administrative officers added by the president and approved by the senate. Committee members are ex officio members of the senate. The committee advises the president about the general educational, administrative, and fiscal policies of the University and aids the president in putting the policies of the University into effect. (Current council members are listed in the Student-Staff Directory.)

The *University Committee on All-University Honors* acts on nominations from campuses, schools, colleges, and institutes for various University honors, naming of buildings, and Outstanding Achievement Awards.

The **Senate Committee on Academic Standing and Relations** is concerned with policies on academic standing that are needed on a University-wide basis and with the relations of those policies to other educational institutions and systems of the state.

The **Senate Committee on Committees** reviews the number and scope of all committees of the senate and makes appropriate recommendations.

The **Senate Consultative Committee** is composed of 10 elected faculty, 8 elected students, and the vice chairman of the University Senate who is an ex officio member. The elected faculty representatives make up the Faculty Consultative Committee and the elected student representatives make up the Student Consultative Committee. The senate, faculty, and student consultative committees, meeting separately or together, serve as consulting bodies to the president.

The *University Committee on Biennial Request and Budget Review* helps to develop criteria according to which budgeting requests are examined and ranked, and to develop the rationale for supporting those elements of biennial requests that are of concern to faculty and students. It tests biennial requests for consistency with priorities and criteria, and reviews the operating budget in terms of those criteria.

The *University Committee on Business and Rules* assists the consultative committee, arranges the order of business for the senate, prepares senate agendas, prescribes rules of procedure, and serves as liaison among the senate committees.

The **Senate Committee on Educational Policy** seeks ways in which the total educational work of the University may be improved and makes appropriate recommendations.

The *Council on Liberal Education* is responsible for formulating policy, subject to senate ratification, establishing a minimum requirement in liberal studies for all University curricula leading to the bachelor's degree.

The *University College Assembly* is the primary legislative and policy-making body for University College.

The *University Committee on Computing Facilities* reviews the University's academic computing facilities and their uses throughout the University.

The *University Committee on Educational Development* formulates detailed guidelines and operating procedures for the Educational Development Program.

The *University Committee on Extension and Community Programs* considers and recommends policies relative to extending the research and teaching resources of the University to the community and state.

The *University Committee on Instructional Materials and Media* formulates policies concerning the production, use, and distribution of educational equipment, materials, media, and techniques.

The *University Committee on International Education* seeks ways to improve the international educational work of the University.

The *University Committee on Summer Sessions* develops policy with respect to Summer Session and its relationship to the total academic program of the University.

The *University Committee on University-ROTC Relationships* studies and makes recommendations on the relations between the University and the Department of Defense and the several military services.

The **Senate Committee on Faculty Affairs** considers and reviews University policies and procedures that may concern the personal and professional welfare of the faculty.

The *University Appeals Committee on Academic Freedom and Responsibility* makes recommendations to the president on appeals relating to questions of academic freedom and responsibility that have been filed with the President's Office and referred to the committee.

The *University Committee on Tenure* is responsible for proposing necessary additions and modifications to the regulations concerning faculty tenure. It also provides interpretations and opinions of the regulations.

The **Senate Judicial Committee** hears and determines cases principally involving the academic freedom rights of faculty. Cases concern either the dismissal of a tenured professor or, in the case of a nontenured professor, a dismissal or failure to rehire. The committee has an interim jurisdiction to determine certain grievances brought by present faculty members not involving termination.

The **Senate Library Committee** considers and makes recommendations on library policy and administration.

The **Senate Committee on Research** studies and recommends policies with respect to research activities, facilities, and personnel.

The *University Committee on Animal Care* studies and makes recommendations on the care and use of animals in research.

The *University Committee on the Use of Human Subjects in Research* reviews proposed research involving human subjects and provides continuing supervision and advice for approved research projects involving human subjects, to assure the fullest protection of the rights and welfare of the subjects.

The **Senate Committee on Resources and Planning** considers all matters that may affect the University's long-term development and makes appropriate recommendations.

The **Senate Committee on Social Concerns** makes recommendations for the University's response to social problems.

A plan for senate reorganization was adopted in principle by the senate in the spring of 1980, and committees began drawing up the needed constitutional and handbook changes. The plan calls for a three-tiered committee structure, with five senate committees, thirteen University committees, and eight academic system committees.

## **Campus Assemblies**

Each campus of the University has a campus assembly with functions similar to those of the University Senate. Detailed information on the assembly at a particular campus can be found in the *Faculty Information Bulletin* supplement for that campus.

## **General Faculties**

The general faculty of each college is composed of the president of the University (the provost in the case of the coordinate campuses), the dean, professors, associate professors, assistant professors (including research associates), and instructors (including research fellows). Each faculty controls the internal affairs of its own unit, including entrance requirements, curricula, instruction, examinations, grades, degrees, and disciplinary matters not under the jurisdiction of the Campus Committee on Student Behavior.

## **II. DUTIES AND PRIVILEGES OF THE FACULTY**

A faculty member serves the University in a variety of ways, as a teacher instructing students, as a scholar adding to the fund of human knowledge, and as a professional and a citizen contributing special skill and knowledge through various forms of public service.

### **Teaching and Research**

The University emphasizes excellence in teaching and research. The duty of every faculty member engaged in instruction is to communicate knowledge and values to students and to stimulate their intellectual ability, curiosity, and imagination. The interdependence of teaching and research is the hallmark of a university. Good teaching and learning depend on both pure and applied research. Research may be original with faculty and students or it may be the informed use of the research of others. The essence of a scholarly community is in the pursuit of truth through research, and the transfer of newly gained information to students, both undergraduate and graduate. Faculty members are encouraged to contribute to the ever-expanding realms of human knowledge and will find assistance in obtaining funds and facilities for research through the Office of Research Administration (see Research Funds in section V). Faculty members are encouraged to improve their effectiveness in teaching in a variety of ways. Assistance may be obtained through the activities and programs offered by the Center for Educational Development and the Measurement Services Center, and through their colleges and departments.

As a land-grant university, the University of Minnesota has a lasting commitment to serve society by extending its teaching and research beyond the campus, applying knowledge to the solution of problems wherever there are needs. These services may be solely the responsibility of the University or may be shared with other institutions or agencies.

### **Public Service and Professional Commitments**

Faculty members are encouraged to contribute, within proper limits, their special knowledge and skills to institutions and groups outside the University. To regulate faculty service outside the University, the Board of Regents has adopted policy restrictions, generally outlined here and interpreted by administrative policies.

Faculty and general administrative officers are permitted to engage in recurring professional consulting and outside work or service activities, with or without compensation, provided: (1) that the time involved does not interfere with their teaching, research, service, and administrative responsibilities to the University, and (2) that the activities are related to their profes-

sional responsibilities and will enhance their professional skills and knowledge. The following specific activities have been defined as recurring professional commitments: (1) any connection with a business enterprise as owner, partner, officer, director, consultant, or agent; (2) the holding of any public office by election, appointment, or employment; (3) any connection with a professional association, educational institution, or foundation as a trustee, officer, lecturer, or representative. The writing of books or articles, or the giving of occasional speeches, lectures, single consultations, such as site visits and the like, have not been considered as "recurring professional commitments."

"Faculty and general administrative officers" include faculty members holding appointments at the rank of instructor and above (includes research fellows and research associates) for two-thirds time or more for an academic year, and deans, directors, department heads, and general administrative officers.

Approval of the Board of Regents must be obtained before entering into any final commitment. President's form 14 must be submitted for the board's consideration after the appropriate department head and dean, or division head and campus provost at the coordinate campuses, or the vice president for health sciences in the case of health science units, and the vice president for academic affairs have indicated their approval.

While it is not possible to draw the line definitely between professional service of an expert or consultative character and routine professional work, policy does not permit entering into ordinary competition in the various professional fields.

Members of the staff should not accept employment that brings them as experts or in any other capacity into antagonism to the interests of the state of Minnesota.

In general outside time commitments should not exceed an average of one eight-hour day per seven-day week. (The eight hours need not be performed in a single calendar day.) The time must, in the judgment of the department chairperson, be compatible with the staff member's scheduled obligations to the department.

When outside consulting or service arrangements involve single blocks of time that last for more than a day or two and interrupt a staff member's regular work schedule, the individual must consult with the department head to determine if the activities are more appropriately governed by the University policy on leaves of absence.

In cases of outside employment or affiliation, any University regent or employee who gives written communication or appears before any public body, commission, or individual, to present facts or to give an opinion respecting any issue or matter up for consideration, must make it known that he or she holds a position at the University, and speaks not as a representative of the University of Minnesota but as a member of or a consultant for the outside organization.

Those who give professional opinions when performing work in a private capacity must protect the University against the use of those opinions for advertising purposes. The name of the University is not to be connected with the transaction in any way.

Those who engage in consultation or other private practice may not use official University stationery or give any University building or department as a business address.

University equipment or services may not be used for purposes of private practice without prior approval (B.A. form 39) from the department head, dean, and the associate vice president in the Office of the Vice President for Finance, and the payment of a reasonable fee.

In order for the University to have clear records of continuing professional commitments, a system of annual reporting has been adopted.

Although a revision to the regents' policy governing faculty consulting and outside work has been proposed by the University Senate, the Board of Regents may not implement changes in the policy until faculty collective bargaining questions are resolved. Faculty members should confer with their department heads and deans before making any commitments.

The regulations governing faculty consultation are applicable to the faculty of the Medical School. In addition, a special policy, "Private Consultation Practice in the College of Medical Sciences," was developed by the regents in cooperation with the Medical School to provide guidance in governing practice within the University Hospitals.

## **Political Activity**

While staff members share with their fellow citizens the right to campaign for and to hold public office, they are expected to plan for an arrangement with the University that will accommodate the contemplated public service activities.

Any staff member contemplating candidacy for or appointment to public office, where the duties of a campaign or the holding of the office will seriously interfere with University responsibilities, is expected to consult with the appropriate collegiate or administrative units of the University. These consultations should focus on whether a temporary suspension of part of the staff member's responsibilities can be accomplished without serious impairment of the functioning of the department involved. Whenever it is feasible, the staff member should begin consultations well in advance of the time for which a temporary reduction in responsibilities or a leave of absence is requested.

When a staff member is elected to a political office, e.g., to office in the state legislature, that requires absence from University duties for continuous periods of time less than one year, it is anticipated that normal leave of absence procedures for a portion or portions of the year will accommodate

the need to temporarily suspend the staff member's University responsibilities. Prior approval by the Board of Regents is required for any full or partial leave of absence.

When a staff member is elected to political office requiring full-time service for more than one year, e.g., to offices such as governor, United States representative, or United States senator, he or she is expected to resign from the University staff position after election.

The Board of Regents wishes, through this policy, to maintain a balance between public service and the University's primary obligation of teaching and, at the same time, to encourage public service. A staff member's association with the University should not be misused in campaign activities or campaign literature. Use of the University of Minnesota name and letterhead for solicitation of funds or political purposes is prohibited.

For copies of regents' policies, contact the Board of Regents office.

## University Service

**Committees.** Faculty members are encouraged to contribute to the University and help determine its policies by serving on University committees. The democratic government of the University is dependent on the contributions of all faculty members to committee activities. Contact the chairperson of the Senate Committee on Committees or the President's Office if interested in serving. There are four types of committees.

University Senate and Campus Assembly committees and subcommittees (see section I).

Special ad hoc committees, which consider problems that arise in two or more colleges.

Collegiate standing and special committees, which deal with the internal matters of a school or college.

All-University non-senate standing and ad hoc committees, which are appointed by the president or the vice presidents and deal with matters of all-University concern.

**Commencements.** Faculty members serve as marshals and faculty representatives at University commencements. For information on commencement ceremonies on a particular campus, check the *Faculty Information Bulletin* supplement for that campus or contact the University Relations office.

**Speakers Bureau.** All faculty members are invited to participate in the University Speakers Bureau; participation does not restrict staff members from making their own arrangements directly if they wish. The bureau will, if requested by the faculty member, negotiate speakers' fees and traveling

expenses for engagements that are not considered public service. Faculty members interested in participating in the Speakers Bureau should contact the University Relations office on their campus.

## **Extension Education and Community Service**

Public service and extension education efforts by faculty either in the name of the University or as private citizens are encouraged. Although not obligatory, active service in civic organizations, political parties, and religious groups benefits the community and strengthens the University's position in it.

Three University units are directly engaged in extension and community service activities. They are Continuing Education and Extension (CEE), the Agricultural Extension Service (AES), and the Center for Urban and Regional Affairs (CURA).

The teaching of correspondence, evening, and specially scheduled courses statewide is arranged by CEE, which assists faculty members in contributing to the lectures and seminars. Services to special sectors of the public, such as professional groups, government officials, cultural and artistic organizations, and others, provide faculty members with ways to exercise special skills.

The Agricultural Extension Service has faculty in every Minnesota county and in many University departments and colleges. Each county has a county extension director and a team of University extension agents who plan educational programs with support from campus-based faculty. More than 20,000 seminars, workshops, and other educational meetings are conducted annually in rural areas as well as urban areas.

Faculty members may also serve the community through the Center for Urban and Regional Affairs, which was established at the University to develop experimental pilot programs and coordinate urban and regional University programs in research, curriculum, and community service.

## **Academic Freedom and Responsibility**

**Academic Freedom.** The Board of Regents approved a resolution on academic freedom on January 28, 1938. It includes the following points:

The University of Minnesota should not impose any limitation upon the teacher's freedom in the exposition of his own subject in the classroom or in addresses and publications.

No teacher may claim as his right the privilege of discussing in his classroom controversial topics that are not pertinent to the course of study that is being pursued.

The University of Minnesota should not place any restraint upon the teacher's freedom in the choice of subjects for research and investigation undertaken on his own initiative.



The University of Minnesota should recognize that the teacher in speaking or writing outside of the institution upon subjects beyond the scope of his own field of study is entitled to the same freedom and is subject to the same responsibilities as attach to all other citizens but in added measure.

It is clearly understood that the University of Minnesota assumes no responsibility for views expressed by members of its staff; and the faculty members themselves should, when necessary, make it clear that they are expressing only their personal opinions.

If the conduct of a teacher in his classroom or elsewhere should give rise to doubts concerning his fitness for his position, the question should in all cases be submitted first to a committee of the faculty, and in no case should any member of the teaching staff be dismissed before the normal termination of his period of appointment without full and open hearing before the Board of Regents, should he desire it, and only upon sufficient notice.

**Freedom and the University.** On December 14, 1963, the regents released a statement entitled "Freedom and the University," which received wide notice as a reaffirmation of the historic American concept of academic freedom. The statement reads in part:

It cannot be stated too strongly that the only atmosphere in which a university can fulfill its assigned role is the atmosphere of freedom. Nor is it surprising that in America, where free discussion is the first principle of our political faith, universities have flourished best and have made at the same time the most remarkable contribution to the public good. Those universities contributing most have been those which are most free....

The student and the professor must live in an atmosphere where questioning is encouraged, where every alternative can be explored, where their free minds may be allowed to test the validity of each idea, and where they feel free to follow wherever truth may lead. Such a free atmosphere is not merely necessary to university freedom; it is also the way of life which we have a right to associate with America. To ask that the right of the University to this freedom be respected is not to ask for special privilege, but rather to ask for the opportunity to demonstrate the efficiency of the freedom in which we all believe and for which so many brave Americans have died. The most American activity of them all is to think, to speak, and to inquire freely. The un-American activity is to deny such freedom....

Just as the atmosphere of freedom within a university is the best guarantee of productive and responsible instruction, so also is it the best guarantee that students will grow toward responsible citizenship. A free society calls for citizens well-schooled in the wisdom traditional to that society. It also calls for citizens accustomed to grappling with new ideas, to participating in the give-and-take of public discussion, and to assuming public responsibility for their own thinking. Students properly assert their right to learn the responsibilities of choice and decision which they must bear as citizens,

and the free university properly provides the most appropriate setting for such learning....

The university is of paramount importance to our nation because it seeks to bring the methods of reason to bear upon our problems—to find better means to public peace, as well as more effective ways to deter threats of violence which may be directed toward our nation. To do its rational work wisely, a university by its very nature requires freedom to inquire....

The University, operating in an atmosphere of freedom, has made great contributions to the healthy, stable society of which we are all now so proud. We as regents are satisfied that, to a very high degree, the faculty of the University and its administration understand the mission of the University and are using their freedom responsibly. We are satisfied that the existing agencies for enforcement of law and for protection of national peace and safety are alert and adequate to their tasks. We are also sure that the University officials are prepared to, and do, cooperate with them in assuring national safety. We are impressed by the great responsibilities related to national safety and prosperity that are continuously entrusted to University personnel, and we wish to take this opportunity to reaffirm our faith in the University and in the efficiency of freedom.

**Academic Freedom and Responsibility.** On December 17, 1970, the University Senate issued a statement on academic freedom and responsibility. This statement was approved by the Board of Regents on January 8, 1971, as affirming and complementing the 1963 Board of Regents' statement. A portion of the statement follows:

Academic responsibility obliges the scholar to strive for a level of excellence and integrity worthy of his vocation and to dedicate himself to the pursuit of knowledge and the cultivation of an atmosphere which stimulates learning. Especially when dealing with controversial matters, he should inform his audience of divergent opinions about the subject at hand. Fostering strenuous and careful thinking, rather than providing ready-made conclusions, is a duty of the scholar as educator. Intelligent disagreement is a part of the educational process. Avoidance of indoctrination is especially important since to develop and to maintain reflectiveness requires the constant re-evaluation of one's views.

A teacher's mastery of his subject and his own scholarship are necessary qualifications for teaching. The teacher is responsible for his course of instruction, which responsibility includes a statement of course objectives and the means of fulfilling them. Thus, it is improper for a teacher persistently and knowingly to intrude material which has no relation to the subject matter of his course, or to fail to present the subject matter of his course. It is equally improper for those outside the University community to dictate what is to be taught. Each individual faculty member must have reasonable latitude to cancel a scheduled class or other scheduled activity

for reasons including more effective means of presenting material, illness, engagement in some other professional activity, or even the desire to express individual conscience or conviction. But then the teacher has an obligation to arrange for substitute or make-up instruction in a manner most convenient for all of his students. A vital part of his profession is, of course, his reasonable and ready accessibility to students, since consultation with faculty is not a student's privilege but every student's right.

Staff members should read the full statements. A booklet, *Academic Freedom and Responsibility*, containing complete copies of the 1938 regents' resolution and the other two statements may be obtained from the office of each provost or dean, or from the Department of University Relations.

## Equal Opportunity

The regents, in 1979, reaffirmed the policy of equal rights for persons of every race, ethnic heritage, sex, religion, and creed in both employment and admissions. The appropriate administrative officers and faculty are directed to develop and continue procedures required to implement this policy. Individual faculty members are expected to support the development of affirmative action programs that will provide an ethnic and sex balance in their departments. A copy of the complete human rights statement appears on the inside front cover of this publication. The *University Affirmative Action Program* contains a full statement of policies and programs and is available through departmental offices or the Office of Equal Opportunity and Affirmative Action.

An equal opportunity statement must appear on all University publications. For compliance with Title IX and with Section 504 of the Rehabilitation Act of 1973, all publications concerning admissions and employment, such as catalogs, bulletins, and application forms, must carry the human rights statement. Contact the Office of Equal Opportunity and Affirmative Action for an appropriate statement for a particular publication.

**Access for Handicapped Persons.** Recent civil rights legislation has clarified and confirmed the responsibility of the University and its faculty to provide handicapped persons equal access to educational programs. The University has attempted to improve such access by removing architectural barriers, developing educational support systems, reassessing admissions policies, encouraging awareness of disabilities, and promoting equal employment opportunity, among other things. This educational philosophy, known as "mainstreaming," recognizes the right of disabled persons to equality of opportunity in education and employment, and stresses the advantages accruing to all students when students with disabilities are integrated into regular programs.

The regulations implementing Section 504 of the 1973 Rehabilitation Act have added impetus to the University's mainstreaming efforts. The primary provision of the regulations is that each program or activity, when viewed in its entirety, should be readily accessible to handicapped persons.

The regulations place responsibility not only upon the University as a whole but also upon individual department heads and faculty members. Consideration of academic adjustments—such as rescheduling classes to physically accessible locations, providing alternative testing arrangements, allowing the use of tape recorders and other educational aids in the classroom, modifying or substituting required courses, and extending time limits for completion of degree programs—is now mandatory. Although the regulations require the provision of academic adjustment on the basis of individual need, they do not call for the arrangement of any accommodation that compromises essential academic standards.

Any faculty member who has a student with a disability in his or her class may consult the *Enabler*, an information and resource guide for faculty and staff as well as disabled students. Copies are available in college offices. Further information about disabilities and technical assistance may be obtained from the Rehabilitation Services office of the Student Counseling Bureau. Information about the regulations may be obtained from the Office of Equal Opportunity and Affirmative Action.

### III. FACULTY PERSONNEL INFORMATION

#### Academic Employment Classifications

Academic employment classifications determine the rights and privileges of academic employees and may be divided into three groups: faculty ranks, academic staff, and student-only positions.

**Faculty ranks** are professor, associate professor, assistant professor (including research associate), and instructor (including research fellow). The University of Minnesota academic tenure system is described in the *Regulations Concerning Faculty Tenure*, originally adopted by the Board of Regents on February 9, 1945, and revised December 8, 1972. Copies are available from the Office of the Vice President for Academic Affairs or the academic personnel records office.

Faculty may hold either regular or nonregular appointments.

*Regular appointments* refer to faculty rank with indefinite tenure ("P" designation) and probationary faculty appointment ("N" designation) leading to a decision concerning tenure within a fixed time. Tenure and probationary appointments are restricted to faculty rank. A "regular payroll" appointment should not be confused with a "regular" type of position.

*Nonregular appointments* ("T" designation) are annual or fixed-term appointments that may be renewed but carry no right or presumption to renewal and do not require a decision on tenure. Visiting, adjunct, and clinical faculty are always nonregular.

Special contracts are permitted under section 17 of the regulations. They require either a tenure decision within a specified time at the ranks of professor and associate professor, or extension of an appointment period for a specific term beyond one fiscal year (usually three years). Both are identified by "C" designations rather than "N" or "T". The first are regular appointments; the second are nonregular.

All-University guidelines govern appointments of assistant professor and instructor. An assistant professor should hold a Ph.D. degree or terminal professional degree. Duties include teaching, research, and service activities. For the instructor rank, a master's degree is expected. If the individual has not completed the requirements for the Ph.D. the rank of instructor must be used. For instructors on probationary appointment, teaching, research, and service duties are expected. Instructors on nonregular appointment may be limited to teaching duties.

When individuals are proposed for appointment as professor or associate professor they must have the credentials expected of an assistant professor and must have demonstrated effectiveness in the primary criteria for tenure and promotion. The rank of professor is particularly reserved for individuals who have achieved a sound scholarly reputation in their field or discipline.

**Academic staff** classifications include academic administrative titles and nonfaculty instructional and research titles. Academic administrative titles may be combined with faculty rank. The administrative title is distinct and severable from faculty rank; tenure or probationary appointment resides in an academic department, not in the administrative position.

For those who hold academic staff titles without faculty rank, an "E" designation is used when the appointment is expected to continue and a "T" designation when the appointment is on an annual, nonregular basis.

A draft proposal entitled *Academic Staff Policies and Procedures* is under discussion. If adopted, it would define the terms and conditions of employment for academic staff and would establish professional academic titles for persons with faculty credentials whose responsibilities are in academic programs but do not include the teaching and research assignments expected of faculty members. In the interim, if you have questions about the terms and conditions of employment for nonfaculty academic staff, call the academic affairs office.

There are three commonly used nonfaculty instructional and research titles. All are nonregular appointments, designated by the "T" symbol. No retirement benefits are accrued by persons in research or teaching specialist positions. Neither of the specialist titles may be held by students.

The research specialist title was established for persons doing postdoctoral research, but an advanced degree is not required for the class. Appointments should be restricted to two years, with a third year renewal used only if necessary to complete a phase of the research.

The teaching specialist title does not require an advanced degree but requires expertise in a particular area. For example, a native speaker might be hired to teach a foreign language, or someone with interpreting skills might be hired as a teaching specialist to assist a hearing-impaired student. Full-time appointments in this class title should be restricted to three years.

The lecturer title is used for classroom teachers on "T" appointments who have advanced degrees or who have acquired professional experience in the subject field. The title is also used for visiting faculty who are teaching Summer Session only.

**Student-only academic positions** include graduate and undergraduate assistantships and positions for persons completing training in professional fields.

Graduate assistantships require students to have a paid fee statement and to be in good standing in a graduate or professional degree program. The seven positions are teaching assistant, teaching associate I and II, research assistant, project assistant, and administrative fellow I and II. The Graduate Assistants Information and Assistance Office publishes a *Graduate Assistants Handbook* describing the duties and eligibility requirements for graduate assistantships. Questions may be addressed to the director of graduate studies for the academic unit concerned or to the Graduate School.

There are several titles for students completing professional degree requirements or internships. These include medical, dental, and psychology fellow and medical fellow specialist.

The two academic undergraduate student classifications are undergraduate teaching assistant and undergraduate research assistant.

## Faculty Appointments

New faculty members are recommended by the faculty and the dean of each individual college or school, reviewed by the vice president for academic affairs, and approved by the president and the Board of Regents. After final approval, publicity regarding appointments may be released through the News Service.

**Academic Personnel Records.** Each prospective faculty member receives a Faculty Information form, usually sent by the department head or chairperson who is negotiating the offer of academic appointment. This form, with the original appointment and letters of recommendation, is the nucleus of the academic personnel records in the central files. The faculty member should notify the President's Office in writing whenever an addition to his or her academic or professional background occurs (e.g., additional academic degrees, honors, publications, or professional activities).

**Appointments.** All nonstudent academic appointees receive an annual Notice of Appointment confirming their titles, salaries, terms, and academic status. Certain terms of employment are designated by letter symbols.

- (1) Appointment Period Symbols:
  - A—Twelve months (July 1-June 30)
  - B—Academic year (September 16-June 15)
  - C—Special dates as noted
  - E—Nine months (October 1-June 30)
  - G—Nine and one-half months (September 1-June 15)
  - K—Ten months (August 16-June 15)
  - M—Nine months (September 1-May 31)
- (2) Tenure Identification Symbols:
  - P—Continuous tenure conferred
  - N—Probationary
  - C—Special contract
  - T—Temporary and nonregular
  - E—Special employment (restricted to nonfaculty academic titles)
  - R—Retired persons receiving retirement allowances
- (3) Part-Time/Full-Time Symbols:
  - O—Appointment is 100-percent time
  - H—Appointment is less than full time; followed by percentage figure

**Regents' Policy on Nepotism (Academic Staff).** The University of Minnesota acts in accord with the public policy to encourage and foster, to the fullest extent practicable, the employment of properly qualified persons regardless of their age, race, creed, color, handicap, sex, national origin, or ancestry. In selecting persons for employment, no restriction is placed on hiring persons related through affinity or consanguinity. However, to avoid possible conflict of interest that could result from peer judgment, supervision, or administrative review procedures, a person so related must not participate in decisions to hire, retain, promote, or determine the salary of the other person, and must not be assigned substantive responsibility for work of the other person.

**Physical Examinations.** All new full-time regular faculty members are asked to take a prescribed physical examination. Examinations will be given by the University Health Service without cost. If preferred, the individual may be examined by a private physician, with reimbursement of \$20 when the results have been reported by the private physician to the Health Service on its forms.

## Promotion and Tenure

Procedures and criteria for promotion, tenure, and non-reappointment of faculty members are contained in a memorandum from the vice president for academic affairs, "Subject: Departmental Procedures and Standards in Making Recommendations Affecting the Status of Individual Faculty Members." Promotions and appointments to the ranks of associate professor and professor are reviewed by the dean of the Graduate School. A memorandum from the dean and the academic vice president explains the supporting documentation requested for promotions. These memorandums and a schedule for submission of recommendations and annual appraisals of probationary faculty are issued early each fall. Copies may be obtained from department or dean's offices or the academic affairs office.

The *Regulations Concerning Faculty Tenure* set the calendar for review of probationary faculty members. Every probationary faculty member must have an annual written appraisal and discussion with the department head concerning progress toward the tenure decision. The written appraisal is prepared at the department level and sent to the reviewing academic administrators on a Faculty Tenure Record form. The original form is kept in the faculty member's central personnel file; copies are returned to the dean, department, and faculty member.

The primary criteria for promotion and indefinite tenure recommendations are effectiveness in teaching and advising students and professional distinction in research and writing or in artistic production. Recommendations are initiated at the department level, reviewed and recommended by the department head, dean, provost, vice president for academic affairs, and president, and approved by the Board of Regents.



## Appointments to Graduate School Faculty

There are two regular types of membership in the graduate faculty: full membership and associate membership. Both teach graduate courses, serve on graduate committees, and serve as advisers to candidates for master's degrees. In addition full members supervise theses and advise doctor's degree candidates. Examining membership permits an individual to teach graduate courses and serve on student examining committees, but not to advise students. It is used particularly in departments that offer graduate courses but not degree programs.

Limited teaching status is available for qualified individuals to teach certain courses for a specific time period; such status does not constitute graduate faculty membership. All such recommendations for Graduate School faculty appointments and limited teaching status are reviewed by the appropriate policy and review council. The recommendation of the council is made to the dean of the Graduate School for final action.

## Remuneration

The salary to be paid a prospective faculty member is usually an individual matter agreed upon by the department head and the faculty member, with the approval of the dean of the college, and confirmed by the president and regents at the time of appointment. Salaries for assistant professors, research associates, instructors, and research fellows cannot be set below floors established each year. These minimums are announced by the President's Office at the time each new budget is prepared.

Faculty are paid semimonthly, but not everyone is paid on the same day. The month is divided into two periods, the 1st through the 15th, and the 16th through the last day of the month. Regular payroll employees are paid on the 15th and the last day of the month; those on the miscellaneous payroll are paid on the 10th and the 25th. It is expected that a resigning staff member will complete all work connected with a quarter even if the last payday may be before the actual close of the quarter.

Quarterly pay periods fall regularly in six equal semimonthly paychecks as follows:

**Fall Quarter.** Employment is September 16-December 15. First payment is September 30 for those on the regular payroll and October 10 for those on the miscellaneous payroll. Last payment is December 15, regular; December 25, miscellaneous.

**Winter Quarter.** Employment is December 16-March 15. First payment: December 31, regular; January 10, miscellaneous. Last payment: March 15, regular; March 25, miscellaneous.

**Spring Quarter.** Employment is March 16-June 15. First payment: March 31, regular; April 10, miscellaneous. Last payment: June 15, regular; June 25, miscellaneous.

Faculty may choose to have their paychecks deposited directly into their personal checking accounts in any bank in the nation. Checks are deposited on the usual paydays and the staff members receive, through their departments, notification of current and year-to-date information.

## Insurance and Retirement Plans

This is a brief outline of the insurance and retirement plans. Eligibility and benefit provisions are too complex to be included in this description, and are subject to all the terms and conditions of the plan documents. For more information, contact the Employee Benefits Department.

**Faculty Group Life Insurance.** All full-time faculty members serving at least nine months during the calendar year with a rank of instructor or above are eligible for Group Life Insurance. The University of Minnesota pays the entire cost of this coverage.

The amount of life insurance coverage is \$20,000 until age 60. The amount is reduced by \$1,500 on the first day of the month after or coinciding with the person's 61st birthday. On each anniversary of the change, the amount is reduced by \$100 less than the previous year's reduction.

If entry into the plan is at age 61 or over, the initial amount of life insurance will be based on age at entry.

**Faculty Group Income Disability.** Faculty members eligible for Group Life Insurance also are eligible for the Group Income Disability, with coverage effective on the first day of service. The University pays the total cost of this insurance.

If disability lasts four months, a monthly income equal to 60 percent of monthly salary, not to exceed \$2,000 per month, is payable. Monthly salary would mean average monthly salary based on earnings in the 12 months preceding the disability. The income disability payment will not be less than \$300 monthly. During continued disability, the benefits are paid monthly on a 12-month basis, or at least until the June following the 65th birthday.

Income disability benefits are offset by disability benefits received under the Social Security Act, Worker's Compensation Act, Minnesota State Retirement System, Veterans Administration, Railroad Retirement Act, Federal Civil Service Retirement System, or any other plan for which the University pays any part of the cost.

**Faculty Retirement Plan.** Those participating in the \$20,000 Faculty Group Life Insurance program who are not yet 65 are eligible to participate in the

Faculty Retirement Plan. If a waiting period is required, the effective date of participation is the October 1st after completion of the waiting period. The required waiting period can be determined from the following table:

- Professor and associate professor—none to six months
- Assistant professor and research associate—two years
- Instructor and research fellow—three years

Participation in the plan is not obligatory. However, a refusal is an effective forfeiture of contributions that the University would otherwise make. A later decision to participate cannot be retroactive.

A staff member will contribute 2½ percent of covered annual salary. The University will contribute 2½ percent of the first \$5,000 plus 13 percent of covered salary in excess of \$5,000. Covered salary includes the following: basic appointment salary, administrative augmentation, commutation allowance, regents' professor stipend, and nine-month appointee summer earnings paid from 06xx, 07xx, 08xx, or 09xx funds. All other earnings are excluded.

**State Plan (Health, Dental, and Life Insurance).** Faculty holding appointments of 75-percent time or more are eligible for paid health, dental, and additional life insurance. The University also pays a substantial part of the cost of dependent health insurance and one half the cost of dependent dental insurance, with the balance paid by the staff member through payroll deduction.

Coverage (including dependent coverages, if any) becomes effective the first payroll period after the 28th day of eligible employment. Individuals who do not apply for dependent coverage within two months after their date of employment may obtain health insurance only by furnishing satisfactory evidence of good health or by applying during an open enrollment period. Dependent dental coverage can only be added during an open enrollment.

Faculty are also covered under the Social Security system and Unemployment Compensation. The University offers a tax-deferred annuity plan (Mills II) and payroll deductions for the purchase of U.S. Savings Bonds. Bonds may be purchased during the campaign conducted through the Office of Development each spring, or at any time during the year. Worldwide Travel Accident Insurance covers faculty traveling on behalf of the University outside of their normal office areas for the amount of \$100,000 for accidental death. The University assumes the entire cost of this insurance, which covers travel by air, ground, or water.

## Leaves of Absence

For short leaves of a day or two that will not interrupt the regular work schedule, a faculty member needs only oral permission from the dean or department head. For longer leaves that will interrupt the work schedule, a

faculty member should submit a formal request to the president and the Board of Regents through the department head or dean.

**Appearance in Court.** Faculty members do not lose pay when testifying before a court or a legislative committee on a matter concerning the federal or state government or the University, or when called to testify as an expert or to serve on a jury.

**Attendance at Scientific or Professional Meetings.** Leaves with pay are granted to persons representing the University or attending meetings important to their work.

**Military Service.** Leaves with pay are granted to full-time faculty members for required service in the National Guard or any of the armed services reserve forces. These are usually for no longer than two weeks.

**Sabbatical Leave.** After six consecutive years of regular full-time service at the University, faculty members holding at least nine-month appointments (coded A, B, E, G, K, and M) are eligible for sabbatical leave. All leaves require the approval of the department head, the dean, the president, and the Board of Regents. Sabbaticals may be taken for one full term of appointment or for a shorter period and may, if continuous, bridge academic years. Half salary for the duration of the sabbatical is paid by the University with the understanding that faculty members granted leave will return to the campus for at least one year or will reimburse the University for salary. While on leave, faculty members may accept nonservice grants for research or study or may augment their sabbatical stipend to approximately the level of their full-time salary, provided that the activity for which compensation is received does not interfere with the purposes of the sabbatical. If unusual travel or living expenses will be involved, the augmentation may exceed half salary. A request for permission to augment salary, with specific information regarding the augmentation, should accompany the application for sabbatical leave. A report summarizing the work done is to be submitted to the president within three months after return to the University.

**Sick Leave.** For an absence of a few days, during which time the department can carry on her or his work, a faculty member need only apply informally to the department head. If the absence will extend for a longer period (such as beyond one payroll period), an application for leave of absence must be submitted to the president through the department head and the dean.

**Single-Quarter Leave with Pay.** Single-quarter leaves with full salary for study and research that will strengthen individual knowledge and understanding and benefit University teaching are granted on an all-University competitive basis to full-time regular appointees with tenure and a minimum of three full academic years with the University. Assistant professors are

eligible to apply in the second year of service for leave during the third year. Associate professors and professors on special contract appointments are also eligible to apply for these leaves in the second year of service. Leaves may not be used to pursue an advanced degree or to write a textbook.

Single-quarter leaves with pay must not precede or follow sabbatical leaves or a Graduate School research grant for the summer. The quarter spent on leave counts as a portion of the six academic years required for eligibility for sabbatical leave. Eligible persons must pledge themselves to return to University service for a full academic year or its equivalent after completion of the leave.

Application forms for single-quarter leaves are available from the General Storehouse. Announcements of application deadlines are sent to department heads for distribution to eligible faculty members each fall quarter.

**Maternity Leave.** The Pregnancy Discrimination Act is an amendment to Title VII of the Civil Rights Act of 1964 requiring that women affected by pregnancy and related medical conditions be treated the same as other employees on the basis of their ability or inability to work. Women who are able and choose to work until near the delivery date are entitled to two weeks with pay for the period of confinement. If a woman is unable to work because of a related medical condition and the time extends beyond a payroll period, a short-term sick leave with pay should be requested on a leave of absence application. Faculty members may have up to six months' leave of absence without pay. Requests for leave should be initiated at the department level. Accrued vacation days may be used prior to unpaid leave. Questions should be referred to the Office of the Vice President for Academic Affairs.

**Vacation.** Regents' policy provides that faculty on full-time A-base (twelve-month) appointments earn two days of vacation per full month of service for a total of 22 days per year. Vacation leave may not be taken until 11 full months of service are completed and is normally taken at the end of the year in which it is earned. Vacations are to be taken at the convenience of the department. Unused vacation does not entitle the faculty member to extra pay. Vacation days in excess of one year are not cumulative. If the use of vacation days must be postponed for more than the equivalent of one quarter into the subsequent year, the matter must be agreed upon in writing between the academic employee and the department head, and a copy of the agreement must be sent to the academic affairs office.

When a person terminates from the University, payment may be made for up to one year's accumulated vacation days. If the faculty member takes another academic or civil service position at the University, unused vacation days should be used before the effective beginning date of the new appointment. In no instance of continuing University employment may extra pay be granted for unused vacation days accrued.

Faculty who work less than twelve months each year or part-time do not earn vacation time.

## **Travel**

The University generally pays the travel expenses of a faculty member who makes a trip as an official representative of the University. Travel outside of the state at University expense must be officially approved. To obtain approval, the faculty member should initiate a Request for Authorization for Travel Outside State (B.A. form 9), which is available in the departmental office. A brief report on the trip must be submitted to the dean within 10 days after returning.

While on University business, most faculty members are insured under the travel accident policy described under Insurance and Retirement Plans in this section.

## **Resident Tuition for Faculty and Their Families**

New full-time faculty members with the rank of instructor or above and their immediate families pay resident fees in all colleges. Contact the Admissions and Records Office to make appropriate arrangements.

Resident tuition rate privileges are extended beyond the term of qualifying appointment if the person held the appointment for at least three academic quarters, at 25-percent time or more, after September 15, 1969. Two summer terms count as one academic-year quarter. The privilege is extended, after completion of the qualifying three quarters of appointment, on a quarter-for-quarter basis up to a maximum of six quarters of use. This entitlement will not extend beyond three years from the termination of the appointment. This privilege does not apply to instructors.

Full-time faculty members who hold Ph.D. degrees may informally audit courses (with the permission of the instructor and on a space-available basis) without registration or payment of fees. Should the need arise, official authorization may be obtained from the Graduate School.

There are no residence requirements for admission to classes or courses offered through Continuing Education and Extension.

## **Work Toward Advanced Degrees**

Faculty with appointments above the rank of instructor or research fellow are normally not permitted to take graduate degrees here. Under unusual circumstances, the dean of the Graduate School may make an exception. Requests for exception, including the conditions that are believed to warrant the exception, must be submitted in writing to the dean.

Faculty members who are completing advanced degrees at other institutions may, on approval of admission to the Graduate School, complete course work here for subsequent transfer to the degree-granting institutions. All such

arrangements should be cleared in advance by the adviser and other appropriate individuals at the institutions that will award the degrees.

Approval of admission to the Graduate School is required if an exception to take an advanced degree at the University of Minnesota has been granted or if course work is taken for transfer elsewhere. The appropriate forms and instructions are available in the Prospective Student Office of the Graduate School.

Faculty members with probationary appointments who wish to pursue graduate degrees must transfer to nonregular appointments during the period of study, in accordance with section 8 of the *Regulations Concerning Faculty Tenure*.

## **Courses Open to Faculty and Their Families**

In addition to the regular day classes offered at the University, a variety of classes, conferences, and other study opportunities are available through Continuing Education and Extension (CEE). Usually there are no scholastic admission requirements and few prerequisites for CEE programs and classes. Most courses may be taken with or without degree credit.

The Independent Study Department offers correspondence courses for both high school and college level credit. The program in Continuing Education for Women schedules special seminars accommodating the interests and hours of women. The MacPhail Center for the Arts offers private lessons and classes in the arts for adults and for children of all ages.

The CEE Counseling Office caters especially to the problems and needs of adults and provides information on programs serving all members of faculty families. One of these programs, the Summer Arts Study Center at Hill City, is of particular interest to faculty members who might wish to participate either as teachers or students.

Information on tuition rates for faculty members and their families can be found under Resident Tuition in this section.

## **Faculty Grievances**

A faculty member who has a grievance should first attempt informal means of resolution. This would include discussion with the department head and, if necessary, the dean. Each college has designated a faculty member as a grievance review officer to assist in resolving complaints and to assure that the rights of grievants and respondents are protected. If satisfactory resolution of a complaint is not achieved through informal means, a formal complaint may be filed with the officer, who will direct documents to the appropriate authority.

A complaint that involves temporary or permanent removal for cause, non-reappointment of a probationary position, or nonpromotion must be filed

with the chairperson of the Senate Judicial Committee within 30 days of the written notice (sections 13 and 14 of the *Regulations Concerning Faculty Tenure*). A three-member panel is named from the Judicial Committee to serve as the hearing body. The panel submits its findings of fact and recommendations to the president for disposition.

Grievances that involve other conditions of employment may be heard by an ad hoc faculty committee or the dean. The faculty member is accorded fundamental fairness, including the right to be aware of the contents of all documents bearing on the decision, to hear opposing statements, to present evidence on one's own behalf, and to be represented by an academic adviser and/or by counsel. Appeal from an adverse decision may be made to the Senate Judicial Committee.

The Senate Policy on Academic Freedom and Responsibility established departmental and collegiate committees with faculty, student, and civil service representation. These committees hear complaints that allege a violation of academic freedom or failure to meet academic responsibility. Grievances may be brought by faculty, students, or civil service employees against academic administrators, faculty, students, or civil service employees. Appeal from an adverse decision may be made to the collegiate appeals committee or the University Appeals Committee.

If the issue involves alleged discrimination on the basis of race, creed, color, sex, national origin, or handicap, counseling and investigation is provided by the Office of Equal Opportunity and Affirmative Action.

Questions regarding appropriate channels may be directed to the college, campus, or University grievance review officer.

## **Graduate Assistants**

For University policies affecting graduate assistants, see the *Handbook for Graduate Assistants*, available from departmental offices, or contact the Graduate Assistants Information and Assistance Office.



## **IV. TEACHING AND STUDENT-RELATED MATTERS**

### **Admission to the University**

Admission to the University is open to all qualified persons and based primarily on previous achievement and ability. Brief descriptions of admission requirements for individual collegiate units may be found in the *General Information Bulletin* distributed by the admissions office on each campus.

### **Degrees and Certificates**

The University offers extension certificates, two-year associate degrees, bachelor's degrees, master's degrees, specialist degrees, doctor of philosophy and doctor of education degrees, and certain professional degrees such as juris doctor, doctor of medicine, doctor of dental surgery, and doctor of veterinary medicine.

### **Admissions and Records Offices**

Each campus has an admissions and records office. Office personnel receive and process new student applications for all undergraduate colleges. They also accept requests for transfer between colleges and for readmission.

Students are admitted directly from high school, in transfer from other colleges, by examination, and as adult specials (those who wish limited course work for special needs and who do not have degree objectives). Qualified students may also enroll for summer work only and for work in Continuing Education and Extension without regular admission status.

The admissions and records offices also have responsibilities associated with registration, maintenance of academic progress records, general student information, fees and billing (including authorizations for certain scholarships and awards), determination of residence status and residence fee privileges, transcripts, statistics, diplomas, and publication of bulletins. They also assist veterans and war orphans who qualify for financial support from the Veterans Administration as well as students who qualify for support through Social Security.

### **Regents' Policy on Access to Student Records**

Students enrolled in the University must provide much information in order for the University to make reasonable judgments about them, provide ser-

vices, and give informed advice regarding courses to be followed. Such personal data and information may become part of the student education record. Students may make the justifiable assumption that the University, as custodian of these data, will preserve their private nature. By requiring or requesting such information, the University gives assurance that the information will be protected against improper disclosure.

The University observes the following principles:

1. Appropriate University officials are held directly responsible and accountable for the careful protection of student education records against possible misuse.
2. Within the University, student education records will be used only for appropriate research, educational, and University service functions. Access to those records is allowed only to those members of the University community whose designated responsibilities require access or to persons to whom the student has given written permission for access.
3. University officials responsible for the use of student records require that there be no communication of such records outside of the University except under proper written authorization, or as provided elsewhere in this policy statement.
4. The University maintains a Directory of Student Education Records that (a) lists the types and locations of records, (b) designates the officials responsible for the records, (c) states the administrative procedures governing student access to student education records on each campus of the University, and (d) defines the conditions under which individuals other than the student may have a legitimate educational, administrative, or research interest in such records.
5. The University provides the student with the right to access, inspect, review, and request amendment of the contents of student education records, to have a hearing if the result of the request for amendment is unsatisfactory, and to include a statement in the record if the decision resulting from the hearing is unacceptable to the student.
6. The University notifies students annually of their privacy rights, their right to file complaints concerning alleged failures of the University to comply with their privacy rights, and the location of the University Directory of Student Education Records, where copies of the University policy and procedures on access to student records may be obtained.
7. The University will make available to a student for review and inspection a copy of the student's education record; however, copies of originals or source documents which exist and are available outside of the University need not be released to the student or to a third party.
8. The University maintains a record of requests for information from student education records other than directory information, and of the disposition of the requests.

The student education records of the University vary in their nature and location. Steps taken to protect against improper disclosure are designed for the circumstance.

**Directory Information.** The student's name, address, telephone number, dates of enrollment and termination, major, adviser, college, class, and degrees received are matters of public record or directory information. Therefore, University officials and departments may provide this information in answer to inquiries without requiring authorization from the student. However, students may prohibit disclosure of directory information during the term of their enrollment.

**Other Student Education Records.** Student education records other than directory information include, but are not limited to, academic records of studies pursued, grades obtained or abstracts of them, academic ratings, and records of educational services provided to students. These records are not disclosed to anyone except:

1. the student, and others on written authorization by the student;
2. persons within the University who have a legitimate interest in the information for educational, administrative, or research purposes;
3. other educational institutions in which the student seeks to enroll, provided the disclosure is limited to official copies of student transcripts or test scores from the appropriate University office;
4. other organizations conducting educational research studies, provided the studies are conducted in a manner that will not permit identification of students, and the information will be destroyed when no longer needed for the purpose for which the study was conducted;
5. persons in compliance with a judicially ordered subpoena, provided that a reasonable attempt is made to notify the student in advance of compliance thereof;
6. persons whom appropriate University officials have determined to have need of the knowledge to protect the health or safety of the student or other persons in an emergency;
7. accrediting organizations and state or federal education authorities when the information is needed for monitoring, auditing, or evaluating educational programs, provided the accrediting organizations and authorities protect the data in a manner that will not permit the personal identification of students, and personally identifiable information is destroyed when no longer needed;
8. appropriate persons or agencies to ensure the accuracy of student financial records and transcripts.

Certain categories of information in student education records are not subject to student inspection and review. These categories include (1) finan-

cial information submitted by parents, and (2) confidential letters and recommendations collected under established policies of confidentiality or to which the student has waived the right of inspection and review.

**Other Records.** Information in medical or psychological counseling records, including results of examinations by University physicians, psychiatrists, and psychologists, is much more confidential. The University obtains such information with a commitment to its confidential nature. Such records should not be disclosed, except (a) under direct and special written authorization by the student, or (b) under direct and special order by the appropriate officer on each campus when that officer finds that extraordinary considerations justify their disclosure, and in compliance with applicable laws.

University police, employment, and hospital records contain information about students, but are not student education records, and are not covered by this policy. University offices responsible for such records maintain and observe information release policies that protect the subjects of such records against improper disclosure and are consistent with applicable laws.

## Grading Policies and Practices

The University Senate approved grading autonomy for individual campuses on March 9, 1972. The senate acted upon the recommendation that, since grading is an integral part of the educational climate of a campus and should be tied to the educational objectives of that campus, the responsibility for grading policies should rest with individual campus assemblies. That responsibility applies to review and approval of experimental grading systems as well as the standard system. For information on the grading policies and practices on a particular campus, check the *Faculty Information Bulletin* supplement for that campus.

Departmental and collegiate faculties are responsible for determining other policies regarding grading practices and are urged to use appropriate practices.

Final grades for students must be sent to the records office within 72 hours after the final examination for each course. After the grades have been reported, changes can be made only on recommendation of the Committee on Student Scholastic Standing of the college concerned.

## Courses

The initiation of new courses, or the revision of existing ones, is first the responsibility of departmental faculties. College review is expected. Policies on the initiation and revision of courses vary and faculty members should familiarize themselves with their own college policies.

Student registration for courses begins several weeks before the start of each quarter; registration instructions and schedules are published in the *General Information Bulletin* and in the *Official Daily Bulletin* (or comparable bulletin) of each campus. Detailed information concerning courses is given in the bulletin of each college; time and location of classes are given in the quarterly *Class Schedule*.

Courses listed in the college bulletins usually are numbered as follows:

0000 to 0998	noncredit courses
1000 to 1998	lower division
3000 to 3998	upper division
5000 to 5998	upper division, graduate, or professional
8000 to 8999	graduate only

## **Class Lists and Attendance**

Class lists are sent to faculty members through their department heads. Instructors should advise students who appear in class but whose names are not on the official list to verify their registration at the Admissions and Records registration center. Students are responsible for their own registration.

A student may register as an auditor with college approval and pays the regular fee but does not take examinations, receives no grade, and earns no credit.

Policies on student attendance in class vary with the colleges. Faculty should become familiar with their college regulations.

## **Textbooks and Prescribed Classroom Materials**

Faculty members should arrange with their department heads for the textbooks and classroom materials they need. Books and supplies are ordered by the University Bookstores on the basis of information received from the department head. Information should be given to the bookstores as soon as firm decisions have been made to minimize the possibility of error and delay.

Approval for mimeographed, photo offset, or similar works is requested on a form available to departmental offices from the General Storehouse. Duplicating Services and the University Bookstores cooperate in producing, pricing, and selling mimeographed publications written for students.

The principal criterion for choosing any required materials for a course or program should be that the materials are the best available for the purpose. In most cases the decision to require materials rests with the faculty member who has been assigned responsibility for the course or program.

The procedure for selection of course materials must avoid conflict of interest or the appearance of conflict of interest. If a faculty member judges

that the best materials available for use with a course are materials whose sale will provide personal income to that faculty member, documentation justifying the decision and formal written approval of the head of the academic unit are required. If the head also is the faculty member, the dean must give the written approval. Documentation may be developed by the faculty member or by faculty peers knowledgeable about the use of the materials. The decision to give approval ordinarily should be reached in consultation with faculty peers. Unless otherwise stated, approval applies to all offerings of the course for which the affected faculty member is responsible during the 12 months following the approval date.

A record of the approval by the unit head must be filed with the dean of the college involved and with the Office of the Vice President for Academic Affairs prior to implementing the decision.

## **Teaching Assignments**

Department heads will notify faculty members of their teaching assignments for the academic year. Faculty members who desire summer session or extension teaching appointments should consult their department heads.

## **Evaluation of University Teaching**

All faculty members should evaluate at least one of their courses annually and all courses should be evaluated over a period of time. Evaluation should include some form of student opinion of the teaching effectiveness of the instructor and may include evaluation by teaching colleagues, professional peers, and the individual instructor (Senate Policy on Evaluation of University Teaching, adopted May 30, 1974).

Materials for gathering student ratings of instruction are available from the Measurement Services Center. Some materials and services are free, others involve a charge; a fee schedule is available. Student evaluation forms may be used at any time during the term, but it is suggested that ratings be collected early enough so the students who completed the questionnaires can benefit from them. Tabulated results of the ratings are returned only to the faculty member involved; data will be released to other persons only upon written request by the rated instructor.

## **Student Services**

Student services not listed here vary from campus to campus. Detailed information can be obtained from the *Faculty Information Bulletin* supplement for each campus.

**College Counseling Services.** A faculty member may refer a student to the counseling service of the college or campus.

**Committee on Student Scholastic Standing.** Most colleges have a Committee on Student Scholastic Standing that reviews student petitions for exemptions from requirements, assists students who have difficulty in scheduling required courses, advises those who do not maintain satisfactory scholastic standing, acts on student requests to carry more than the regular credit load per quarter, acts on reports of scholastic misconduct when it occurs within a single college, and recommends administrative procedures to the faculty.

**Faculty Advisers.** Each student is assigned to a faculty adviser who offers help in academic procedures and some vocational and personal problems. The number of students assigned to one faculty member varies with the college.

**Office for Student Affairs.** The Office of the Vice President for Student Affairs coordinates student personnel services. The office is responsible for carrying out University policies affecting students, consulting with students about policies and problems, and properly using University agencies and facilities to enhance the educational growth and development of students.

## **VI. MISCELLANEOUS POLICY MATTERS**

### **Use of the University of Minnesota Name**

The name of the University and its buildings, facilities, and personnel may not be used in advertising, although the interpretation of this policy permits public service advertising and some types of institutional advertising. In these cases, the Department of University Relations approves advertising copy. The name of the University is not to be used in any way by members of its staff in a manner suggesting University endorsement of any product, service, publication, solicitation of funds, or political viewpoint. University letterhead should never be used for these purposes.

### **Solicitation of Funds on Campus**

Soliciting funds or contributions on any campus is forbidden unless specifically approved by the Administrative Development Committee.

### **Relationships with Legislators, State Agencies, and Governmental Offices**

The Office of the Vice President for Institutional Relations is responsible for liaison between the University and the state government. This responsibility covers relationships with the governor's office, the Minnesota Legislature, and state government agencies.

Faculty members who want information on state legislation or want to report on or arrange for contact with state legislators should contact the office for assistance. The office subscribes to state legislative services and numerous association newsletters to keep track of developing legislation, and can advise faculty members on the status of bills, prospective contacts that might be helpful, and previous contacts that may have been made regarding a particular legislative concern.

Faculty should also use the office for information about cooperative programs with state agencies and postsecondary educational institutions in Minnesota. Increasingly, federal funds for research, development, and manpower projects are being channeled through state agencies that set priorities and reallocate funds accordingly. Faculty members should be aware of these programs and their potential relationship to them. Faculty interested in these programs should contact the vice president's office promptly, as close coordination is essential to this type of project activity.

This office also works closely with the President's Office in carrying out the responsibilities for federal congressional relations, especially in those in-



stances where an official University position statement or testimony is requested or desired. In congressional relations, the office's role is limited to pending federal legislation and problem areas that warrant involvement of the Minnesota Congressional Delegation. Faculty wishing to contact members of the Minnesota Congressional Delegation on University-related matters should check first with this office.

The office works with several of the national associations to which the University belongs and receives a variety of materials on pending federal legislation, following those bills that appear to be important to the University. Faculty requests to have other bills tracked will be honored as much as possible.

Information on available funds for sponsored projects (after the authorization and appropriations bills are passed) is available through the Office of Research Administration and the Graduate School Research Development Center.

## Research Funds

University policies concerning sponsored research and training are established in broad terms by the Board of Regents. Only the Board of Regents is empowered to accept grants and to contract on behalf of the University. Acceptance of grants and contracts should be consistent with the University's goals of providing education, advancing knowledge, and promoting the welfare of the state.

The Graduate School has substantial internal research funds used to assist and support faculty research. Applications for grants should be made directly to the Graduate School by interested faculty. The General Research Advisory Committee reviews the applications and makes recommendations to the Graduate School dean. In addition, the Graduate School Research Development Center has travel funds that support faculty travel for the purpose of obtaining contracts and grants.

Each academic unit has a research officer whose responsibility, broadly defined, is to aid the research activities of the college. This may include advising faculty members on sources of funding or assisting in preparation of a proposal.

**The Graduate School Research Development Center (GSRDC)** serves as a focal point of the University's effort to improve public understanding of the role and value of research. Through a variety of publications, GSRDC works to show how research in all fields shapes the definition of the University and enhances its other functions. GSRDC maintains a library of publications related to science and research, as well as resource materials on funding sources and agency programs, and provides staff support to the Committee on the Use of Human Subjects in Research.

**The Office of Research Administration (ORA)**, under the Office of the Vice President for Finance, reviews all proposals for research and training funds from outside agencies to ensure adherence to University and funding agency policies. Proposals are checked for consistency with University policies on space, staffing, use of equipment, and cost-sharing, and other considerations as requested by the vice presidents for finance and academic affairs.

ORA assists faculty in the processing of applications, development and preparation of proposals, identification of fund sources, and preparation of budgets, as well as providing ongoing liaison and administrative management of sponsored projects during the life of contracts and grants. The office works closely with the director of development when private grant funds are sought, provides staff support for the Administrative Development Committee, and works with the Business Office and the University patent adviser. A special staff gathers and analyzes financial and other data for reports relevant to sponsored research and training.

## **Patent Policy**

A patent policy enacted by the Board of Regents on May 9, 1980, sets forth the University's objectives in patents and the rights and obligations of inventors and the University in patentable inventions. For a copy of the patent policy as enacted, contact the patent administrator in 334 Morrill Hall.

## **Academic Costume**

Academic dress at the University of Minnesota generally conforms to the rules of the American Council on Education. Exceptions are: honor students wear maroon and gold shoulder braids on their gowns, and the tassels on the caps of bachelor's degree candidates indicate their colleges or schools by color. The wearing of academic costume, by faculty or students, is a matter of individual choice. Faculty members who do not have academic costumes may secure them for University of Minnesota events from the University Bookstores; there is no charge if prior approval is obtained from the Department of University Relations.

## **Gifts to the University**

All matters concerning gifts and the solicitation of gifts to the University, including wills and bequests, should be cleared with the Office of Development. Faculty projects may require coordination with the Office of Research Administration. (See Research Funds in this section.) There are three major fund-raising agencies at the University of Minnesota.

The Office of Development is the major private fund-raising office of the University. All approaches to outside private sources must be coordinated with this office. The University of Minnesota Foundation is an independent, nonprofit corporation organized to secure gifts from alumni and friends of the University through various fund-raising programs. The Minnesota Medical Foundation is a nonprofit organization exclusively serving the medical schools on the Twin Cities and Duluth campuses.

## Awards and Recognitions Given by the University

The University of Minnesota confers honorary degrees and a variety of awards on individuals who have achieved distinction and recognition in public service, education, science, literature, or the arts. The Committee on All-University Honors, appointed by the president, screens recommendations for building names, honorary degrees, and Outstanding Achievement Awards. Nominations for the Alumni Service Award should be submitted to the Alumni Honors Committee of the Minnesota Alumni Association. Nominations for Regents' Awards should be submitted to the Board of Regents. Details concerning nominating procedures may be obtained from the honors committee chairperson or the *Awards and Recognitions Policies and Procedures Handbook*, which is available from the Department of University Relations.

**Alumni Service Awards** are conferred upon graduates or former students of the University in recognition of service to the University, its schools, colleges, departments, or faculty, or to the Alumni Association or any of its constituent groups. Faculty members are not eligible while on active service at the University.

**Building names** are determined by the Board of Regents and may be chosen to honor an individual.

**Honorary degrees** are conferred upon persons who have achieved acknowledged eminence in scholarship, the creative arts, or public service. The person is expected to have made a sustained contribution in his or her field over a period of years; in some instances, however, a single contribution of great impact and continuing influence may be deserving of recognition. Traditionally, the committee has considered not only former University students and graduates, but also persons who have rendered distinguished service to the University.

Honorary degrees are given sparingly. From 1925, when the first honorary degree was awarded, to spring 1980, only 56 have been given. The present policy of the honors committee is not to recommend current faculty members for an honorary degree.

**Horace T. Morse-Amoco Foundation Awards** are given, upon the recommendation of the All-University Council on Liberal Education, to faculty members in recognition of their outstanding contributions to undergraduate education. Each receives a University citation and a \$1,000 grant provided by the Amoco Foundation. Nominating information is available from the council.

**Outstanding Achievement Awards** are conferred upon former students of the University of Minnesota who have attained distinction in their chosen fields, professions, or public service, and who have demonstrated outstanding achievement and leadership on a community, state, national, or international level. Candidacy is limited to former students of the University of Minnesota. Current faculty are not eligible.

**Regents' Awards** are given to individuals in recognition of contributions to the building and development of the University through significant benefactions, or in recognition of exceptionally valuable service to the University. Candidacy is not limited to former students of the University. Nominations should be submitted to the Board of Regents.

**Regents' Professorships** were established by the Board of Regents in 1965 as the highest recognition given by the University to members of its faculty. Regents' professors are to be of outstanding academic distinction, judged by the scope and quality of their scholarly or artistic contributions, the quality of their teaching, and their contributions to the public good. Once they are named regents' professors, faculty members hold the title for as long as they remain at the University and receive a \$5,000 gift annually from the University of Minnesota Foundation during their tenure. They also receive a sterling silver medallion suspended from a gold and maroon ribbon, to be worn over academic costume. Upon retirement from the University, the faculty member becomes a regents' professor emeritus.

**Teaching awards** are also given by some individual collegiate units.

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*University of Minnesota*