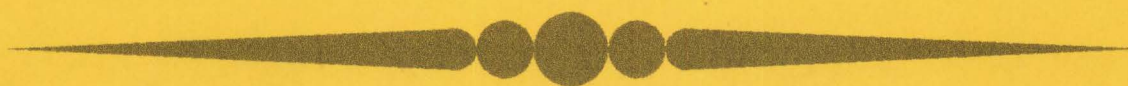


UNIVERSITY OF MINNESOTA



ROLES, RESPONSIBILITIES,
AND
REQUIREMENTS

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Office of Senior Vice President
for Academic Affairs

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MEMORANDUM

July 19, 1995

To: University Community

From: E.F. Infante, Senior Vice President for Academic Affairs, and Co-Chair,
Transition Task Force Steering Committee

Subject: Administrative Roles, Responsibilities and Requirements at the University of
Minnesota

At the 1994 June and July Board of Regents meetings, President Hasselmo presented a plan and recommendations concerning a restructuring of central, campus, and provostal area administration. The plan for reorganization was based on the following principles:

- assigning explicit administrative decision-making authority and accountability to the Chancellors of the Coordinate Campuses and to the Provosts as the executives of three major entities on the Twin Cities campus;
- assigning explicit responsibilities to system officers providing staff support to the President;
- separating system and campus administrative responsibilities;
- separating staff and line responsibilities;
- providing clear reporting and consulting lines;
- assigning manageable spans of responsibility, and
- flattening and decentralizing the organization with minimal layers between faculty and key decision makers.

Toward that end, in July of 1994, President Hasselmo established the Transition Task Force Steering Committee and two Subcommittees (Systems Subcommittee and Provostal Subcommittee) to address and make recommendations to him concerning the functions, relationships and staffing details implicit in the administrative reorganization plan. The charge of each group was as follows:

1. The charge of the Systems Subcommittee was to review and recommend post-reorganization changes in the structure, functions and staffing of the Academic Affairs and Finance and Operations offices, with the goal of increasing the efficiency and effectiveness of both support organizations. The final products of this subcommittee can be found in the reorganization of departments and offices that has taken place

within Academic Affairs. The charge of the Provostal Subcommittee was to respond with policy, process, and procedure recommendations relevant to: 1) the administrative interface of Provosts and Chancellors and their staff with system administration in such areas as budgeting, planning, management of facilities, institutional relations, human resources, legal affairs and management of research grants; 2) the line responsibilities being decentralized to the Provostal offices, the horizontal (i.e., intellectual and operational) relationships that should exist among them, the staffing needed to achieve these ends, and appropriate oversight mechanisms, and 3) the resource allocation process, given that colleges will remain the principal planning and budgeting units, and the leadership role of the Provosts and Chancellors in preparing and managing plans and budgets. The final products of this subcommittee, 15 functional documents, are included in this mailing.

2. The Steering Committee was responsible for managing and coordinating the assignments to be performed by the Transition Task Force's Subcommittees, analyzing and reporting the change in overall administrative staffing needs occasioned by the reorganization, and analyzing and rewriting the administrative policies and procedures to incorporate the new system and campus, and staff and line responsibilities accompanying the reorganization.

At this point, one full year after its establishment, the Transition Task Force Steering Committee has completed its tasks. It has been an exhausting and difficult process, but a productive one as well, resulting in a reorganization of Academic Affairs and a set of 15 documents which define the administrative roles, responsibilities and requirements for organizations throughout the University.

The process of developing the 15 "Roles, Responsibilities and Requirements" documents was long and detailed. The Provostal Subcommittee consisted of representatives from central administration, vice presidents' and provosts' offices and colleges. Through weekly discussions, the subcommittee organized the functional areas of the University into 15 categories, assigned subject matter experts in each area to draft proposed "Roles, Responsibilities and Requirements", reviewed each proposal in detail - suggesting improvements, and gave final approval on documents for recommendation to the Steering Committee. Most of the documents changed substantially from the initial draft to the final copy reviewed by the Steering Committee. When the Steering Committee was satisfied with the documents, they were reported to the President for approval. That process has been completed for all 15 functional areas, and copies of the documents, as approved by the President, are included in this packet.

Please note, in complying with the President's charge to consult with the governance system, the vice presidents and deans, all materials were disseminated to Chancellors, Provosts, Vice Presidents, Deans, the Administrative Council, Chairs of the Faculty Consultative Committee, the Senate Finance Committee and the Transition Advisory Committee and all Resource Responsibility Center Managers at the same time they were forwarded to the President. Each group was asked to communicate the information within their organization and direct questions or concerns to the Steering Committee prior to final approval by the President. All attempts were made to build a shared vision of the roles and responsibilities being discussed.

Bob Erickson (former Senior Vice President for Finance and Operations and co-chair of the Transition Task Force Steering Committee) and I are extremely proud of the hard work that went in to preparing these materials, and encourage the entire University community to take some time to review them. At this point, it is our intention to find a home for these

documents in which they will be updated periodically and disseminated through an electronic medium for those who wish to access them. Details on the specifics of that plan are forthcoming. In the meantime, the enclosed materials are the most current copies and should replace the versions received earlier this year (packaged in blue binders).

In closing, I wish to thank everyone involved with this process - especially those on the Provostal Subcommittee and the Steering Committee who gave so much of their time and energy. It has been a rewarding experience, with valuable outcomes for the University.

Enclosures

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UNIVERSITY OF MINNESOTA

**Administrative Roles,
Responsibilities
and Requirements
at the University
of Minnesota**

July 12, 1995

Contents

(in alphabetical order)

Data Collection, Management, and Analysis

Environment, Health and Safety

Financial Management

Instruction

Management of Human Resources

Management of Information Technology

Management of Institutional Relations

Management of Minority Affairs and Diversity Issues

Management of Outreach Activities

Management of Student Affairs

Management of University Facilities

Office of the General Counsel

Research, Scholarship, and Management of Sponsored
Programs

Resource Allocation

Strategic Planning

Function:*

Data Collection, Management, and Analysis

Roles, Responsibilities, and Requirements

President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

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FUNCTION: DATA COLLECTION, MANAGEMENT, AND ANALYSIS—ROLES, RESPONSIBILITIES, & REQUIREMENTS

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<u>PRESIDENT/CENTRAL</u>	<u>PROVOST/CHANCELLOR*</u>	<u>COLLEGE/ADMINISTRATIVE UNITS*</u>	<u>DEPARTMENTS**</u>
<u>POLICY DEVELOPMENT</u>			
<ul style="list-style-type: none"> • Define, prescribe, and modify data definitions for annual planning, budgeting, and evaluation process. • Analyze data and recommend alternatives for issues raised in annual planning, budgeting, and evaluation process. • Review impact of ad hoc fiscal and policy issues and recommend action. • Establish time frames for data collection and analysis. • Establish a process and responsibility for environmental scanning. Identify, publicize, and communicate emerging issues. • Design and maintain analytic and predictive models, and provide analysis and recommendations. • Develop and maintain database on tuition and fees experience, headcount, and full year equivalent enrollment. 	<ul style="list-style-type: none"> • Provide assistance and guidance in specifying data and information. • Advise on issue analysis and impact of alternatives. • Advise on ad hoc fiscal and policy issues. • N/A • Monitor the environment and identify and inform Central of emerging issues. • Advise on changes in enrollment and student choices, provide analysis and recommendations, and assist in enrollment modeling and forecasting. • Review data and provide input on statistics when necessary. 	<ul style="list-style-type: none"> • Provide assistance and guidance in specifying data and information. • Provide assistance and guidance in issue analysis. • Provide assistance in issues analysis. • N/A • Inform Provost/Chancellor of emerging issues. • Advise on changes in enrollment and student choices, provide analysis and recommendations, and assist in enrollment modeling and forecasting. • Review data and provide input on statistics when necessary. 	<ul style="list-style-type: none"> • Provide assistance and guidance in specifying data and information. • Provide assistance and guidance in issue analysis. • Provide assistance in issues analysis. • N/A • Inform college/administrative unit of emerging issues. • Advise on changes in enrollment and student choices, provide analysis and recommendations, and assist in enrollment modeling and forecasting. • Review data and provide input on statistics when necessary.

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

EVALUATION AND INSTITUTIONAL PERFORMANCE

- | | | | |
|--|---|---|---|
| <ul style="list-style-type: none">• Approve Provost/Chancellor and college level critical measures and maintain data.• Define, prescribe, and modify data for academic and support unit program review. | <ul style="list-style-type: none">• Define and recommend to Central campus, college, and unit level critical measures, and report on progress.• Recommend and advise on modifications of academic program, review data specifications to meet management requirements. | <ul style="list-style-type: none">• Define and recommend campus, college, and unit critical measures, and report on progress.• Recommend modification of academic program, review data specifications, and assist in providing data. | <ul style="list-style-type: none">• Provide information relative to unit level critical measures.• Recommend modification of academic program, review data specifications, and assist in providing data. |
|--|---|---|---|

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
REPORTING			
<ul style="list-style-type: none"> • Prescribe uniform fiscal, student, and faculty demographic enrollment and physical facility data definitions. • Prepare institution-wide reports according to federal and state requirements, and publish the following reports as required: Instructional Cost Study, Instructional Profit and Loss, Condensed Planning Data-Academic Units, Historical and Projected Schedule of Headcount, Full Year Equivalent Enrollment, Enrollment Management Program, and NCES (National Center of Education Statistics) and IPEDS (Integrated Post Secondary Education Data Systems) reports. • Specify contents and data definitions of college fact sheets for planning, budgeting, and evaluation cycle; prepare and publish reports. • Prepare and submit institutional salary and compensation reports for internal and external use. • Prepare communication and respond to written inquiries from federal, state, and local government. 	<ul style="list-style-type: none"> • Advise on data definitions. • Participate in the Enrollment Management Committee. Prepare Experiment Station, Extension, and other reports according to federal and state requirements. Advise on preparation of NCES & IPEDS reports. • Advise on the accuracy and usefulness of the data elements in the "college fact sheets." • N/A • Refer written inquiries from federal, state, and local government to Central. Prepare response or provide needed information. 	<ul style="list-style-type: none"> • Advise on data definitions. • Participate in the Enrollment Management Committee. Prepare Experiment Station, Extension, and other reports according to federal and state requirements. • Advise on the accuracy and usefulness of the data elements in the "college fact sheets." Complete projected "college fact sheets." • Prepare and submit collegiate salary and compensation reports to professional associations. • Refer written inquiries from federal, state, and local government to Central. Prepare response or provide needed information. 	<ul style="list-style-type: none"> • N/A • Prepare nonfinancial reports relating to sponsored programs. • Advise on the accuracy and usefulness of the data elements in the "college fact sheets." • Prepare and submit collegiate salary and compensation reports to professional associations. • Refer written inquiries from federal, state, and local government to Central. Prepare response or provide needed information.

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
REPORTING CONTINUED			
<ul style="list-style-type: none"> • Prepare and submit all data exchange material to AAUDE (Association of American University Data Exchange), Metropolitan University Group, and other institutional or doctoral campus data exchange consortia. • Determine whether to respond to and prepare response to information requests for the University to all institutional and doctoral level campus inquiries from non-government sources such as college guides, bond rating information, national surveys, and other requests not required by law. • Provide data and participate in planning and accreditation visits on coordinate campuses. • Develop and maintain criteria on which to base instructional program establishment and discontinuation actions. • Prepare documentation for Higher Education Coordinating Board program approval and discontinuance process. 	<ul style="list-style-type: none"> • Prepare and submit all data exchange material to data exchange consortia organized at the campus or Provostal level. Inform Central. • Determine whether to respond to and prepare response to information requests for the University at the campus and provost level from non-government sources such as college guides, bond rating information, national surveys, and other requests not required by law. • Provide data and participate in planning and accreditation visits. • Advise on criteria on which to base instructional program establishment and discontinuation process. • Provided necessary data and recommended establishment and discontinuance of programs. 	<ul style="list-style-type: none"> • Prepare and submit all data exchange material to data exchange consortia organized at the College level. Inform Provost or Chancellor and Central. • Determine whether to respond to and prepare response to information requests for the University at the Collegiate level from non-government sources such as college guides, bond rating information, national surveys, and other requests not required by law. • Provide data and participate in planning accreditation visits. • Advise on criteria on which to base instructional program establishment and discontinuation actions. • Provide necessary data and rationale for recommended establishment, discontinuance, and name changes. 	<ul style="list-style-type: none"> • Prepare and submit all data exchange material to data exchange consortia organized at the departmental level. Inform dean or administrative superior. • Determine whether to respond to and prepare response to information requests for the University at the Department level from non-government sources such as college guides, bond rating information, national surveys, and other requests not required by law. • Provide data and participate in planning and accreditation visits. • Advise on criteria on which to base instructional program establishment and discontinuation actions. • Provide necessary data and rationale for recommended establishment, discontinuance, and name changes.

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<u>REPORTING CONTINUED</u>			
<ul style="list-style-type: none">• Maintain inventory of approved instructional programs and existing accreditations. Ensure that all programs have gone through appropriate approval processes.• Maintain central database on program enrollments and ensure interface with internal operating systems.	<ul style="list-style-type: none">• Maintain inventory of approved instructional programs and existing accreditations in area of responsibility; provide the information to Central.• Supply information as needed.	<ul style="list-style-type: none">• Maintain inventory of approved instructional programs and existing accreditation in area of responsibility; provide the information to Provost/Chancellor.• Supply information as needed.	<ul style="list-style-type: none">• N/A• Supply information as needed.

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Function:*
Environment, Health and Safety
Roles, Responsibilities, and Requirements
President/Central, Provost/Chancellor, College/Administrative Units, Departments

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Approved by President Hasselmo

July 12, 1995

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FUNCTION: ENVIRONMENT, HEALTH, AND SAFETY- ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

REGULATORY - FEDERAL, STATE, AND LOCAL

- | | | | |
|--|---|---|---|
| <ul style="list-style-type: none">• Establish, monitor, and enforce policies and procedures related to environment, health and safety regulatory standards and codes for the institution. | <ul style="list-style-type: none">• Communicate policies and procedures; ensure compliance with policies and procedures, and regulatory standards and codes. | <ul style="list-style-type: none">• Communicate and assist in implementation of institutional policies and procedures, and regulatory standards and codes. | <ul style="list-style-type: none">• Manage programs to comply with institutional policies and procedures, and regulatory standards and codes. Develop departmental procedures to enforce institutional policies and procedures. |
| <ul style="list-style-type: none">• Oversee safety activities through internal and external audits, inspections, and advisory committees. Coordinate corrective action reports and provide assistance and clarification to conform to standards. | <ul style="list-style-type: none">• Ensure access for audit and inspection, and support corrective actions to conform with standards. Approve list of department and/or building liaisons and submit to President/Central. | <ul style="list-style-type: none">• Review reports and support corrective action plans. Annually designate a liaison by department and/or building as an informational contact. | <ul style="list-style-type: none">• Respond to reports and recommendations with plans for corrective action in consultation with Central; implement corrections. |
| <ul style="list-style-type: none">• Develop and administer standards to ensure maintenance of safe facilities and correction of deficiencies. | <ul style="list-style-type: none">• Ensure compliance with standards and provide, in coordination with Central Administration, for appropriate financial support for maintenance of safe facilities and correction of deficiencies. | <ul style="list-style-type: none">• Monitor compliance and determine if deficiencies have been corrected; ensure care and safe use of facilities. | <ul style="list-style-type: none">• Comply with standards and ensure facilities are appropriate and safe for intended use, provide necessary personal safety equipment. |
| <ul style="list-style-type: none">• Enforce stop work authority in cases of imminent danger. | <ul style="list-style-type: none">• Support and comply with stop work decisions. | <ul style="list-style-type: none">• Comply with stop work decisions. | <ul style="list-style-type: none">• Report imminent danger situations. Comply with stop work decisions. |
| <ul style="list-style-type: none">• Represent institution with regulatory agencies; respond to required reports, communicate changes, process permits, coordinate and assist in preparing responses to citations. | <ul style="list-style-type: none">• Review regulatory status of reporting units and ensure compliance. | <ul style="list-style-type: none">• Review reports, ensure compliance, and participate in regulatory reviews when requested. | <ul style="list-style-type: none">• Collect data for reports, maintain records and carry out inspections as required to comply with regulations. Inform Central of all actions and pay fines. |

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

REGULATORY-FEDERAL, STATE AND LOCAL - CONTINUED

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|---|--|---|---|
| <ul style="list-style-type: none">• Review and approve construction and remodeling plans after funding approval in accordance with applicable codes, standards, and institutional policies. | <ul style="list-style-type: none">• Ensure compliance with approved plans. | <ul style="list-style-type: none">• Provide support and review construction of safe facilities and ensure compliance. | <ul style="list-style-type: none">• Review and participate in design of facilities and ensure compliance. |
|---|--|---|---|

SERVICES

- | | | | |
|---|---|---|--|
| <ul style="list-style-type: none">• Control all ordering, receiving, and delivery of radioactive materials. | <ul style="list-style-type: none">• Ensure compliance with radioactive material controls. | <ul style="list-style-type: none">• Ensure compliance with radioactive material controls. | <ul style="list-style-type: none">• Comply with policies and procedures, and follow institutional procedures for ordering radioactive materials. |
| <ul style="list-style-type: none">• Administer central collection, packaging, shipment, and disposal of all hazardous waste. Manage waste storage and treatment facilities, and disposal contracts. | <ul style="list-style-type: none">• Ensure compliance with hazardous waste regulations. | <ul style="list-style-type: none">• Ensure compliance with hazardous waste regulations. | <ul style="list-style-type: none">• Conform to established policies and procedures for safely labeling, packaging, storing, and preparing waste for removal. |
| <ul style="list-style-type: none">• Evaluate, recommend, and monitor working conditions, hazardous materials, and accidents. Investigate complaints; identify corrective actions. | <ul style="list-style-type: none">• Ensure compliance with recommendations in response to hazardous conditions and ensure correction. | <ul style="list-style-type: none">• Review and support recommendations in response to hazardous conditions and ensure correction. | <ul style="list-style-type: none">• Identify and correct potentially hazardous conditions. Request evaluation. |
| <ul style="list-style-type: none">• Provide or arrange for emergency response and cleanup of hazardous material spills. | <ul style="list-style-type: none">• Ensure emergency response program exists. | <ul style="list-style-type: none">• Ensure emergency response program and procedures exist. | <ul style="list-style-type: none">• Develop procedures and training for handling of small scale hazardous material spills within the department. |

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

SERVICES - CONTINUED

- | | | | |
|---|---|---|---|
| <ul style="list-style-type: none">• Perform asbestos, lead, and other hazardous materials reviews prior to remodeling. Conduct University-wide review and inventories of asbestos and lead containing materials on a regular basis. | <ul style="list-style-type: none">• Ensure access and support corrective actions in response to reviews and inventories. | <ul style="list-style-type: none">• Support corrective actions in response to reviews and inventories. | <ul style="list-style-type: none">• Request review of asbestos, lead, and other hazardous materials prior to remodeling. Participate in the reviews and inventories conducted by EHS. |
| <ul style="list-style-type: none">• Support research community through development of EHS documentation for grant applications. | <ul style="list-style-type: none">• Communicate EHS requirements for research projects to ensure compliance. | <ul style="list-style-type: none">• Communicate EHS requirements for research projects to ensure compliance. | <ul style="list-style-type: none">• Comply with established EHS requirements when operating facilities and implementing programs. Request assistance on grant applications in a timely fashion. |
| <ul style="list-style-type: none">• Oversee required departmental training activities and provide assistance through "train-the-trainer" sessions. Maintain current library of training materials. | <ul style="list-style-type: none">• Ensure training is a priority for individuals in positions involving hazardous materials or hazardous activities. | <ul style="list-style-type: none">• Ensure training is a priority for individuals in potentially hazardous positions. Provide support for departmental training activities. | <ul style="list-style-type: none">• Require and provide training to all employees in positions involving hazardous materials or hazardous activities. Utilize training materials and assistance provided by EHS. Prepare and maintain training records for regulatory inspection. |
| <ul style="list-style-type: none">• Develop resource bank of generic plans, safety information, safe operating procedures, and waste reduction techniques. Develop electronic access. | <ul style="list-style-type: none">• Support continuing development of easily accessible resource banks. | <ul style="list-style-type: none">• Support continuing development of easily accessible resource banks. | <ul style="list-style-type: none">• Make use of available resources. Implement improved techniques whenever possible. |

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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS**

SERVICES - CONTINUED

- | | | | |
|--|---|---|---|
| <ul style="list-style-type: none">• Recommend environmental health and safety priorities for capital expenditures.• Evaluate environmental condition of property prior to purchase, sale or receipt of gift. Manage cleanup of contaminated property. | <ul style="list-style-type: none">• Review recommended priorities and advise.• Manage all property transactions through Space Management and Real Estate Office. | <ul style="list-style-type: none">• Review and transmit requests.• Manage all property transactions through Space Management and Real Estate Office. | <ul style="list-style-type: none">• Identify department needs for EHS capital expenditures.• Manage all property transactions through Space Management and Real Estate Office. Do not accept gifts of property, hazardous materials or equipment without review. |
|--|---|---|---|

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Function:*
Financial Management
Roles, Responsibilities, and Requirements
President/Central, Provost/Chancellor, College/Administrative Units, Departments

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Approved by President Hasselmo

July 12, 1995

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FUNCTION: FINANCIAL MANAGEMENT—ROLES, RESPONSIBILITIES, & REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

FINANCIAL MANAGEMENT AND PLANNING

- | | | | |
|--|---|---|---|
| <ul style="list-style-type: none">• Prepare institutional financial management plan(s).
• Oversee annual capital and operating budget preparation to ensure conformance with the goals and objectives of the institutional financial management plans.
• Monitor financial activities of the institution to address issues/concerns as they arise. Ensure that financial planning issues are communicated and discussed at all levels of the University. | <ul style="list-style-type: none">• Participate in development of institutional financial management plans. Lead development of campus/provostal financial management plans. Ensure preparation of collegiate and administrative plans in conformance with institutional/campus or provost guidelines.
• Develop campus/provostal level budget plans and ensure budget plans support the goals and objectives agreed to in the campus and institutional financial management plan(s).
• Participate in financial management matters and ensure the unimpeded communication of financial information between all levels of the University.*** Inform Central of financial management issues/concerns and communicate/discuss financial plans with colleges/administrative units. | <ul style="list-style-type: none">• Provide input to institutional financial management plan. Develop collegiate/administrative unit financial management plans in conformance with institutional/campus or provostal financial management plan(s).
• Develop budget plans that support the goals and objectives of collegiate, campus and institutional financial management plans. Analyze and evaluate whether departmental budget plans support the goals and objectives established in the collegiate plan.
• Ensure the unimpeded communication of financial information between all levels of the University.*** Communicate financial management issues/concerns to Provost/Chancellor/Sr. VP and communicate/discuss financial plans with departments. | <ul style="list-style-type: none">• Participate in development of collegiate/administrative financial plan. Develop departmental financial management plans in conformance with collegiate, campus, and institutional financial management plan(s).
• Develop budget plans that support the goals and objectives established by the Dean or Administrative Unit Head.
• Ensure the unimpeded communication of financial information between all levels of the University.*** Inform Dean or Administrative Officer of financial management issues/concerns. |
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*** All information created and held by the University, unless specifically noted to the contrary, is considered to be public information.

FUNCTION: FINANCIAL MANAGEMENT—ROLES, RESPONSIBILITIES, & REQUIREMENTS

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<u>PRESIDENT/CENTRAL</u>	<u>PROVOST/CHANCELLOR*</u>	<u>COLLEGE/ADMINISTRATIVE UNITS*</u>	<u>DEPARTMENTS**</u>
<u>FINANCIAL MANAGEMENT AND PLANNING - CONTINUED</u>			
<ul style="list-style-type: none"> • Administer and support functions essential to sound financial management -- including short and long range financial planning, annual capital and operating budgeting, accounting and investment policies and procedures. • Provide leadership, education, and assistance for effective financial management to all academic and administrative units. • Review, analyze and give final approval to proposed academic and administrative financial management plans. • Establish timelines, prepare data and information, and publish annual financial report for the institution. 	<ul style="list-style-type: none"> • Ensure implementation of sound financial management practices. • Promote, encourage and require effective financial management training, experience and practices. • Review, analyze and give final approval to proposed collegiate/administrative unit financial management plans. • Establish internal calendar to ensure that Collegiate and Administrative Units conform to institutional timelines. 	<ul style="list-style-type: none"> • Implement sound financial management practices. • Implement effective financial management practices. Oversee financial management practices of departments. Ensure adequate, up-to-date training and experience. • Review, analyze and give final approval to proposed departmental financial management plans. • Establish internal calendar to ensure conformance with institutional timelines. 	<ul style="list-style-type: none"> • Adhere to sound financial management practices. • Implement effective financial management practices. Ensure effective financial management skills, knowledge & abilities. Participate in training. • N/A • Establish internal calendar to ensure conformance with institutional timelines.
<u>FINANCIAL TRANSACTION PROCESSES</u>			
<ul style="list-style-type: none"> • Maintain systems to record and ensure consistent application of resource allocations and budget plans. 	<ul style="list-style-type: none"> • Ensure proper utilization of systems according to institutional policies and practices for resource allocation and budget preparation. 	<ul style="list-style-type: none"> • Oversee utilization of systems and coordinate collegiate and administrative unit input. 	<ul style="list-style-type: none"> • Input budget plans.

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<u>FINANCIAL TRANSACTION PROCESSES - CONTINUED</u>			
<ul style="list-style-type: none"> • Oversee and manage revenue collection, recording of receivables, and cash receipts. Monitor receipt activity of the institution. • Maintain database of gift balances and annual revenue and record transactions and earnings. • Maintain database of balances and annual revenue associated with invested assets, and record transactions and earnings. Establish income distribution standards of invested assets. • Oversee and manage system for recording encumbrances, purchases, and accounts payable. Monitor expenditure activity of the institution. • Negotiate procurement contracts to ensure competitive pricing, oversee bid process, and ensure participation of diverse populations. 	<ul style="list-style-type: none"> • Oversee and project available resources. Monitor external sales, tax collection and payment. • Ensure conformance with institutional policies and procedures and inform Central of fiscal activity related to gifts. • Ensure conformance with standards. Inform Central of fiscal activity related to invested assets. • Oversee financial activity to reduce risk (risk of deficits, unauthorized purchases, etc.). Ensure the use of appropriate systems at the collegiate/administrative unit level to reduce risk. Monitor and analyze financial activity. • Oversee participation in Targeted Business Groups and promote use of University-wide contract. 	<ul style="list-style-type: none"> • Ensure timely collection. Report inconsistencies. Ensure collection, reporting, and payments of sales tax. • Oversee conformance to institutional policies and procedures and inform provosts/Sr. VPs of fiscal activity related to gifts. Communicate fiscal activity to donors. • Oversee conformance to standards. Inform provosts/Sr. VPs of fiscal activity related to invested assets. • Monitor, analyze and conduct financial activity to control risk. • Ensure participation in Targeted Business Groups and use University-wide contract and bid process. 	<ul style="list-style-type: none"> • Manage collection of receivables. Deposit cash and checks in a timely manner, consistent with University policy. Collect, report, and pay sales tax. • Determine use of gift revenue. Ensure adherence to donor requests and communicate fiscal activity to donors. Inform college/administrative unit of fiscal activity related to gifts. • Inform college/administrative unit of fiscal activity related to invested assets. • Authorize payments. Promote segregation of duties for authorization of purchases and payments. • Participate in Targeted Business Groups and use University-wide contract and bid process.

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

FINANCIAL TRANSACTION PROCESSES - CONTINUED

- | | | | |
|---|---|---|---|
| <ul style="list-style-type: none">• Maintain databases to record capital equipment and building assets. Produce reports to monitor inventory. | <ul style="list-style-type: none">• N/A | <ul style="list-style-type: none">• Ensure records and inventory controls are in conformance with institutional guidelines/practices. Approve departmental equipment transfers, loans, gifts and sales. Inform provost/Sr./VPs of major equipment transactions. | <ul style="list-style-type: none">• Monitor and approve inventory reports; notify college/administrative unit and Central of equipment transfers, loans, gifts and sales. |
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FINANCIAL MANAGEMENT AND COMPLIANCE REPORTING

- | | | | |
|---|---|--|---|
| <ul style="list-style-type: none">• Establish institutional policies, standards, format and information requirements for internal and external financial management reporting. Provide assistance to academic and administrative units in the preparation of financial management reports.• Ensure financial data collection and management systems exist to capture budget and accounting transactions.• Develop and deliver consistent and timely internal budget and accounting reports for all funds. Evaluate institutional results.• Prepare external financial statements and income tax returns. | <ul style="list-style-type: none">• Review and advise on institutional policies, standards, format and information requirements of internal and external financial management reporting. Ensure conformance. Assist collegiate and administrative units.• Utilize institutional financial management systems.• Provide input on the development of internal reports. Oversee, interpret, and evaluate collegiate/campus results.• Ensure preparation of required information in a timely manner. | <ul style="list-style-type: none">• Review and advise on institutional policies, standards, format and information requirements of internal and external financial management reporting. Oversee conformance.• Utilize institutional financial management systems.• Provide input on the development of internal reports. Oversee, interpret, and evaluate departmental results.• Comply with timelines and information requests. | <ul style="list-style-type: none">• Comply with institutional standards, format and information requirements.• Utilize institutional financial management system.• Provide input on the development of internal reports. Monitor account results.• Provide financial information as requested. |
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COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

FINANCIAL ACCOUNTING CONTROLS AND COMPLIANCE

- | | | | |
|--|---|---|---|
| <ul style="list-style-type: none">• Develop, update, and distribute institutional financial accounting policies and procedures to incorporate external reporting requirements (Financial Accounting Standards Board, Cost Accounting Standards Board, Government Accounting Standards Board). Provide oversight and ensure compliance with financial accounting policies and procedures. | <ul style="list-style-type: none">• Participate in the development of and communicate policies, procedures, and standards. Oversee and promote compliance with financial policies and procedures. | <ul style="list-style-type: none">• Participate in the development of, and communicate policies, procedures, and standards. Monitor compliance and implement financial policies and procedures. | <ul style="list-style-type: none">• Participate in the development of, communicate, and comply with policies, procedures, and standards. |
| <ul style="list-style-type: none">• Establish, maintain and update internal control and review procedures to ensure reliability of data and financial statements. | <ul style="list-style-type: none">• Oversee control and review procedures for campus. | <ul style="list-style-type: none">• Establish, maintain, and update Collegiate/Administrative Unit control and review procedures, consistent with institutional control and review policies, to ensure reliability of data and reduce risk. | <ul style="list-style-type: none">• Analyze data and reconcile to ensure reliability of data. |
| <ul style="list-style-type: none">• Oversee and manage comprehensive financial audits to include: financial statements, federal funding, and IRS. Ensure compliance with audit recommendations for University-wide processes. | <ul style="list-style-type: none">• Ensure access for audit inspection and support corrective action with audit recommendations for Provost/Campus processes. | <ul style="list-style-type: none">• Assist and monitor compliance and support implementation of audit recommendations. | <ul style="list-style-type: none">• Assist and provide information as requested for audits; comply with and implement audit recommendations. |
| <ul style="list-style-type: none">• Assess University-wide current accounting practices to determine deficiencies and recommend alternatives. | <ul style="list-style-type: none">• Analyze Provost/Campus-wide to University-wide current accounting practices to determine deficiencies and recommend alternatives. | <ul style="list-style-type: none">• Analyze College/Administrative Unit-wide to University-wide current accounting practices to determine deficiencies and recommend alternatives. | <ul style="list-style-type: none">• Analyze Department-wide to University-wide current accounting practices to determine deficiencies and recommend alternatives. |

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<u>FINANCIAL ACCOUNTING</u>			
<u>CONTROLS AND COMPLIANCE</u>			
<u>- CONTINUED</u>			
<ul style="list-style-type: none"> • Develop, maintain, and implement financial system controls and support which include processing of data, security backups, and retention of data. • Oversee and authorize use of bank accounts. • Represent University with regulatory agencies; respond to required reports; communicate changes; coordinate and assist in preparing responses for risk management. • Develop and maintain University-wide Chart of Accounts to collect consistent financial data. • Develop, coordinate, and deliver training for policies, procedures, financial management, and systems. Provide assistance as needed. 	<ul style="list-style-type: none"> • Advise and recommend improvements. • N/A • Review reports and ensure compliance. Communicate changes. • Ensure consistent application of the Chart of Accounts. Establish protocol, within the campus/provostal area, for making changes in the account structure. • Encourage, participate in, and promote participation in training programs. Provide training as needed. 	<ul style="list-style-type: none"> • Provide input and recommend improvements. • Monitor use of University authorized bank accounts. • Ensure compliance and participate in reviews. • Use Chart of Accounts to provide consistent information. Monitor consistent application of the Chart of Accounts and correct deficiencies. Establish protocol, within the college/administrative unit, for making changes in the account structure. • Encourage, participate, and promote participation in training programs. Provide training as needed. 	<ul style="list-style-type: none"> • Provide input, review, and comment through participation in user committees. • Ensure receipts are deposited with Bursar or University authorized bank accounts. • Report incidences; maintain records; inform Central of ongoing activity. • Use Chart of Accounts to provide consistent information. • Participate in training programs. Provide training as needed.

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Function:* **Instruction**

Roles, Responsibilities, and Requirements

President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

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FUNCTION: INSTRUCTION - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<ul style="list-style-type: none">• Establish University-wide admissions standards for undergraduate students (e.g. preparation requirements). Review campus and collegiate admissions standards for undergraduate students with respect to University enrollment management objectives. Negotiate transfer agreements with other systems.	<ul style="list-style-type: none">• Establish campus-wide admissions standards (if any) for undergraduate students. Review and approve collegiate admissions standards for undergraduate students.	<ul style="list-style-type: none">• Establish collegiate admissions standards for undergraduate students. Review and approve departmental admissions standards.	<ul style="list-style-type: none">• Propose departmental admissions standards for undergraduate students.
<ul style="list-style-type: none">• Establish admissions standards for graduate students. Review and approve graduate program admissions standards. Review with respect to University enrollment management objectives.	<ul style="list-style-type: none">• Review and approve graduate program admissions standards with respect to campus enrollment management objectives.	<ul style="list-style-type: none">• Review and approve graduate program admissions standards with respect to collegiate enrollment management objectives.	<ul style="list-style-type: none">• Propose graduate program admissions standards.
<ul style="list-style-type: none">• Review professional*** program admissions standards with respect to University enrollment management objectives.	<ul style="list-style-type: none">• Review and approve professional*** program admissions standards.	<ul style="list-style-type: none">• Review and approve professional*** program admissions standards.	<ul style="list-style-type: none">• Propose professional*** program admissions standards.

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July 12, 1995

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*** MD, DVM, DDS, PharmD, MPH, JD, Departmental Masters

FUNCTION: INSTRUCTION - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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<u>PRESIDENT/CENTRAL</u>	<u>PROVOST/CHANCELLOR*</u>	<u>COLLEGE/ADMINISTRATIVE UNITS*</u>	<u>DEPARTMENTS**</u>
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Lead the development or revision of campus-wide curricular requirements and standards for undergraduate degree programs (e.g. liberal education requirements, BA requirements/standards, BS requirements/standards). Oversee the development or revision of collegiate undergraduate degree program requirements. 	<ul style="list-style-type: none"> • Lead the development or revision of collegiate undergraduate degree program requirements. 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • Oversee the development of graduate degree requirements. 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Review and approve graduate degree program requirements for programs involving college faculty and resources. 	<ul style="list-style-type: none"> • Develop or revise graduate degree program requirements.
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Oversee the development or revision of professional*** degree program requirements. 	<ul style="list-style-type: none"> • Review and approve professional*** degree program requirements. 	<ul style="list-style-type: none"> • Develop or revise professional*** degree program requirements.
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Oversee the development or revision of the undergraduate curriculum in each college. 	<ul style="list-style-type: none"> • Review and approve the undergraduate curriculum; review and approve requirements for undergraduate majors. 	<ul style="list-style-type: none"> • Develop, maintain, and/or improve the undergraduate curriculum; propose requirements for undergraduate majors.
<ul style="list-style-type: none"> • Review and approve the curriculum for graduate programs. 	<ul style="list-style-type: none"> • Monitor the integrity of graduate programs. 	<ul style="list-style-type: none"> • Review and approve the involvement of college faculty and the use of college resources in graduate programs. 	<ul style="list-style-type: none"> • Develop, maintain, and/or improve the curriculum for graduate programs; propose requirements for majors in graduate programs.

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<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Monitor the integrity of professional*** programs. 	<ul style="list-style-type: none"> • Review and approve the curriculum for professional*** programs; review and approve requirements for majors in professional*** programs. 	<ul style="list-style-type: none"> • Develop, maintain, and/or improve the curriculum for professional*** programs; propose requirements for majors in professional*** programs.
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Establish and oversee campus grading policies and standards. 	<ul style="list-style-type: none"> • Monitor adherence to campus grading policies and standards at collegiate level. 	<ul style="list-style-type: none"> • Comply with campus grading policies and standards.
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Monitor course access at collegiate level and administer campus course access contingency funds. 	<ul style="list-style-type: none"> • Monitor course access at departmental level and administer college course access contingency funds. 	<ul style="list-style-type: none"> • Schedule courses to ensure access to required courses in undergraduate, graduate, and professional*** degree programs.
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Monitor teaching assignments for undergraduate, graduate, and professional*** level courses. 	<ul style="list-style-type: none"> • Determine teaching assignments for undergraduate, graduate, and professional*** level courses in conformance with college workload policy and college policy regarding minimum course enrollments.
<ul style="list-style-type: none"> • Lead development and oversee implementation of teaching evaluation policy. 	<ul style="list-style-type: none"> • Conduct teaching evaluation for campus and disseminate evaluations to deans, department heads, and faculty members. 	<ul style="list-style-type: none"> • Monitor departmental review of teaching evaluations of departmental faculty. 	<ul style="list-style-type: none"> • Review teaching evaluations at departmental level and use in the evaluation of faculty members.

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July 12, 1995

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<ul style="list-style-type: none"> • Establish institutional goals for interdisciplinary activities. 	<ul style="list-style-type: none"> • Lead and support the development and operation of cross-collegiate undergraduate interdisciplinary programs (with other provosts and chancellors, when necessary). Explore cooperative programming activities with other institutions in response to unit directives and goals. 	<ul style="list-style-type: none"> • Lead and support the development and operation of undergraduate interdisciplinary programs within the college. Review and approve the involvement of college faculty and the use of college resources in cross-collegiate undergraduate interdisciplinary programs. 	<ul style="list-style-type: none"> • (Faculty) propose new undergraduate interdisciplinary activities.
<ul style="list-style-type: none"> • Lead and support the development and operation of graduate interdisciplinary programs. 	<ul style="list-style-type: none"> • Monitor the integrity of graduate interdisciplinary programs. 	<ul style="list-style-type: none"> • Review and approve the involvement of college faculty and the use of college resources in graduate interdisciplinary programs. 	<ul style="list-style-type: none"> • (Faculty) propose new graduate interdisciplinary activities.
<ul style="list-style-type: none"> • Establish institutional goals for international activities. 	<ul style="list-style-type: none"> • Lead and support the development and operation of cross-collegiate international programs (with other provosts and chancellors, when necessary). Explore cooperative programming activities with other institutions in response to unit directives and goals. 	<ul style="list-style-type: none"> • Lead and support the development and operation of international programs within the college. Review and approve the involvement of college faculty and the use of college resources in cross-collegiate international programs. 	<ul style="list-style-type: none"> • (Faculty) propose new international activities.
<ul style="list-style-type: none"> • Promote and oversee all University student study abroad program(s). 	<ul style="list-style-type: none"> • Administer campus based student study abroad programs. 	<ul style="list-style-type: none"> • Administer college based student study abroad programs. 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • Approve academic calendar(s) for each campus. 	<ul style="list-style-type: none"> • Propose academic calendar(s) for campus.**** 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Recommend campus calendar.****

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July 12, 1995

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**** Faculty roles may vary by campus.

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<ul style="list-style-type: none"> • Conduct annual instructional cost study with well defined methodology; conduct annual review of methodology. 	<ul style="list-style-type: none"> • Review and recommend instructional cost study methodology; participate in review of methodology. 	<ul style="list-style-type: none"> • Advise provost/chancellor regarding instructional cost study methodology; participate in review of methodology. 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Provide premajor advising services. 	<ul style="list-style-type: none"> • Provide advising for undergraduate, graduate, and professional*** majors.
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Administer collegiate intern/co-op programs. 	<ul style="list-style-type: none"> • Administer departmental intern/co-op programs.
<ul style="list-style-type: none"> • Administer UROP for all campuses (e.g. allocation of resources to campuses). 	<ul style="list-style-type: none"> • Administer UROP at the campus level (e.g. application process). 	<ul style="list-style-type: none"> • Administer UROP at the college level (e.g. review proposals and make awards). 	<ul style="list-style-type: none"> • Administer UROP at the departmental level (e.g. maintain accounts).
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Provide career counseling and placement services for undergraduate, graduate, and professional*** students. 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Oversee work with external advisory groups. 	<ul style="list-style-type: none"> • Work with external collegiate advisory groups. 	<ul style="list-style-type: none"> • Work with external departmental advisory groups.
<ul style="list-style-type: none"> • Report and promote accomplishments of University Instructional activities. 	<ul style="list-style-type: none"> • Report and promote accomplishments of University Instructional activities. 	<ul style="list-style-type: none"> • Report and promote accomplishments of University Instructional activities. 	<ul style="list-style-type: none"> • Report and promote accomplishments of University Instructional activities.

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Function:*
Management of Human Resources
(Excluding Hospital Employees)
Roles, Responsibilities, and Requirements
President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

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FUNCTION: MANAGEMENT OF HUMAN RESOURCES - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

POLICIES, PROCEDURES, RULES, REGULATIONS, STANDARDS AND REPORTS

POLICIES/PROCEDURES

- | | | | |
|--|--|--|--|
| <ul style="list-style-type: none">• Develop system-wide human resource policies and procedures and submit to Board of Regents for review and approval where appropriate. Update and disseminate policy and procedures. Oversee compliance. | <ul style="list-style-type: none">• Monitor implementation of policies and procedures. Provide Central with input on development or modification of system-wide policies and procedures. | <ul style="list-style-type: none">• Ensure that departments/units are familiar and comply with policies and procedures. | <ul style="list-style-type: none">• Comply with policies and procedures. |
| <ul style="list-style-type: none">• Establish parameters for employee compensation and benefit plans (including private practice plans). | <ul style="list-style-type: none">• Recommend parameters for employee compensation (including private practice plans). | <ul style="list-style-type: none">• Comply with parameters for employee compensation (including private practice plans). | <ul style="list-style-type: none">• Comply with parameters for employee compensation (including private practice plans). |
| <ul style="list-style-type: none">• Establish and administer University-wide grievance policy. | <ul style="list-style-type: none">• May serve as respondent or serve on grievance panels. | <ul style="list-style-type: none">• May serve as respondent or serve on grievance panels. | <ul style="list-style-type: none">• May serve as respondent or serve on grievance panels. |

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DEPARTMENTS**

POLICIES, PROCEDURES, RULES, REGULATIONS, STANDARDS AND REPORTS CONTINUED

RULES, REGULATIONS AND STANDARDS

- | | | | |
|---|---|---|---|
| <ul style="list-style-type: none"> • Establish standards for compliance with various Federal and State legal mandates (for example: FMLA, ADA, FLSA, PELRA and workers compensation). Communicate guidelines and mandates. Oversee compliance. | <ul style="list-style-type: none"> • Oversee and comply with federal and state legal mandates. | <ul style="list-style-type: none"> • Monitor and comply with federal and state legal mandates. | <ul style="list-style-type: none"> • Comply with federal and state legal mandates. |
| <ul style="list-style-type: none"> • Establish equal opportunity and affirmative action goals, principles, and guidelines. Oversee compliance. | <ul style="list-style-type: none"> • Oversee compliance with equal opportunity and affirmative action goals, principles, and guidelines. | <ul style="list-style-type: none"> • Monitor compliance with equal opportunity and affirmative action goals, principles, and guidelines. | <ul style="list-style-type: none"> • Comply with equal opportunity and affirmative action goals, principles, and guidelines. |

REPORTS

- | | | | |
|---|---|---|---|
| <ul style="list-style-type: none"> • Provide recurring and ad hoc reports on human resource topics to internal and external sources. Provide analytical and technical support for maintenance, enhancement and development of human resources information databases. | <ul style="list-style-type: none"> • Provide data as requested by Central. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
|---|---|---|---|

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COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

EMPLOYMENT SERVICES

- | | | | |
|--|---|---|--|
| <ul style="list-style-type: none">• Provide services to promote the successful transition to the University of Minnesota campuses and other locations for new faculty and staff, and their families. | <ul style="list-style-type: none">• Oversee transition of new hires. Negotiate spousal hires. | <ul style="list-style-type: none">• Monitor transition of new hires. | <ul style="list-style-type: none">• Help candidates and new hires feel welcome at the University. Recognize that new hires may need assistance with personal and work-related concerns and facilitate the process of resolving issues. |
| <ul style="list-style-type: none">• Process and maintain PAF and other personnel documents reflecting employee appointments, change of status, terminations, seniority, etc. | <ul style="list-style-type: none">• Review and approve PAF exceptions to established policy. | <ul style="list-style-type: none">• Review and approve PAF and submit in timely manner. | <ul style="list-style-type: none">• Prepare timely, accurate PAFs Maintain department personnel files. |
| <ul style="list-style-type: none">• Generate paychecks, provide W-2s and ensure accurate compliance submission of all federal and state taxes. | <ul style="list-style-type: none">• N/A | <ul style="list-style-type: none">• Ensure departmental compliance with policy. | <ul style="list-style-type: none">• Comply with policy. |

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<u>ACADEMIC EMPLOYEES</u>			
<u>RECRUITMENT AND APPOINTMENT</u>			
<ul style="list-style-type: none"> • Establish and administer job classification system for faculty and P&A staff. • Establish protocol and standards on how searches are conducted. • Provide final sign-off on search plans. • Recruit and appoint provosts, chancellors, and vice presidents. • Approve pool of dean candidates for national searches. Graduate Dean will review and recommend to Provost/Chancellor academic hires with tenure. • Approve pool of department head and center/program director candidates for national searches. Graduate Dean will review and recommend to Provost/Chancellor academic hires with tenure. 	<ul style="list-style-type: none"> • Monitor job assignments to ensure consistency with job classification system. • Advise Central on search protocol and standards. • Approve search plan. • Participate as requested in recruitment process. • Recruit and appoint deans in consultation with Central. • Oversee and assist in the recruitment and appointment of department heads and center/program directors. 	<ul style="list-style-type: none"> • Monitor job assignments to ensure consistency with job classification system. • Provide assistance in development of search protocol and standards. • Authorize and approve search plans for faculty and professional and administrative staff (P&As). • Participate as requested in recruitment process. • Participate as requested in recruitment process. • Recruit and appoint department heads and center/program directors. 	<ul style="list-style-type: none"> • N/A • N/A • Conform to standards when developing search plan for faculty and P&As. • Participate as requested in recruitment process. • Participate as requested in recruitment process. • Participate as requested in recruitment process.

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PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

ACADEMIC EMPLOYEES CONTINUED

RECRUITMENT AND APPOINTMENT CONTINUED

- | | | | |
|---|--|---|---|
| <ul style="list-style-type: none">• Approve pool of faculty and P&A candidates for national searches. Graduate Dean will review and recommend to Provost/Chancellor academic hires with tenure. | <ul style="list-style-type: none">• Monitor faculty and P&A hiring, assist when requested. | <ul style="list-style-type: none">• Approve faculty and P&A appointments | <ul style="list-style-type: none">• Recruit and appoint faculty and P&As. |
| <ul style="list-style-type: none">• Monitor graduate assistantship eligibility; ensure compliance with policy and administer tuition related benefits. Administer the University's graduate fellowship program. | <ul style="list-style-type: none">• N/A | <ul style="list-style-type: none">• Oversee graduate assistance employment practices. | <ul style="list-style-type: none">• Recruit and appoint graduate assistants. |

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
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ACADEMIC EMPLOYEES
CONTINUED

EVALUATION

<ul style="list-style-type: none"> • Establish policies and guidelines for annual and required major evaluations of academic staff. 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • Evaluate vice presidents, provosts, chancellors. 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • Oversee the evaluation of deans. 	<ul style="list-style-type: none"> • Evaluate deans. 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Oversee the evaluation of department heads and center/program directors. 	<ul style="list-style-type: none"> • Evaluate department heads and center/program directors. 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Oversee evaluation of faculty and P&As as required by policy. 	<ul style="list-style-type: none"> • Evaluate faculty and P&As as required by policy.
<ul style="list-style-type: none"> • Establish guidelines, protocol, and standards for retention offers. Monitor implementation. 	<ul style="list-style-type: none"> • Advise Central on guidelines, protocol, and standards for retention offers. Oversee and review faculty and P&A retention offers. Notify Central of retention offers. 	<ul style="list-style-type: none"> • Review and approve faculty and P&A retention offers; recommend for approval. 	<ul style="list-style-type: none"> • Prepare faculty and P&A retention offers for consideration at the collegiate level.
<ul style="list-style-type: none"> • Establish and oversee faculty work load policy guidelines. Summarize and report faculty accomplishments. 	<ul style="list-style-type: none"> • Monitor and approve collegiate work load policies and standards. 	<ul style="list-style-type: none"> • Establish and enforce college-specific work load policies and standards. 	<ul style="list-style-type: none"> • Establish faculty work assignments.

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COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

ACADEMIC EMPLOYEES CONTINUED

PROMOTION AND TENURE

- | | | | |
|---|---|--|--|
| <ul style="list-style-type: none">• Administer policies and procedures for the promotion and tenure of faculty members. Dean of the Graduate School serves an advisory, staff role to chancellors and provosts to insure uniformity of standards. Present provosts/chancellors recommendations to the Board of Regents. | <ul style="list-style-type: none">• Review and approve recommendations for promotion and tenure of faculty members. | <ul style="list-style-type: none">• Evaluate and recommend faculty members for promotion and tenure. | <ul style="list-style-type: none">• Evaluate and recommend faculty members for promotion and tenure. |
|---|---|--|--|

TERMINATION FOR CAUSE

- | | | | |
|---|--|--|---|
| <ul style="list-style-type: none">• Establish policies and procedures for termination for cause in consultation with faculty governance system. | <ul style="list-style-type: none">• Comply with policies; review and approve termination for cause action. | <ul style="list-style-type: none">• Comply with policies; initiate termination for cause action. | <ul style="list-style-type: none">• Advise Dean on termination for cause action recommendation. |
|---|--|--|---|

PROMOTION AND CONTINUOUS APPOINTMENT

- | | | | |
|--|---|---|---|
| <ul style="list-style-type: none">• Administer policies and procedures for the continuous appointment of academic professionals. Present provosts/chancellors recommendations to the Board of Regents. | <ul style="list-style-type: none">• Review and approve recommendations for continuous appointments of academic professionals. | <ul style="list-style-type: none">• Evaluate and recommend academic professionals for continuous appointment. | <ul style="list-style-type: none">• Evaluate and recommend academic professionals for continuous appointment. |
| <ul style="list-style-type: none">• Administer policies and procedures for the promotion of P&As. | <ul style="list-style-type: none">• Approve promotions of P&As. | <ul style="list-style-type: none">• Evaluate and recommend P&As for promotion. | <ul style="list-style-type: none">• Evaluate and recommend P&As for promotion. |

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DEPARTMENTS**

ACADEMIC EMPLOYEES CONTINUED

NONRENEWAL FOR P&A

- | | | | |
|--|--|---|--|
| <ul style="list-style-type: none">• Establish policies and procedures for nonrenewal of contracts. | <ul style="list-style-type: none">• Oversee compliance with policies and procedures. | <ul style="list-style-type: none">• Comply with policies; review and approve nonrenewal of contracts. | <ul style="list-style-type: none">• Comply with policies; recommend nonrenewal of contracts. |
|--|--|---|--|

TERMINATION FOR CAUSE FOR P&A

- | | | | |
|---|--|--|--|
| <ul style="list-style-type: none">• Establish policies and procedures for termination for cause in consultation with academic staff advising committee. | <ul style="list-style-type: none">• Comply with policies; review and approve termination for cause action. | <ul style="list-style-type: none">• Comply with policies; review and approve termination for cause action. | <ul style="list-style-type: none">• Comply with policies; initiate termination for cause action. |
|---|--|--|--|

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COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

CIVIL SERVICE AND BARGAINING UNIT EMPLOYEES

RECRUITMENT AND APPOINTMENT

- | | | | |
|---|--|---|---|
| <ul style="list-style-type: none">• Establish and administer job classification system for staff.• Recruit, process, screen, and refer applicants for staff position to units for Twin Cities. | <ul style="list-style-type: none">• Monitor job assignments to ensure consistency with job classification system.• <u>Provost</u>: N/A• <u>Chancellor</u>: screen and refer applicants to units. | <ul style="list-style-type: none">• Monitor job assignments to ensure consistency with job classification system.• Authorize departments to fill new or replacement positions. | <ul style="list-style-type: none">• N/A• Prepare job requisition listing, job description, essential qualifications and selection criteria. Screen and interview applicants referred by Human Resources for civil service and union positions. |
|---|--|---|---|

EVALUATION

- | | | | |
|--|--|---|---|
| <ul style="list-style-type: none">• Develop and oversee the implementation of the performance appraisal program. | <ul style="list-style-type: none">• Provide input on campus needs. (May develop collegiate performance appraisal forms to submit to HR for review and approval.) | <ul style="list-style-type: none">• Ensure the use of performance appraisal form in college; may develop collegiate performance appraisal forms and submit to HR for review and approval. | <ul style="list-style-type: none">• Implement program in department; ensure supervisors conduct performance appraisals. |
|--|--|---|---|

RECLASSIFICATION

- | | | | |
|--|--|--|---|
| <ul style="list-style-type: none">• Provide final approval on reclassifications. | <ul style="list-style-type: none">• Review employee reclassifications. | <ul style="list-style-type: none">• Review and recommend employee reclassifications. | <ul style="list-style-type: none">• Propose employee reclassifications. |
|--|--|--|---|

PROMOTION

- | | | | |
|--|--|--|---|
| <ul style="list-style-type: none">• Establish policies for promotions. | <ul style="list-style-type: none">• Approve exceptional salary adjustments associated with promotions. | <ul style="list-style-type: none">• Review and approve promotions. | <ul style="list-style-type: none">• Recommend promotions. |
|--|--|--|---|

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DEPARTMENTS**

CIVIL SERVICE AND BARGAINING UNIT EMPLOYEES

LAY OFF

- Consult with, and assist units who are planning layoffs.
- Create and maintain seniority lists, provide the order of the layoff, and advise on bumping rights for all staff positions.
- Coordinate with Deans to determine appropriate areas for down-sizing.
- Support the re-employing of laid-off employees.
- Monitor layoff activity across all departments.
- Encourage reassignment where possible across the unit when down-sizing. Support reemployment of laid-off employees.
- Issue layoff notices.
- Hire qualified, laid off employees referred by Human Resources.

TERMINATION FOR CAUSE

- Establish policies and procedures for termination for cause.
- Oversee termination for cause.
- Monitor termination for cause.
- Comply with policies and protocol when terminating employees.

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DEPARTMENTS**

STUDENT EMPLOYMENT

RECRUITMENT AND APPOINTMENT

- | | | | |
|--|--|---|--|
| <ul style="list-style-type: none"> • Establish job classification system for student employees. Administer process on Twin Cities campus. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A ----- • <u>Chancellor:</u> recommend and administer job classification system for student employees. | <ul style="list-style-type: none"> • Monitor job assignments to ensure consistency with job classification system. | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Establish policies and procedures (except need based student employment) for student employment on Twin Cities campus. Ensure compliance system-wide. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A ----- • <u>Chancellor:</u> establish policies and procedures (except need based student employment) for student employment. Ensure compliance. | <ul style="list-style-type: none"> • Monitor compliance with policies and procedures. | <ul style="list-style-type: none"> • Comply with policies and procedures. |
| <ul style="list-style-type: none"> • Recruit, process, screen, and refer applicants to units for Twin Cities campus. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A ----- • <u>Chancellor:</u> recruit, process, screen, and refer applicants to units. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Prepare job requisition listing essential qualifications and selection criteria. Participate in recruiting, screening, and interviewing of applicants. |
| <ul style="list-style-type: none"> • Develop and maintain system-wide policies and procedures and maintain external student employment programs for Twin Cities campus with public and private business partners. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A ----- • <u>Chancellor:</u> develop and maintain student employment programs with public and private business partners. | <ul style="list-style-type: none"> • Develop and maintain student employment programs with public and private business partners. | <ul style="list-style-type: none"> • Create and provide student employment opportunities with public and private business partners. |

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<u>STUDENT EMPLOYMENT CONTINUED</u>			
<u>EVALUATION</u>			
<ul style="list-style-type: none"> Administer optional performance evaluation system on Twin Cities campus. 	<ul style="list-style-type: none"> <u>Provost:</u> N/A <hr/> <ul style="list-style-type: none"> <u>Chancellor:</u> administer optional performance evaluation system 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> Participate (optional) in performance evaluation system.
<u>RECLASSIFICATION</u>			
<ul style="list-style-type: none"> Administer reclassification process on Twin Cities campus. 	<ul style="list-style-type: none"> <u>Provost:</u> N/A <hr/> <ul style="list-style-type: none"> <u>Chancellor:</u> administer reclassification system. 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> Propose and/or process reclassifications.
<u>LAYOFF</u>			
<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> Issue layoff notice.
<u>TERMINATION FOR CAUSE</u>			
<ul style="list-style-type: none"> Establish policies and procedures for termination for cause for Twin Cities campus. Oversee all campus policies and procedures. 	<ul style="list-style-type: none"> <u>Provost:</u> N/A <hr/> <ul style="list-style-type: none"> <u>Chancellor:</u> establish policies and procedures for terminations for cause. 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> Comply with policies and procedures when terminating student employees.

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PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

UNION CONTRACT NEGOTIATION AND ADMINISTRATION

- | | | | |
|---|---|---|--|
| <ul style="list-style-type: none">• Establish parameters for, and oversee contract negotiations. Establish negotiation teams, including a chief negotiator, who will negotiate the institution's collective bargaining agreements. Coordinate changes and proposals in contracts in consultation with units. Submit to Regents for approval.
• Oversee system-wide administration of contracts, rules and policies. Provide assistance, interpretation and training about contracts, rules, policies and procedures.
• Develop and coordinate system-wide response to union organizing efforts. Communicate information and provide training and advice to unit managers and supervisors. | <ul style="list-style-type: none">• <u>Provost/Chancellor:</u> Provide input on changes and proposals in contracts.

<u>UMD:</u> provide staff from campus administrative offices to serve on negotiation teams for UEA. Recommend UEA contract parameters on changes and proposals in contracts.
• <u>Provost/Chancellor:</u> Oversee compliance with contracts, rules, policies, and procedures.

<u>UMD:</u> campus administration oversees contract administration. Oversee compliance with contracts, rules, policies, and procedures.
• <u>Provost/Chancellor:</u> Provide input to University's response to union organizing efforts.

<u>UMD:</u> communicate information, train, and advise unit managers and supervisors. Provide input to University's response to union organizing efforts. | <ul style="list-style-type: none">• Provide staff to serve on negotiation teams. Provide input on changes and proposals in contracts.
• Oversee compliance with contracts, rules, policies, and procedures.
• Provide input regarding issues on management initiatives and provide opportunities to address issues with managers and supervisors. | <ul style="list-style-type: none">• Provide staff to serve on negotiation teams.
• Comply with contracts, rules, policies, and procedures.
• Provide input on all issues and management initiatives. |
|---|---|---|--|

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FUNCTION: MANAGEMENT OF HUMAN RESOURCES - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

Note: This document represents a delegation of responsibility surrounding the function of human resources as part of University operations.
it does not signify the responsibilities within any particular office.

PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

**UNION CONTRACT
NEGOTIATION AND
ADMINISTRATION
CONTINUED**

- Represent the University in unit clarification and other election related proceedings before the Bureau of Mediation Services.
- Oversee grievance processes under bargaining unit contracts. Provide assistance on disciplinary and mediation processes.
- Coordinate labor management committees and task forces negotiated in labor contracts.

- N/A
- Provost/Chancellor: coordinate bargaining unit grievance process among units. Review, approve, and recommend grievance settlements and disciplinary actions.
- UMD: advise supervisors on grievance process, disciplinary actions and problem solving.
- Support creation of labor management committees within units.

- Request clarification of bargaining unit for employees. Provide information to support request.
- Respond to bargaining unit grievances.
- Establish and participate in labor management committees

- Request clarification of bargaining unit for employees. Provide information to support request.
- Respond to bargaining unit grievances. Take disciplinary action and participate in mediation processes.
- Establish and participate in labor management committees.

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FUNCTION: MANAGEMENT OF HUMAN RESOURCES - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

COMPENSATION AND BENEFITS ADMINISTRATION

- | | | | |
|---|--|---|--|
| <ul style="list-style-type: none"> • Develop and communicate the compensation plan, including philosophy, principles, and general parameters affecting all employee groups. • Establish standards and parameters for salary adjustments. • Administer health, life, and disability insurance and reimbursements accounts. • Administer retirement programs for faculty and staff including optional plans and retiree supplements. • Administer benefits associated with Phased Retirements and terminal leaves, domestic partner registration, and layoff/nonrenewal programs. • Monitor workers' compensations claims and coordinate work return. | <ul style="list-style-type: none"> • Oversee compensation plan including customization allowed for within the general parameters. • Oversee salary adjustment process: recommend adjustments for deans. • N/A • N/A • Monitor use of phased retirement agreements, terminal leave agreements, and layoffs/nonrenewals. • N/A | <ul style="list-style-type: none"> • Approve or adjust recommendations from departments. • Review and approve salary recommendations from departments. • N/A • N/A • Approve phased retirements agreements, terminal leave agreements, and layoffs/nonrenewals. • Support department/faculty in efforts to make reasonable accommodations to re-employ an injured employee. | <ul style="list-style-type: none"> • Recommend merit increases and other salary adjustments. • Recommend salary adjustments. • N/A • N/A • Initiate phased retirement agreements, terminal leave agreements, and layoffs/nonrenewals. • Participate in return to work progress for an injured employee by assessing the employee's job and making necessary changes to accommodate the injury. |
|---|--|---|--|

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FUNCTION: MANAGEMENT OF HUMAN RESOURCES - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

COMPENSATION AND BENEFITS ADMINISTRATION CONTINUED

- | | | | |
|--|---|---|--|
| <ul style="list-style-type: none">• Disseminate unemployment insurance guidelines. | <ul style="list-style-type: none">• N/A | <ul style="list-style-type: none">• Provide information to process unemployment insurance claims attend hearings. | <ul style="list-style-type: none">• Provide information to process unemployment insurance claims; attend hearings. |
|--|---|---|--|

EDUCATION AND TRAINING

- | | | | |
|--|---|--|--|
| <ul style="list-style-type: none">• Coordinate and oversee training programs. Communicate available resources. | <ul style="list-style-type: none">• Recommend and support participation in development and delivery of programs. Promote and encourage training participation. Participate in training. | <ul style="list-style-type: none">• Utilize internal resources in development and delivery of programs. Participate in training. | <ul style="list-style-type: none">• Utilize internal resources in development and delivery of programs. Participate in training. |
|--|---|--|--|

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Function:*
Management of Information Technology
Roles, Responsibilities, and Requirements
President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

* Note: This document represents a delegation of responsibility surrounding the function of the management of information technology as part of University operations. It does not signify the responsibilities within any particular office.

FUNCTION: MANAGEMENT OF INFORMATION TECHNOLOGY--ROLES, RESPONSIBILITIES, & REQUIREMENTS

Note: this document represents a delegation of responsibility surrounding the function of information technology as part of university operations. It does not signify the responsibilities within any particular office.

DEFINITIONS:

Infrastructure – refers to the "technology" platforms including: workstations, networks, servers, and tools. AKA – "access."

Applications – refers to the "information" systems including: administrative systems, library and research databases, and public access information services both campus-wide and across the Internet. AKA – "content."

Support – refers to the "services" necessary to help people use information and technology effectively in their work, including: demonstrations, documentation, consultation, training, troubleshooting, operations, maintenance, and repair. AKA – "help."

EXAMPLES:

University-wide

Infrastructure	Support	Applications
<ul style="list-style-type: none"> • E-mail list servers • Internet news servers • X.500 directory servers • Networks links to the campuses • Networks links to the Internet (CICNet) • Supercomputer Center # NTIA – Access Minnesota Grant 	<ul style="list-style-type: none"> • Network access tools <ul style="list-style-type: none"> • Gopher • POPmail • Minuet • Gina • World Wide Web • Data access tools 	<ul style="list-style-type: none"> • Student information systems • Financial management systems • Human resource systems • Library systems and databases • Institutional reporting databases • Home Gopher Server • Universal ID card

Campus-wide

Infrastructure	Support	Applications
<ul style="list-style-type: none"> • E-mail hubs & servers • Data-backbone switches & routers • Data-modem pools & SLIP servers • Data-design & troubleshooting • Video-switches & lines \$ Voice-switch & cable plant \$ Voice mail \$ Data-fiber between buildings \$ Data-hub wiring to the wall jacks \$ Application servers (data centers) \$ Desktop and LAN backup services \$ High-volume printing services \$ Gopher & Web server management # Research workstation clusters # IBM equipment grant # Sun equipment grant 	<ul style="list-style-type: none"> • Short courses • Help lines • Pre-sale and post-sale demo center • Public student labs • Digital media center \$ Software site licensing \$ Hardware warranty repair service \$ Lab management service \$ LAN management service \$ Field administrator program \$ CAFE server program 	<ul style="list-style-type: none"> \$ Departmental applications development \$ Workflow applications \$ "Shadow" systems \$ "Front-ends" to mainframe applications for document routing \$ "Back-ends" to mainframe applications for data access

Legend:
 • No charge for service
 \$ Charge-back to end-users
 # Cost sharing partnership

FUNCTION: MANAGEMENT OF INFORMATION TECHNOLOGY—ROLES, RESPONSIBILITIES, & REQUIREMENTS

Note: this document represents a delegation of responsibility surrounding the function of research as part of university operations. It does not signify the responsibilities within any particular office.

PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS & CENTERS**

STANDARDS

- | | | | |
|--|---|--|---|
| <ul style="list-style-type: none">• Develop minimum standards for the shared components of information technology infrastructure, support, and applications. Develop technical guidelines for campus and college specific local components to facilitate interoperability. | <ul style="list-style-type: none">• Provide input and assistance in developing University-wide technical standards through representation on the Information Technology Advisory Council (ITAC). Determine campus and college specific local standards. | <ul style="list-style-type: none">• Determine College-specific local standards. Conform to standards. | <ul style="list-style-type: none">• Provide input, review, and comment, through faculty and staff participation on standing user committees and ad hoc cross functional working groups. |
| <ul style="list-style-type: none">• Assess information technology infrastructure, support, and applications for conformance to minimum standards. Identify gaps—technical, organizational, and financial. | <ul style="list-style-type: none">• Advise regarding improvements needed University-wide. Determine the need for local improvements. | <ul style="list-style-type: none">• Describe problems and recommend improvements. | <ul style="list-style-type: none">• Provide input, review, and comment, through faculty and staff participation on standing user committees and ad hoc cross functional working groups. |
| <ul style="list-style-type: none">• Develop financial strategies to guide investments in information technology. Address both the need to keep up, and to catch up to minimum standards. | <ul style="list-style-type: none">• Provide input and assistance in developing financial principles through representation on the Information Technology Advisory Council (ITAC). Determine campus and college specific financial strategies. | <ul style="list-style-type: none">• Identify strategic opportunities and possibilities for program and process improvements. Explain the potential payoff. | <ul style="list-style-type: none">• Provide input, review, and comment, through faculty and staff participation on standing user committees and ad hoc cross functional working groups. |

NOTE:

Minimum "standards" refer to both the "technical" and "financial" aspects of the information technology infrastructure, support, and applications. Technical "blueprints" address the overall design, the component parts, and how it all fits together. Financial "models" address the mix of resources that we might aspire to use, and the methods of funding that we might employ to pay for it all.

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FUNCTION: MANAGEMENT OF INFORMATION TECHNOLOGY—ROLES, RESPONSIBILITIES, & REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS & CENTERS**

PLANNING

- | | | | |
|---|---|--|---|
| <ul style="list-style-type: none">• Develop University-wide and Twin Cities campus action plans for improving the shared components of information technology infrastructure, support, and applications.• Review action plans for "major" information technology initiatives proposed by campus, college, and central units. Check for conformance to technical standards. Recommend priorities for strategic investments.• Monitor performance of projects involving "major" expenditures, and imposing broad cross-functional impact. Report accomplishments. | <ul style="list-style-type: none">• Advise central units regarding their action plans. Approve campus and college specific action plans for local information technology improvements.• Advise regarding priorities for strategic investments through representation on the Information Technology Advisory Council (ITAC).• Monitor performance of local projects. Report accomplishments. | <ul style="list-style-type: none">• Develop college and administrative unit action plans for local information technology improvements.• N/A• Manage performance of local projects and measure the payoff. | <ul style="list-style-type: none">• Submit proposals to Colleges and Administrative Units for strategic investments in local information technology resources and services.• N/A• Use information technology resources and services to change work processes. |
|---|---|--|---|

NOTE:

Reviewing and monitoring plans refer to "extensions" to the official University planning process (not separate process). Because the information technology resources can be very important, very expensive, somewhat arcane, and need to be integrated, ITAC serves to assist the planning office, the budget office, and the senior vice presidents in their regular review of the action plans submitted by Campuses, Colleges, and Administrative Units.

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FUNCTION: MANAGEMENT OF INFORMATION TECHNOLOGY—ROLES, RESPONSIBILITIES, & REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS & CENTERS**

INFRASTRUCTURE AND SUPPORT

- | | | | |
|--|---|--|--|
| <ul style="list-style-type: none">• Establish minimum standards for the delivery of University-wide and Twin Cities campus based central infrastructure and support services. Develop rates and service level agreements for central contract services.
• Deliver central infrastructure services University-wide and for the Twin Cities campus. Make adjustments to retain central service levels at minimum standards.
• Evaluate opportunities for decentralizing central services as usage patterns change from subsidized startup levels to full-cost mainstream levels. Negotiate partnership agreements. | <ul style="list-style-type: none">• Establish minimum standards for local services. Allocate funding for local services and central contract services.
• <u>Provost/Chancellor:</u> monitor central service delivery compared to standards and recommend adjustments.

<u>Chancellor:</u> deliver campus-wide local services.
• Recommend opportunities for improving services through decentralization of delivery and responsibility. Negotiate partnership agreements. | <ul style="list-style-type: none">• Determine the mix and level of central and local services. Prioritize needs and approve contracts for central services.
• Monitor central service delivery and contracts. Negotiate adjustments as necessary. Deliver local services in the colleges and administrative units.
• Propose alternatives for decentralizing service delivery. | <ul style="list-style-type: none">• Identify and request program specific needs.
• Provide feedback on service delivery.
• Propose alternatives for decentralizing service delivery. |
|--|---|--|--|

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FUNCTION: MANAGEMENT OF INFORMATION TECHNOLOGY—ROLES, RESPONSIBILITIES, & REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS & CENTERS**

APPLICATIONS

- | | | | |
|---|---|--|---|
| <ul style="list-style-type: none">• Establish minimum standards for supporting University-wide information systems: development, implementation, and maintenance. Develop rates and service level agreements for central contract services. | <ul style="list-style-type: none">• Establish minimum standards for local systems. Allocate funding for local systems and central contract services. | <ul style="list-style-type: none">• Determine the relationships among central and local systems. Prioritize needs and approve contracts for central services. | <ul style="list-style-type: none">• Identify and request program specific needs. |
| <ul style="list-style-type: none">• Respond to central administrative unit requests for support in developing and implementing University-wide information systems. | <ul style="list-style-type: none">• Evaluate and endorse proposed University-wide systems development projects. | <ul style="list-style-type: none">• Develop requests for proposals; approve proposed projects. Identify expected return on investments. | <ul style="list-style-type: none">• Identify system requirements and potential process improvements. |
| <ul style="list-style-type: none">• Develop and support University-wide information systems. Monitor and track project progress and deliverables. | <ul style="list-style-type: none">• <u>Provost/Chancellor:</u> appoint representatives to serve on central systems development project teams.

<u>Chancellor:</u> develop and support "central" systems for the campus. | <ul style="list-style-type: none">• Implement central systems and change local work processes to realize the promised return on investment. Develop and support local systems and "extensions" to central systems. | <ul style="list-style-type: none">• Serve on project teams and project advisory groups. Test system features and functions compared to system requirements. Report discrepancies. |

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Function:*
Management of Institutional Relations
Roles, Responsibilities, and Requirements
President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

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FUNCTION: MANAGEMENT OF INSTITUTIONAL RELATIONS - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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Institutional Relations supports the goals of the University of Minnesota through a variety of means, including:

- Communicating with internal and external audiences
- Programming to connect alumni to the institution and enable alumni to serve the institution
- Advocating University goals, objectives, and needs to state, federal, and local governments
- Gathering private gifts, which supplement the core funding of the University and provide the margin of excellence
- Listening to, communicating with, and interpreting external concerns to the University community

All of these are designed to foster good relationships and create understanding between the University and various audiences, public and private. Institutional Relations does not include the external delivery of academic programs and services, which is an outreach function.

1. Central Administration*:

- Determines, in consultation with provostal/campus leadership and the deans, the broad messages to be conveyed to external audiences, public and private, and to internal audiences as well
- Sets system-wide policies and the broad strategic framework for institutional relations
- Provides an array of services in communications, fund raising, alumni programming, government relations to the provosts/chancellors and deans and assists those units in conducting external institutional relations consistent with broad institutional priorities and policies
- Assists, and holds the provosts/chancellors and deans accountable for, their effective participation in and contribution to the collaborative effort required for institutional relations
- Conveys to provosts/chancellors and deans concerns, needs, suggestions, and other information received from external audiences

2. Provosts/Chancellors:

- Contribute to a system-wide institutional relations agenda and strategy
- Provide information to central administration about the needs of external audiences and about major contracts with external audiences
- Provide information to central administration that could have an impact on external audiences of the University
- Communicate both to central administration and the deans any information received from external audiences that is important to the institution
- Ensure that the major institutional relations agendas and strategies of the institution are carried out within the units for which they are responsible

3. Deans:

- Work to foster good relationships and create understandings both within their units and with their particular external audiences, within the framework of institutional policies and procedures
- Inform provosts/chancellors and central administration, as appropriate, of significant contacts with external audiences
- Assist provosts/chancellors in carrying out institutional relations responsibilities

* The array of roles and responsibilities within Central Administration needs further clarification.

FUNCTION: MANAGEMENT OF INSTITUTIONAL RELATIONS - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

FEDERAL RELATIONS

COMMUNICATION

- | | | | |
|---|--|--|---|
| <ul style="list-style-type: none">• Establish protocol and standards for communication with federal officials. | <ul style="list-style-type: none">• Ensure protocol and standards are followed. | <ul style="list-style-type: none">• Comply with communication protocol and standards. | <ul style="list-style-type: none">• Comply with communication protocol and standards. |
| <ul style="list-style-type: none">• Represent the University's goals, objectives, and needs as the designated lobbyist to the Minnesota delegation, other federal elected officials, and Congressional committees and staff. | <ul style="list-style-type: none">• Coordinate and refer all contacts with the Minnesota Congressional and federal elected officials and staff. | <ul style="list-style-type: none">• Apprise Central, in advance, of visits to Congressional offices and requests for assistance. | <ul style="list-style-type: none">• Apprise College/ Administrative Unit and Central, in advance, of visits to Congressional offices and requests for assistance. |
| <ul style="list-style-type: none">• Schedule visits to campus and coordinate meetings between University leadership and the Minnesota Congressional delegation, other federal elected officials, and Congressional staff. | <ul style="list-style-type: none">• Help plan, and participate in, meetings with the Congressional delegation. Act as host and liaison for visits to campus by Members of Congress and staff. | <ul style="list-style-type: none">• Act as representative of provosts and chancellors in meetings with Congressional delegation. Participate in the organization and implementation of campus visits by Members of Congress and staff. | <ul style="list-style-type: none">• Participate in the organization and implementation of campus visits by Members of Congress and staff. |
| <ul style="list-style-type: none">• Coordinate communication efforts between University leadership and federal elected officials and staff. Advise University community on correspondence with elected officials. Provide assistance. | <ul style="list-style-type: none">• Assist in drafting response to correspondence from federal elected officials. Provide input on presidential correspondence to the Minnesota Congressional delegation, federal elected officials, and key committee staff on federal issues and concerns. | <ul style="list-style-type: none">• Provide Central a copy of correspondence from faculty/staff to the Minnesota Congressional delegation and other federal elected officials and staff. | <ul style="list-style-type: none">• Provide College/ Administrative Unit and Central a copy of correspondence from faculty/staff to the Minnesota Congressional delegation and other federal elected officials and staff. |

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

FEDERAL RELATIONS CONTINUED

FEDERAL PRIORITIES AND GOALS

- | | | | |
|---|--|---|---|
| <ul style="list-style-type: none">• Develop University priorities and goals to present to the Minnesota congressional delegation. | <ul style="list-style-type: none">• Contribute to the development of the goals and priorities at the federal level to be presented to the congressional delegation. | <ul style="list-style-type: none">• Apprise Provosts/Chancellors of priorities and issues at the federal level. | <ul style="list-style-type: none">• Apprise College/ Administrative Unit of priorities and issues at the federal level. |
| <ul style="list-style-type: none">• Apprise delegation of implications and relative importance of the University's changing needs and new initiatives. | <ul style="list-style-type: none">• Apprise Central Administration of changing needs and new initiatives that necessitate congressional intervention and support. | <ul style="list-style-type: none">• Modify priorities as necessary and inform Provosts/Chancellors. | <ul style="list-style-type: none">• Modify priorities as necessary and inform College/Administrative Unit. |
| <ul style="list-style-type: none">• Communicate federal legislative initiatives that may impact the University to University leadership. | <ul style="list-style-type: none">• Assist director of federal relations in determining the institutional impact of federal initiatives and legislation. | <ul style="list-style-type: none">• Inform Provosts/Chancellors of federal legislation impacting college. | <ul style="list-style-type: none">• Inform College/Administrative Unit of federal legislation impacting department. |
| <ul style="list-style-type: none">• Develop guidelines for entering into exchange agreements with other organizations, including foreign Universities. Monitor exchanges and approve all-University agreements. | <ul style="list-style-type: none">• Review and recommend proposals to central for all-University exchange agreements. Review and approve collegiate and departmental agreements and all proposed revisions to existing agreements. Monitor compliance with University policies and procedures. | <ul style="list-style-type: none">• Review and recommend to Provosts collegiate and departmental proposals for exchange agreements and all revisions to existing proposals. Monitor compliance with University policies and procedures. | <ul style="list-style-type: none">• Encourage participation and develop, as appropriate, international exchange agreements in support of research, teaching and outreach. |

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FUNCTION: MANAGEMENT OF INSTITUTIONAL RELATIONS - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

STATE AND LOCAL GOVERNMENT RELATIONS

STRATEGY/REQUEST

- | | | | |
|--|---|---|---|
| <ul style="list-style-type: none">• Develop and coordinate University legislative strategy. | <ul style="list-style-type: none">• Assist in the development of legislative strategy and report issues of interest. | <ul style="list-style-type: none">• Advise on current issues facing departments that may have an impact. | <ul style="list-style-type: none">• Advise on current issues facing departments that may have an impact. |
| <ul style="list-style-type: none">• Establish protocol and standards for communication with state and local government. Ensure adherence to the overall University communication plan. | <ul style="list-style-type: none">• Ensure protocol and standards for communication with state and local government are followed. | <ul style="list-style-type: none">• Comply with protocol and standards for communication with state and local government. | <ul style="list-style-type: none">• Comply with protocol and standards for communication with state and local government. |
| <ul style="list-style-type: none">• Direct state and local government relations efforts; develop resource materials to explain University programs of interest. | <ul style="list-style-type: none">• Forward ideas and information on programs of interest to contribute to the development of resource materials. | <ul style="list-style-type: none">• Recommend unit "experts" to advance University legislative request. | <ul style="list-style-type: none">• Recommend unit "experts" to advance University legislative request. |
| <ul style="list-style-type: none">• Present University's biennial and capital requests to the state legislature. | <ul style="list-style-type: none">• Assist, as requested, in the presentation of the University's biennial and capital requests to the state legislature. | <ul style="list-style-type: none">• Assist, as requested, in the presentation of the University's biennial and capital requests to the state legislature. | <ul style="list-style-type: none">• Assist, as requested, in the presentation of the University's biennial and capital requests to the state legislature. |

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FUNCTION: MANAGEMENT OF INSTITUTIONAL RELATIONS - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

STATE AND LOCAL GOVERNMENT RELATIONS - CONTINUED

COMMUNICATION/CONTACT

- | | | | |
|--|---|---|---|
| <ul style="list-style-type: none">• Coordinate all communication efforts between University leadership and state and local elected officials and staff. Provide assistance and ensure communications are disseminated. | <ul style="list-style-type: none">• Provide leadership and ensure compliance of collegiate units in reporting proposed contacts with elected state and local officials and staff. | <ul style="list-style-type: none">• Report contacts made with elected state and local officials and staff. | <ul style="list-style-type: none">• Report contacts made with elected state and local officials and staff. |
| <ul style="list-style-type: none">• Coordinate contact network to communicate legislative activity. | <ul style="list-style-type: none">• Provide information in support of network activity. | <ul style="list-style-type: none">• Provide information in support of network activity. | <ul style="list-style-type: none">• Provide information in support of network activity. |
| <ul style="list-style-type: none">• Track legislation and notify appropriate University staff of proposed legislation, hearings, and voting. | <ul style="list-style-type: none">• Provide input on the impact proposed legislation could have on provostal areas/campuses. | <ul style="list-style-type: none">• Provide input on the impact proposed legislation could have on College/Administrative Units. | <ul style="list-style-type: none">• Provide input on the impact proposed legislation could have on departments and programs. |
| <ul style="list-style-type: none">• Act as central point of contact including visits to campus between University representatives and elected state and local officials and staff. | <ul style="list-style-type: none">• Assign appropriate staff to act as point of contact on legislative and local government issues. | <ul style="list-style-type: none">• Designate appropriate staff person to act as point of contact on legislative and local government issues. | <ul style="list-style-type: none">• Apprise College/Administrative Unit of requests for appropriate staff person to act as point of contact on legislative and local government issues. |
| <ul style="list-style-type: none">• Coordinate preparation of and submit mandated legislative reports. | <ul style="list-style-type: none">• Provide information and assist in preparation of mandated legislative reports. | <ul style="list-style-type: none">• Provide information and assist in preparation of mandated legislative reports. | <ul style="list-style-type: none">• Provide information and assist in preparation of mandated legislative reports. |

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FUNCTION: MANAGEMENT OF INSTITUTIONAL RELATIONS - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
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UNIVERSITY RELATIONS

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| <ul style="list-style-type: none"> • Develop policies and procedures governing the standards and distribution of internal and external communications and publications in consultation with Provosts and Chancellors. Monitor compliance and provide assistance. | <ul style="list-style-type: none"> • Participate in development of policies, procedures, and standards. Oversee compliance. | <ul style="list-style-type: none"> • Participate in development and maintain standards. Comply with policies and procedures on collegiate publications. | <ul style="list-style-type: none"> • Maintain University standards and comply with policies and procedures on department/program publications. |
| <ul style="list-style-type: none"> • Coordinate and respond to all media requests filed under the Data Privacy Practices Act. | <ul style="list-style-type: none"> • Ensure all Data Privacy Practices Act requests are forwarded to Central. | <ul style="list-style-type: none"> • Assist in gathering requested information and forward to Central. | <ul style="list-style-type: none"> • Comply with requests for information. |
| <ul style="list-style-type: none"> • Coordinate all media relations for Twin Cities campus, consult with coordinate campuses, and provide assistance. | <ul style="list-style-type: none"> • <u>Provost</u>: ensure all media activities are coordinated through Central. <hr style="border-top: 1px dashed black;"/> <ul style="list-style-type: none"> • <u>Chancellor</u>: coordinate all media releases and ensure all media activities are coordinated through Chancellor. | <ul style="list-style-type: none"> • Work with Central representative to develop media strategies. | <ul style="list-style-type: none"> • Inform collegiate office of potentially newsworthy activities or situations. |
| <ul style="list-style-type: none"> • Develop and implement marketing objectives and themes in consultation with Provosts and Chancellors. | <ul style="list-style-type: none"> • Promote the development of marketing plans for units and ensure incorporation of themes into communications. | <ul style="list-style-type: none"> • Ensure marketing strategies support objectives and incorporate themes into collegiate communications. | <ul style="list-style-type: none"> • Incorporate themes into departmental communications. |
| <ul style="list-style-type: none"> • Coordinate and provide communications training to meet institutional goals. | <ul style="list-style-type: none"> • Promote and encourage training participation; participate in training. | <ul style="list-style-type: none"> • Participate in training. | <ul style="list-style-type: none"> • Participate in training. |

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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS**

UNIVERSITY RELATIONS **CONTINUED**

- Develop and maintain University protocol and events standards. Identify, plan, and implement University-wide and Twin Cities campus ceremonies and events. Support and coordinate provostal/collegiate level ceremonies as needed.
- Provost: identify and support celebratory and ceremonial opportunities.

Chancellor: identify, plan, and implement campus ceremonies and events.
- Direct commencement and other collegiate level ceremonies and events in accordance with University protocol and events standards.
- Comply with University protocol and events standards.

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<u>ALUMNI RELATIONS</u>			
<ul style="list-style-type: none"> Develop system-wide policies, procedures, and standards for alumni relations collaboratively with Provosts/Chancellors. 	<ul style="list-style-type: none"> Participate in the development of policies and procedures; oversee compliance. 	<ul style="list-style-type: none"> Support and promote alumni activities; ensure compliance with policies and procedures. 	<ul style="list-style-type: none"> Support and promote alumni activities.
<ul style="list-style-type: none"> Administer internal and external Twin Cities Alumni Association activities and protocol. 	<ul style="list-style-type: none"> <u>Provost: N/A</u> ----- <u>Chancellor: Administer internal and external campus Alumni Association activities and protocol.</u> 	<ul style="list-style-type: none"> Support roles, responsibilities and protocol established for alumni activities. 	<ul style="list-style-type: none"> Support roles, responsibilities and protocol established for alumni activities.
<ul style="list-style-type: none"> Coordinate communication between the University and alumni of the Twin Cities campus. 	<ul style="list-style-type: none"> <u>Provost: N/A</u> ----- <u>Chancellor: Coordinate communication between the University and campus alumni.</u> 	<ul style="list-style-type: none"> Inform Alumni Association of current activities and news. 	<ul style="list-style-type: none"> Inform Alumni Association of current activities and news.

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FUNCTION: MANAGEMENT OF INSTITUTIONAL RELATIONS - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

DEVELOPMENT

- | | | | |
|--|---|---|---|
| <ul style="list-style-type: none"> • Establish fund raising goals, priorities and strategies for the University; ensure coordination and collaboration of all fund raising activities and services. | <ul style="list-style-type: none"> • Develop campus goals, priorities and strategies; review and approve collegiate strategies for consistency. | <ul style="list-style-type: none"> • Develop college/ administrative units goals, priorities and strategies; ensure implementation. | <ul style="list-style-type: none"> • Develop departmental goals, priorities and strategies; ensure implementation. Participate in linking prospective donors and projects. |
| <ul style="list-style-type: none"> • Provide an array of services in support of private giving; develop gift policies and procedures; ensure compliance. | <ul style="list-style-type: none"> • Participate in gift policies and procedures development; oversee implementation and ensure compliance. | <ul style="list-style-type: none"> • Participate in gift policies and procedures development; monitor implementation and ensure compliance. | <ul style="list-style-type: none"> • Comply with gift policies and procedures. |
| <ul style="list-style-type: none"> • Develop action plans for fund raising; ensure implementation. | <ul style="list-style-type: none"> • Develop action plans for provostal areas and campuses; ensure implementation. | <ul style="list-style-type: none"> • Develop action plans for collegiate/ administrative units; monitor implementation. | <ul style="list-style-type: none"> • Coordinate with development officers in identifying donors; participate in developing proposals. |
| <ul style="list-style-type: none"> • Coordinate identification, cultivation, solicitation, stewardship, and recognition of donors. | <ul style="list-style-type: none"> • Ensure collegiate participation in identification, cultivation, and solicitation, stewardship, and recognition of donors. | <ul style="list-style-type: none"> • Participate in donor/prospect identification, cultivation, solicitation, stewardship, and recognition activities. | <ul style="list-style-type: none"> • Participate in donor stewardship by reporting on activities supported by private gifts. |

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Function:*

Management of Minority Affairs and Diversity Issues

Roles, Responsibilities, and Requirements

President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

* Note: This document represents a delegation of responsibility surrounding the function of minority affairs and diversity issues as part of University operations. It does not signify the responsibilities within any particular office.

FUNCTION: MANAGEMENT OF MINORITY AFFAIRS & DIVERSITY ISSUES – ROLES, RESPONSIBILITIES, AND REQUIREMENTS

Note: this document represents a delegation of responsibility surrounding the function of minority affairs and diversity issues as part of University operations. It does not signify the responsibilities within any particular office.

PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

GOALS AND STANDARDS

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|---|--|--|---|
| <ul style="list-style-type: none"> • Provide leadership, advocacy, and guidance in the development of system-wide diversity programs. • Develop University-wide minority and diversity standards, policies and procedures for students, faculty and staff. Update and disseminate policies and procedures. Oversee compliance. • Establish and oversee minority and diversity goals and priorities for recruitment and retention of faculty and staff. Communicate goals and provide assistance. • Establish and oversee minority and diversity goals and priorities for student recruitment and retention. • Review and evaluate campus and collegiate plans and resource allocations to promote diversity. • Provide feedback toward achievement of University diversity goals. Prepare and communicate performance reports for internal and external groups. | <ul style="list-style-type: none"> • Promote and advocate the development of diversity programs as an integral part of the life of the campus. Design campus level programs as appropriate. • Develop joint partnerships to provide input and assistance on policies and procedures; monitor implementation. • Participate in the formulation of University-wide minority and diversity goals and priorities for recruitment and retention of faculty and staff. Establish goals for campus and oversee compliance. Communicate goals and provide assistance. • Implement minority and diversity goals and priorities for student recruitment and retention. • Review and evaluate collegiate plans and resource allocations to promote diversity. • Review and evaluate progress and provide feedback toward achievement of provostal, campus, collegiate, and administrative unit goals. Collect data from units to assess the performance toward meeting diversity goals. | <ul style="list-style-type: none"> • Design, promote and advocate diversity programs as an integral part of the life of the college. • Advise on standards and ensure compliance with policies and procedures. • Participate in the development of and implement minority and diversity goals and priorities for recruitment and retention of faculty and staff. Communicate goals and provide assistance. • Recruit and retain students to meet minority and diversity goals and priorities. • Review and evaluate departmental plans and resource allocations to promote diversity. • Review and evaluate progress and provide feedback on achievement of departmental goals. Assess and provide feedback to promote the integration of diversity goals. | <ul style="list-style-type: none"> • Design, promote, and advocate diversity programs as an integral part of the life of the department. • Assist in developing and implement policies and procedures. • Participate in the development of and implement minority and diversity goals and priorities for recruitment and retention of faculty and staff. • Recruit and retain students to meet minority and diversity goals and priorities. • Report on implementation of plans and resources used to improve diversity. • Review, monitor, and evaluate progress; provide input for reports. |
|---|--|--|---|

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FUNCTION: MANAGEMENT OF MINORITY AFFAIRS & DIVERSITY ISSUES – ROLES, RESPONSIBILITIES, AND REQUIREMENTS

Note: this document represents a delegation of responsibility surrounding the function of minority affairs and diversity issues as part of University operations. It does not signify the responsibilities within any particular office.

PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

COMPLIANCE

- | | | | |
|---|---|---|---|
| <ul style="list-style-type: none">• Establish policies and standards to comply with federal and state mandates.• Ensure uniform and consistent application of University policies. | <ul style="list-style-type: none">• Oversee and comply with federal and state mandates.• Create climate to ensure consistent application of policies and take action when necessary. | <ul style="list-style-type: none">• Monitor and comply with federal and state mandates.• Create climate to ensure consistent application of policies and take action when necessary. | <ul style="list-style-type: none">• Comply with federal and state mandates.• Create climate to ensure consistent application of policies and take action when necessary. |
|---|---|---|---|

ENVIRONMENT

- | | | | |
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| <ul style="list-style-type: none">• Develop, nurture, and coordinate community relations with internal and external constituencies.• Coordinate, develop, and implement programs to improve the environment for minority and diverse populations in consultation with Provosts/Chancellors. | <ul style="list-style-type: none">• Create alliances and develop partnerships to contribute to the development of diverse constituencies.• Sponsor the development of programs to improve the environment for minority and diverse populations. | <ul style="list-style-type: none">• Create alliances and develop partnerships to contribute to the development of diverse constituencies.• Participate in development and offering of programs to improve the environment for minority and diverse populations. | <ul style="list-style-type: none">• Participate in the development of partnerships to develop a diverse constituency.• Participate in development and offering of programs to improve the environment for minority and diverse populations. |
|--|--|--|--|

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FUNCTION: MANAGEMENT OF MINORITY AFFAIRS & DIVERSITY ISSUES – ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

SUPPORT

- | | | | |
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| <ul style="list-style-type: none">• Coordinate and provide training and support to promote understanding of minority and diversity issues. | <ul style="list-style-type: none">• Promote, encourage, and participate in training programs. | <ul style="list-style-type: none">• Advocate participation and participate in training. | <ul style="list-style-type: none">• Take advantage of existing training programs and create new training opportunities, as necessary. |
| <ul style="list-style-type: none">• Promote and encourage internal and external partnerships to increase outreach and access of minorities and diverse populations to University programs. | <ul style="list-style-type: none">• Promote outreach and access to University programs for minorities and diverse populations through the development of internal and external partnerships. | <ul style="list-style-type: none">• Participate in the development of internal and external partnerships that will enhance outreach and access to University programs for minorities and diverse populations. | <ul style="list-style-type: none">• Initiate contacts to develop internal and external partnerships that will enhance outreach and access to University programs for minorities and diverse populations. |
| <ul style="list-style-type: none">• Maintain communication and collaboration with persons assigned responsibility for minority and diversity issues within the entire University administrative structure. | <ul style="list-style-type: none">• Maintain communication and collaboration with persons assigned responsibility for minority and diversity issues within the entire University administrative structure. | <ul style="list-style-type: none">• Maintain communication and collaboration with persons assigned responsibility for minority and diversity issues within the entire University administrative structure. | <ul style="list-style-type: none">• Maintain communication and collaboration with persons assigned responsibility for minority and diversity issues. |

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Function:*
Management of Outreach Activities
Roles, Responsibilities, and Requirements
President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

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FUNCTION: MANAGEMENT OF OUTREACH ACTIVITIES - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

Note: This document represents a delegation of responsibility surrounding the function of outreach as part of University operations. It does not signify the responsibilities within any particular office.

PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<u>OUTREACH</u>			
<ul style="list-style-type: none"> • Establish system-wide guiding principles for outreach programs. • Establish and lead Outreach Council and communicate recommendations to provosts and chancellors. • Develop and manage system to assess breadth and richness of outreach: develop and implement plan to communicate with stakeholders. • Establish performance measures and evaluation criteria for outreach programs. • Ensure and oversee the University's presence in national, regional, and state level issues related to the role of outreach in higher education. • Develop and implement plan for alignment of system-wide rewards and incentives with outreach mission and vision. 	<ul style="list-style-type: none"> • Establish guiding principles for outreach at campus/provost level, consistent with system-wide principles. • Provide input to outreach council and ensure recommendations are communicated and implemented. • Provide input and communicate with campus stakeholders. • Review and oversee performance and evaluation of outreach. • N/A • Provide input, review and/or negotiate rewards and incentives within campus/provosts units. 	<ul style="list-style-type: none"> • Establish guiding principles for outreach at college level and oversee implementation by colleges. • Provide input to outreach council through provost/chancellor and integrate recommendations into college plans. • Provide input and communicate with college stakeholders. • Establish and administer performance measures and evaluation criteria specific to college. • N/A • Provide input, implement the system-wide plan for alignment of rewards and incentives with outreach mission and vision. 	<ul style="list-style-type: none"> • Follow collegiate guiding principles in outreach programming. • N/A • Provide input and communicate with department stakeholders. • Adapt and administer performance measures and evaluation criteria at department level. • N/A • Provide input and administer plan for rewards and incentives related to outreach, within department.

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FUNCTION: MANAGEMENT OF OUTREACH ACTIVITIES - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

OUTREACH - CONTINUED

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| <ul style="list-style-type: none">• Facilitate the integration of outreach units such as: MES, CEE/UC and Libraries, with system-wide academic mission. | <ul style="list-style-type: none">• Contribute to the integration of outreach units with system-wide academic mission. | <ul style="list-style-type: none">• Contribute to the integration of outreach units with system-wide academic mission. | <ul style="list-style-type: none">• N/A |
| <ul style="list-style-type: none">• Report and promote accomplishments of University outreach activities. | <ul style="list-style-type: none">• Report and promote accomplishments of University outreach activities. | <ul style="list-style-type: none">• Report and promote accomplishments of University outreach activities. | <ul style="list-style-type: none">• Report and promote accomplishments of University outreach activities. |

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<u>UC/CEE TRANSFORMATION AND IMPLEMENTATION</u>			
<ul style="list-style-type: none"> • Complete the transformation of CEE in alignment with vision for outreach and UC. 	<ul style="list-style-type: none"> • Provide input for the transformation of CEE. 	<ul style="list-style-type: none"> • Provide input for the transformation of CEE as appropriate to the College or Administrative Unit. 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • Establish policies and procedures in consultation with Provosts, Chancellors, and Deans to guide the transformation and implementation of CEE to UC. 	<ul style="list-style-type: none"> • Provide input to development of system-wide policies and procedures; establish campus specific policies and procedures. 	<ul style="list-style-type: none"> • Provide input for system-wide policies and procedures; establish and oversee policies and procedures for College/Administrative Unit. 	<ul style="list-style-type: none"> • Provide input and conform to policies and procedures.
<ul style="list-style-type: none"> • Establish and monitor timeline for UC transformation. 	<ul style="list-style-type: none"> • Develop internal timelines to coincide with Central timelines. 	<ul style="list-style-type: none"> • Conform to timelines established. 	<ul style="list-style-type: none"> • Conform to timelines established.
<ul style="list-style-type: none"> • Develop and implement a single registration system for the Twin Cities campus. 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • Lead and direct on-going UC planning and programming, in consultation with Colleges and Administrative Units. 	<ul style="list-style-type: none"> • Consult with Central on UC planning; provide review and oversight of collegiate and intercollegiate planning related to UC. 	<ul style="list-style-type: none"> • Approve UC programming in departments; lead planning within College/Administrative Unit; consult with Central on UC planning. 	<ul style="list-style-type: none"> • Propose and develop courses and programs to offer through UC, and provide input to planning initiatives at Central and College/Administrative Unit levels.
<ul style="list-style-type: none"> • Establish policies and procedures for UC tuition and fees. 	<ul style="list-style-type: none"> • Provide review and oversight. 	<ul style="list-style-type: none"> • Administer UC policies and procedures. 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • Establish policies to specify when income is returned to units rather than to faculty as extra salary. 	<ul style="list-style-type: none"> • Provide review and oversight. 	<ul style="list-style-type: none"> • Administer policies and allocate resources accordingly. 	<ul style="list-style-type: none"> • Provide input on policies.

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FUNCTION: MANAGEMENT OF OUTREACH ACTIVITIES - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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<u>PRESIDENT/CENTRAL</u>	<u>PROVOST/CHANCELLOR*</u>	<u>COLLEGE/ADMINISTRATIVE UNITS*</u>	<u>DEPARTMENTS**</u>
<u>UC/CEE TRANSFORMATION AND IMPLEMENTATION</u>			
<ul style="list-style-type: none">• Coordinate and facilitate decisions on who will teach UC offerings.• Lead the establishment of quality standards for UC and oversee implementation.	<ul style="list-style-type: none">• N/A• Participate in the establishment of standards. Ensure adherence to standards with review and assessment.	<ul style="list-style-type: none">• Review and approve departmental decisions on faculty involvement in UC courses, in consultation with UC Dean.• Participate in establishment of standards and ensure compliance with standards in departments.	<ul style="list-style-type: none">• Assign faculty UC teaching responsibilities in the context of workload guidelines and course/program needs.• Provide input to the establishment of standards and conduct evaluations to ensure quality UC programs and teaching.

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<u>TRANSITION ACTIVITIES:</u> <u>DISTANCE EDUCATION</u>			
<ul style="list-style-type: none"> • Lead planning effort to develop and implement vision for distance education system-wide. • Establish mechanisms for market analysis and funding arrangements and provide oversight for implementation. Communicate results of market analysis to Provosts/Chancellors. • Develop system-wide plan for faculty and staff training related to distance education and communication technologies. • Develop and implement policies on establishment and use of distance education facilities and equipment. • Coordinate and ensure access to student materials necessary for utilization of distance education (books and exams for example). 	<ul style="list-style-type: none"> • Participate in planning to develop and implement vision through communication with internal and external groups. • Provide input on market analysis and funding arrangements at system level. Communicate results of market analysis to colleges/administrative units. • <u>Provost</u>: provide input for <u>training plans</u> system-wide; support and oversee faculty and staff development within provostal area. ----- <u>Chancellor</u>: provide <u>leadership</u> and support at campus level for training plans and implementation. • Contribute to policy development and oversee implementation. • N/A 	<ul style="list-style-type: none"> • Provide input for vision development and implementation. • Provide input for market analysis and funding arrangements and ensure compliance in departments. Communicate results of market analysis to departments. • Determine needs for training at college level to ensure quality program design and delivery. Serve as a catalyst for expanded use of communication technologies. • Contribute to policy development and ensure compliance. • N/A 	<ul style="list-style-type: none"> • Provide input for vision development and implementation from departmental perspective. • Provide input for market analysis and funding arrangements. • Identify department and individual training needs. Facilitate training opportunities within departments. • Make use of distance education facilities and equipment in planning and implementing quality programs. • Supply President/Central with distance education course outlines and lists of required materials.

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Function:*
Management of Student Affairs
Roles, Responsibilities, and Requirements
President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

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FUNCTION: MANAGEMENT OF STUDENT AFFAIRS-ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS**

ACCESS AND EDUCATIONAL SUPPORT

- | | | | |
|--|--|--|---|
| <ul style="list-style-type: none"> • Develop and recommend student fee policies and plans for review and approval by the Board of Regents. | <ul style="list-style-type: none"> • <u>Provost</u>: recommend selected student fee policies to Central. <hr style="border-top: 1px dashed black;"/> <ul style="list-style-type: none"> • <u>Chancellor</u>: develop and recommend student fee policy and plan to Central. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Register all undergraduate, graduate and professional students. | <ul style="list-style-type: none"> • <u>Provost</u>: ensure across-college consultation prior to making major changes in course schedules; promote uniform course descriptions and symbols. <hr style="border-top: 1px dashed black;"/> <ul style="list-style-type: none"> • <u>Chancellor</u>: register undergraduate, graduate and professional students; promote uniform course descriptions and symbols. | <ul style="list-style-type: none"> • Provide information on course scheduling; use uniform course descriptions and symbols. | <ul style="list-style-type: none"> • Cooperate in registration process. Provide course schedules; implement uniform course descriptions and symbols. |
| <ul style="list-style-type: none"> • Manage demographic and academic records for current and former students, such as transcripts, student ID card system, graduation processing, diplomas, and certification data. | <ul style="list-style-type: none"> • <u>Provost</u>: N/A <hr style="border-top: 1px dashed black;"/> <ul style="list-style-type: none"> • <u>Chancellor</u>: manage demographic and academic records for current and former students, such as transcripts, student ID card system, graduation processing, diplomas, and certification data. | <ul style="list-style-type: none"> • Utilize data for certification purposes. | <ul style="list-style-type: none"> • Collect and report student academic data. Provide course information and student grades. |

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FUNCTION: MANAGEMENT OF STUDENT AFFAIRS-ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<u>ACCESS AND EDUCATIONAL SUPPORT CONTINUED</u>			
<ul style="list-style-type: none"> • Provide student access and manage systems including: registration, access to student records, course information, access to transfer course and degree audit system, tuition and fees collection, student hold, and authorized course database. 	<ul style="list-style-type: none"> • <u>Provost</u>: N/A <p>-----</p> <ul style="list-style-type: none"> • <u>Chancellor</u>: manage systems unique to campus. 	<ul style="list-style-type: none"> • Encourage use of online services. 	<ul style="list-style-type: none"> • Promote use of online services.
<ul style="list-style-type: none"> • Develop procedures for student hold system; limit use of student holds. Develop policies for student hold system for Twin Cities campus. 	<ul style="list-style-type: none"> • <u>Provost</u>: recommend policies for student hold system. <p>-----</p> <ul style="list-style-type: none"> • <u>Chancellor</u>: develop policies for student hold system. 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • Produce and distribute <i>Class Schedule</i> and <i>Course Guide</i> for Twin Cities. 	<ul style="list-style-type: none"> • <u>Provost & Chancellor</u>: ensure cross-college and department consultation regarding changes to course schedule. <p>-----</p> <ul style="list-style-type: none"> • <u>Chancellor</u>: produce and distribute class schedules. 	<ul style="list-style-type: none"> • Review and verify college course offerings for class schedule and course guide. 	<ul style="list-style-type: none"> • Provide course information for class schedules and faculty-written descriptions for course guide.
<ul style="list-style-type: none"> • Coordinate Twin Cities recruitment and admit freshmen and undergraduate transfer students to achieve enrollment management objectives. 	<ul style="list-style-type: none"> • <u>Provost</u>: ensure cooperation and collaboration in admissions and transfer process. <p>-----</p> <ul style="list-style-type: none"> • <u>Chancellor</u>: coordinate recruitment and admissions to enroll freshmen and undergraduate transfer students. 	<ul style="list-style-type: none"> • Assist with recruitment of new freshmen. Assist with recruitment of transfer students and application decision process and provide data to ensure seamless admissions and transfer credit process for new transfer students. 	<ul style="list-style-type: none"> • Provide department information to assist in admissions and recruitment process.

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
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ACCESS AND EDUCATIONAL SUPPORT CONTINUED

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|---|---|---|---|
| <ul style="list-style-type: none"> • Coordinate recruitment and admit graduate students to achieve enrollment objectives. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Coordinate recruitment and admit professional students. | <ul style="list-style-type: none"> • Programs: recruit graduate and professional students, and make admission decisions. |
| <ul style="list-style-type: none"> • Oversee and coordinate enrollment management in CEE/UC programs. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • CEE/UC recruits and provides access to many U of M courses by registration through CEE/UC; admits and recruits students to U of M component of partnership degrees and certificate programs, and cooperates with academic departments on enrollment management of students in its programs. | <ul style="list-style-type: none"> • Cooperate with CEE/UC on enrollment management of students in CEE/UC programs. |
| <ul style="list-style-type: none"> • Manage new graduate and undergraduate student orientation programs. | <ul style="list-style-type: none"> • <u>Provost</u>: propose general objectives for new graduate and undergraduate student orientation programs; ensure college coordination. <hr style="border: none; border-top: 1px dashed black;"/> <ul style="list-style-type: none"> • <u>Chancellor</u>: manage new graduate and undergraduate student orientation programs. | <ul style="list-style-type: none"> • Recommend new graduate and undergraduate student orientation program content. Participate in graduate and undergraduate student orientation. Provide professional student orientation. | <ul style="list-style-type: none"> • Participate in new graduate and undergraduate student orientation program. |
| <ul style="list-style-type: none"> • Produce student publications, bulletins, and communications about campus services, procedures, policies, activities, and events. Provide information and referral resource services for students. | <ul style="list-style-type: none"> • <u>Provost</u>: monitor and communicate academic changes. <hr style="border: none; border-top: 1px dashed black;"/> <ul style="list-style-type: none"> • <u>Chancellor</u>: provide information and referral resource services for students. | <ul style="list-style-type: none"> • Review departmental materials for accuracy. | <ul style="list-style-type: none"> • Provide accurate, updated departmental information. |

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

ACCESS AND EDUCATIONAL SUPPORT CONTINUED

- | | | | |
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| <ul style="list-style-type: none"> • Administer student financial aid programs; provide financial aid advising and counseling; and ensure compliance with federal and state regulations on Twin Cities campus. Monitor effectiveness of scholarship and need based financial aid programs. | <ul style="list-style-type: none"> • <u>Provost</u>: monitor institutional funding programs. <hr style="border-top: 1px dashed black;"/> <ul style="list-style-type: none"> • <u>Chancellor</u>: administer student financial aid programs; provide financial aid advising and counseling, and ensure compliance with federal and state regulations. | <ul style="list-style-type: none"> • Assist in providing college/departmental scholarships. Report college and department scholarship awards to financial aid office. | <ul style="list-style-type: none"> • Assist in providing departmental scholarships. Report department scholarship awards to financial aid office. |
| <ul style="list-style-type: none"> • Solicit and award graduate school fellowships to individual students. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Programs: nominate students for graduate school fellowships. |
| <ul style="list-style-type: none"> • Solicit and award graduate school block grants and tuition scholarships to graduate programs. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Programs: apply for graduate school block grants and tuition scholarships; award funds. |
| <ul style="list-style-type: none"> • Establish policies and procedures for appointment percentages and eligibility, hiring preferences in the queue, and need-based non-academic student employment programs on the Twin Cities campus. Monitor systemwide compliance with policies and procedures. | <ul style="list-style-type: none"> • <u>Provost</u>: N/A <hr style="border-top: 1px dashed black;"/> <ul style="list-style-type: none"> • <u>Chancellor</u>: establish policies and procedures for appointment percentages and eligibility, hiring preferences in the queue, and need-based non-academic student employment programs. | <ul style="list-style-type: none"> • Ensure departmental compliance with policies and procedures. | <ul style="list-style-type: none"> • Comply with policies and procedures. |

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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS**

ACCESS AND EDUCATIONAL SUPPORT CONTINUED

- | | | | |
|---|--|---|---|
| <ul style="list-style-type: none"> • Coordinate, monitor, and report all scholarship funds for Twin Cities campus; allocate specific scholarships for coordinate campuses; establish allocations of central scholarship funds. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A <p>-----</p> <p><u>Chancellor:</u> coordinate and monitor all scholarship funds for campus; establish allocations for scholarship funds.</p> | <ul style="list-style-type: none"> • Coordinate acknowledgment and retention programs for scholarship recipients with Office of Student Financial Aid. | <ul style="list-style-type: none"> • Identify and refer potential scholarship recipients. |
| <ul style="list-style-type: none"> • Provide leadership for, monitor, and report undergraduate, graduate, and professional retention efforts for Twin Cities campus. | <ul style="list-style-type: none"> • <u>Provost:</u> ensure cooperation and collaboration in all undergraduate, graduate, and professional retention efforts. <p>-----</p> <p><u>Chancellor:</u> develop and coordinate all undergraduate, graduate, and professional retention efforts for campus.</p> | <ul style="list-style-type: none"> • Promote undergraduate, graduate, and professional retention efforts. | <ul style="list-style-type: none"> • Monitor and participate in undergraduate, graduate, and professional retention efforts. |
| <ul style="list-style-type: none"> • Administer and process educational and counseling tests for the Twin Cities campus and for the state; score classroom examinations. | <ul style="list-style-type: none"> • <u>Provost:</u> review collegiate educational and counseling testing requirements. <p>-----</p> <p><u>Chancellor:</u> administer and process educational and counseling tests for the campus.</p> | <ul style="list-style-type: none"> • Determine educational and counseling testing requirements. | <ul style="list-style-type: none"> • Identify departmental educational and counseling testing needs. |
| <ul style="list-style-type: none"> • Provide group and individual counseling and personal advising for Twin Cities students. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A <p>-----</p> <p><u>Chancellor:</u> provide group and individual counseling and personal advising for students.</p> | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Promote and encourage student use of services. |

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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS**

ACCESS AND EDUC. SUPPORT CONTINUED

- | | | | |
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| <ul style="list-style-type: none"> • Provide Twin Cities student-focused crisis intervention and referral services. | <ul style="list-style-type: none"> • <u>Provost</u>: N/A <hr/> <ul style="list-style-type: none"> • <u>Chancellor</u>: provide student-focused crisis intervention and referral services. | <ul style="list-style-type: none"> • Utilize and refer students to crisis intervention and referral services. | <ul style="list-style-type: none"> • Utilize and refer students to crisis intervention and referral services. |
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COMMUNITY BUILDING AND CAMPUS ENVIRONMENT

- | | | | |
|---|--|---|---|
| <ul style="list-style-type: none"> • Research and analyze Twin Cities student attitudes, characteristics, interests, and satisfaction to determine progress toward meeting the University's academic, diversity, user-friendliness, and community goals for internal and external use. | <ul style="list-style-type: none"> • <u>Provost</u>: promote collegiate use of research findings. <hr/> <ul style="list-style-type: none"> • <u>Chancellor</u>: research and analyze student attitudes, characteristics, interests, and satisfaction to determine progress toward meeting the University's academic, diversity, user-friendliness, and community goals. | <ul style="list-style-type: none"> • Utilize findings to improve campus environment. | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Manage Twin Cities student health services. | <ul style="list-style-type: none"> • <u>Provost</u>: N/A <hr/> <ul style="list-style-type: none"> • <u>Chancellor</u>: manage student health services. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Lead and promote Twin Cities community building efforts, student focused programs, and opportunities to improve the TC campus; support events for Twin Cities campus, including programs and activities for traditionally marginalized students. | <ul style="list-style-type: none"> • <u>Provost</u>: promote community building efforts. <hr/> <ul style="list-style-type: none"> • <u>Chancellor</u>: lead and promote community building efforts, student focused programs, and opportunities to improve campus; support events for campus, including programs and activities for traditionally marginalized students. | <ul style="list-style-type: none"> • Plan and implement community building events and opportunities. | <ul style="list-style-type: none"> • Plan and implement community building events and opportunities. |

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

COMMUNITY BUILDING AND CAMPUS ENVIRONMENT CONTINUED

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|---|--|--|---|
| <ul style="list-style-type: none"> • Develop student conduct policy for all campuses; administer student conduct system and develop procedures for Twin Cities campus. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A

<u>Chancellor:</u> develop campus procedures; administer student conduct system. Designate authorized agents for student conduct system operation. | <ul style="list-style-type: none"> • Promote recognition, support and use of student conduct code. | <ul style="list-style-type: none"> • Utilize student conduct code provisions. |
| <ul style="list-style-type: none"> • Develop and administer student academic grievance policies for all campuses; develop and administer Twin Cities campus procedures. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A

<u>Chancellor:</u> develop and administer student academic grievance procedures. | <ul style="list-style-type: none"> • Administer college-level student academic grievance procedures. | <ul style="list-style-type: none"> • Participate in college-level student academic grievance procedures. |
| <ul style="list-style-type: none"> • Manage Twin Cities student unions. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A

<u>Chancellor:</u> manage campus student unions/centers | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Develop and provide Twin Cities student-focused educational, social and developmental programs, e.g. leadership, citizenship, and community service. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A

<u>Chancellor:</u> develop and provide student-focused educational, social and developmental programs, e.g. leadership, citizenship, and community service. | <ul style="list-style-type: none"> • Provide input on campus programming needs. | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Provide and manage University owned Twin Cities residential facilities, services, and programs to support students' academic success and personal growth. | <ul style="list-style-type: none"> • <u>Provost:</u> N/A

<u>Chancellor:</u> provide and manage University owned residential facilities, services, and programs to support students' academic success and personal growth. | <ul style="list-style-type: none"> • Determine academic priorities related to University owned residential needs. | <ul style="list-style-type: none"> • N/A |

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<u>COMMUNITY BUILDING AND CAMPUS ENVIRONMENT CONTINUED</u>			
<ul style="list-style-type: none"> • Manage services and assist Twin Cities students seeking off-campus housing accommodations. Negotiate arrangements with private housing vendors. 	<ul style="list-style-type: none"> • <u>Provost:</u> N/A <p>-----</p> <ul style="list-style-type: none"> • <u>Chancellor:</u> manage services and assist students seeking off-campus housing accommodations. 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • Advise and serve as liaison to Twin Cities student organizations and provide financial services. Promote faculty and staff involvement. 	<ul style="list-style-type: none"> • <u>Provost:</u> N/A <p>-----</p> <ul style="list-style-type: none"> • <u>Chancellor:</u> advise and serve as liaison to student organizations and provide financial services. Promote faculty and staff involvement. 	<ul style="list-style-type: none"> • Support and encourage faculty and staff involvement in student organizations. 	<ul style="list-style-type: none"> • Support and encourage faculty and staff involvement in student organizations.
<ul style="list-style-type: none"> • Manage Twin Cities campus recreational sports programs. 	<ul style="list-style-type: none"> • <u>Provost:</u> N/A <p>-----</p> <ul style="list-style-type: none"> • <u>Chancellor:</u> manage recreational sports and wellness facilities and programs. 	<ul style="list-style-type: none"> • Provide input on student and campus needs. 	<ul style="list-style-type: none"> • N/A

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<u>PERSONAL AND PROFESSIONAL DEVELOPMENT</u>			
<ul style="list-style-type: none"> • Provide career exploration services for Twin Cities students. 	<ul style="list-style-type: none"> • <u>Provost</u>: N/A <hr/> <ul style="list-style-type: none"> • <u>Chancellor</u>: provide career exploration and job placement services for undergraduate students. 	<ul style="list-style-type: none"> • Provide career development and job placement services for undergraduate, graduate and professional students. 	<ul style="list-style-type: none"> • N/A
<ul style="list-style-type: none"> • Provide student fee funded legal representation to Twin Cities students; provide assistance to coordinate campuses as requested. 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • N/A

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Function:*
Management of University Facilities
Roles, Responsibilities, and Requirements
President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

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FUNCTION: MANAGEMENT OF UNIVERSITY FACILITIES-ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
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SPACE MANAGEMENT

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|---|--|--|--|
| <ul style="list-style-type: none"> • Establish policies and regulatory standards for all University space. Communicate changes in policies and standards to all campuses. | <ul style="list-style-type: none"> • Consult on development of policies and enforce compliance. Advise on size requirements and utilization standards. | <ul style="list-style-type: none"> • Implement policies and standards. Provide feedback on size requirements and utilization standards. | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Obtain space, personnel, and classroom utilization data and maintain the University Space Database. | <ul style="list-style-type: none"> • Coordinate the collection of space and personnel data. | <ul style="list-style-type: none"> • Review and verify accuracy of reported space and personnel data. | <ul style="list-style-type: none"> • Collect space and personnel data. |
| <ul style="list-style-type: none"> • Apply Minnesota Facilities Model standards to collected data. Produce and distribute annual space inventory, audit, and classroom utilization reports to the Provost/Chancellor. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Calculate and report unit space costs to support preparation of annual operating budget and capital budget. Provide technical assistance regarding function, use, and cost of campus space. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Develop institutional strategic space plan to support programmatic initiatives and determine Provostal allocation of space as part of the annual budget process. | <ul style="list-style-type: none"> • Prioritize and recommend instructional, research, and outreach space requests. Determine collegiate/administrative unit allocation of space. | <ul style="list-style-type: none"> • Prioritize and recommend instructional, research, and outreach space requests for departments. Determine departmental allocation of space. | <ul style="list-style-type: none"> • Identify instructional, research, and outreach space needs. Request allocation of space. |

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FUNCTION: MANAGEMENT OF UNIVERSITY FACILITIES-ROLES, RESPONSIBILITIES, AND REQUIREMENTS

Note: This document represents a delegation of responsibility surrounding the function of managing University facilities as part of University operations. It does not signify the responsibilities within any particular office.

PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS**

SPACE MANAGEMENT **CONTINUED**

- | | | | |
|---|--|--|---|
| <ul style="list-style-type: none">• Establish policies and standards for quality and utilization of all instructional space (includes general purpose classrooms, lecture halls, recitation rooms, seminar rooms, and other rooms used primarily for scheduled non-laboratory instruction); schedule use of instructional space; maintain and equip classrooms to established standards (includes all distance education classrooms). | <ul style="list-style-type: none">• <u>Provosts</u> - advise on utilization of instructional space and quality standards. <hr/> <ul style="list-style-type: none">• <u>Chancellors</u> - schedule utilization of instructional space on Coordinate Campuses. | <ul style="list-style-type: none">• Identify room and equipment requirements. | <ul style="list-style-type: none">• Request quality improvements and scheduling changes. |
| <ul style="list-style-type: none">• Establish policies and standards for leasing of non-University space by University departments, units, or programs. Administer leasing of non-University space. | <ul style="list-style-type: none">• Ensure compliance for use and leasing of non-University property. Authorize and forward to Central requests for leasing of non-University real estate. | <ul style="list-style-type: none">• Review and forward to Provosts/Chancellors requests for use and leasing of non-University real estate. | <ul style="list-style-type: none">• Provide programmatic justification with requests for use and leasing of non-University real estate. |
| <ul style="list-style-type: none">• Establish policies and standards for leasing University space to non-University groups. Administer leasing of University space. | <ul style="list-style-type: none">• Comply with policies and standards for leasing University space. Recommend (to Central Administration) leasing of University space to non-University groups. | <ul style="list-style-type: none">• Recommend to Provosts/Chancellors leasing of University space to non-University groups. | <ul style="list-style-type: none">• Provide programmatic justification for leasing of University space to non-University groups. |

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
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CAPITAL BUDGET
(PROCESS/PROJECT DEVELOPMENT)

- | | | | |
|--|---|---|--|
| <ul style="list-style-type: none"> • Develop and distribute capital budget instructions. Provide assistance and clarification regarding capital budget instructions. | <ul style="list-style-type: none"> • Establish and communicate Provost/Chancellor budget priorities in conformance with the institutional long-term strategic directions, goals and objectives. Provide assistance and guidance with respect to Central guidelines, policies and procedures. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Collect capital requests.*** | <ul style="list-style-type: none"> • Review, evaluate, prioritize, and recommend capital requests.*** | <ul style="list-style-type: none"> • Review capital needs submitted by departments. Evaluate and recommend capital requests.*** | <ul style="list-style-type: none"> • Identify capital needs and submit required capital budget materials. |
| <ul style="list-style-type: none"> • Prepare analysis of capital projects. Assist Provostial units in defining facility needs, analyze space and operational implication, and prepare cost estimates. | <ul style="list-style-type: none"> • Analyze, prioritize, and obtain central approval of proposed program needs. Coordinate cost estimates with central to determine budget process. | <ul style="list-style-type: none"> • Prioritize functional needs of the program. Determine how projects will be funded.*** | <ul style="list-style-type: none"> • Identify the instructional, research, and outreach activities of the program and provide supporting personnel and enrollment data. |
| <ul style="list-style-type: none"> • Review needs, formulate and recommend capital budget request and five year CIP (Capital Improvement Program) to Regents for approval. | <ul style="list-style-type: none"> • Present recommended capital budget requests to CIAC (Capital Improvements Advisory Committee). | <ul style="list-style-type: none"> • Assist in preparation of requests. | <ul style="list-style-type: none"> • Assist in preparation of requests. |
| <ul style="list-style-type: none"> • Prepare and present the approved capital budget request to the Legislature. | <ul style="list-style-type: none"> • Participate as requested by Central Administration. | <ul style="list-style-type: none"> • Participate as requested by Central Administration. | <ul style="list-style-type: none"> • Participate as requested by Central Administration. |
| <ul style="list-style-type: none"> • Implement approved capital projects in accordance with the Regents policies and procedures. Select consultants and execute all contracts. | <ul style="list-style-type: none"> • Approve scope changes, and review progress reports. Ensure funds are transferred for projects. | <ul style="list-style-type: none"> • Participate in selection of the consultants, the design process, and recommend scope changes. Transfer funds to Central as necessary. | <ul style="list-style-type: none"> • Participate in the design process, and recommend scope changes. |

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***Projects funded by departments with costs of less than \$100,000 need approval by Provost/Chancellor or designee.

FUNCTION: MANAGEMENT OF UNIVERSITY FACILITIES-ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS**

CAPITAL BUDGET CONTINUED

- | | | | |
|---|--|--|---|
| <ul style="list-style-type: none">• Authorize capital project expenditures and prepare quarterly status reports and distribute to Provosts/Chancellors. | <ul style="list-style-type: none">• N/A | <ul style="list-style-type: none">• N/A | <ul style="list-style-type: none">• N/A |
| <ul style="list-style-type: none">• Coordinate planning and engineering efforts between University and other jurisdictions | <ul style="list-style-type: none">• Advise planners and engineers of potential programmatic impacts. | <ul style="list-style-type: none">• Identify potential programmatic impacts. | <ul style="list-style-type: none">• Provide information regarding potential programmatic impacts. |

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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS**

OPERATIONS

- | | | | |
|---|--|--|---|
| <ul style="list-style-type: none">• Create policies and standards related to: asset management (facilities) and stewardship, and energy management. | <ul style="list-style-type: none">• Identify unique program service standards. | <ul style="list-style-type: none">• Identify unique program service standards. | <ul style="list-style-type: none">• Identify unique program service standards. |
| <ul style="list-style-type: none">• Establish, monitor, and enforce policies and minimum standards for maintenance, custodial support, and utilities for purposes of asset management (facilities). | <ul style="list-style-type: none">• Promote compliance with policies and standards. Review adjustment requests and determine financial strategies for additional service needs in excess of minimum standards. | <ul style="list-style-type: none">• Review requests of adjustments to minimum standards. Identify funding for additional service needs in excess of minimum standards. | <ul style="list-style-type: none">• Provide input and request adjustments to minimum standards as required for academic programs. |
| <ul style="list-style-type: none">• Communicate and ensure all building regulatory standards and codes such as health, life, and safety, are incorporated into construction plans and maintenance operations for all University assets. | <ul style="list-style-type: none">• Ensure compliance with regulatory standards and codes, and coordinate corrective action for noncompliance. Communicate new and revised standards. | <ul style="list-style-type: none">• Inform departments of new and revised regulatory standards and codes. Monitor compliance with regulatory standards and codes. | <ul style="list-style-type: none">• Comply with regulatory standards and codes. |
| <ul style="list-style-type: none">• Implement service delivery for TC Campus for maintenance, custodial support, utilities and minor facility modifications consistent with standards unless delegated by Central. Oversee and enforce compliance with standards where implementation is delegated. | <ul style="list-style-type: none">• Review service delivery standards and recommend modifications as required to support academic programs. Approve list of building and/or department contacts and submit to President/Central. | <ul style="list-style-type: none">• Designate a liaison by building and/or department as an informational contact annually. Approve additions to minimum service levels and minor facility modifications and identify funding sources. | <ul style="list-style-type: none">• Monitor service delivery and advise collegiate liaison in regard to service need changes. Identify minor facility modifications as required to support academic programs. |
| <ul style="list-style-type: none">• Oversee service delivery for Coordinate Campuses and other locations for maintenance, custodial support, utilities and minor facility modifications as determined in the University Policies and Standards. | <ul style="list-style-type: none">• Implement service delivery and monitor and enforce compliance with University Policies and Standards for Coordinate Campuses and other locations. Provide informational feedback as required to allow Central to oversee service delivery. | <ul style="list-style-type: none">• Review service delivery standards and inform Chancellor of noncompliance. Designate a liaison by building and/or department as an informational contact to Chancellors. Provide support in matching resources to service levels. | <ul style="list-style-type: none">• Advise collegiate liaison in regard to service need changes. |

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Office of the General Counsel*

Function: Legal Affairs

Roles, Responsibilities, and Requirements

President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

* Note: This document differs from the other Roles, Responsibilities and Requirements documents in that it does represent a delegation of responsibility to a particular office.

**OFFICE OF THE GENERAL COUNSEL - FUNCTION: LEGAL AFFAIRS
ROLES, RESPONSIBILITIES, AND REQUIREMENTS**

PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS**
<u>PREVENTIVE LAW AND TRAINING</u>			
<ul style="list-style-type: none"> • Provide training and programs in preventive law as needed and as resources allow. 	<ul style="list-style-type: none"> • Promote and encourage attendance at training and preventive law programs. Suggest topics and areas for preventive law programs. 	<ul style="list-style-type: none"> • Participate and encourage attendance at training and preventive law programs. Suggest topics and areas for preventive law programs. 	<ul style="list-style-type: none"> • Participate and encourage attendance at training and preventive law programs. Suggest topics and areas for preventive law programs.
<u>ADVICE AND COUNSEL - DISPUTED MATTERS</u>			
<ul style="list-style-type: none"> • Establish University's position on all questions of legal interpretation, and provide legal counsel on grievances and other disputed matters prior to litigation. Select and contract with outside counsel for legal advice in specialty areas in accord with University policy. 	<ul style="list-style-type: none"> • Identify and request advice from Office of General Counsel on grievances and other disputed matters which require legal interpretation or which might lead to litigation. 	<ul style="list-style-type: none"> • Identify and request advice from Office of General Counsel on grievances and other disputed matters which require legal interpretation or which might lead to litigation. 	<ul style="list-style-type: none"> • Identify and request advice from Office of General Counsel on grievances and other disputed matters which require legal interpretation or which might lead to litigation.
<ul style="list-style-type: none"> • Review University policies, draft major contracts, review contracts and regulatory matters, and review University activities for compliance with laws. 	<ul style="list-style-type: none"> • Request legal advice as appropriate on University policies, major contracts and fed./state regulatory matters. 	<ul style="list-style-type: none"> • Request legal advice as appropriate on University policies, major contracts and fed./state regulatory matters. 	<ul style="list-style-type: none"> • Request legal advice as appropriate on University policies, major contracts and fed./state regulatory matters.
<ul style="list-style-type: none"> • Cooperate and communicate with University departments and personnel on all requests related to University business. 	<ul style="list-style-type: none"> • Identify potential legal issues and request advice as early as possible from Office of General Counsel. 	<ul style="list-style-type: none"> • Identify potential legal issues and request advice as early as possible from Office of General Counsel. 	<ul style="list-style-type: none"> • Identify potential legal issues and request advice as early as possible from Office of General Counsel.
<ul style="list-style-type: none"> • Advise University departments and personnel on significant changes in law. 	<ul style="list-style-type: none"> • Cooperate and communicate with Office of General Counsel and attorneys selected by Office of General Counsel on all requests for advice. 	<ul style="list-style-type: none"> • Cooperate and communicate with Office of General Counsel and attorneys selected by Office of General Counsel on all requests for advice. 	<ul style="list-style-type: none"> • Cooperate and communicate with Office of General Counsel and attorneys selected by Office of General Counsel on all requests for advice.

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**OFFICE OF THE GENERAL COUNSEL - FUNCTION: LEGAL AFFAIRS
ROLES, RESPONSIBILITIES, AND REQUIREMENTS**

PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

LITIGATION

- | | | | |
|---|--|---|---|
| <ul style="list-style-type: none"> • Provide legal representation for the University in all contested matters (courts, governmental agencies, grievance panels, etc.) including selection and contracting with outside counsel in accordance with University policy. | <ul style="list-style-type: none"> • Notify Office of General Counsel of all claims asserted against the University whether by service of process or informal assertion of a claim. | <ul style="list-style-type: none"> • Review and notify Office of General Counsel and inform Provost/Chancellor of all claims asserted against the University whether by service of process or informal assertion of a claim. | <ul style="list-style-type: none"> • Notify Office of General Counsel and inform College/Administrative Unit of all claims asserted against the University whether by service of process or informal assertion of a claim. |
| <ul style="list-style-type: none"> • Provide legal representation in contested matters for individuals in accordance with University policy on defense and indemnification. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Communicate with University departments and personnel in providing litigation representation. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Advise Regents and President of all significant contested matters. | <ul style="list-style-type: none"> • Cooperate and communicate with Office of General Counsel and attorneys selected by Office of General Counsel in all contested matters including coordination of statements to media. | <ul style="list-style-type: none"> • Cooperate and communicate with Office of General Counsel and attorneys selected by Office of General Counsel in all contested matters including coordination of statements to media. | <ul style="list-style-type: none"> • Cooperate and communicate with Office of General Counsel and attorneys selected by Office of General Counsel in all contested matters including coordination of statements to media. |

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OFFICE OF THE GENERAL COUNSEL - FUNCTION: LEGAL AFFAIRS
ROLES, RESPONSIBILITIES, AND REQUIREMENTS

PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

SETTLEMENTS OF
LITIGATION AND CLAIMS

- | | | | |
|--|--|--|--|
| <ul style="list-style-type: none">• Recommend decisions related to settlements in accordance with University policy. | <ul style="list-style-type: none">• Participate in decisions related to settlements as appropriate in accordance with University policy. | <ul style="list-style-type: none">• Participate in decisions related to settlements as appropriate in accordance with University policy. | <ul style="list-style-type: none">• Participate in decisions related to settlements as appropriate in accordance with University policy. |
|--|--|--|--|

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Function:*

**Research, Scholarship, and Management of
Sponsored Programs**

Roles, Responsibilities, and Requirements

President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

(This document is subject to modification as a result of the Grants Management Project.)

July 12, 1995

* Note: This document represents a delegation of responsibility surrounding the function of research, scholarship and management of sponsored programs as part of University operations. It does not signify the responsibilities within any particular office.

FUNCTION: RESEARCH, SCHOLARSHIP, & MGMT OF SPONSORED PROGRAMS—ROLES, RESPONSIBILITIES, & REQUIREMENTS

Note: this document represents a delegation of responsibility surrounding the function of research as part of University operations. It does not signify the responsibilities within any particular office.

PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS & CENTERS**

RESEARCH ENVIRONMENT

- | | | | |
|--|---|--|---|
| <ul style="list-style-type: none">• Advocate and represent the University in research activities. Act as liaison and spokesperson for system-wide accomplishments to other institutions. | <ul style="list-style-type: none">• Advocate and represent the University in research activities. | <ul style="list-style-type: none">• Advocate and represent the University in research activities. | <ul style="list-style-type: none">• Advocate and represent the University in research activities. |
| <ul style="list-style-type: none">• Collaborate with provosts and chancellors to establish system-wide directions, goals, and strategies for research. | <ul style="list-style-type: none">• Create unit directions, goals, and strategies, for research. Participate in development of system-wide directions, goals, strategies. | <ul style="list-style-type: none">• Create unit directions, goals, and strategies, for research. Participate in development of provostal and campus directions, goals, and strategies. | <ul style="list-style-type: none">• Create unit directions, goals, and strategies, for research. Participate in development of College directions, goals, and strategies. |
| <ul style="list-style-type: none">• Scan external environment and communicate issues which may impact research. | <ul style="list-style-type: none">• Scan external environment and communicate issues which may impact research. | <ul style="list-style-type: none">• Scan external environment and communicate issues which may impact research. | <ul style="list-style-type: none">• Scan external environment and communicate issues which may impact research. |
| <ul style="list-style-type: none">• Develop, update and distribute research policies, procedures, and standards. Provide assistance, and clarification. | <ul style="list-style-type: none">• Participate in the development of, and communicate policies, procedures, and standards. | <ul style="list-style-type: none">• Participate in the development of, and communicate policies, procedures, and standards. | <ul style="list-style-type: none">• Participate in the development of, and communicate policies, procedures, and standards. |
| <ul style="list-style-type: none">• Communicate and disseminate federal and state regulations which affect research. | <ul style="list-style-type: none">• Ensure federal and state regulations are disseminated. | <ul style="list-style-type: none">• Ensure federal and state regulations are disseminated. | <ul style="list-style-type: none">• Comply with federal and state regulations which affect research. |
| <ul style="list-style-type: none">• Oversee special industry relationships to foster their growth and seek new opportunities. | <ul style="list-style-type: none">• Promote the development of special industry relationships; communicate with Central as appropriate. | <ul style="list-style-type: none">• Promote the development of special industry relationships; communicate with Provost/Chancellor as appropriate. | <ul style="list-style-type: none">• Participate in the development of special industry relationships. Communicate with colleges as appropriate. |
| <ul style="list-style-type: none">• Establish institutional goals for interdisciplinary research activities. | <ul style="list-style-type: none">• Provide input into the development of institutional goals for interdisciplinary research activities. | <ul style="list-style-type: none">• Provide input into the development of institutional goals for interdisciplinary research activities. | <ul style="list-style-type: none">• Provide input into the development of institutional goals for interdisciplinary research activities. |

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FUNCTION: RESEARCH, SCHOLARSHIP, & MGMT OF SPONSORED PROGRAMS—ROLES, RESPONSIBILITIES, & REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS & CENTERS**

RESEARCH ENVIRONMENT CONTINUED

- | | | | |
|--|--|---|---|
| <ul style="list-style-type: none">• Establish institutional-wide benchmarks for research activities, track accomplishments, and measure activities. Prepare and communicate reports for internal and external groups.• Facilitate/encourage the development of new interdisciplinary centers that will better position the University to take advantage of new extramural research and postbaccalaureate education funding opportunities. | <ul style="list-style-type: none">• Advise on development of institutional-wide benchmarks for research activities, establish unit benchmarks, track accomplishments, and measure activities. Report data to Central.• Facilitate/encourage the development of new interdisciplinary centers that will better position the University to take advantage of new extramural research and postbaccalaureate education funding opportunities. | <ul style="list-style-type: none">• Advise on development of institutional-wide benchmarks for research activities, establish unit benchmarks, track accomplishments, and measure activities. Report data to Provost/Chancellor.• Facilitate/encourage the development of new interdisciplinary centers that will better position the University to take advantage of new extramural research and postbaccalaureate education funding opportunities. | <ul style="list-style-type: none">• Advise on development of institutional-wide benchmarks for research activities, establish unit benchmarks, track accomplishments, and measure activities. Report data to College/Administrative Unit.• Faculty to develop new interdisciplinary centers that will better position the University to take advantage of new extramural research and postbaccalaureate education funding opportunities. |
|--|--|---|---|

INTERDISCIPLINARY RESEARCH CENTERS – MULTIPLE COLLEGES

- | | | | |
|--|---|---|---|
| <ul style="list-style-type: none">• Sustain and develop new cross-collegiate interdisciplinary research program proposals. Evaluate proposals, and determine which proposals will receive central funding. | <ul style="list-style-type: none">• Encourage and support the creation and operation of new cross-collegiate interdisciplinary research programs (with other provosts, when appropriate). | <ul style="list-style-type: none">• Encourage and support the creation and operation of new cross-collegiate interdisciplinary research programs. Review and approve the involvement of college faculty and the use of college resources in cross-collegiate interdisciplinary research programs. Evaluate and recommend proposals; determine and allocate resources needed and provide cost sharing when possible. | <ul style="list-style-type: none">• <u>Departments:</u> encourage and support the creation and operation of new cross-collegiate interdisciplinary research programs. Review and approve the involvement of college faculty and the use of department resources. <p><u>Responsible Investigators:</u> initiate, write, and submit new interdisciplinary research program proposals.</p> |
|--|---|---|---|

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FUNCTION: RESEARCH, SCHOLARSHIP, & MGMT OF SPONSORED PROGRAMS—ROLES, RESPONSIBILITIES, & REQUIREMENTS
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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS & CENTERS**

INTERDISCIPLINARY RESEARCH
CENTERS – MULTIPLE
COLLEGES CONTINUED

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| <ul style="list-style-type: none"> • Identify administrative reporting line for new multi-college interdisciplinary research programs. Where appropriate, provide initial administrative oversight. • Provide administrative oversight, including ongoing review and evaluation, for multi-college interdisciplinary research programs where appropriate. Terminate programs as necessary. | <ul style="list-style-type: none"> • Advise on appropriate initial administrative reporting line for new multi-college interdisciplinary research programs. Where appropriate, provide initial administrative oversight. • Provide administrative oversight for multi-college interdisciplinary research programs where appropriate. | <ul style="list-style-type: none"> • Advise on appropriate initial administrative reporting line for new multi-college interdisciplinary research programs. Where appropriate, provide initial administrative oversight. • Provide administrative oversight for multi-college interdisciplinary research programs where appropriate. | <ul style="list-style-type: none"> • Where appropriate, provide initial administrative oversight. • Provide administrative oversight for multi-college interdisciplinary research programs where appropriate. |
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INTERDISC RESEARCH CENTERS
– PROVOST/CHANCELLOR-
MULTIPLE COLLEGES

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| <ul style="list-style-type: none"> • Encourage and support the creation and operation of new cross-collegiate interdisciplinary research programs. • N/A | <ul style="list-style-type: none"> • Lead in the creation of new cross-collegiate interdisciplinary research program proposals. Evaluate proposals, and determine which proposals will receive campus funding. • Identify administrative reporting line for new multi-college interdisciplinary research programs. Where appropriate, provide initial administrative oversight. | <ul style="list-style-type: none"> • Encourage and support the creation and operation of new cross-collegiate interdisciplinary research programs. Review and approve the involvement of college faculty and the use of college resources in cross-collegiate interdisciplinary research programs. Evaluate and recommend proposals; determine and allocate resources needed and provide cost sharing when possible. • Advise on appropriate initial administrative reporting line for new multi-college interdisciplinary research programs. Where appropriate, provide initial administrative oversight. | <ul style="list-style-type: none"> • <u>Departments:</u> encourage and support the creation and operation of new cross-collegiate interdisciplinary research programs. Review and approve the involvement of college faculty and the use of department resources. • <u>Responsible Investigators:</u> initiate, write, and submit new interdisciplinary research program proposals. • Where appropriate, provide initial administrative oversight. |
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FUNCTION: RESEARCH, SCHOLARSHIP, & MGMT OF SPONSORED PROGRAMS—ROLES, RESPONSIBILITIES, & REQUIREMENTS

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PRESIDENT/CENTRAL	PROVOST/CHANCELLOR*	COLLEGE/ADMINISTRATIVE UNITS*	DEPARTMENTS & CENTERS**
<ul style="list-style-type: none"> Encourage the review of centers on a regular basis. 	<ul style="list-style-type: none"> Provide administrative oversight, including ongoing review and evaluation, for multi-college interdisciplinary research programs where appropriate. Terminate programs as necessary. 	<ul style="list-style-type: none"> Provide administrative oversight for multi-college interdisciplinary research programs where appropriate. 	<ul style="list-style-type: none"> Provide administrative oversight for multi-college interdisciplinary research programs where appropriate.
<p><u>INTERDISCIPLINARY RESEARCH CENTERS – SINGLE COLLEGE</u></p>			
<ul style="list-style-type: none"> Encourage the creation of new collegiate-based interdisciplinary research centers. 	<ul style="list-style-type: none"> Encourage the creation of new collegiate-based interdisciplinary research centers. 	<ul style="list-style-type: none"> Lead in the creation of new collegiate-based interdisciplinary research centers. Evaluate proposal and determine which will be funded. 	<ul style="list-style-type: none"> <u>Departments:</u> encourage and support the creation and operation of new cross-collegiate interdisciplinary research programs. Review and approve the involvement of college faculty and the use of department resources.
<ul style="list-style-type: none"> Advise on appropriate initial administrative reporting line for new multi-college interdisciplinary research programs. Where appropriate, provide initial administrative oversight. 	<ul style="list-style-type: none"> Advise on appropriate initial administrative reporting line for new multi-college interdisciplinary research programs. Where appropriate, provide initial administrative oversight. 	<ul style="list-style-type: none"> Identify administrative reporting line for new multi-college interdisciplinary research programs. Where appropriate, provide initial administrative oversight. 	<ul style="list-style-type: none"> Where appropriate, provide initial administrative oversight.
<ul style="list-style-type: none"> Provide administrative oversight for multi-college interdisciplinary research programs where appropriate. 	<ul style="list-style-type: none"> Provide administrative oversight for multi-college interdisciplinary research programs where appropriate. 	<ul style="list-style-type: none"> Provide administrative oversight, including ongoing review and evaluation, for multi-college interdisciplinary research programs where appropriate. Terminate programs as necessary. 	<ul style="list-style-type: none"> Provide administrative oversight for multi-college interdisciplinary research programs where appropriate.

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DEPARTMENTS & CENTERS**

RESEARCH ENVIRONMENT CONTINUED

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| <ul style="list-style-type: none"> • Establish process for prioritizing proposals, and where appropriate identify matching funds, for external funding when the number of allowed proposals is limited by the sponsoring agency. Prioritize proposals . • Administer McKnight Humanities Fellowships, and Grant-In-Aid and Summer Faculty Research Fellowship programs funding. Notify faculty, departments, and colleges of awards. Provide mentoring for faculty in development of research proposals as needed. • Manage, promote, and monitor activities of UROP University-wide. • Establish policies and procedures for indirect cost development: indirect rate negotiations and IDC recovery. | <ul style="list-style-type: none"> • Prioritize proposals, and where appropriate identify matching funds, for external funding for provostal unit/campus. • N/A • <u>Provost:</u> promote participation of faculty in UROP programs.
<u>Chancellor:</u> promote participation of faculty in UROP programs. Manage UROP; coordinate identification of students; review and prioritize projects. • Provide input and participate in development of policies and procedures for indirect cost recovery. | <ul style="list-style-type: none"> • Prioritize proposals, and where appropriate identify matching funds, for external funding for college. • Review and approve Grant-In-Aid and Summer Faculty Research Fellowship programs applications (compliance and signature form) for commitments and compliance. Notify Provosts/Chancellors of issues out of norm. • Promote participation of faculty in UROP programs. Manage UROP at college level for Twin Cities; coordinate identification of students; review and prioritize projects. • Provide input on policies and procedures for indirect cost recovery as requested. | <ul style="list-style-type: none"> • Prioritize proposals, and where appropriate identify matching funds, for external funding for departments. • <u>Department:</u> review and approve Grant-In-Aid and Summer Faculty Research Fellowship programs applications (compliance and signature form) for commitments and compliance.
<u>Responsible Investigator:</u> prepare proposal applications. Obtain necessary compliance approvals. • <u>Department:</u> promote participation of faculty in UROP programs. Manage UROP resources at the department level for individual students.
<u>Responsible Investigator:</u> approve projects; guide students through UROP projects. • <u>Department:</u> provide input on policies and procedures for indirect cost recovery as requested.
<u>Responsible Investigator:</u> apply applicable indirect cost rate to proposals. |
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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS & CENTERS**

RESEARCH ENVIRONMENT
CONTINUED

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| <ul style="list-style-type: none"> • Establish policies and procedures for allocation of ICR funds. Allocate ICR funds to Provosts/Chancellors. Provide data on ICR funds generated by units. • N/A • Assist in identifying new funding opportunities and report information about new funding sources to Provosts and Chancellors. • Evaluate need; provide matching funds; develop partnerships in collaboration with Provosts/Chancellors. • Report and promote accomplishments of University research and scholarship. | <ul style="list-style-type: none"> • Distribute ICR funds to Colleges/Administrative Units. • Assist Colleges in providing set-up funds for new faculty. • Assist in identifying new funding opportunities and report information about new funding sources to Colleges. • <u>Provost:</u> assist colleges in providing matching funds. Request assistance from Central when appropriate. Collaborate with Central in setting priorities and allocating funds for Twin Cities campus. • <u>Chancellor:</u> assist colleges in providing funds for matching when appropriate. • Report and promote accomplishments of University research and scholarship. | <ul style="list-style-type: none"> • Distribute ICR funds as appropriate to Departments/Centers. • Assist departments in providing set-up funds for new faculty. Request assistance from Provost/Chancellor when appropriate. • Assist in identifying new funding opportunities. • Assist departments in providing matching funds. Request assistance from Provosts/Chancellors when appropriate. • Report and promote accomplishments of University research and scholarship. | <ul style="list-style-type: none"> • Distribute ICR if applicable. • Provide set-up funds for new faculty with assistance from the college. • Provide input on new funding opportunities. • Provide matching funds. Request matching funds from college where appropriate. • Report and promote accomplishments of University research and scholarship. |
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PROVOST/CHANCELLOR*

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS & CENTERS**

RESEARCH ETHICS,

REGULATORY, AND FINANCIAL COMPLIANCE AND REPORTING

- **Oversee research related activities and work with units to ensure compliance to meet federal, state, and University requirements within the following areas: Environmental Health and Safety, biological safety, Human Subjects, animals, intellectual property, and academic misconduct. Develop, update, and distribute research policies, procedures, and standards. Provide assistance and clarification.**
- **Promote and communicate responsibility to meet federal, state, and University requirements. Work with appropriate central compliance offices to ensure compliance within the following areas: Environmental Health and Safety, biological safety, Human Subjects, animals, intellectual property, and academic misconduct. Participate in the development of, and communicate policies, procedures, and standards.**
- **Promote and communicate responsibility to meet federal, state, and University requirements. Work with appropriate central compliance offices to ensure compliance within the following areas: Environmental Health and Safety, biological safety, Human Subjects, animals, intellectual property, and academic misconduct.**
- **Department: monitor, ensure compliance, promote and communicate responsibility to meet federal, state, and University requirements within the following areas: Environmental Health and Safety, biological safety, Human Subjects, animals, intellectual property, and academic misconduct.**

Responsible Investigator: comply with federal, state, and University requirements within the following areas: EHS, biological safety, Human Subjects, animals, intellectual property, and academic misconduct.
- **Provide oversight and assure institutional compliance to meet federal, state, and University requirements in the following areas: conflict of interest, conflict of commitment.**
- **Ensure oversight, promote, and encourage compliance to meet federal, state, and University requirements in the following areas: conflict of interest, conflict of commitment.**
- **Implement and comply with conflict of interest policies and procedures. Oversee compliance of conflict of commitment policies and procedures.**
- **Department: recommend actions for compliance with conflict of interest policies and procedures. Ensure compliance of conflict of commitment policies and procedures.**

Responsible Investigator: comply with conflict of interest and conflict of commitment policies and procedures.

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COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS & CENTERS**

**RESEARCH ETHICS,
REGULATORY, AND FINANCIAL
COMPLIANCE AND REPORTING
CONTINUED**

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| <ul style="list-style-type: none"> • Oversee and ensure institutional compliance as related to financial requirements for sponsored funding. | <ul style="list-style-type: none"> • Ensure oversight, promote, and encourage compliance with financial requirements for sponsored funding. | <ul style="list-style-type: none"> • Implement and ensure compliance with financial requirements for sponsored funding. | <ul style="list-style-type: none"> • <u>Department</u>: ensure that compliance with financial requirements for sponsored funding does occur. <p style="margin-left: 20px;"><u>Responsible Investigator</u>: comply with financial requirements on sponsored funding.</p> |
| <ul style="list-style-type: none"> • Provide appropriate University-wide financial management system for departments and responsible investigators to manage sponsored funding. | <ul style="list-style-type: none"> • Use systems and provide oversight. | <ul style="list-style-type: none"> • Use systems and provide oversight. | <ul style="list-style-type: none"> • <u>Department</u>: use systems to provide accounting and management assistance. Communicate information to faculty. <p style="margin-left: 20px;"><u>Responsible Investigator</u>: use systems to manage budget and review fiscal activity for appropriateness of expenditures.</p> |
| <ul style="list-style-type: none"> • Oversee audits of sponsored research programs. Ensure compliance with audit recommendations for University-wide processes. | <ul style="list-style-type: none"> • Assist and provide information as requested for audits of sponsored research programs. Ensure compliance with audit recommendations for provostal/campus processes. | <ul style="list-style-type: none"> • Assist and provide information as requested for audits of sponsored research programs. Monitor compliance with audit recommendations. | <ul style="list-style-type: none"> • Assist and provide information as requested for audits of sponsored research programs; comply with audit recommendations. |
| <ul style="list-style-type: none"> • Prepare and transmit financial reports for individual grants to funding agencies. | <ul style="list-style-type: none"> • Ensure that appropriate reports are submitted. | <ul style="list-style-type: none"> • Oversee review of financial reports. | <ul style="list-style-type: none"> • <u>Department</u>: provide faculty with financial information; review and approve centrally provided financial reports. <p style="margin-left: 20px;"><u>Responsible Investigator</u>: review and approve financial reports.</p> |

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COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS & CENTERS**

RESEARCH ETHICS,

REGULATORY, AND FINANCIAL
COMPLIANCE AND REPORTING
CONTINUED

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| <ul style="list-style-type: none">• Oversee and ensure technical reports are submitted according to agency specifications. | <ul style="list-style-type: none">• Ensure compliance with reporting requirements. | <ul style="list-style-type: none">• Oversee and ensure technical reports are submitted according to agency specifications. | <ul style="list-style-type: none">• <u>Department</u>: oversee, process, and ensure technical reports are submitted by Responsible Investigator according to agency specifications. |
| <ul style="list-style-type: none">• Maintain effort reporting system; monitor compliance with effort reporting requirements. | <ul style="list-style-type: none">• Oversee compliance with effort reporting requirements. | <ul style="list-style-type: none">• Oversee compliance with effort reporting requirements. | <p><u>Responsible Investigator</u>: submit technical content reports to funding agencies in accordance with the terms of the agreement.</p> <ul style="list-style-type: none">• <u>Department</u>: comply with effort reporting requirements. |
| <ul style="list-style-type: none">• Develop, coordinate, and deliver training; provide assistance as needed. | <ul style="list-style-type: none">• Encourage, participate, and promote participation in training programs. Provide training as needed. | <ul style="list-style-type: none">• Encourage, participate, and promote participation in training programs. Provide training as needed. | <p><u>Responsible Investigator</u>: verify employees working on sponsored projects and certify effort when appropriate.</p> <ul style="list-style-type: none">• Participate in training programs. Provide training as needed. |

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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS & CENTERS**

GRANT ADMINISTRATION

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| <ul style="list-style-type: none"> • Set policies and procedures to ensure appropriate compliance takes place. • Process and submit grant proposals to funding sources for the Twin Cities campus. Review for compliance University-wide. | <ul style="list-style-type: none"> • Participate in the development of, and communicate policies, procedures, and standards. • <u>Provost</u>: ensure appropriate compliance occurs.

<u>Chancellor</u>: process and submit grant proposals to funding sources for the campus. Review for compliance on campus. | <ul style="list-style-type: none"> • Participate in the development of, and communicate policies, procedures, and standards. • Review and approve applications (compliance and signature form) for commitments and compliance. Notify Provosts/Chancellors of issues out of norm and significant commitments. | <ul style="list-style-type: none"> • Participate in the development of, and communicate policies, procedures, and standards. • <u>Department</u>: review and approve applications (compliance and signature form) for commitments and compliance.

<u>Responsible Investigator</u>: prepare grant proposals; obtain necessary compliance approvals. |
| <ul style="list-style-type: none"> • Retain all grant applications centrally. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • <u>N/A</u> |
| <ul style="list-style-type: none"> • Review, negotiate, execute, set up, and administer awards for sponsored agreements. Distribute notice of award. | <ul style="list-style-type: none"> • Oversee expenditures and budget. | <ul style="list-style-type: none"> • Ensure that expenditures are within budget. Monitor to ensure departmental procedures and financial record keeping are according to University policies. | <ul style="list-style-type: none"> • <u>Department</u>: organize financial record keeping according to University policies, prepare necessary documents, and monitor expenditures against budget.

<u>Responsible Investigator</u>: establish final budget, identify personnel to be appointed, and authorize purchasing. Inform department and Central of any post award changes proposed with funding agency. Provide scientific direction and oversight. |

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COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS & CENTERS**

GRANT ADMINISTRATION

CONTINUED

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| <ul style="list-style-type: none"> • Establish policies and procedures for receipt of revenue to include sponsored research and program income. | <ul style="list-style-type: none"> • Comply with University policies and procedures. | <ul style="list-style-type: none"> • Comply with University policies and procedures. | <ul style="list-style-type: none"> • Comply with University policies and procedures. |
| <ul style="list-style-type: none"> • Maintain institutional database to assure compliance with all mandated regulations, such as: human subjects, animals, etc. Create and distribute quarterly reports. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Provide input as necessary. Verify data on quarterly reports and communicate discrepancies. | <ul style="list-style-type: none"> • Provide input as necessary. Verify data on quarterly reports and communicate discrepancies. |
| <ul style="list-style-type: none"> • Develop and maintain databases on research contract and grant activity; provide access to units to recover information; prepare reports. | <ul style="list-style-type: none"> • Access databases as needed. | <ul style="list-style-type: none"> • Access databases as needed. | <ul style="list-style-type: none"> • Access databases as needed. |

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DEPARTMENTS & CENTERS**

PATENT ADMINISTRATION

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| <ul style="list-style-type: none"> • Solicit invention disclosures. | <ul style="list-style-type: none"> • Provide leadership; encourage and promote invention disclosure. | <ul style="list-style-type: none"> • Encourage and promote invention disclosure. | <ul style="list-style-type: none"> • <u>Department</u>: encourage and promote invention disclosure. Review disclosure form. <p><u>Responsible Investigator</u>: submit invention disclosures as required by patent policy and sponsored research agreements, and provide information as requested.</p> |
| <ul style="list-style-type: none"> • Review and select invention disclosures for submission of patent applications. Satisfy reporting and licensing obligations to sponsors. Monitor and control patent prosecution process with external law firms; seek licensing for patent pending technology; inform dean and department head; provide funding to obtain patent(s). | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Assist departments and investigators in considerations of patent submissions. | <ul style="list-style-type: none"> • <u>Department</u>: participate in review of invention disclosure for submission of patent application. Notify College of invention disclosures for submission of patent applications. <p><u>Responsible Investigator</u>: provide information about invention; complete forms; assist attorneys with patent filing and prosecution and provide information as needed. Collaborate with private industry.</p> |
| <ul style="list-style-type: none"> • Collect and administer distribution of patent proceeds. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Administer college patent proceeds. | <ul style="list-style-type: none"> • <u>Responsible Investigator</u>: administer laboratory share of patent proceeds. |

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Function:*
Resource Allocation
Roles, Responsibilities, and Requirements
President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

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FUNCTION: RESOURCE ALLOCATION-ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PROVOST/CHANCELLOR

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

PHASE 1

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| <ul style="list-style-type: none"> • Establish timeline for annual budget development process. | <ul style="list-style-type: none"> • Develop internal timelines to coincide with Central Administration annual budget development process. | <ul style="list-style-type: none"> • Conform to timelines established for annual budget development process. | <ul style="list-style-type: none"> • Conform to timelines established for annual budget development process. |
| <ul style="list-style-type: none"> • Establish base adjustment criteria for upcoming fiscal period. Compare centrally allocated revenues and expenditures to determine short and long term financial framework. | <ul style="list-style-type: none"> • Recommend base adjustments. | <ul style="list-style-type: none"> • Respond to base adjustment criteria. | <ul style="list-style-type: none"> • Provide input and respond to base adjustment criteria. |
| <ul style="list-style-type: none"> • Prepare report regarding short and long term financial outlook. | <ul style="list-style-type: none"> • Communicate financial and academic changes which may impact short and long term financial outlook. | <ul style="list-style-type: none"> • Inform Provosts/Chancellors of financial and academic changes which may impact short and long term financial outlook. | <ul style="list-style-type: none"> • Inform College/Administrative Unit of financial and academic changes which may impact short and long term financial outlook. |
| <ul style="list-style-type: none"> • Develop institutional financial strategy for preliminary resource allocation. | <ul style="list-style-type: none"> • Advise Central Budget Office of changes which could impact institutional financial strategy. | <ul style="list-style-type: none"> • Inform Provost/Chancellors of any changes which could impact institutional financial strategy. | <ul style="list-style-type: none"> • Inform College/Administrative Unit of any changes which could impact institutional financial strategy. |
| <ul style="list-style-type: none"> • Propose alternative institutional resource allocation options/parameters. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Prepare resource allocation guidelines. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |

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DEPARTMENTS**

PHASE 2

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| <ul style="list-style-type: none">• Establish preliminary budget planning allocation targets for centrally allocated funds at the Provost/Chancellor level according to institutional strategic directions, goals and objectives and critical measures.• Develop annual tuition plan. Calculate preliminary tuition revenue estimates by college and coordinate campus, for each year of the budget planning horizon. Communicate estimates to provosts/chancellors and colleges. During the annual budget process, approve final college and coordinate campus tuition revenue targets and fee recommendations for the budget year.• Develop and distribute budget instructions, standards, policies, procedures and fiscal worksheets for historical non-sponsored current funds and provide assistance and clarification regarding budget development policies and procedures. | <ul style="list-style-type: none">• Participate in the establishment of preliminary budget planning allocation targets at the Provost/Chancellor level. Provide advice and recommendations regarding institutional financial strategies, budget issues and financial opportunities.• Approve college tuition revenue targets and fee recommendations for the budget year and forward recommendations to central administration.• Provide assistance and guidance with respect to Central guidelines, policies, and procedures. | <ul style="list-style-type: none">• Provide input as requested.• Inform Provost/Chancellor of the impact of preliminary tuition and fee revenue estimates. When necessary, propose changes to the preliminary estimates for the budget year.• Conform to guidelines, policies and procedures. | <ul style="list-style-type: none">• Provide input as requested.• Cooperate with College in the estimation of enrollments and course credit counts. Propose fees if appropriate.• Conform to guidelines, policies, and procedures. |
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FUNCTION: RESOURCE ALLOCATION-ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

PHASE 2 CONTINUED

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| <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Establish and communicate Provost/Chancellor budget allocation targets for each College/Administrative Unit within area of responsibility based upon Provost/Chancellor budget priorities, enrollment objectives, strategic investment initiatives, tuition rate structure, and in conformance with the institutional long-term strategic directions, goals and objectives and critical measures. | <ul style="list-style-type: none"> • Inform Provost/Chancellor of the potential impact of Provost/Chancellor budget allocation targets. Participate with Provost/Chancellor in budget discussions based on Provost/Chancellor budget priorities, enrollment objectives, strategic investment initiatives, tuition rate structure, and the institutional long-term strategic directions, goals and objectives and critical measures. | <ul style="list-style-type: none"> • Provide input as requested. |
| <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Direct the preparation of College/Administrative budgets within area of responsibility and ensure conformance with institutional standards, policies and procedures regarding budget development. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Collect budget documents submitted by Provosts/Chancellors. | <ul style="list-style-type: none"> • Review budget documents submitted by College/Administrative Units: evaluate fiscal worksheets for conformance to allocation targets and compliance with resource allocation guidelines and determine final budget plans for College/Administrative Units and transmit to Central. | <ul style="list-style-type: none"> • Review department budget documents. Develop and submit all required budget materials (including, if applicable, an explanation of preliminary budget allocation targets, fiscal worksheets, modifications in enrollment plans, tuition rate structure, and investment initiatives) to Provost/Chancellor. | <ul style="list-style-type: none"> • Develop and submit all required budget materials and fiscal worksheets, to College/Administrative Unit. |
| <ul style="list-style-type: none"> • Review and evaluate budget recommendations for conformance to resource allocation guidelines, and institutional strategic plans and performance goals. | <ul style="list-style-type: none"> • Provide information on submitted budget plans upon request. | <ul style="list-style-type: none"> • Provide information on submitted budget plans upon request. | <ul style="list-style-type: none"> • Provide information on submitted budget plans upon request. |

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PROVOST/CHANCELLOR

COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

PHASE 2 CONTINUED

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| <ul style="list-style-type: none"> • Conduct annual budget hearings in cooperation with Provost/Chancellor/College/Administrative Units. | <ul style="list-style-type: none"> • Present budget requests for units within area of responsibility at budget hearings. | <ul style="list-style-type: none"> • Participate in budget hearings and present budget request as requested by Provost/Chancellor. | <ul style="list-style-type: none"> • Participate in budget hearings and present budget request as requested by College/Administrative Unit. |
| <ul style="list-style-type: none"> • Determine final budget allocations, including strategic investment decisions, enrollment plans, tuition levels and performance goals. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Communicate final budget allocation decisions, including strategic investment decisions, enrollment plans, tuition levels and performance goals to Provost/Chancellor/College/Administrative Units prior to review by Board of Regents. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Assemble and present President's recommended budget. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |

PHASE 3

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| <ul style="list-style-type: none"> • Prepare and disseminate annual budget preparation instructions for detailed budget input into CUFS. | <ul style="list-style-type: none"> • Prepare and disseminate internal timelines and instructions. | <ul style="list-style-type: none"> • Disseminate internal instructions and conform to timeline requirements. | <ul style="list-style-type: none"> • Conform to timeline requirements. |
| <ul style="list-style-type: none"> • Notify Provost/Chancellor/College/Administrative Unit of final budget allocations and parameters upon approval by Board of Regents. | <ul style="list-style-type: none"> • Communicate final allocations to college/administrative units. | <ul style="list-style-type: none"> • Notify Areas of final budget allocations. | <ul style="list-style-type: none"> • N/A |

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<u>PHASE 3 CONTINUED</u>			
<ul style="list-style-type: none"> Coordinate on-line budget entry. 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> Enter budget data into CUFS. 	<ul style="list-style-type: none"> Enter budget data into CUFS.
<ul style="list-style-type: none"> Provide technical assistance to Provost/Chancellor/College/Administrative Unit regarding policies and procedures for detailed budget preparation. 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A
<ul style="list-style-type: none"> Review College/Administrative Units budget plans at the area/fund level for existing or planned budget deficits. Report non-compliance to appropriate Provost/Chancellor/College/Administrative Units for corrective action. 	<ul style="list-style-type: none"> Review budgets for existing or planned deficits and coordinate corrective action. 	<ul style="list-style-type: none"> Review budgets for compliance with policies and procedures. Prepare plans for corrective action if needed. 	<ul style="list-style-type: none"> Prepare plans for corrective action if needed.
<ul style="list-style-type: none"> Ensure loaded budgets reconcile with central allocations. Report non-compliance to appropriate Provost/Chancellor/College/Administrative Units for corrective action. 	<ul style="list-style-type: none"> Ensure budget plans reconcile with central allocations and coordinate corrective action. 	<ul style="list-style-type: none"> Ensure budget plans reconcile with central allocations and adjust budget plan if necessary. 	<ul style="list-style-type: none"> Revise budget plan if requested.
<ul style="list-style-type: none"> Report final budget plans as loaded in CUFS [all non-sponsored, current funds]. 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A
<u>OTHER GENERAL RESPONSIBILITIES IN BUDGET DEVELOPMENT</u>			
<ul style="list-style-type: none"> Prepare report on the long term financial/economic parameters confronting State of Minnesota. 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A

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<u>OTHER GENERAL RESPONSIBILITIES CONTINUED</u>			
<ul style="list-style-type: none"> • Prepare conceptual framework for development of biennial budget request. • Prepare special financial reports as requested. • Evaluate and recommend budget proposals for inclusion in biennial budget request. • Coordinate development of biennial budget request document. • Establish clear policies and procedures for the communication of all budget information across all organization entities in order to ensure the free flow of complete, accurate, and reliable financial or programmatic information. • Ensure financial concerns are clearly communicated to Provost/Chancellor, College/Administrative Units on a timely and expedient basis. 	<ul style="list-style-type: none"> • Advise on the conceptual framework for development of biennial budget request. • Participate and provide input into special reports as needed. Review prior to Regents • Recommend budget proposals to Central for inclusion in biennial budget request. • Consult with <u>Central Budget Office</u> on development of biennial budget request document. • Comply with and enforce the established policies and procedures to ensure the free flow of budget and programmatic information within and across all College/Administrative units. • Establish reporting protocol for college/administrative units to inform Provost/Chancellors of information requests from central administration. 	<ul style="list-style-type: none"> • Advise on the conceptual framework for development of biennial budget request. • Provide input as needed. • Recommend budget proposals to Provost/Chancellor for inclusion in biennial budget request. • Provide input on biennial budget request document. • Ensure the free flow of budget information within organizational entities including the compliance with requests for financial or programmatic information. • Conform to established protocol. 	<ul style="list-style-type: none"> • Advise on the conceptual framework for development of biennial budget request. • Provide input as needed. • N/A • Provide input on biennial budget request document. • Ensure the free flow of budget information. • Conform to established protocol.

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Function:*
Strategic Planning
Roles, Responsibilities, and Requirements
President/Central, Provost/Chancellor, College/Administrative Units, Departments

These tables attempt to clarify the interrelationships among various line administrative functions in the University of Minnesota. In the broadest sense, the role of the President in all of these areas is to clearly state to the University and to external communities the importance of research, teaching, and outreach at the University of Minnesota, and to assure that the University develops effective ways to judge outcomes in these areas. The role of the chancellors and provosts is to advise and consult with the President and to communicate clearly with the deans about institutional goals and priorities. All administrative officers are responsible for effective leadership and management of their units, and for supporting and promoting the stated vision and mission of the University.

Approved by President Hasselmo

July 12, 1995

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FUNCTION: STRATEGIC PLANNING - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

PLANNING

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| <ul style="list-style-type: none"> • Develop and distribute planning instructions, standards, policies, procedures. Provide assistance and clarification for institutional planning development policies and procedures. | <ul style="list-style-type: none"> • Provide assistance and guidance with respect to Central guidelines, policies, and procedures. | <ul style="list-style-type: none"> • Conform to guidelines, policies, and procedures. | <ul style="list-style-type: none"> • Conform to guidelines, policies, and procedures. |
| <ul style="list-style-type: none"> • Establish timeline for annual institutional planning. | <ul style="list-style-type: none"> • Develop internal timelines to coincide with Central Administration annual planning development process. | <ul style="list-style-type: none"> • Develop timeline for departmental planning. Conform to timelines established for annual planning development process. | <ul style="list-style-type: none"> • Conform to timelines established for annual planning development process. |

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The process for system-wide, campus, provost, and collegiate plans are described on pages 2 - 5.
 Readers may want to skip to pages 2 - 5 then return to the three items below, to follow the logical sequence of planning.
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| <ul style="list-style-type: none"> • Conduct annual institutional planning hearings in cooperation with Provost/Chancellor. | <ul style="list-style-type: none"> • Present Campus/Provost/Collegiate/Administrative Unit plans to Central Administration; present accompanying requests and plans by unit within area of responsibility. | <ul style="list-style-type: none"> • Participate in planning hearings and present Collegiate/Unit plan as requested by Provost/Chancellor. | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Prepare report on institutional planning results and communicate to internal and external groups. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Evaluate institutional planning process. | <ul style="list-style-type: none"> • Participate in evaluation of institutional planning process. | <ul style="list-style-type: none"> • Participate in evaluation of institutional planning process. | <ul style="list-style-type: none"> • Participate in evaluation of institutional planning process. |

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

PLANNING - SYSTEM-WIDE

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| <ul style="list-style-type: none"> • Initiate and lead strategic planning for the University as a system to include: establishing parameters, strategic directions, assumptions, and constraints. | <ul style="list-style-type: none"> • Provide input on system-wide planning. Contribute to the formulation of strategic vision across units for intercollegiate program linkages and needs. | <ul style="list-style-type: none"> • Communicate input on system-wide planning from departments. Contribute to the development of strategic vision across units for inter-departmental and collegiate linkages. | <ul style="list-style-type: none"> • Communicate and provide input into system-wide planning. Contribute to the development of strategic vision within and across the disciplines. |
| <ul style="list-style-type: none"> • Review and communicate academic issues which may impact short and long term planning. | <ul style="list-style-type: none"> • Communicate, to Central and Colleges, academic issues which may impact short and long term planning. | <ul style="list-style-type: none"> • Inform Provosts/Chancellors and departments of academic issues which may impact short and long term planning. | <ul style="list-style-type: none"> • Inform Deans of academic issues which may impact short and long term planning. Engage colleagues in the planning process. |
| <ul style="list-style-type: none"> • Set preliminary system-wide undergraduate, graduate and professional enrollment, targets based on previous plans and agreements (internal and external). | <ul style="list-style-type: none"> • Communicate and establish preliminary enrollment targets for Colleges and approve recommended changes according to institutional strategic directions, goals, and objectives. | <ul style="list-style-type: none"> • Review enrollment targets. Recommend changes to Provosts/Chancellors. | <ul style="list-style-type: none"> • Review enrollment targets. Recommend changes to Deans. |
| <ul style="list-style-type: none"> • Prepare institutional plan for recommendation to the Board of Regents, including enrollment plans, tuition policy, and institutional performance goals. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |

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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS**

PLANNING - CAMPUS***

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| <ul style="list-style-type: none"> • Establish and communicate planning goals for each campus based on system-wide planning priorities, enrollment objectives, and past performance. | <ul style="list-style-type: none"> • Establish planning goals based on system-wide planning priorities and enrollment objectives to conform with long-term strategic directions, goals and objectives, and critical measures within the Chancellor's area of responsibility. | <ul style="list-style-type: none"> • Inform Chancellor/Provost/ Department Chairs of the potential impact of planning goals. Participate in planning discussions based on Provost/Chancellor planning priorities, enrollment objectives, and the institutional long-term strategic directions, goals and objectives, and critical measures. | <ul style="list-style-type: none"> • Inform Dean of the potential impact of planning goals. Participate in planning discussions based on planning priorities, enrollment objectives, and the institutional long-term strategic directions, goals and objectives, and critical measures. |
| <ul style="list-style-type: none"> • Support President in the development of the Twin Cities plan. | <ul style="list-style-type: none"> • Chancellor: prepare and submit campus plan. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |
| <ul style="list-style-type: none"> • Review and evaluate campus plans and recommendations to conform with institutional guidelines, strategic plans, and performance goals. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |

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*** President, serving as chancellor, develops Twin Cities plan.

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PRESIDENT/CENTRAL PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS* DEPARTMENTS**

PLANNING - PROVOST****

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| <ul style="list-style-type: none"> • Communicate system-wide and Twin Cities planning priorities and enrollment objectives. | <ul style="list-style-type: none"> • Establish Provostal planning goals within area of responsibility based on system-wide and Twin Cities planning priorities, enrollment objectives, and conformance with long-term strategic directions, goals and objectives, and critical measures for Provostal area of responsibility. | <ul style="list-style-type: none"> • Inform Provost of the potential impact of planning goals. Participate in planning discussions based on planning priorities, enrollment objectives, and the institutional long-term strategic directions, goals and objectives, and critical measures. | <ul style="list-style-type: none"> • Inform Dean of the potential impact of planning goals. Participate with Dean in planning discussions |
| <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • Develop and submit all final required planning materials (including, if applicable, an explanation of preliminary planning targets, modifications in enrollment plans, tuition rate structure, revenues and policies, and strategic investment initiatives) to Chancellor. | <ul style="list-style-type: none"> • Provide input. | <ul style="list-style-type: none"> • Provide input. |
| <ul style="list-style-type: none"> • Review, evaluate, and approve Provostal plans. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |

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**** Refers to Twin Cities Planning.

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

PLANNING - COLLEGE/ADMINISTRATIVE UNIT

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| <ul style="list-style-type: none"> • Communicate system-wide and Twin Cities planning priorities, enrollment objectives, to conform with long-term strategic directions, goals and objectives, and critical measures. • N/A • Review and evaluate College/Administrative Unit plans to conform with institutional mission, goals, strategic direction, and critical measures. | <ul style="list-style-type: none"> • Communicate Provostal or campus planning priorities and goals. • Direct the preparation of College/Administrative plans within area of responsibility . Establish internal guidelines, procedures, timelines, supplemental information requirements and consultation or participation requirements, and ensure conformance with institutional standards, policies, and procedures regarding planning development. • Review, evaluate, and approve College/ Administrative Unit plans. Submit approved plans to Central. | <ul style="list-style-type: none"> • Establish College/Administrative Unit planning goals based on Provostal and system-wide planning priorities. • Develop and submit all final required planning materials. • N/A | <ul style="list-style-type: none"> • Inform Dean of potential impact of planning goals. • Provide input. • N/A |
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PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

PERFORMANCE EVALUATION

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|---|--|---|---|
| <ul style="list-style-type: none">• Develop institutional critical measures and performance goals. Review and coordinate system-wide measures and goals for consistency. Review College/Administrative unit critical measures.• Review progress toward the achievement of goals established for the six strategic areas:<ul style="list-style-type: none">- Research- Professional and graduate education- Undergraduate education- Outreach and access- User-friendliness- Diversity• Assess institutional performance using critical measures and performance goals. Review Provostal/Campus and Collegiate performance reports. | <ul style="list-style-type: none">• Develop Provost/Chancellor unit critical measures and set performance goals. Review and approve College/Administrative Units measures and goals.• Review progress toward the achievement of Provostal, Campus, Collegiate, and Administrative Units' goals.• Assess Collegiate and Administrative Unit performance in terms of academic program quality, administrative effectiveness, instructional efficiency, enrollment patterns, and resources using critical measures and performance goals. Submit performance reports to Central Administration. | <ul style="list-style-type: none">• Develop College/ Administrative Unit critical measures and performance goals. Approve departmental measures and goals.• Review progress of department/centers.• Review Department/Center performance in terms of academic program quality, administrative effectiveness, instructional efficiency, enrollment patterns, and resources using critical measures and performance goals. Submit Collegiate performance reports to Chancellors/Provosts. | <ul style="list-style-type: none">• Develop Department/Center critical measures and performance goals.• Review faculty contribution to institutional, Campus, Provostal, and Collegiate goals.• N/A |
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PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

PERFORMANCE EVALUATION

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| <ul style="list-style-type: none">• Review and provide feedback on Campus/College/Administrative Units plans for consistency with institutional directions and institutional resources. | <ul style="list-style-type: none">• Review and provide feedback on College/Administrative Unit strategic plan. | <ul style="list-style-type: none">• Review and provide feedback on Department/Center plan as needed. | <ul style="list-style-type: none">• N/A |
| <ul style="list-style-type: none">• Monitor institutional and collegiate database of performance data and provide data analysis to Provosts/Chancellors. | <ul style="list-style-type: none">• Review performance data and provide additional information on request. Create and recommend additional database measurements as needed. | <ul style="list-style-type: none">• Review performance data and provide additional information on request. Create and recommend additional database measurements as needed. | <ul style="list-style-type: none">• Review performance data and provide additional information on request. Create and recommend additional database measurements as needed. |
| <ul style="list-style-type: none">• Prepare and communicate system-wide performance report for the Board of Regents, the legislature and other groups. | <ul style="list-style-type: none">• Provide input for system-wide performance report. | <ul style="list-style-type: none">• Provide input for system-wide performance report. | <ul style="list-style-type: none">• Provide input for system-wide performance report. |

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PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

OTHER GENERAL RESPONSIBILITIES IN PLANNING DEVELOPMENT

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| <ul style="list-style-type: none">• Prepare conceptual framework for institutional critical measures. | <ul style="list-style-type: none">• Advise on the conceptual framework for development of institutional critical measures. | <ul style="list-style-type: none">• Advise on the conceptual framework for development of institutional critical measures. | <ul style="list-style-type: none">• Advise on the conceptual framework for development of institutional critical measures. |
| <ul style="list-style-type: none">• Establish policies and procedures for the communication of all planning information system-wide in order to ensure the free flow of complete, accurate, and reliable programmatic information. | <ul style="list-style-type: none">• Comply with and enforce established policies and procedures to ensure the free flow of programmatic information within and across all College/Administrative Units. Establish supplemental policies for Campus/Provostal areas. | <ul style="list-style-type: none">• Ensure the free flow of programmatic information within departments including compliance with requests. Establish supplemental policies for Collegiate/Administrative Unit. | <ul style="list-style-type: none">• Ensure the free flow of programmatic information within Departments including compliance with requests. |
| <ul style="list-style-type: none">• Review and approve all new or revised system-wide academic/administrative policies. Submit to Regents. | <ul style="list-style-type: none">• Participate in development of system-wide academic/administrative policies. Monitor compliance. | <ul style="list-style-type: none">• Ensure compliance with system-wide academic/administrative policies. | <ul style="list-style-type: none">• Ensure compliance with system-wide academic/administrative policies. |
| <ul style="list-style-type: none">• Provide analysis and recommendations for tuition policy. Submit to Regents. | <ul style="list-style-type: none">• Participate in development of tuition policy. | <ul style="list-style-type: none">• Participate in the development of tuition policy. | <ul style="list-style-type: none">• Participate in the development of tuition policy. |

* Not all administrative units report directly to Provosts/Chancellors, for example CEE/UC, University Libraries, Graduate School.

**Departments includes activities of faculty and staff. In colleges where there are no departments, the college must fulfill the department's responsibilities.

FUNCTION: STRATEGIC PLANNING - ROLES, RESPONSIBILITIES, AND REQUIREMENTS

Note: This document represents a delegation of responsibility surrounding the function of strategic planning as part of University operations. It does not signify the responsibilities within any particular office.

<u>PRESIDENT/CENTRAL</u>	<u>PROVOST/CHANCELLOR*</u>	<u>COLLEGE/ADMINISTRATIVE UNITS*</u>	<u>DEPARTMENTS**</u>
<ul style="list-style-type: none"> • Establish policy, schedules, processes and procedures for the review of academic programs, including reviews required by accreditation/licensure agencies and the MHECB. Approve accreditation/licensure organizations. Conduct reviews of graduate programs. Monitor undergraduate and professional***** program accreditation, licensure, and external reviews. Maintain centrally a complete and up to date record of all program reviews. • In compliance with University policy and state law, present all proposals for new programs and all proposals for revisions to existing programs to the Board of Regents for review and approval and to the MHECB for review and approval. Maintain University compliance with federal SPRE requirements and coordinate institutional response to SPRE inquiries or complaints. • Oversee the North Central Accreditation Review for each campus. 	<ul style="list-style-type: none"> • Oversee policy for the review of academic programs. Evaluate and recommend participation in accreditation/licensure organizations. Monitor program accreditation and licensure reviews. • Review and approve all proposals for new programs and all proposals for revisions to existing programs. • Conduct North Central Accreditation review for campus. 	<ul style="list-style-type: none"> • Conduct reviews of undergraduate and professional***** programs, including required accreditation reviews and coordinate such reviews with reviews of the corresponding graduate programs, whenever feasible. Propose/recommend participation in accreditation/licensure organizations. Prepare and submit program accreditation and licensure reviews. Monitor program accreditation and licensure reviews at the departmental/program level. • Review and approve all proposals for new programs and all proposals for revisions to existing programs. • N/A 	<ul style="list-style-type: none"> • Propose participation in accreditation/licensure organizations. Prepare and submit program reviews, including required accreditation and licensure reviews. • Develop proposals for new programs and proposals for revisions to existing programs. • N/A

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*****MD, DDM, DDS, PharmD, MPH, JD, Dept. Masters

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PRESIDENT/CENTRAL

PROVOST/CHANCELLOR* COLLEGE/ADMINISTRATIVE UNITS*

DEPARTMENTS**

INSTITUTIONAL RESEARCH AND ANALYSIS

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| <ul style="list-style-type: none"> • Create, maintain, and make available to units institutional and collegiate data. | <ul style="list-style-type: none"> • Review and provide input on centralized data. | <ul style="list-style-type: none"> • Review and provide input on centralized data. | <ul style="list-style-type: none"> • Review and provide input on centralized data. |
| <ul style="list-style-type: none"> • Define data standards such as indirect costs, workload, etc. | <ul style="list-style-type: none"> • Participate in development of data standards. | <ul style="list-style-type: none"> • Participate in development of data standards. | <ul style="list-style-type: none"> • Review and provide information. |
| <ul style="list-style-type: none"> • Provide data analysis and prepare institutional reports for external agencies including legislative requests. Participate in inter-institutional data exchange. | <ul style="list-style-type: none"> • Review reports and provide input. | <ul style="list-style-type: none"> • Review reports and provide input. | <ul style="list-style-type: none"> • Review reports and provide input. |
| <ul style="list-style-type: none"> • Provide data analysis as resources permit for Provosts/Chancellors. | <ul style="list-style-type: none"> • Request research and analysis reports. | <ul style="list-style-type: none"> • Request research and analysis reports. | <ul style="list-style-type: none"> • Request research and analysis reports. |
| <ul style="list-style-type: none"> • Conduct research relevant to institutional planning and policy development. | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A | <ul style="list-style-type: none"> • N/A |

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