

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Faculty, Staff and Student Affairs Committee**

**Thursday, May 12, 2011**

**9:45 – 11:45 a.m.**

**600 McNamara Alumni Center, West Committee Room**

**Committee Members**

Dean Johnson, Chair  
Laura Brod  
Linda Cohen  
David Larson  
David McMillan  
Maureen Ramirez

**Student Representatives**

Chelsey Doepner  
Abdul Omari

**A G E N D A**

1. Board of Regents Policy: *Student Education Records* - Action - R. McMaster (pp. 2-5)
2. Annual Promotion and/or Tenure Recommendations - Review/Action - T. Sullivan/A. Carney (pp. 6-24)
3. Continuous Appointments: Annual Recommendations - Review/Action - T. Sullivan/A. Carney (pp. 25-28)
4. Board of Regents Policy: *Faculty Tenure* - Review - T. Sullivan/A. Carney (pp. 29-69)
5. Faculty Compensation: Trends and Benchmarks - T. Sullivan/R. Jones (pp. 70-84)
6. Consent Report - Review/Action - C. Carrier (pp. 85-86)
7. Information Items - C. Carrier (pp. 87-96)



**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Faculty, Staff, and Student Affairs Committee**

**May 12, 2011**

**Agenda Item:** Board of Regents Policy: Student Education Records

review       review/action       action       discussion

**Presenters:** Robert McMaster, Vice Provost/Dean of Undergraduate Education

**Purpose:**

policy       background/context       oversight       strategic positioning

To present revisions to current policy on student education records. This policy governs information maintained by the University of Minnesota in the performance of its functions as an educational institution regarding enrolled or prospective students.

**Outline of Key Points/Policy Issues:**

See attached.

**Background Information:**

**President's Recommendation for Action:**

The President recommends that the Board adopt the proposed revisions.



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BOARD OF REGENTS POLICY

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Administrative

STUDENT EDUCATION RECORDS

Adopted: January 11, 1991

Amended: September 11, 1992; May 13, 2005

Supersedes: (see end of policy)

**DRAFT** for action May 13, 2011

STUDENT EDUCATION RECORDS

**SECTION I. SCOPE.**

This policy governs information ~~provided to~~ maintained by the University of Minnesota (University) in the performance of its functions as an educational institution by regarding enrolled or potential prospective students so ~~that the University can~~ assess applications, provide services, and render advice regarding appropriate courses of study.

**SECTION II. GUIDING PRINCIPLE.**

The University shall ~~respect~~ maintain the privacy of student education records. Student education records shall be disclosed only to the student, to persons within the University with a legitimate educational interest, to persons authorized by the student to receive the student's education records, and to persons authorized to receive education records without the student's consent.

**SECTION III. DEFINITIONS.**

**Subd. 1. Directory Information.** *Directory information* shall mean the student's name, address, electronic (e-mail) address, telephone number, dates of enrollment, enrollment status (full-time, part-time, not enrolled, withdrew, and date withdrawn), major, adviser, college, class, academic awards and honors received, and, upon graduation, the degree awarded.

**Subd. 2. Legitimate Educational Interest.** *Legitimate educational interest* shall mean an interest in reviewing student education records for the purpose of performing an appropriate University research, educational, or administrative function.

**Subd. 3. Student Education Records.** *Student education records* shall mean any record maintained by the University that contains personally identifiable information about a student, regardless of its format or method of storage. Student education records shall not include law enforcement records maintained separately from education records, University employment records, and medical or psychological counseling records, all of which are protected according to provisions of state and federal law and University policy.

**Subd. 4. School Official.** *School official* shall mean a person employed by the



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University in an administrative, supervisory, academic, research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the University has contracted to perform an institutional service or function in accordance with law; a person serving on the Board of Regents; or a student serving on a University committee or otherwise assisting another school official in performing institutional tasks.

**SECTION IV. ACCESS TO STUDENT RECORDS.**

**Subd. 1. Access to Directory Information.** Directory information shall be publicly available and may be disclosed to any person without the student's consent unless the student has suppressed or prohibited disclosure of the information. Students shall be given the opportunity to suppress their directory information during the term of their enrollment.

**Subd. 2. Access to Private Student Education Records.** Student education records other than publicly available directory information are private and shall not be disclosed except as appropriate and to the extent permissible under federal and state laws as to the followings:

- (a) to the student;
- (b) to school officials with a legitimate educational interest in the information;
- (c) to persons specifically authorized by the student in writing to receive the information;
- (d) to other educational institutions in which the student seeks to enroll or is already enrolled so long as the disclosure is for purposes related to the student's enrollment or transfer, ~~provided the disclosure is limited to official copies of student transcripts or test scores from the appropriate University office;~~
- (e) to other organizations conducting educational research studies, provided the studies are conducted in a manner that does not permit identification of students and the information will be destroyed when no longer needed for the specific purpose;
- (f) to persons in compliance with a court order or lawfully issued subpoena, provided that a reasonable attempt is made to notify the student where required prior to release;
- (g) to appropriate members of the court system when legal action against the University is initiated by the student and the disclosure is part of the University's defense;
- (h) to appropriate persons in connection with during an emergency, ~~provided if knowledge of the information is necessary to protect the health or safety of the student~~



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Administrative

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or other individuals;

(i) to accrediting organizations and state or federal education authorities using information for auditing, evaluating, or enforcing legal requirements of educational programs, provided the data is protected to prohibit the identification of students and all personally identifiable information is destroyed when no longer needed;

(j) to appropriate persons or agencies in connection with a student's application for or receipt of financial aid to determine eligibility, amount, or conditions of financial aid and to enforce the terms and conditions of the aid;

(k) to parents of a dependent student as defined under the Internal Revenue Code;  
and

(l) the final results of a disciplinary proceeding, regardless of outcome, to the victim of an alleged perpetrator of a crime of violence or a nonforcible sex offense;

(m) findings from a disciplinary proceeding that a student has violated an institutional rule or policy in connection with a crime of violence or nonforcible sex offense; and

(n) disclosures concerning sex offenders and other persons required to register as offenders under federal law.

**SECTION V. ADMINISTRATIVE PROCEDURES.**

The University shall maintain administrative procedures that fulfill its legal obligations regarding student education records, including, but not limited to, notice of rights to students, access to education records, recordkeeping requirements, the right to request amendment of education records, and hearing rights.

**SUPERSEDES:** STUDENT ORGANIZATIONS' MEMBERSHIP LISTS DATED DECEMBER 8, 1967; STUDENT RECORDS OTHER THAN ORGANIZATION MEMBERSHIP LISTS DATED JANUARY 12, 1968; AND ACCESS TO STUDENT RECORDS DATED MARCH 10, 1978.



**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Faculty, Staff, and Student Affairs Committee**

**May 12, 2011**

**Agenda Item:** Annual Promotion and/or Tenure Recommendations

review       review/action       action       discussion

**Presenters:** Senior Vice President/Provost Thomas Sullivan  
Vice Provost Arlene Carney

**Purpose:**

policy       background/context       oversight       strategic positioning

After careful review and due consideration, the senior academic officers of the University of Minnesota recommend to the Board of Regents for their action those faculty being considered for promotion and/or tenure effective with the beginning dates of their terms of appointment in 2011-2012.

**Outline of Key Points/Policy Issues:**

The Senior Vice President and Provost recommends for promotion and/or tenure those individuals listed in the attached document who are members of the faculty of the University of Minnesota Twin Cities, the University of Minnesota Crookston, and the University of Minnesota Morris.

The Chancellor of the University of Minnesota Duluth, in accord with the Agreement between the Regents of the University of Minnesota and the University Education Association, recommends for promotion and/or tenure those individuals, listed on attached document, who are members of the Duluth faculty.

The presentation will provide the Faculty, Staff, and Student Affairs Committee with statistical highlights of the composition of the faculty group being recommended for promotion and/or tenure by gender, faculty of color, and rank. Data that provide comparisons to previous years and an overview of the current process will also be discussed with the Committee.

**Background Information:**

Board of Regents Policy: *Faculty Tenure* calls for the administration to bring forward its recommendations for faculty promotion and tenure on an annual basis for action by the Board.

**President's Recommendation for Action:**

The President recommends approval of these annual promotion and/or tenure recommendations.

## Executive Summary

### The Promotion and Tenure Process

According to the Board of Regents Policy: *Faculty Tenure*, there are two types of faculty appointments – regular faculty or term (contract) faculty. Regular faculty are individuals who have received tenure, an indefinite appointment, or who are eligible to receive tenure and are on a probationary appointment. Term or contract faculty are appointed annually and are not eligible for tenure. Both regular and term faculty are appointed with a faculty rank: instructor, assistant professor, associate professor, and professor.

Each year, the Senior Vice President and Provost recommends actions to the Board of Regents for both groups of faculty. For regular faculty, the recommendations include: 1) assistant professors in a probationary period who have been evaluated for promotion to the rank of associate professor with the conferral of indefinite tenure; 2) associate professors in a probationary period who have been evaluated for the conferral of indefinite tenure (tenure in rank); and 3) associate professors with indefinite tenure who have been evaluated for promotion to the rank of professor with tenure. For term or contract faculty, the recommendations include: 1) assistant professors who have been evaluated for promotion to the rank of associate professor without tenure; and 2) associate professors who have been evaluated for promotion to the rank of professor without tenure. The majority of the contract faculty have appointments in the Academic Health Center, primarily in the Medical School, although other colleges have term faculty appointments as well.

#### Regular Faculty

The Board of Regents Policy: *Faculty Tenure* describes the University criteria for research or other creative work, teaching, and service to obtain tenure in Section 7.11. Similarly, Section 9.2 of the tenure policy describes the University criteria to reach the rank of professor.

In addition, each unit has written a document that describes the criteria for promotion and tenure for regular faculty in that department called the 7.12 statement (referring to Section 7.12 of the Board of Regents Policy: *Faculty Tenure*). These documents describe the research, teaching, and service standards of the unit for promotion to the ranks of associate or full professor and for conferral of indefinite tenure.

Those untenured faculty with probationary appointments (either assistant or associate professors) receive formal written annual reviews that are mandated by the Board of Regents Policy: *Faculty Tenure* (Section 7.2). These reviews are conducted by the initial department or unit, signed by the probationary faculty member, and subsequently forwarded for review by the candidate's collegiate dean, and the Senior Vice President and Provost (delegated to the Vice Provost for Faculty and Academic Affairs). On the coordinate campuses, these reviews are forwarded to the vice chancellor and to the chancellor. During the sixth probationary year, these untenured faculty members must be evaluated for a final decision – promotion to associate professor and conferral of indefinite tenure (assistant professors) or conferral of indefinite tenure (associate



professors). A probationary faculty member can also be denied tenure and/or promotion and be given an additional terminal year.

A decision for promotion and/or tenure can be made at any time during the probationary period (i.e. early promotion and/or tenure) and a faculty member can be terminated at any time during the probationary period if she or he is not making appropriate progress toward tenure and/or promotion. In addition, faculty may extend their probationary periods (“stop the tenure clock”) for the birth or adoption of a child or for the provision of care for a sick, injured, or disabled family member, or for their own significant illnesses or injuries (Board of Regents Policy: *Faculty Tenure*, Section 5.5). Finally, some faculty members come to the University of Minnesota with prior service at another university and have a shortened probationary period (no less than three years).

Associate professors with tenure also receive annual reviews as do all tenured faculty and can be considered for promotion to professor at any time after they have achieved this rank. The 7.12 statement for the unit describes the additional criteria that are required for promotion to full professor. These require the attainment of a national and/or international reputation and substantial advancement in their research or other creative work, teaching, and service.

#### Contract or Term Faculty

For those faculty not on tenure tracks, each unit has developed a set of promotion standards that have research, teaching, and service criteria as well as clinical practice criteria for those in the Academic Health Center. These criteria are somewhat different from those for regular faculty. That is, the types of research may be more applied, or may include types of scholarship that address effective models of teaching or continuing education. That is, the scholarship is important but of a different scope.

These faculty also receive annual reviews of performance and receive feedback about their progress toward promotion to the next rank

#### ***Regular Faculty: Review Process in the Decision Year for Tenure and/or Promotion***

The basis for a promotion and/or tenure decision is the evaluation of a dossier that contains information about the faculty member’s scholarship or creative activity, teaching, and service. Each candidate’s record is evaluated by a group of external scholars who have positions of national or international prominence in the discipline of the candidate. For some colleges, internal reviewers from the University may provide additional evaluation. Reviewers are asked to assess the research or creative activity of the candidate; they may be asked to evaluate teaching as well. The faculty of each department or unit take a formal vote on promotion to the next rank and on conferral of indefinite tenure and provide a written report of the faculty discussion and the vote to the faculty member’s college. In addition, the chair or head of each unit writes a separate report of the case. Regardless of the outcome of the vote, the entire case is forwarded to the college level. Most colleges have their own Promotion and Tenure Committee with representatives across the departments within the college. (Some smaller colleges send their materials to an All-University Promotion and Tenure Committee with representatives from

each college. Their recommendations go directly to the Senior Vice President and Provost). The second-level promotion and tenure committee (either collegiate or All-University) also evaluates the dossier and forwards their recommendations and formal vote in a report to the dean of the college; this report is advisory to the dean. The dean (and typically the associate deans of the college) evaluates the dossier as well. The dean provides a formal letter to the Senior Vice President and Provost with recommendations about promotion and/or tenure. For the Morris and Crookston campuses, the reviews are conducted along division or department lines, followed by a college-wide committee, and review by both the Vice Chancellor and the Chancellor. All cases on these two coordinate campuses are also reviewed by the Senior Vice President for System Administration.

The central level of review for the Twin Cities and Morris and Crookston campuses is coordinated by the Vice Provost for Faculty and Academic Affairs who reviews each dossier (except those from the University of Minnesota Duluth). Cases that have negative decisions or mixed votes are reviewed by a second vice provost or vice president. Results of all cases are reviewed by the Senior Vice President and Provost and the Vice Provost for Faculty and Academic Affairs; actual cases that have variance in voting (i.e. a mix of positive and negative votes along the review process or negative votes) are reviewed directly by the Senior Vice President and Provost.

For assistant professors on probationary appointments, the possible outcomes of the decision are promotion to associate professor with conferral of indefinite tenure or non-reappointment (which has a one-year terminal appointment). For associate professors with tenure, the possible outcomes are promotion to full professor with tenure or continuation in rank. For associate professors on probationary appointments, the outcomes are conferral of indefinite tenure or non-reappointment (which has a one-year terminal appointment).

### ***Contract Faculty: Review Process***

The review process is the same for contract faculty: dossiers are assembled documenting research, teaching, and service activities as well as clinical practice for those who are in the Academic Health Center; external reviewers and internal reviewers provide evaluation of research, teaching, service, and clinical practice, if applicable. Departments or units vote on promotion in rank. The report of these votes, along with a review by the unit head, is sent to the college level for review by a collegiate or All-University Committee and the dean. Then the complete dossier is sent to the Vice Provost for Faculty and Academic Affairs and the Senior Vice President for Academic Affairs and Provost for final review.

Assistant professors with annual appointments may be promoted to the rank of associate professor; associate professors with annual appointments may be promoted to the rank of professor.

## **Tenure Success Rate**

The recommendation that a faculty member receive indefinite tenure is one of the most important ones made by the Senior Vice President for Academic Affairs and Provost since this represents the commitment of the University to this faculty member for the remainder of his/her career. The metric for tenure success that is used at the University of Minnesota is based on a comparison of the entering cohort of untenured assistant professors in a given year and the percentage of the cohort who has attained tenure seven years after beginning an appointment at the University. Over the course of the intervening probationary appointment, a number of untenured faculty receive reviews that suggest that their progress is unsatisfactory and they choose to leave the University. Some may receive notices of non-reappointment during the probationary period. Others may leave the University for other positions for a variety of reasons. The number of untenured assistant professors who are recommended for tenure in their decision year is a fraction of the cohort that began.

Each year, the tenure success rate is calculated for a three-year rolling average. This year, the cohorts of faculty began in 2001, 2002, and 2003. There were 385 faculty who began in this three-year group. After seven years, 53.2% had received tenure and were still employed at the University and 4.4% had received tenure and left the University. The three-year average tenure success rate is 57.6%.

## **Results of 2010-2011 Promotion and Tenure Review**

In 2010-2011, a total of 189 cases were evaluated across the University of Minnesota system. There were 147 cases from the Twin Cities campus, 34 cases from the Duluth campus, 6 cases from the Morris campus, and 2 cases from the Crookston campus. There were 160 cases for regular faculty and 29 cases for contract faculty.

Table 1 contains all recommendations by gender and category of rank for both regular and contract faculty. For regular faculty, there are 97 assistant professors on probationary appointments: 94 are recommended for tenure and promotion to associate professor, 2 are recommended for non-reappointment; and 1 case is still pending.

For associate professors with tenure, 56 were recommended for promotion to professor and 2 were recommended to continue in rank.

For contract faculty, 17 assistant professors were recommended for promotion to associate professor; 12 associate professors were recommended for promotion to professor.

Of the 189 total cases, 114 are men (60%) and 75 are women (40%). For the regular faculty, 58% are men and 42% are women. For the contract faculty, 72% are men and 28% are women. The percentage of promotion and tenure decisions involving women faculty has remained the same in comparison to last year when 40% of decisions concerned women. Table 2 contains the history of promotion and/or tenure recommendations for all campuses for women faculty for the period 2001 through 2011. These past four years have the highest rates since 2003-04.

In addition, of the 189 cases, 42 decisions or 22% involved faculty of color. The percentage of recommendations for faculty of color has ranged from 19 to 24% from 2001 to 2011. This year, there has been a slight decrease from 24% of tenure and promotion recommendations for faculty of color in 2009-2010. Table 3 contains the history of promotion and/or tenure recommendations for all campuses for faculty of color for the period 2001 through 2011.

**Table 1**

**FACULTY TENURE AND/OR PROMOTION RECOMMENDATIONS  
2010-2011**

	<b>Male</b>	<b>Female</b>	<b>Total</b>
<b><i>Regular Faculty (Tenure-Track and Tenured Cases)</i></b>			
Assistant Professor probationary to Associate Professor with tenure	57	37	94
Nonreappointment – Assistant Professor probationary	1	1	2
Associate Professor probationary to Associate Professor with tenure	3	1	4
Associate Professor probationary to Professor with tenure	-	-	-
Assistant Professor with tenure to Associate Professor with tenure	0	1	1
Associate Professor with tenure to Professor with tenure	31	25	56
Continuation in rank – Associate Professor with tenure	1	1	2
Pending (Assistant Professor probationary)	0	1	1
<b><i>Total Tenure-Track/Tenured Cases</i></b>	<b>93</b>	<b>67</b>	<b>160</b>
<b><i>Contract Faculty (Non-Tenure Track)</i></b>			
Assistant Professor without tenure to Associate Professor without tenure	14	3	17
Associate Professor without tenure to Professor without tenure	7	5	12
<b><i>Total Non-Tenure Track Cases</i></b>	<b>21</b>	<b>8</b>	<b>29</b>
<b>TOTALS</b>	<b>114</b>	<b>75</b>	<b>189</b>

Includes all campuses

**Table 2**  
**PROMOTION AND TENURE RECOMMENDATIONS**  
**INVOLVING WOMEN FACULTY**

**2000-2011**

Recommended for:	<u>2001-02</u>	<u>2002-03</u>	<u>2003-04</u>	<u>2004-05</u>	<u>2005-06</u>	<u>2006-07</u>	<u>2007-08</u>	<u>2008-09</u>	<u>2009-10</u>	<u>2010-11</u>
Tenure Only	1	2	1	1	1	0	5	2	4	1
Tenure and Promotion	19	21	46	29	36	<del>29</del> 28*	42	28	32	37
Promotion Only	16	20	16	21	27	21	21	23	35	34
Continuation in Rank	--	2	1	--	2	0	0	1	0	1
Nonreappointment	1	4	1	--	2	1	1	0	1	1
Pending	--	--	--	--	--	--	--	2**	1**	1
Total number of recommendations involving women faculty	37	49	65	51	68	<del>51</del> 50*	69	56	73	75
Total number of individuals in review process	133	155	172	156	204	<del>176</del> 175*	171	145	184	189
Percentage of recommendations in the review process involving women faculty	28%	32%	38%	33%	33%	29%	40%	39%	40%	40%

Note: 2005-2006 data adjusted due to late P&T case brought forward to the BOR in June 2006.

\*One female candidate resigned position prior to completion of process.

\*\*Pending cases were resolved after BOR meeting:

2 in 2008-09 – tenure and promotion to associate professor

1 in 2009-10 – promotion to tenured professor

**Table 3**  
**PROMOTION AND TENURE RECOMMENDATIONS**  
**INVOLVING FACULTY OF COLOR**

**2001-2011**

Recommended for:	<u>2001-02</u>	<u>2002-03</u>	<u>2003-04</u>	<u>2004-05</u>	<u>2005-06</u>	<u>2006-07</u>	<u>2007-08</u>	<u>2008-09</u>	<u>2009-10</u>	<u>2010-11</u>
Tenure Only	0	0	1	0	3	2	2	0	0	1
Tenure and Promotion	12	13	24	17	20	13	19	15	28	22
Promotion Only	17	13	8	12	12	19	11	12	15	17
Continuation in Rank	0	1	1	0	0	0	0	0	1	0
Nonreappointment	1	2	1	0	4	1	0	1	0	1
Pending									0	1
Total number of recommendations involving faculty of color	30	29	35	29	39	35	32	28	44	42
Total number of individuals in review process	133	155	172	156	204	175 <del>176</del>	171	145	184	189
Percentage of recommendations in the review process involving faculty of color	22.6%	18.7%	20.4%	18.6%	19.21%	20% <del>19.9%</del>	18.7%	19%	24%	22%

Note: 2005-2006 data adjusted due to late P&T case brought forward to the BOR in June 2006.

\*One female candidate resigned position prior to completion of process.

**Promotion and Tenure Recommendations Effective 2011-2012**  
**Presented to the Faculty, Staff and Student Affairs Committee of the Board of Regents**

**May 12, 2011**

<u>COLLEGE</u>	<u>DEPARTMENT</u>	<u>FROM</u>	<u>TO</u>
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**Allied Health Programs, Center for**

Patricia L. Schaber	Occupational Therapy	Assistant Professor	K Associate Professor
Donna J. Spannaus-Martin	Clinical Laboratory Sciences	Associate Professor	P Professor

**Biological Sciences, College of**

Mark Allen Bee	Ecology, Evolution and Behavior	Assistant Professor	N Associate Professor
Sarah E. Hobbie	Ecology, Evolution and Behavior	Associate Professor	P Professor
Fumiaki Katagiri	Plant Biology	Associate Professor	P Professor
George D. Weiblen	Plant Biology	Associate Professor	P Professor

**Dentistry, School of**

Brent E. Larson	Developmental and Surgical Sciences	Associate Professor	N Associate Professor
Kim C. Mansky	Developmental and Surgical Sciences	Assistant Professor	N Associate Professor
Karl D. Self	Primary Dental Care	Clinical Assistant Professor	J Clinical Associate Professor

**Design, College of**

Elizabeth Bye	Design, Housing, and Apparel Architecture	Associate Professor	P Professor
Mary Guzowski	Architecture	Associate Professor	P Professor
John A. Koepke	Landscape Architecture	Associate Professor	P Professor
Rebecca Krinke	Landscape Architecture	Associate Professor	P Professor
Kristine F. Miller	Landscape Architecture	Associate Professor	P Professor
Ann C. Ziebarth	Design, Housing, and Apparel	Associate Professor	P Professor



**COLLEGE****DEPARTMENT****FROM****TO****Education and Human Development, College of**

Abigail Gewirtz	Family Social Science	Assistant Professor	N	Associate Professor	P
Tabitha Grier	Postsecondary Teaching and Learning	Assistant Professor	N	Associate Professor	P
Beth A. Lewis	School of Kinesiology	Assistant Professor	N	Associate Professor	P
Bic Ngo	Curriculum and Instruction	Assistant Professor	N	Associate Professor	P
Shari Peterson	Organizational Leadership, Policy and Development	Assistant Professor	P	Associate Professor	P
Mistilina Sato	Curriculum and Instruction	Assistant Professor	N	Associate Professor	P
Frank Symons	Educational Psychology	Associate Professor	P	Professor	P
David Weerts	Organizational Leadership, Policy and Development	Assistant Professor	N	Associate Professor	P

**Food, Agricultural and Natural Resource Sciences, College of**

Dennis R. Becker	Forest Resources	Assistant Professor	N	Associate Professor	P
Robert B. Blair	Fisheries, Wildlife and Conservation Biology	Associate Professor	P	Professor	P
Xiaoli Chen	Food Science and Nutrition	Assistant Professor	N	Associate Professor	P
Mae A. Davenport	Forest Resources	Assistant Professor	N	Associate Professor	P
Francisco Diez-Gonzalez	Food Science and Nutrition	Associate Professor	P	Professor	P
Rebecca A. Montgomery	Forest Resources	Assistant Professor	N	Associate Professor	P
Kristen C. Nelson	Forest Resources	Associate Professor	P	Professor	P
Jonathan S. Schilling	Bioproducts and Biosystems Engineering	Assistant Professor	N	Associate Professor	P
William Tai Yin Tze	Bioproducts and Biosystems Engineering	Assistant Professor	N	Associate Professor	P
Eric Watkins	Horticultural Science	Assistant Professor	N	Associate Professor	P

**Hubert H. Humphrey School of Public Affairs**

Carissa Schively Slotterback	Hubert H. Humphrey School of Public Affairs	Assistant Professor	N	Associate Professor	P
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**COLLEGE****DEPARTMENT****FROM****TO****Law School**

Allan H. Erbsen	Law School	Associate Professor	N	Associate Professor	P
Kristin E. Hickman	Law School	Associate Professor	P	Professor	P
Heidi Kitrosser	Law School	Associate Professor	P	Professor	P
William McGeeveran	Law School	Associate Professor	N	Associate Professor	P

**Liberal Arts, College of**

Jane Blocker	Art History	Associate Professor	P	Professor	P
Bruce P. Braun	Geography	Associate Professor	P	Professor	P
Tony C. Brown	English	Assistant Professor	N	Associate Professor	P
M. Blanet Castellanos	American Studies	Assistant Professor	N	Associate Professor	P
Ananya Chatterjea	Theatre Arts and Dance	Associate Professor	P	Professor	P
Siobhan S. Craig	English	Assistant Professor	N	Associate Professor	P
Andrew B. Gallia	History	Assistant Professor	N	Associate Professor	P
Teresa R. Gowan	Sociology	Assistant Professor	N	Associate Professor	P
Fatih Guvenen	Economics	Assistant Professor	N	Associate Professor	P
Elisabeth Hilbink	Political Science	Assistant Professor	N	Associate Professor	P
Sonja Arsham Kuffinec	Theatre Arts and Dance	Associate Professor	P	Professor	P
Erika Lee	History	Associate Professor	P	Professor	P
Enid Lynette Logan	Sociology	Assistant Professor	N	Associate Professor	P
Kathryn Pearson	Political Science	Assistant Professor	N	Associate Professor	P
Aaron M. Schmidt	Psychology	Assistant Professor	N	Associate Professor	P
Hoon Song	Anthropology	Assistant Professor	N	Associate Professor	P
Valerie Tiberius	Philosophy	Associate Professor	P	Professor	P
Christophe M. Wall-Romana	French and Italian	Assistant Professor	N	Associate Professor	P
Yang Zhang	Speech-Language-Hearing Sciences	Assistant Professor	N	Associate Professor	P

**COLLEGE****DEPARTMENT****FROM****TO****Management, Carlson School of**

Ravi Bapna	Information and Decision Sciences	Associate Professor	P	Professor	P
Theresa Glomb	Human Resources and Industrial Relations	Associate Professor	P	Professor	P
Om Narasimhan	Marketing and Logistics Management	Associate Professor	P	Professor	P

**Medical School**

Waddah Al-Refai	Surgery	Assistant Professor	I	Associate Professor	I
Paul A. Arbisi	Psychiatry	Associate Professor	W	Professor	W
Sandra K. Armstrong	Microbiology	Associate Professor	P	Professor	P
Vivian Bardwell	Genetics, Cell Biology & Development**	Associate Professor	P	Professor	P
John L. Bass	Pediatrics	Associate Professor	P	Professor	P
Joan Bechtold	Orthopaedic Surgery	Associate Professor	W	Professor	W
Alan K. Berger	Medicine	Assistant Professor	I	Associate Professor	I
Walter O. Bockting	Family Medicine and Community Health	Associate Professor	P	Professor	P
Paul R. Bohjanen	Microbiology/Medicine	Associate Professor	P/Z	Professor	P/Z
Erick D. Bothun	Ophthalmology/Pediatrics	Assistant Professor	I/Z	Associate Professor	I/Z
Claudio Brunstein	Medicine	Assistant Professor	I	Associate Professor	I
Sean Conner	Genetics, Cell Biology & Development**	Assistant Professor	N	Associate Professor	P
Eric W. Dieperink	Psychiatry	Assistant Professor	W	Associate Professor	W
Sean P. Elliott	Urologic Surgery	Assistant Professor	I	Associate Professor	I
Jeffrey Gralnick	Microbiology	Assistant Professor	N	Associate Professor	P
Rosemary F. Kelly	Surgery	Associate Professor	P	Professor	P
Michael S. Lee	Ophthalmology/Neurosurgery & Neurology	Associate Professor	I/Z	Professor	I/Z
Ameeta Kelekar	Laboratory Medicine and Pathology	Assistant Professor	N	Associate Professor	P
Diane J. Madlon-Kay	Family Medicine and Community Health	Associate Professor	I	Professor	I
Yoav H. Messinger	Pediatrics	Assistant Professor	I	Associate Professor	I
Shalom Michaeli	Radiology	Assistant Professor	N	Associate Professor	P
Marc E. Mooney	Psychiatry	Assistant Professor	W	Associate Professor	W

**COLLEGE****DEPARTMENT****IO****Medical School cont'd**

Teresa Nick	Neuroscience	Assistant Professor	N	Associate Professor	P
John R. Ohlfest	Pediatrics/Neurosurgery	Assistant Professor	N/Z	Associate Professor	P/Z
Kolawole Okuyemi	Family Medicine and Community Health	Associate Professor	P	Professor	P
Rita Perlingeiro	Medicine	Associate Professor	N	Associate Professor	P
Erik Peterson	Medicine	Assistant Professor	N	Associate Professor	P
Kirk Ramin	Obstetrics, Gynecology and Women's Health	Associate Professor	I	Professor	I
Raghavendra B. Rao	Pediatrics	Assistant Professor	N	Associate Professor	P
Mark T. Reding	Medicine	Assistant Professor	I	Associate Professor	I
J. Bruce Redmon	Medicine	Associate Professor	I	Professor	I
Michael I. Reiff	Pediatrics	Associate Professor	I	Professor	I
Teresa Rose-Hellekant	UMD Physiology and Pharmacology	Assistant Professor	N	Associate Professor	P
Aasma Shaukat	Medicine	Assistant Professor	I	Associate Professor	I
Joel W. Slaton	Urologic Surgery	Associate Professor	I	Professor	I
Raymond C. Tenno	Pediatrics	Associate Professor	I	Professor	I
Janet Thomas	Medicine	Assistant Professor	N	Associate Professor	P
Mark J. Thomas	Neuroscience	Assistant Professor	N	Associate Professor	P
Michelle van Ryn	Family Medicine and Community Health	Associate Professor	P	Professor	P
John P. Vuchetich	Psychiatry	Assistant Professor	I	Associate Professor	I
Erin M. Warshaw	Dermatology	Associate Professor	I	Professor	I
Kevin D. Wickman	Pharmacology	Associate Professor	P	Professor	P
Jeffrey R. Wozniak	Psychiatry	Assistant Professor	W	Associate Professor	W
Masato Yamamoto	Surgery	Associate Professor	P	Professor	P
Jo-Anne Young	Medicine	Associate Professor	I	Professor	I

**Nursing, School of**

Melissa D. Avery	School of Nursing	Associate Professor	P	Professor	P
Bonnie L. Westra	School of Nursing	Assistant Professor	N	Associate Professor	P

**COLLEGE****DEPARTMENT****TO****Pharmacy, College of**

Scott A. Chapman	Experimental and Clinical Pharmacology	Assistant Professor	K	Associate Professor	K
Jatinder K. Lamba	Experimental and Clinical Pharmacology	Assistant Professor	N	Associate Professor	P
Marnie L. Peterson	Experimental and Clinical Pharmacology	Assistant Professor	N	Associate Professor	P
Todd D. Sorensen	Pharmaceutical Care and Health Systems	Associate Professor	P	Professor	P
Natalia Y. Tretyakova	Medicinal Chemistry	Associate Professor	P	Professor	P
Sarah M. Westberg	Pharmaceutical Care and Health Systems	Assistant Professor	K	Associate Professor	K

**Public Health, School of**

Alvaro Alonso	Epidemiology and Community Health	Assistant Professor	N	Associate Professor	P
Sudipto Banerjee	Biostatistics	Associate Professor	P	Professor	P
James Pankow	Epidemiology and Community Health	Associate Professor	P	Professor	P
Kim Robien	Epidemiology and Community Health	Assistant Professor	N	Associate Professor	P

**Science and Engineering, College of**

Aptekin Aksan	Mechanical Engineering	Assistant Professor	N	Associate Professor	P
Atrindam Banerjee	Computer Science and Engineering	Assistant Professor	N	Associate Professor	P
Calin Adrian Diaconu	Mathematics	Assistant Professor	N	Associate Professor	P
Kevin D. Dorfman	Chemical Engineering and Materials Science	Assistant Professor	N	Associate Professor	P
Traian Dumitrica	Mechanical Engineering	Assistant Professor	N	Associate Professor	P
Ryan Elliott	Aerospace Engineering and Mechanics	Assistant Professor	N	Associate Professor	P
Martin Greven	Physics and Astronomy	Associate Professor	P	Professor	P
Ibrahim Volkan Isler	Computer Science and Engineering	Assistant Professor	N	Associate Professor	P
Mihailo R. Jovanovic	Electrical and Computer Engineering	Assistant Professor	N	Associate Professor	P
Yiannis Kaznessis	Chemical Engineering and Materials Science	Associate Professor	P	Professor	P
Satish Kumar	Chemical Engineering and Materials Science	Associate Professor	P	Professor	P
Christopher Leighton	Chemical Engineering and Materials Science	Associate Professor	P	Professor	P
Gilad Lerman	Mathematics	Assistant Professor	N	Associate Professor	P

**TO**

**FROM**

**DEPARTMENT**

**COLLEGE**

**Science and Engineering, College of  
cont'd**

Henry X. Liu	Civil Engineering	Assistant Professor	N	Associate Professor	P
Jeremiah Michael Mans	Physics and Astronomy	Assistant Professor	N	Associate Professor	P
Mohamed F. Mokbel	Computer Science and Engineering	Assistant Professor	N	Associate Professor	P
Vincent Noireaux	Physics and Astronomy	Assistant Professor	N	Associate Professor	P
Paige J. Novak	Civil Engineering	Associate Professor	P	Professor	P
Marco Peloso	Physics and Astronomy	Associate Professor	P	Professor	P
Martin O. Saar	Geology and Geophysics	Assistant Professor	N	Associate Professor	P
Gerald E. Sobelman	Electrical and Computer Engineering	Associate Professor	P	Professor	P
Antonia Zhai	Computer Science and Engineering	Assistant Professor	N	Associate Professor	P

**Veterinary Medicine, College of**

Jeff B. Bender	Veterinary Population Medicine	Associate Professor	P	Professor	P
Edward E. Patterson	Veterinary Clinical Sciences	Assistant Professor	K	Associate Professor	K
Margaret Root Kustritz	Veterinary Clinical Sciences	Associate Professor	K	Professor	K

**University of Minnesota Crookston**

Jingpeng Tang	UMC Math, Science, and Technology	Assistant Professor	N	Associate Professor	P
Kevin D. Thompson	UMC Liberal Arts and Education	Assistant Professor	N	Associate Professor	P

**University of Minnesota Morris**

Mark Collier	UMM Division of the Humanities	Assistant Professor	N	Associate Professor	P
Jong-Min Kim	UMM Division of Science and Mathematics	Associate Professor	P	Professor	P
Marynel Ryan Van Zee	UMM Division of the Social Sciences	Assistant Professor	N	Associate Professor	P
James G. Schryver	UMM Division of the Humanities	Assistant Professor	N	Associate Professor	P
Martin H. Seggelke	UMM Division of the Humanities	Assistant Professor	N	Associate Professor	P
Martisha Turk	UMM Division of the Humanities	Assistant Professor	N	Associate Professor	P

**COLLEGE****DEPARTMENT****FROM****TO****University of Minnesota Duluth****UMD: College of Education and Human Service Professions**

Jane A. K. Carlson	UMD Health, Physical Education and Recreation	Assistant Professor	N	Associate Professor	P
Kathy A. Dowell	UMD Psychology	Assistant Professor	N	Associate Professor	P
Rick A. LaCaille	UMD Psychology	Assistant Professor	N	Associate Professor	P
Jacqueline Ariri Onchwari	UMD Education	Assistant Professor	N	Associate Professor	P
Kim Riordan	UMD Education	Assistant Professor	N	Associate Professor	P
Julie Williams	UMD Education	Assistant Professor	N	Associate Professor	P
Kay Wohliuter	UMD Education	Associate Professor	P	Professor	P

**UMD: College of Liberal Arts**

David E. Beard	UMD Writing Studies	Assistant Professor	N	Associate Professor	P
Aaron Boyson	UMD Communication	Assistant Professor	N	Associate Professor	P
Runa Das	UMD Political Science	Assistant Professor	N	Associate Professor	P
Jason Michael Ford	UMD Philosophy	Assistant Professor	N	Associate Professor	P
Emily Anne Gaardner	UMD Sociology and Anthropology	Assistant Professor	N	Associate Professor	P
David Charles Gore	UMD Communication	Assistant Professor	N	Associate Professor	P
Linda L. Grover	UMD American Indian Studies	Assistant Professor	N	Associate Professor	P
Scott M. Laderman	UMD History	Assistant Professor	N	Associate Professor	P
Daniel Martin	UMD Sociology and Anthropology	Assistant Professor	N	Associate Professor	P
Steven Matthews	UMD History	Assistant Professor	N	Associate Professor	P
Kathryn Milun	UMD Sociology and Anthropology	Assistant Professor	N	Associate Professor	P
Chongwon Park	UMD Writing Studies	Assistant Professor	N	Associate Professor	P
Garrick Lawrence Percival	UMD Political Science	Assistant Professor	N	Associate Professor	P

**COLLEGE**

**DEPARTMENT**

**FROM**

**TO**

**UMD: Swenson College of Science and Engineering**

Steven Berry	UMD Chemistry and Biochemistry	Assistant Professor	N	Associate Professor	P
Richard W. Gran	UMD Physics	Assistant Professor	N	Associate Professor	P
Alec Habig	UMD Physics	Associate Professor	P	Professor	P
Marshall Eugene Hampton	UMD Math and Statistics	Assistant Professor	N	Associate Professor	P
M. Imran Hayee	UMD Electrical and Computer Engineering	Associate Professor	P	Professor	P
Carmen Latterell	UMD Math and Statistics	Associate Professor	P	Professor	P
Allen Mensinger	UMD Biology	Associate Professor	P	Professor	P
Yongcheng Qi	UMD Math and Statistics	Associate Professor	P	Professor	P
Hua Tang	UMD Electrical and Computer Engineering	Assistant Professor	N	Associate Professor	P

**UMD: Labovitz School of Business and Economics**

David John Doorn	UMD Economics	Assistant Professor	N	Associate Professor	P
Chris McIntosh	UMD Economics	Assistant Professor	N	Associate Professor	P

**UMD: School of Fine Arts**

Jefferson T. Campbell	UMD Music	Assistant Professor	N	Associate Professor	P
Ryutda Nakajima	UMD Art and Design	Assistant Professor	N	Associate Professor	P
William Payne	UMD Theatre	Associate Professor	P	Professor	P

**Employment Status Symbols**

P - Indefinite tenure; faculty  
N - Probationary; tenure-track  
I - Clinical Scholar; Medical School  
W - Yearly appointment; Medical School  
J - Multiple year contract  
Z - Non-credit/Other professional work  
K - Annual renewable  
\*\* Joint appointment with Biological Sciences





**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Faculty, Staff, and Student Affairs Committee**

**May 12, 2011**

**Agenda Item:** Continuous Appointments: Annual Recommendations

review       review/action       action       discussion

**Presenters:** Senior Vice President/Provost Thomas Sullivan  
Vice Provost Arlene Carney

**Purpose:**

policy       background/context       oversight       strategic positioning

To seek approval of continuous appointment status for staff in the academic professional series as required by Board of Regents policy.

**Outline of Key Points/Policy Issues:**

- Seeking approval of continuous appointment status for eight academic professional staff members, also being recommended for promotion.
- Continuous appointment and promotion are effective with the beginning of the 2011-2012 appointment period.

**Background Information:**

Each spring the administration presents its recommendations on continuous appointment to the Board of Regents for staff in the academic professional employee category. Board approval of this personnel action is required by Board of Regents Policy: *Board Operations and Agenda Guidelines* and University administrative policies.

**President's Recommendation for Action:**

The President recommends approval of these annual continuous appointment recommendations.

## **Executive Summary**

### **The Continuous Appointment Process**

Each year, the Senior Vice President and Provost recommends to the Board of Regents a group of academic professionals (P&As) for continuous appointments. The conferral of continuous appointment status for an academic professional is parallel to the conferral of indefinite tenure for a faculty member and follows a similar process.

### **Background on P&As with Continuous Appointments**

There are approximately 5414 academic professional and administrative staff at the University of Minnesota:

- 91% (4900 individuals) of these employees are on annual renewable contracts.
- 58% (3167 individuals) are academic professionals (such as librarians, educational specialists, extension educators, research fellows, and academic advisors).
- 42% (2247 individuals) are academic administrators (such as vice presidents, deans, directors, coordinators, assistants of various types).
- Of the 3167 academic professional staff, fewer than 4% (or 108 individuals) are on continuous appointment or probationary status.

Over half of those P&A staff with continuous appointments or probationary status work in the University Libraries. The other P&As with continuous appointments or probationary status across the University hold positions such as attorney, educational or clinical specialist, academic advisor, physician, psychologist, or curator.

### **Review Process**

Just as for faculty, academic professionals with probationary status receive an annual review for each of the six probationary years that provides them with feedback about their progress toward receiving a continuous appointment. This review includes the unit level, the collegiate or divisional level, and the central level (the Vice Provost for Faculty and Academic Affairs).

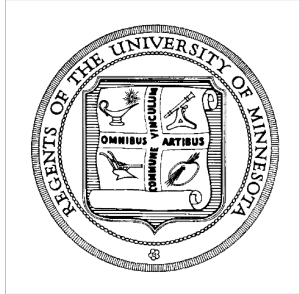
During the decision year for receiving a continuous appointment, the home unit of the individual solicits letters from external reviewers who are experts in their fields at other institutions. The unit may also include internal letters from other individuals at the University with whom the candidate interacts. For example, for a university librarian, letters may be solicited from academic department chairs whose departments are served by that librarian. This review has three stages as well: the unit in which the individual is employed, an All-University Review Committee, and the central level in the Provost's

Office (the Vice Provost for Faculty and Academic Affairs). The results of the complete process are reviewed together by the Senior Vice President for Academic Affairs and Provost and the Vice Provost for Faculty and Academic Affairs.

### **2010-2011 Candidates for Continuous Appointment**

This year, the Senior Vice President and Provost recommends to the Board of Regents eight individuals in the Librarian series of the academic professional employee category for continuous appointments. All are from the Twin Cities campus, including the Law School and University Libraries.

For the employee category of academic professionals, the gender breakdown is 49% women (1544) and 51% men (1623). In addition, 18% (or 564 individuals) are persons of color. The eight individuals recommended for continuous appointments have the following characteristics: two male, six female; seven white, one person of color.



## UNIVERSITY OF MINNESOTA

### BOARD OF REGENTS

#### Faculty, Staff, and Student Affairs Committee - May 12, 2011

**Continuous Appointment:** The following individuals in the academic professional series have been recommended for continuous appointment (G), to be effective with the beginning of the 2011-2012 appointment period.

#### **University of Minnesota Libraries - Twin Cities**

	<b><u>From</u></b>	<b><u>To</u></b>
Kirsten Clark	Assistant Librarian (H)	Associate Librarian (G)
Elizabeth Fine	Assistant Librarian (H)	Associate Librarian (G)
Jody Gray	Assistant Librarian (H)	Associate Librarian (G)
Lisa McGuire	Assistant Librarian (H)	Associate Librarian (G)
Andre Nault	Assistant Librarian (H)	Associate Librarian (G)
Marguerite Ragnow	Assistant Librarian (H)	Associate Librarian (G)

#### **Law School**

	<b><u>From</u></b>	<b><u>To</u></b>
Michael Hannon	Associate Librarian (H)	Librarian (G)
Sarah E. Yates	Associate Librarian (H)	Librarian (G)



**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Faculty, Staff, and Student Affairs Committee**

**May 12, 2011**

**Agenda Item:** Board of Regents Policy: Faculty Tenure

review       review/action       action       discussion

**Presenters:** Senior Vice President/Provost Thomas Sullivan  
Vice Provost Arlene Carney

**Purpose:**

policy       background/context       oversight       strategic positioning

To review the proposed revisions to the Board of Regents Policy: *Faculty Tenure*. The *Faculty Tenure* policy was last revised in June, 2007 as a result of strategic positioning and its focus on recruiting, retaining, and rewarding excellent faculty. At that time, the Faculty Senate unanimously approved changes that increased the rigor of the University-wide standards for tenure and for promotion to the rank of professor, that clarified departmental requirements for tenure and promotion, that added conditions for extensions to the maximum period of probationary service, and that addressed more directly the breadth of work in research, teaching, and service that is done at the University including areas of interdisciplinarity, technology transfer, public engagement, and attention to questions of diversity. The proposed revisions to the *Faculty Tenure* policy in 2011 provide for: clarity of process and consistency of language throughout the policy, addition of language describing academic freedom and responsibility, changes to the conditions for extending the maximum period of probationary service, and changes to the process of voting for tenure and promotion.

**Outline of Key Points/Policy Issues:**

The Academic Freedom and Tenure Committee of the Faculty Senate drafted revisions to the *Faculty Tenure* policy [also referred to as the tenure regulations] in 2010-2011 to improve the clarity and consistency of processes and language throughout the policy, following the implementation of major revisions to increase the rigor of standards for tenure and for promotion to professor in 2007. In the intervening four years, there were several areas of the policy that continued to raise questions as departments, colleges, and campuses evaluated faculty for tenure and for promotion. These included sections that addressed: the conditions and time periods for receiving extensions of probationary periods to continue to increase the family friendliness of the regulations, the types and ranks of probationary faculty appointments, and the process of voting for tenure and promotion. Language describing academic freedom and responsibility is made consistent with the Regents Policy: *Academic*

*Freedom and Responsibility.* In addition, there were changes to the footnotes and interpretations to the tenure regulations that improved their usefulness and consistency.

These changes that were made by the Academic Freedom and Tenure Committee were reviewed throughout the spring 2011 by the Faculty Consultative Committee of the Faculty Senate and by the Senior Vice President for Academic Affairs and Provost with feedback provided to the originating committee.

The proposed revisions were sent to all faculty for comment, were presented to an open meeting of faculty for discussion, and were brought to the Faculty Senate for vote on February 24, 2011. They were approved unanimously with a recommendation that the Senior Vice President for Academic Affairs and Provost present the revised policy to the Board of Regents.

Attached is the revised policy on *Faculty Tenure*. Sections to be deleted are struck through. Sections and wording to be added are underlined.

### **Background Information:**

The proposed revised policy would supersede the following policy Board of Regents Policy: *Faculty Tenure*, last revised in 2007.

### **President's Recommendation for Action:**

The President recommends approval of the proposed revisions to the Board of Regents Policy: *Faculty Tenure*.

## Executive Summary

### Rationale and Process for Revising the Regents Policy for *Faculty Tenure*

In 2010, the Academic Freedom and Tenure Committee of the Faculty Senate discussed changing the language defining and describing academic freedom and responsibility that appeared in the Board of Regents Policies on *Academic Freedom and Responsibility* and *Faculty Tenure* [also known as the tenure regulations] to reflect better the meaning of these concepts at the University of Minnesota and to ensure consistency across the two policies. The Academic Freedom and Tenure Committee also determined that it should make other changes to the tenure regulations at the time it revised the language on academic freedom and responsibility to improve further the clarity and consistency of language and processes throughout the regulations, following the implementation of major revisions to increase the rigor of standards for tenure and for promotion to professor in 2007.

In the intervening four years since the last revision of the tenure regulations, there were several sections that were the source of frequent questions regarding implementation as departments, colleges, and campuses evaluated faculty for tenure and for promotion with the new regulations. These included sections that addressed: the conditions and time periods for receiving extensions of probationary periods to continue to increase the family friendliness of the regulations, the types and ranks of probationary faculty appointments, and the process of voting for tenure and promotion in units. In addition, there were changes to inconsistencies in language and formatting of the body of the text and to the footnotes and interpretations to the tenure regulations that improved their clarity, usefulness, and consistency.

These proposed changes that were made by the Academic Freedom and Tenure Committee were readily available to the academic community through the minutes of the committee throughout early 2011. The changes were reviewed by the Faculty Consultative Committee of the Faculty Senate and by the Senior Vice President for Academic Affairs and Provost with feedback provided to the originating committee for additional changes.

The proposed revisions to the tenure regulations were sent to all faculty for comment, were presented to an open meeting of faculty for discussion in early February, and were brought to the Faculty Senate on February 24, 2011. They were approved by a unanimous vote with a recommendation that the Senior Vice President for Academic Affairs and Provost present the revised policy to the Board of Regents.

### Proposed Revisions to the Board of Regents Policy: *Faculty Tenure (2011)*

The substantive changes to the tenure regulations are listed below:

**Section 1. Academic Freedom.** The definition and description of academic freedom and responsibility were changed to be consistent with the language in the Board of Regents Policy on *Academic Freedom and Responsibility*. The definitions of academic freedom and responsibility were expanded from those in the 2007 version of the tenure regulations.

**Subsection 5.5.** This section has been renamed as well as revised. This subsection addresses the extension of the probationary period for faculty to enable them to meet the criteria for tenure and promotion with some additional time added. The reasons for extension include: childbirth or adoption/foster placement of a child or children; caregiver responsibilities for family members with extended or serious conditions; and personal illness or injury of the faculty member. This is consistent with the University's goal to be an institution that expects excellent performance but is also "family friendly." That is, the University recognizes that family or personal issues may impede

progress toward tenure and promotion. The extension of a probationary period is available to both women and men for each of the categories.

The probationary periods for faculty who are assistant professors are typically for six years in length with the provision for a seventh terminal year in the case of a tenure denial. Two colleges have opted for longer probationary periods: the Carlson School of Management has an eight-year probationary period with a ninth terminal year and the Medical School has a nine-year probationary period with a tenth terminal year for tenure-track faculty with clinical responsibilities. If a probationary faculty member is hired as an associate professor, professor, or instructor, she or he may have a two- or three-year probationary appointment.

Previous Subsection 5.5. Exception for New Parent Or Caregiver, Or For Personal Medical Reasons (2007).

- The subsection defined three conditions for extending the probationary period – child birth, adoption/foster placement; caregiver responsibilities; personal medical reasons for the faculty member. The third category was added in 2007; the other two categories had been in place in the 2001 version of the tenure regulations.
- No maximum extension period was provided except for caregiver responsibilities, which was restricted to two years.
- Probationary faculty members requested an extension for each condition.
- Probationary faculty members had one year from the date of condition (e.g. adoption or illness) to request an extension. This was increased from three months in the 2001 tenure regulations.

Proposed Subsection 5.5. Extension of Maximum Probationary Period for New Parent or Caregiver, Or For Personal Medical Reasons.

- The same three conditions for extensions are provided.
- Probationary faculty members make a written request for an extension of a probationary period. This was not specified in the 2007 version.
- A one-year extension is automatically granted for childbirth or adoption/foster placement upon notifying the unit head, dean, and provost.
- A one-year extension is granted with approval from the provost for caregiver responsibilities or for personal medical reasons if there has been, or would be, a substantial negative impact on the faculty member's ability to work over an extended period of time.
- Probationary faculty members whose requests for extension are complex or unusual and therefore, have the potential to be denied, meet with an administrator designated by the provost.
- The maximum period of extension of the probationary period is three years for those on six-, eight-, or nine-year probationary periods. A one-year total extension is provided for those with shorter probationary periods of two or three years.
- The definitions for "family member" and "child" are clarified and extended.

**Section 6.** This section and its multiple subsections have been renamed and revised to clarify the relationship between decisions about tenure and promotion for probationary faculty. Different subsections of this section contained language that appeared to be contradictory. In one subsection, it seemed clear that a decision to award tenure was accompanied always by a decision to promote to the next rank; in other subsections, the implication, although not the direct statement, was that votes for tenure and promotion should be separate. This section also contained language about the appointment of instructors as well as assistant and associate professors and professors. The section needed re-organization and clear statements about the relationship of rank and tenure, particularly for voting in units.



#### Previous Section 6. Tenure Of Faculty On Regular Probationary Appointments.

- Subsection 6.1 defined who is a candidate for tenure.
- Subsection 6.21 described probationary appointments for associate professors and professors generally.
- Subsection 6.22 described the termination procedures for probationary appointments for instructors.
- Subsection 6.3 described promotions for probationary faculty and the relationship to tenure.
- Subsection 6.4 described the ranks of faculty who could hold tenure. This subsection is eliminated.
- 6.5 described the University actions if the University failed to comply with the provisions of Section 6.

#### Proposed Section 6. Tenure and Promotion For Probationary Faculty Members.

- Subsection 6.1 now specifies the ranks for probationary appointments.
- Subsection 6.21 now clarifies the length of probationary appointments and possible terminations for associate professors and professors who would not have the more typical six-year probationary period.
- Subsection 6.22 now clarifies the reasons for appointing faculty members at the rank of instructor; clarifies that appointment as an instructor counts as part of the probationary period; clarifies termination for instructors.
- Subsection 6.3 now combines some content from the previous subsections 6.3 and 6.4. It clarifies that:
  - Only associate professors and professors who are regular faculty can have appointments with indefinite tenure; assistant professors and instructors may not receive indefinite tenure in the future. An interpretation clarifies that assistant professors with tenure will retain tenure until their appointment ends at the University.
  - Tenure and promotion are linked for assistant professors being considered for tenure and promotion to associate professor.
  - Associate professors may receive indefinite tenure without promotion to professor.
  - Associate professors on probationary appointments who are promoted to the rank of professor must receive that appointment with tenure.
- Subsection 6.4 is renamed “Effect of Procedural Errors.” The language in this section is clarified.

### **Subsection 7.12. Departmental Statement.**

#### Previous Section 7.12.

- This section defines the nature of the criteria for tenure and promotion at the unit level. It was significantly altered in 2007 to give departments guidance about developing their own criteria for tenure and promotion.

#### Proposed Section 7.12

- This revised section requires departments to add the goals and expectations for the annual review of the performance for tenured faculty to the departmental statement in addition to the criteria for tenure and promotion. Departments have been doing this as they revised their individual criteria for tenure and promotion criteria but this change makes it clear that the goals and expectations that are the basis of post-tenure review should be in the same document as those criteria for tenure and promotion.

The remaining changes were made for consistency and clarification of terms:

- On the first page, the reader is informed of the system of footnotes on the bottom of relevant pages and the interpretations at the end of the regulations. Footnotes were then added to the bottom of pages.
- Lists of conditions within subsections have been renumbered for consistency throughout the regulations.
- Out-dated language was removed in the text, footnotes, and interpretations.
- Some interpretations were moved into the text (e.g. “days” was changed to “working days” throughout) for clarification.

## FACULTY TENURE

Adopted: February 9, 1945

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

### PREAMBLE

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

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

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

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The *Faculty Tenure* regulations contain both footnotes and interpretations. Footnotes are numbered and are indicated in the text with the abbreviation [FN#]. Footnotes are shown at the bottom of each page on which footnote markers appear in the text; these add information about specific terms or phrases in the regulations. Interpretations are numbered and are indicated in the text with the abbreviation [INTERP#]. Interpretations appear at the end of the regulations; these are added to clarify or modify the meaning of a section or subsection.

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

## DEFINITIONS

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

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

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

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

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

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

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

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

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

## FACULTY TENURE

### **Section 1. Academic Freedom.**

**1.1 Principles.** Every member of the faculty is entitled to due process and academic freedom as established by academic tradition and the constitutions and laws of the United States and the state of Minnesota and as amplified by

resolutions of the Board of Regents. The Board of Regents hereby reaffirms its commitment to academic freedom and tenure as reflected in its resolution of January 28, 1938, ~~and in the statement of December 14, 1963, which are set forth in the appendix to these regulations~~ in these Faculty Tenure regulations, and in its policy on Academic Freedom and Responsibility; ~~The policies of the Board of Regents regarding academic freedom are currently stated in the board's statement of September 8, 1995, which provides:~~

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

Academic freedom is the freedom, without institutional discipline or restraint, to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research and creative expression and to speak or write ~~as a public citizen without institutional discipline or restraint~~ on matters of public concern as well as on matters related to professional duties and the functioning of the University.

Academic responsibility implies the faithful performance of ~~academic~~ professional duties and obligations, the recognition of the demands of the scholarly enterprise, and the candor to make it clear that, ~~the individual is not~~ when one is speaking on matters of public interest, one is not speaking for the institution ~~in matters of public interest.~~

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

## **Section 2. Applicability Of Regulations And Continuity Of Appointments To Employment Contracts.**

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

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

## **Section 3. Faculty Ranks And Types Of Appointments.**

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

**3.2 Regular Appointments.** A regular appointment ~~is~~ either is with indefinite tenure or is probationary, leading to a decision concerning indefinite tenure within a specified period of time. ~~A faculty member with indefinite tenure is entitled to retain that position until retirement in accordance with University regulations or until the appointment is terminated pursuant to the provisions of sections 10 or 11. A regular appointment may be held only in an academic unit of a degree-granting college or similar unit. A regular appointment must be for at least two-thirds time of the faculty member's contract year [i.e. either an academic year or twelve months].~~

A faculty member on probationary appointment ~~is~~ is entitled to consideration for indefinite tenure in accordance with section 7 and to timely notice of termination in accordance with section 6.

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

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

A faculty member with indefinite tenure is entitled to retain that position until retirement in accordance with University regulations or until the appointment is terminated pursuant to the provisions of sections 10 or 11.

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

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

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

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

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

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

\* (4 d) the appointment concerns a faculty member who principally is engaged in and primarily is supported by clinical activities or by discipline-related service. [FN1]

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

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

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

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

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

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

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

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

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

[FN 1] "Service" means performance within the faculty member's expertise, other than teaching and research as defined in ~~section~~ subsection 7.11.

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

#### **Section 4. Terms Of Faculty Employment.**

**4.1 Written Notice Of Appointment.** Each faculty appointment or change of status is specified in a written notice of appointment issued by or on behalf of the Board of Regents. The notice must include the following:

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

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

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

#### **4.3 Changes In Terms Of Appointment Other Than Faculty Compensation.**

Except for raises in rank and except for action expressly authorized by these regulations, no changes of (~~1~~ a) through (~~7~~ g) items listed in subsection 4.1 may be made during the term of an appointment except with the agreement of the faculty member and the Board of Regents or its authorized delegate.

**4.4 Faculty Salaries.** [INTERP 1] Each faculty member shall receive a recurring salary, and may also receive an additional salary which may be for special awards or for activities in addition to regular faculty responsibilities such as clinical practice, administrative service, overload duties, summer school teaching and summer research support and similar activities.



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

At the time an appointment is made, the offer and written notice of appointment shall separately state the recurring salary and any additional salary, as described above, that the faculty member will receive. In each subsequent year, the faculty member shall be provided with a written notice separately stating any changes in recurring salary and any changes in additional salary for the following academic year. A faculty member's recurring salary shall consist of the initial recurring salary adjusted by any subsequent increase or decrease in recurring salary provided for in a subsequent written notice. Increases will be presumed to be in recurring salary unless otherwise identified. For a faculty member employed when this section takes effect, the initial recurring salary will be the faculty member's recurring salary at the time this section takes effect, exclusive of any additional salary designated as special awards or designated as being for activities in addition to regular faculty responsibilities such as clinical practice, administrative service, overload duties, summer school teaching, summer research support and similar activities.

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

**4.5 Reduction Or Postponement Of Compensation.** If the University or a collegiate unit is faced with financial stringency that does not amount to a fiscal emergency, the president may propose a temporary reduction or postponement in compensation to be allocated to faculty in accordance with a mathematical formula or similar device. If approved by the Faculty Senate or the appropriate collegiate assembly, respectively, and the Board of Regents, the recurring salary of all faculty members in the University or in the designated collegiate units shall be reduced temporarily in accordance with the formula or device. The reduction may not continue for longer than two years, unless renewed by the same procedure. [INTERP 2]

## **Section 5. Maximum Period Of Probationary Service.**

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

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

**5.3 Crediting Of Academic Year.** A faculty member is considered to have served an academic year if the ~~appointee~~ faculty member serves at least two-thirds time during the faculty member's contract year [i.e. either an academic year appointment or twelve months].

Unless otherwise agreed in writing, periods during which a faculty member is on a single-semester or other paid professional-development leave or is on leave to teach or conduct research at another academic institution, count as probationary service. ~~but periods~~ Periods in which the faculty member is on sick or disability leave, or is on leave in some non-faculty capacity, do not count as probationary service.

If a faculty member transfers to a position outside of the regular faculty, the time spent in the other position does not count as probationary service for the purpose of ~~this~~ section 5.

#### **5.4 Prior Service.**

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

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

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

#### **5.5 ~~Exception~~ Extension Of Maximum Probationary Period For New Parent Or Caregiver, Or For Personal Medical Reasons.**

Upon the written request of a probationary faculty member, The the maximum period of that faculty member's probationary service will be extended by one year at a time for each request; at the request of a probationary faculty member:

~~1-~~ (a) On the occasion of the birth of ~~that~~ the faculty member's child or placement of an adoptive/foster placement of a child with ~~that~~ the faculty member. Such a request for extension will be granted automatically if the faculty member notifies the unit head, dean, and senior vice president for academic affairs and provost in writing that the faculty member is eligible for an extension under subsection 5.5 because of the birth or adoption/foster placement; or

~~2. (b) When~~ If the faculty member is a major caregiver for a family member [2] who has with an extended serious illness, injury, or debilitating condition, and the senior vice president for academic affairs and provost determines that the circumstances have had or are likely to have a substantial negative impact on the faculty member's ability to work over an extended period of time; A faculty member may use this provision no more than two times; or

~~3. (c) When~~ If the faculty member has an extended serious illness, injury, or debilitating condition, and the senior vice president for academic affairs and provost determines that the circumstances have had or are likely to have a substantial negative impact on the faculty member's ability to work over an extended period of time. If the faculty member's illness, injury, or debilitating condition reduces the faculty member's ability to work to less than two-thirds time during the faculty member's contract year [i.e., the academic year or twelve months], the probationary period is automatically extended by one year in accordance with subsection 5.3.

"Family member" means a faculty member's spouse or domestic partner, child, or other relative. "Child" includes a biological child, an adopted or foster child, and the child of a spouse or domestic partner.

The probationary period may be extended for no more than three years total, except that the extension may be for no more than one year total for (1) an instructor with a probationary appointment under subsection 6.22 or (2) an associate professor or professor with a three-year probationary appointment under subsection 6.21.

The notification of birth or adoption/foster placement for provision (a) and the request for extension for provisions (b) and (c) in this subsection must be made in writing within one year of the events giving rise to the claim and no later than June 30 preceding the year a final decision would otherwise be made on an appointment with indefinite tenure for that faculty member.

A request for an extension under provision (b) or (c) will not be denied without first providing the faculty member making the request with an opportunity to discuss the request in a meeting with an administrator designated by the senior vice president for academic affairs and provost. A claim that a request for an extension under provision (b) or (c) was improperly denied may be considered in any subsequent review by the Senate Judicial Committee of a termination under subsection 7.7.

## **Section 6. Tenure And Promotion For Of Probationary Faculty Members On Regular Probationary Appointments.**

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

**6.2 Requirements For Notice Requirements of Termination.** Except as provided below, a probationary appointment may be terminated at the end of any academic year by giving the faculty member notice of termination (in the form provided in ~~Section~~ section 17) not later than May 15 of the preceding

academic year. The notice must inform the faculty member of the right to request a hearing before the Judicial Committee and must advise the faculty member of the applicable time limit for making such a request.

**6.21 Associate Professors And Professors On Probationary Appointments.**

An initial probationary appointment at the rank of associate professor or professor may specify in writing that it is for a minimum period of three years. In ~~that~~ such a case, the probationary period is three years and the appointment may not be terminated before the end of the third year except as otherwise provided in these regulations; notice for such a termination must be given to the faculty member not later than the earliest time at which notice of termination can be given is before May 15 of the second year of service, to take effect at the end of the third year of service.

**6.22 Instructors On Probationary Appointments.** An initial probationary appointment at the rank of instructor may be made only if the candidate has not yet received the terminal degree necessary for appointment as an assistant professor in the unit.

~~A probationary appointment at the rank of instructor may be for no more than two years. A one-year appointment specify in writing that it is only for a minimum period of one year. The appointment may be terminated at the end of the first year by notice given not later than March 1 of that year. or A two-year appointment may be terminated at the end of the second year by notice given not later than December 15 of that year. In all other respects such appointments are governed by the notice provisions specified in subsection 6.2. A promotion of an instructor to the rank of Assistant Professor without a grant of tenure does not affect the operation of this subsection.~~

The duration of the appointment as an instructor with probationary status counts toward the appointee's maximum period of probationary service under subsection 5.1. At the end of the probationary period as an instructor, the faculty member must be promoted to the rank of assistant professor or receive notice of termination.

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

Only regular faculty members at the ranks of associate professor and professor may hold indefinite tenure. [INTERP 7]

The granting of indefinite tenure to an assistant professor on a probationary appointment must be accompanied by promotion to associate professor. The promotion of an assistant professor on a probationary appointment to the rank of associate professor must be accompanied by an appointment with indefinite tenure. The choice whether to award tenure and to promote is presented as a single question for faculty vote.

An associate professor with a probationary appointment may be granted indefinite tenure without a promotion in rank.

The promotion of an associate professor on a probationary appointment to the rank of professor must be accompanied by an appointment with indefinite tenure.

Promotion of an instructor to the rank of assistant professor is not accompanied by an appointment with indefinite tenure.

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

~~**6.5 6.4 Effect Of Failure To Comply With This Section Procedural Errors.** A probationary faculty member is not No one is entitled to an appointment with indefinite tenure merely because the University failed to give timely written notice of termination of an appointment or because the appointment was extended for any reason comply with this section. If an individual is given an extension of appointment beyond the maximum probationary period, or is not given timely written notice, In such a case, the University may either in its sole discretion:~~

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

## **Section 7. Personnel Decisions Concerning Probationary Faculty.**

### **7.1 Criteria For Decisions.**

**7.11 General Criteria.** What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic integrity. The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both [FN2 3]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN3 4].

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[FN 2] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus.

[FN 3] The persons responsible and the process for making this determination are described in subsections 7.3 through 7.6.

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

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

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

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

The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [FN4 5]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure.

Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. The awarding of indefinite tenure presupposes that the candidate's record shows strong promise of his or her achieving promotion to professor.

**7.12 Departmental Statement.** [FN5 6] Each department or equivalent academic unit must have a document that specifies (1) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 7.11 ("General Criteria" for the awarding of indefinite tenure); ~~and~~ (2) the indices and standards that will be used to determine whether candidates meet the threshold criteria of subsection 9.2 ("Criteria for Promotion to Professor"); ~~and~~ (3) the goals and expectations to be used in evaluating faculty members' performance under subsection 7a ("Review of the Performance of Faculty Members"). The document must contain ~~as an appendix~~ the text and footnotes of subsections 7.11 and 9.2, and must be consistent with the criteria given there but may exceed them. Each departmental statement must be approved by a faculty vote (including both tenured and probationary members), the dean, and other appropriate academic administrators, including the senior vice president for academic affairs and provost. The chair or head of each academic unit must provide each probationary faculty member with a copy of the Departmental Statement at the beginning of the probationary service. [INTERP 3]

**7.2 Annual Review.** The tenured faculty [FN6 7] of each academic unit annually reviews the progress of each probationary faculty member toward satisfaction of the criteria for receiving tenure. The head of the unit prepares a written summary of that review and discusses the candidate's progress with the candidate, giving a copy of the report to the candidate.

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

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[FN 4] Indefinite tenure may be granted at any time the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if the appointee is not making satisfactory progress within that period toward meeting the criteria.

[FN 5] "Departmental" refers to an academic department or its equivalent, such as division, institute, or unit.

[FN 6] As used in this policy, “tenured faculty” means those members of the faculty who hold indefinite tenure.

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

\* (a) A good faith effort is made to gather all relevant information necessary to the decision. The academic units have the primary obligation to assemble the file, but the faculty member also has the right to add any material the faculty member considers relevant.

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

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

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

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

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

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

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



**7.61 Procedures.** The review must be conducted according to University procedures, established as provided in subsection 16.3. These procedures must provide for review and recommendations by the head of the academic unit, by the dean of the collegiate unit, by faculty committees at the collegiate or University level, and, when appropriate, by other academic administrators. The review must be conducted on the basis of the standards and criteria established by subsections 7.11 and 7.12 and the applicable rules and procedures. The rules may permit an administrator to refer the matter back to the unit for reconsideration, but if the administrator and the unit do not agree after such reconsideration, both the recommendation and the administrator's comments must be sent forward for final administrative action. A copy of each review or recommendation must be supplied to the faculty member. The faculty member may comment thereon in writing to those who will review the matter further.

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

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

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

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

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

~~1-~~ (a) Personal beliefs, expressions or conduct which fall within the liberties protected by law or by the principles of academic freedom as established by academic tradition and the constitutions and laws of the United States and the state of Minnesota;

~~2-~~ (b) Factors proscribed by applicable federal or state law regarding fair employment practices;

- ~~3. (c)~~ Substantial and prejudicial deviation from the procedures prescribed in subsections 7.4 and 7.6 and the procedural rules promulgated pursuant to those subsections;
- 4. (d) Failure to consider data available at the time of decision bearing materially on the faculty member's performance;
- ~~5. (e)~~ Demonstrable material prejudicial mistakes of fact concerning the faculty member's work or conduct;
- ~~6. (f)~~ Other immaterial or improper factors causing substantial prejudice; or
- ~~7. (g)~~ Other violation of University policies or regulations.

Such proceedings are governed by Section 15.

### **Section 7a. Review Of Faculty Performance**

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

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

**7a.3. Special Peer Review In Cases Of Alleged Substandard Performance By Tenured Faculty.** If, at the end of the time period for improvement described in the previous paragraph, a tenured faculty member's performance continues to be substantially below the goals and expectations of the unit and there has not been a sufficient improvement of performance, the head of the academic unit

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

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

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

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

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

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

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

\* (g) some combination of these measures.

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

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

may reduce the faculty member's recurring pay, subject to the following limitations:

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

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

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

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

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

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

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

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

~~1-~~ (a) Personal beliefs, expressions or conduct which fall within the liberties protected by law or by the principles of academic freedom as established by academic tradition and the constitutions and laws of the United States and the state of Minnesota;

~~2-~~ (b) Factors proscribed by applicable federal or state law regarding fair employment practices;

~~3-~~ (c) Essential and substantial written misrepresentation of the nature of the original appointment; or

~~4-~~ (d) Other violation of University policies or regulations.

Such proceedings are governed by Section 15.

### **Section 9. Personnel Decisions for Associate Professors and Professors.**

**9.1 Appointment of Associate Professors and Professors With Indefinite Tenure.** Initial appointments with indefinite tenure may only be made at the rank of associate professor or professor. Such appointments may be made only after receiving the recommendation of the regular faculty holding indefinite tenure in the academic unit concerned.

**9.2 Criteria for Promotion to Professor.** The basis for promotion to the rank of professor is the determination that each candidate has (1) demonstrated the intellectual distinction and academic integrity expected of all faculty members, (2) added substantially to an already distinguished record of academic achievement, and (3) established the national or international reputation (or both) ordinarily resulting from such distinction and achievement [FN 7 &]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [FN 8 & 9]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. But the primary emphasis must be on demonstrated scholarly or other creative achievement and on teaching effectiveness, and service alone cannot qualify the candidate for promotion.

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

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

**10.2 Disciplinary Action.** [INTERP 4]

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

- \* (a) sustained refusal or failure to perform reasonably assigned duties adequately;
- \* (b) unprofessional conduct which severely impairs a faculty member's fitness in a professional capacity;

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[FN 7] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus. Not being promoted to the rank of professor will not in itself result in special post-tenure review of a tenured associate professor.

[FN 8] The persons responsible for this determination are the full professors in the unit who are eligible to vote. The outcome of the vote is either promotion to the rank of professor or continuation in rank as an associate professor. The procedures for voting are identical to those outlined in Section subsection 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (Section subsection 7.5), and the review of recommendations (Section subsection 7.6). In addition, a

petition to the Judicial Committee for review of a recommendation of continuation in rank as an associate professor follows the procedures specified in ~~Section~~ subsection 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.

See the definitions of "scholarly research," "other creative work," "teaching," and "service" in footnote [4-3]. A greater contribution in the area of institutional service is expected of candidates for the rank of professor than was expected for the award of tenure.

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

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

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

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

**10.3 Procedures.** A faculty member may be placed on unrequested leave of absence or a faculty appointment may be terminated or suspended for these the reasons specified in subsection 10.21 only in accordance with the procedures set forth in Section 14.

## **Section 11. Fiscal Emergency.**

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

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

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

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

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

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

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

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

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

proposal and reports. Thereafter, the University Senate may consider them. The president must attend both senate meetings to explain the proposal and to answer questions.

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

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

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

## **11.6 Principles Governing Termination Or Suspension.**

### **11.61 General Principles.**

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

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

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



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

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

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

### **11.62 Priorities.**

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

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

2. all probationary faculty within an academic unit must be suspended or terminated before any tenured faculty may be suspended or terminated in that unit.

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

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

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

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

substantially based on immaterial or improper factors. It may consolidate cases involving common issues for a single hearing.

## **Section 12. Programmatic Change.**

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

**12.2 Faculty Rights And Duties.** In the event that programmatic change leads to discontinuation of a program in which a member of the faculty is employed, the University recognizes its obligation to continue the employment of regular faculty in accordance with the terms of their employment, and to continue the employment of non-regular faculty for the term of appointment. In case of fiscal emergency, the provisions of Section 11 apply.

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

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

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

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

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

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

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

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

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

### **Section 13. Judicial Committee.**

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

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

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

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

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

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

### **Section 14. Procedures In Cases Of Unrequested Leave Of Absence Or Termination Or Suspension Of A Faculty Appointment For Cause. [INTERP 5]**

**14.1 Preliminary Proceedings.** Only a dean or an academic administrator specially designated by the senior vice president for academic affairs and provost or by the senior academic administrator may initiate preliminary proceedings under this section leading to unrequested leave of absence or to suspension or removal or to temporary or permanent reduction in rank. The dean [FN9 ~~10~~] must first attempt to discuss and resolve the matter with the faculty member involved.

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

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

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

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

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

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

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[FN 9] Throughout this section the word "dean" means the dean of the collegiate unit or other equivalent officer or an academic administrator specifically designated for this purpose by the senior academic administrator or by the senior vice president for academic affairs and provost.

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

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

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

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

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

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

**14.5 Appeal To The Board Of Regents.** If the action involves removal or if the action involves a sanction more severe than that recommended by the Judicial Committee, the faculty member may appeal to the Board of Regents. In cases in which the president imposes a sanction more severe than that recommended by

the Judicial Committee, the faculty member and the president may present to the board evidence with respect to issues on which the president differs from the recommendation of the Judicial Committee. The request for a hearing must be made to the secretary of the board within ten work days of the president's action.

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

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

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

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

**Section 15. Appeals To The Judicial Committee.** [INTERP 6]

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

**15.2 Procedure For Securing Review.** A written request for review must be filed with the chair of the Judicial Committee within 30 work days of written notice of the action challenged. The request must specify the action complained of and the remedial action the individual seeks. Within 30 work days of filing,

the chair of the Judicial Committee must send copies of the request to the head of the academic unit concerned and to the senior academic administrator.

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

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

The Judicial Committee does not itself decide whether the faculty member is professionally worthy of a faculty position, but only determines whether the action was based in significant degree upon any of the factors specified in subsection 7.7 or ~~Section~~ section 8.

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

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

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

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

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

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

the faculty member and the faculty member is given a reasonable opportunity to respond to it.

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

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

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

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

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

## **Section 16. Academic Freedom and Tenure Committee.**

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

**16.2 Interpretations.** The senior vice president for academic affairs and provost and the Tenure Committee may propose formal interpretations of these regulations, consistent with their terms. Such interpretations must be reported



to the Faculty Senate and the Board of Regents. If adopted by the Board of Regents, such interpretations will be binding in all cases subsequently arising.

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

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

### **Section 17. Written Notice.**

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

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

### **Section 18. Publication.**

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

### **Section 19. Amendment.**

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

### **FOOTNOTES**

~~{1} "Service" means performance within the faculty member's expertise, other than teaching and research as defined in section subsection 7.11.~~

~~{2} The term "family member" is meant to include a spouse or domestic partner, an adopted or foster child, or other relative.~~

~~{3} "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus.~~

~~[4] The persons responsible and the process for making this determination are described in subsections 7.3 through 7.6.~~

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

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

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

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

~~[5] Indefinite tenure may be granted at any time the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if the appointee is not making satisfactory progress within that period toward meeting the criteria.~~

~~[6] "Departmental" refers to an academic department or its equivalent, such as division, institute, or unit.~~

~~[7] As used in this policy, "tenured faculty" means those members of the faculty who hold indefinite tenure.~~

~~[8] "Academic achievement" includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus. Not being promoted to the rank of professor will not in itself result in special post tenure review of a tenured associate professor.~~

~~[9] The persons responsible for this determination are the full professors in the unit who are eligible to vote. The outcome of the vote is either promotion to the rank of professor or continuation in rank as an associate professor. The procedures for voting are identical to those outlined in Section subsection 7.4 for the granting of indefinite tenure, the nondisclosure of grounds for the decision (Section subsection 7.5), and the review of recommendations (Section subsection 7.6). In addition, a petition to the Judicial Committee for review of a recommendation of continuation in rank as an associate professor follows the procedures specified in Section subsection 7.7 for decisions about promotion to associate professor and conferral of indefinite tenure.~~

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

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

## **INTERPRETATIONS**

~~Dated April 12, 1985; September 8, 1988; March 12, 1993 and October 13, 1985; June 9, 2000; XX, 2011.~~

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

~~Expired.~~

### **~~2. 1. Interpretation of Section Subsection 4.4: Definition of Of Recurring Salaries.~~**

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

### **~~3. 2. Interpretation of Section Subsection 4.5: Financial Stringency.~~**

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

### **~~4. Interpretation of Subsection 5.5: Retroactive Application.~~**

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

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

~~(2) has not been given notice of termination.~~

### **~~5. Interpretation of Subsection 5.5: Major Caregiver Responsibilities.~~**

~~A request for extension of the maximum probationary period for major caregiver responsibilities should be made only if those responsibilities are very substantial and continue over an extended period of time. The probationary faculty member must submit a written application to the head of the academic unit, who will~~

~~forward it for action and approval through the appropriate University channels. If an administrator does not approve the request, the faculty member may file a grievance under applicable University policies.~~

**~~6. 3. Interpretation of Subsection 7.11 7.12: Consideration of Factors Other than Primary Tenure Criteria. Review of Departmental Statements.~~**

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

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

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

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

**~~8. 4. Interpretation of Amendment to Subsection 10.2: Faculty Assignments.~~**

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

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

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

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

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

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

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

**7. Interpretation of Subsection 6.3: Relation Between Tenure and Promotion.**

Regular faculty with appointments as assistant professors with indefinite tenure at the time of the adoption of this interpretation in 2011 will continue to hold these appointments until they retire, subject to the review provisions of subsection 7a and as otherwise provided in these regulations.



**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Faculty, Staff, and Student Affairs Committee**

**May 12, 2011**

**Agenda Item:** Faculty Compensation: Trends and Benchmarks

review       review/action       action       discussion

**Presenters:** Senior Vice President/Provost Thomas Sullivan  
Senior Vice President Robert Jones

**Purpose:**

policy       background/context       oversight       strategic positioning

To provide the Board with comparative faculty salary and total compensation data and an opportunity to discuss the information.

**Outline of Key Points/Policy Issues:**

The fall 2010 results of the American Association of University Professors (AAUP) nation-wide survey of faculty salaries and total compensation are provided. Discussion will focus on faculty salary and total compensation comparisons for four of the University of Minnesota campuses and their comparative institutions.

**Background Information:**

Each spring, the Faculty, Staff, and Student Affairs Committee discusses faculty compensation.

**University of Minnesota Board of Regents  
Faculty, Staff, and Student Affairs Committee  
May 12, 2011**

**Faculty Compensation: Trends and Benchmarks**

**Introduction**

The University of Minnesota – Twin Cities seeks to become one of the top three public research universities in the world while achieving an equivalent standard of excellence at its coordinate campuses. As such, each University campus is identifying and monitoring institutions for comparison on a number of metrics, including faculty salaries and compensation. These metrics and others are included in the annual *University Plan, Performance and Accountability Report*.

**Survey Results**

The survey results for each campus, comparing FY 2010 to FY 2009 (and earlier, where available) are summarized in Tables 1-17. Results indicate that:

- Twin Cities: The faculty compensation rank has remained in the top third while the salary rank has stayed in the bottom third over time.
- Morris: The faculty salary rank is nearly last among its comparison group while total compensation has increased slightly relative to comparison group institutions.
- Crookston: Faculty compensation and salary rank among the highest in its comparison group.
- Duluth: Salaries and compensation rankings appear to be among the lowest relative to its comparison group with salaries for associate professors being slightly more competitive.

**Comparison Methodology**

Each year the American Association of University Professors (AAUP) conducts a nation-wide survey of faculty salaries and compensation. The results of the FY 2011 (Fall 2010 data) AAUP survey, with detail for each University of Minnesota campus related to their various comparison groups, are provided in Tables 1-17 at the end of this report. Salary and compensation amounts in the tables and schedules in the report are given in thousands of dollars (e.g., \$67.5 = \$67,500). As the Rochester campus, established in 2006, is rapidly evolving, it does not yet have an established comparison group and its number of faculty is too small for comparative analysis.

Faculty members included in the annual survey are defined by the AAUP as follows:

*“The instructional faculty is defined as those members of the instruction-research staff who are employed on a full-time basis and whose major regular assignment is instruction, including those with released time for research. Institutions are asked to exclude (a) instructional faculty who are employed to teach for less than two semesters, three quarters...; (b) instructional faculty in preclinical and clinical medicine; (c) instructional faculty who are employed on a part-time basis; (d) administrative officers...*

*(e) undergraduate or graduate students who assist in the instruction of courses, ...; (f) faculty on leave without pay; (g) replacement for faculty on sabbatical leave.”*

The AAUP survey does not include faculty salaries and compensation from medical schools with clinical faculty. As such, Twin Cities Medical School faculty salaries and compensation are excluded from the Twin Cities campus comparisons.

It is important to emphasize that annual changes in the average salary for each faculty rank as reported in the AAUP survey reflect such factors as retirements, promotions, and new hires in addition to salary increases for continuing faculty. For this reason the AAUP survey results will show percentage changes that are different from those stipulated in an annual salary plan. This is true for all institutions nationwide. These differences will vary from year to year and can be significant when faculty cohort sizes are relatively small.

The compensation figures in the annual AAUP salary survey include salary plus institutional contributions toward fringe benefits such as: (a) social security; (b) retirement; (c) medical insurance; (d) dental insurance; (e) group life insurance; (f) disability income protection; (g) unemployment compensation; (h) workers' compensation; and, (i) tuition for faculty dependents.

One should be cautious when making institution-to-institution salary and compensation comparisons. Average salary and compensation packages for faculty members can vary from campus to campus for a number of reasons, including:

1. The mix of disciplines on campus. Members of the faculty in certain disciplines (e.g., law and economics) tend to be paid more than faculty in other disciplines (e.g., history or education). This is a reflection, in part, of the non-academic markets for these individuals. The relative differences, however, are consistent across most universities. Thus, part of the difference in overall salaries could be due to the distribution of faculty within academic disciplines.
2. Cost of living and tax burden impact salary levels in certain metropolitan locations (e.g. Boston and San Francisco).
3. State- and/or University-specific initiatives such as an injection of large sums of money into faculty salary pools can cause institutions to move substantially within the salary rankings, thereby causing a single institution's ranking to shift significantly from one year to the next.
4. Fringe benefit packages vary by campus and may include medical, dental, disability, retirement, and tuition benefits, just to name a few.

It is also important to note that although compensation and salary are two very important factors in recruiting and retaining faculty members, they are not the only factors that faculty consider when choosing to work at a particular university. Other factors include:

- the reputation of the university
- the quality of relationships among departmental colleagues
- the reputation of the department
- the opportunity to work with specific individuals
- the quality of the student body



- the level of support for graduate students
- the quality of libraries and laboratories
- the level of support for new faculty members (e.g., set-up funds for the establishment of a laboratory, travel and professional development)
- the overall campus environment (cultural amenities, security)
- the location of the campus (e.g., big town/small town, urban/rural)
- family considerations (e.g., employment opportunities for spouses/partners and the quality of schools for children)

Compensation and salaries are, however, important factors in recruiting and retaining high quality and productive faculty members. For this reason, maintaining or improving the University's salary and compensation ranking with other comparable universities is important if the University is to compete successfully for high quality faculty.

### **Notes regarding historical data**

Previous years' rankings were adjusted with the removal of University of Minnesota faculty on phased retirement, bringing salary and compensation figures more in line with those of comparison institutions.

The Morris and Crookston salary data do not include the same set of comparison institutions each year because of reporting inconsistencies among several institutions. Thus, the Hamline University data were not included in Fall 2008 comparison group for the Morris campus while Ramapo College data are not included in Fall 2009 or Fall 2010. Likewise, for the Crookston campus comparison group Bemidji State University data were not included in Fall 2009, and Northern State University was not included in Fall 2009 or Fall 2010.

**Table 1: University of Minnesota Campuses – Comparison Groups**

<b>University of Minnesota <u>Twin Cities</u> Campus Comparison Group</b>	
Ohio State University – Columbus Pennsylvania State University – Univ. Park University of California – Berkeley University of California – Los Angeles University of Florida	University of Illinois – Urbana-Champaign University of Michigan – Ann Arbor University of Texas – Austin University of Washington – Seattle University of Wisconsin – Madison
<b>University of Minnesota <u>Duluth</u> Campus Comparison Group</b>	
Cleveland State University Florida Atlantic University Marquette University Oakland University Old Dominion University University of Central Florida University of Colorado – Denver	University of Massachusetts – Dartmouth University of Michigan – Dearborn University of Nevada – Las Vegas University of North Carolina – Charlotte University of Wisconsin – Milwaukee Villanova University Wright State University – Main Campus
<b>University of Minnesota <u>Morris</u> Campus Comparison Group</b>	
Carleton College College of Saint Benedict Concordia College – Moorhead Gustavus Adolphus College Hamline University Macalester College Ramapo College – New Jersey	St. Olaf College St. John's University St. Mary's College – Maryland University of Mary – Washington University of Maine – Farmington University of North Carolina-Asheville
<b>University of Minnesota <u>Crookston</u> Campus Comparison Group</b>	
<b><i>Aspiration Group</i></b>	<b><i>Peer Group</i></b>
University of Pittsburgh – Johnstown University of Maine – Farmington University of Wisconsin – River Falls University of Minnesota - Morris	University of Wisconsin – Stout Northern State University Dakota State University Delaware Valley College Bemidji State University

**Table 2: Fall 2010 Average Faculty Compensation for the Twin Cities Campus (x\$1,000)**

Institution Name		Full Professor	Associate Professor	Assistant Professor	Three Professorial Ranks Combined
<b>University of Minnesota-Twin Cities</b>		<b>\$164.50</b>	<b>\$119.70</b>	<b>\$111.70</b>	<b>\$137.60</b>
	University of California-Berkeley	\$197.30	\$137.60	\$121.10	\$172.50
	University of California-Los Angeles	\$203.00	\$136.50	\$115.70	\$174.80
	University of Michigan-Ann Arbor	\$179.40	\$121.90	\$108.30	\$145.80
	University of Wisconsin-Madison	\$149.90	\$118.70	\$104.10	\$133.20
	University of Florida	\$154.40	\$105.50	\$91.30	\$120.20
	University of Illinois at Urbana-Champaign	\$163.80	\$109.10	\$104.10	\$132.70
	The Ohio State University-Main Campus	\$161.40	\$110.20	\$100.50	\$131.00
	Pennsylvania State University-Main Campus	\$164.90	\$113.40	\$96.40	\$133.30
	The University of Texas at Austin	\$163.50	\$109.80	\$101.90	\$135.10
	University of Washington-Seattle Campus	\$149.20	\$112.00	\$99.60	\$127.70
Comparison Group (all) Mean - weighted		\$169.70	\$114.90	\$102.90	\$139.50
Difference from University Mean		-\$5.20	\$4.80	\$8.80	-\$1.90
Difference (%)		-3.20%	4.00%	7.90%	-1.40%
Ranking		5th	4th	3rd	4th

**Table 3: Fall 2010 Average Faculty Salary for the Twin Cities Campus (x\$1,000)**

Institution Name		Full Professor	Associate Professor	Assistant Professor	Three Professorial Ranks Combined
<b>University of Minnesota-Twin Cities</b>		<b>\$123.20</b>	<b>\$85.10</b>	<b>\$78.50</b>	<b>\$100.40</b>
	University of California-Berkeley	\$149.10	\$101.50	\$88.40	\$129.30
	University of California-Los Angeles	\$153.70	\$100.60	\$84.00	\$131.10
	University of Michigan-Ann Arbor	\$146.90	\$96.10	\$84.50	\$117.30
	University of Wisconsin-Madison	\$113.80	\$87.30	\$74.90	\$99.60
	University of Florida	\$122.10	\$80.00	\$68.40	\$92.80
	University of Illinois at Urbana-Champaign	\$133.50	\$84.80	\$80.30	\$105.80
	The Ohio State University-Main Campus	\$131.50	\$87.70	\$79.40	\$105.50
	Pennsylvania State University-Main Campus	\$133.50	\$89.00	\$75.90	\$106.60
	The University of Texas at Austin	\$136.50	\$88.60	\$82.40	\$111.40
	University of Washington-Seattle Campus	\$118.30	\$86.80	\$77.40	\$100.40
Comparison Group (all) Mean - weighted		\$134.90	\$89.10	\$79.00	\$109.60
Difference from University Mean		-\$11.60	-\$4.00	-\$0.50	-\$9.20
Difference (%)		-9.40%	-4.70%	-0.60%	-9.20%
Ranking		8th	9th	7th	9th

**Table 4: Fall 2007 – Fall 2010 Faculty Compensation Ranking among Comparison Group (11 Institutions including U of M - TC) for the Twin Cities Campus**

	<b>Full Professor</b>	<b>Associate Professor</b>	<b>Assistant Professor</b>	<b>3-Professorial Ranks Combined</b>
<b>Fall 2007</b>	<b>4<sup>th</sup></b>	<b>3<sup>rd</sup></b>	<b>3<sup>rd</sup></b>	<b>4<sup>th</sup></b>
<b>Fall 2008</b>	<b>4<sup>th</sup></b>	<b>3<sup>rd</sup></b>	<b>3<sup>rd</sup></b>	<b>4<sup>th</sup></b>
<b>Fall 2009</b>	<b>4<sup>th</sup></b>	<b>4<sup>th</sup></b>	<b>3<sup>rd</sup></b>	<b>4<sup>th</sup></b>
<b>Fall 2010</b>	<b>5<sup>th</sup></b>	<b>4<sup>th</sup></b>	<b>3<sup>rd</sup></b>	<b>4<sup>th</sup></b>

**Table 5: Fall 2007 – Fall 2010 Faculty Salary Ranking among Comparison Group (11 Institutions including U of M - TC) for the Twin Cities Campus**

	<b>Full Professor</b>	<b>Associate Professor</b>	<b>Assistant Professor</b>	<b>3-Professorial Ranks Combined</b>
<b>Fall 2007</b>	<b>7<sup>th</sup></b>	<b>5<sup>th</sup></b>	<b>7<sup>th</sup></b>	<b>7<sup>th</sup></b>
<b>Fall 2008</b>	<b>7<sup>th</sup></b>	<b>6<sup>th</sup></b>	<b>7<sup>th</sup></b>	<b>8<sup>th</sup></b>
<b>Fall 2009</b>	<b>8<sup>th</sup></b>	<b>8<sup>th</sup></b>	<b>8<sup>th</sup></b>	<b>9<sup>th</sup></b>
<b>Fall 2010</b>	<b>8<sup>th</sup></b>	<b>9<sup>th</sup></b>	<b>7<sup>th</sup></b>	<b>9<sup>th</sup></b>

**Table 6: Fall 2010 Average Faculty Compensation for the Morris Campus (x\$1,000)**

Institution Name		Full Professor	Associate Professor	Assistant Professor	Three Professorial Ranks Combined
<b>University of Minnesota-Morris</b>		\$111.00	\$91.70	\$79.80	\$95.20
Comparison	Carleton College	\$151.10	\$108.40	\$93.20	\$125.30
	Macalester College	\$149.80	\$108.30	\$87.00	\$115.20
	Ramapo College-New Jersey	Did not submit data to AAUP			
	St. Olaf College	\$122.60	\$94.60	\$75.80	\$99.60
	Saint John's University	\$111.70	\$89.30	\$73.60	\$92.20
	St. Mary's College-Maryland	\$115.10	\$87.20	\$73.70	\$91.50
	Gustavus Adolphus College	\$104.60	\$83.80	\$70.50	\$86.60
	University North Carolina-Asheville	\$108.20	\$85.40	\$77.80	\$91.80
	College of Saint Benedict	\$107.60	\$85.80	\$71.00	\$88.40
	University of Mary-Washington	\$107.00	\$83.40	\$71.40	\$88.20
	Hamline University	\$111.60	\$83.10	\$68.40	\$90.60
	Concordia College-Moorhead	\$94.00	\$78.50	\$65.60	\$77.40
	University of Maine-Farmington	\$97.50	\$78.10	\$65.80	\$81.30
	Comparison Group Mean (weighted)		\$117.70	\$88.00	\$74.70
Difference from University Mean		-\$6.70	\$3.60	\$5.10	\$0.60
Difference (%)		-6.00%	4.00%	6.40%	0.70%
Ranking		7th	4th	3rd	4th

**Table 7: Fall 2010 Average Faculty Salary for the Morris Campus (x\$1,000)**

Institution Name		Full Professor	Associate Professor	Assistant Professor	Three Professorial Ranks Combined
<b>University of Minnesota-Morris</b>		\$77.70	\$61.70	\$51.90	\$64.60
Comparison	Carleton College	\$117.40	\$81.60	\$70.30	\$96.20
	Macalester College	\$111.30	\$83.60	\$67.30	\$87.50
	Ramapo College-New Jersey	Did not submit data to AAUP			
	St. Olaf College	\$91.50	\$70.00	\$56.50	\$74.10
	Saint John's University	\$82.70	\$68.40	\$56.40	\$69.70
	St. Mary's College-Maryland	\$89.00	\$66.30	\$56.10	\$70.10
	Gustavus Adolphus College	\$76.40	\$61.50	\$52.70	\$63.80
	University North Carolina-Asheville	\$86.90	\$67.70	\$61.20	\$73.00
	College of Saint Benedict	\$84.10	\$66.20	\$55.80	\$68.90
	University of Mary-Washington	\$82.20	\$62.80	\$53.90	\$67.00
	Hamline University	\$90.50	\$66.50	\$54.90	\$73.00
	Concordia College-Moorhead	\$76.60	\$64.00	\$52.60	\$62.80
	University of Maine-Farmington	\$72.00	\$55.90	\$47.70	\$59.10
	Comparison Group Mean		\$90.60	\$67.30	\$57.30
Difference from University Mean		-\$13.00	-\$5.70	-\$5.50	-\$8.00
Difference (%)		-16.70%	-9.20%	-10.50%	-12.40%
Ranking		10th	11th	12th	10th

**Table 8: Fall 2007 – Fall 2010 Faculty Compensation Ranking among Comparison Group (13 Institutions including U of M - Morris) for the Morris Campus**

	<b>Full Professor</b>	<b>Associate Professor</b>	<b>Assistant Professor</b>	<b>3-Professorial Ranks Combined</b>
<b>Fall 2007</b>	<b>7<sup>th</sup></b>	<b>5<sup>th</sup></b>	<b>6<sup>th</sup></b>	<b>6<sup>th</sup></b>
<b>Fall 2008</b>	<b>9<sup>th</sup></b>	<b>5<sup>th</sup></b>	<b>4<sup>th</sup></b>	<b>5<sup>th</sup></b>
<b>Fall 2009</b>	<b>9<sup>th</sup></b>	<b>4<sup>th</sup></b>	<b>3<sup>rd</sup></b>	<b>5<sup>th</sup></b>
<b>Fall 2010</b>	<b>7<sup>th</sup></b>	<b>4<sup>th</sup></b>	<b>3<sup>rd</sup></b>	<b>4<sup>th</sup></b>

**Table 9: Fall 2007 – Fall 2010 Faculty Salary Ranking among Comparison Group (13 Institutions including U of M - Morris) for the Morris Campus**

	<b>Full Professor</b>	<b>Associate Professor</b>	<b>Assistant Professor</b>	<b>3-Professorial Ranks Combined</b>
<b>Fall 2007</b>	<b>10<sup>th</sup></b>	<b>10<sup>th</sup></b>	<b>10<sup>th</sup></b>	<b>11<sup>th</sup></b>
<b>Fall 2008</b>	<b>12<sup>th</sup></b>	<b>12<sup>th</sup></b>	<b>11<sup>th</sup></b>	<b>12<sup>th</sup></b>
<b>Fall 2009</b>	<b>12<sup>th</sup></b>	<b>12<sup>th</sup></b>	<b>12<sup>th</sup></b>	<b>12<sup>th</sup></b>
<b>Fall 2010</b>	<b>10<sup>th</sup></b>	<b>11<sup>th</sup></b>	<b>12<sup>th</sup></b>	<b>10<sup>th</sup></b>

**Table 10: Fall 2010 Average Faculty Compensation for the Crookston Campus (x\$1,000)**

Institution Name		Full Professor	Associate Professor	Assistant Professor	Three Professorial Ranks Combined
<b>University of Minnesota-Crookston</b>		\$117.80	\$96.80	\$91.70	\$97.30
Aspiration	University of Pittsburgh-Johnstown	\$95.80	\$83.60	\$68.30	\$79.70
	University of Maine-Farmington	\$97.50	\$78.10	\$65.80	\$81.30
	University of Wisconsin-River Falls	\$100.10	\$84.80	\$80.40	\$91.90
	University of Minnesota-Morris	\$111.00	\$91.70	\$79.80	\$95.20
Peer	University of Wisconsin-Stout	\$101.10	\$84.80	\$79.40	\$87.30
	Northern State University - South Dakota	Did not submit data to AAUP			
	Dakota State University	\$98.40	\$87.30	\$69.90	\$81.80
	Delaware Valley College - PA	\$107.20	\$86.80	\$74.20	\$84.00
	Bemidji State University	\$102.90	\$87.10	\$76.10	\$89.90
Comparison Group (all) Mean - weighted		\$101.40	\$85.40	\$75.70	\$87.40
Difference from University Mean		\$16.40	\$11.40	\$16.00	\$9.90
Difference (%)		13.90%	11.80%	17.40%	10.20%
Aspiration Group Mean - weighted		\$101.30	\$85.80	\$76.10	\$88.50
Difference from University Mean		\$16.50	\$11.00	\$15.70	\$8.70
Difference (%)		14.00%	11.30%	17.10%	9.00%
Peer Group Mean - weighted		\$102.00	\$86.10	\$76.70	\$86.90
Difference from University Mean		\$15.82	\$10.74	\$15.03	\$10.35
Difference (%)		13.40%	11.10%	16.40%	10.60%
Ranking		1st	1st	1st	1st

**Table 11: Fall 2010 Average Faculty Salary for the Crookston Campus (x\$1,000)**

Institution Name		Full Professor	Associate Professor	Assistant Professor	Three Professorial Ranks Combined
<b>University of Minnesota-Crookston</b>		\$83.30	\$65.90	\$61.70	\$66.30
Aspiration	University of Pittsburgh-Johnstown	\$76.00	\$65.10	\$51.20	\$61.60
	University of Maine-Farmington	\$72.00	\$55.90	\$47.70	\$59.10
	University of Wisconsin-River Falls	\$71.30	\$58.60	\$55.00	\$64.50
	University of Minnesota-Morris	\$77.70	\$61.70	\$51.90	\$64.60
Peer	University of Wisconsin-Stout	\$72.20	\$58.60	\$54.20	\$60.70
	Northern State University - South Dakota	Did not submit data to AAUP			
	Dakota State University	\$80.80	\$71.10	\$55.90	\$66.30
	Delaware Valley College - PA	\$84.80	\$67.20	\$58.20	\$65.60
	Bemidji State University	\$80.50	\$67.30	\$58.20	\$69.60
Comparison Group (all) Mean - weighted		\$74.60	\$62.30	\$54.50	\$63.70
Difference from University Mean		\$8.70	\$3.60	\$7.30	\$2.60
Difference (%)		10.40%	5.50%	11.80%	4.00%
Aspiration Group Mean - weighted		\$73.00	\$61.20	\$53.20	\$63.10
Difference from University Mean		\$10.30	\$4.80	\$8.60	\$3.20
Difference (%)		12.40%	7.20%	13.90%	4.90%
Peer Group Mean - weighted		\$76.80	\$64.10	\$55.90	\$64.50
Difference from University Mean		\$6.46	\$1.86	\$5.86	\$1.84
Difference (%)		7.80%	2.80%	9.50%	2.80%
Ranking		2nd	4th	1st	2nd



**Table 12: Fall 2007 – Fall 2010 Faculty Compensation Ranking among Comparison Group (9 Institutions including U of M - Crookston) for the Crookston Campus**

	<b>Full Professor</b>	<b>Associate Professor</b>	<b>Assistant Professor</b>	<b>3-Professorial Ranks Combined</b>
<b>Fall 2007</b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>
<b>Fall 2008</b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>
<b>Fall 2009</b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>
<b>Fall 2010</b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>	<b>1<sup>st</sup></b>

**Table 13: Fall 2007 – Fall 2010 Faculty Salary Ranking among Comparison Group (9 Institutions including U of M - Crookston) for the Crookston Campus**

	<b>Full Professor</b>	<b>Associate Professor</b>	<b>Assistant Professor</b>	<b>3-Professorial Ranks Combined</b>
<b>Fall 2007</b>	<b>6<sup>th</sup></b>	<b>2<sup>nd</sup></b>	<b>1<sup>st</sup></b>	<b>3<sup>rd</sup></b>
<b>Fall 2008</b>	<b>1<sup>st</sup></b>	<b>2<sup>nd</sup></b>	<b>2<sup>nd</sup></b>	<b>2<sup>nd</sup></b>
<b>Fall 2009</b>	<b>2<sup>nd</sup></b>	<b>3<sup>rd</sup></b>	<b>2<sup>nd</sup></b>	<b>2<sup>nd</sup></b>
<b>Fall 2010</b>	<b>2<sup>nd</sup></b>	<b>4<sup>th</sup></b>	<b>1<sup>st</sup></b>	<b>2<sup>nd</sup></b>

**Table 14: Fall 2009 Average Faculty Compensation for the Duluth Campus (x\$1,000)**

Institution Name		Full Professor	Associate Professor	Assistant Professor	Three Professorial Ranks Combined
<b>University of Minnesota-Duluth</b>		\$129.70	\$105.70	\$86.80	\$104.20
Comparison	Cleveland State University	\$126.30	\$94.40	\$83.40	\$101.00
	Florida Atlantic University	\$125.20	\$95.80	\$84.80	\$102.40
	Marquette University - WI	\$148.40	\$111.70	\$96.50	\$117.70
	Oakland University - MI	\$145.60	\$117.40	\$102.00	\$119.50
	Old Dominion University - VA	\$131.70	\$95.90	\$86.00	\$106.30
	University of Central Florida	\$149.30	\$101.70	\$85.20	\$112.40
	University of Colorado-Denver	\$139.80	\$109.40	\$91.40	\$113.10
	University of Massachusetts-Dartmouth	\$142.00	\$110.40	\$95.50	\$118.60
	University of Michigan-Dearborn	\$132.00	\$106.50	\$114.70	\$116.40
	University of Nevada-Las Vegas	\$144.00	\$107.10	\$88.10	\$115.20
	University of North Carolina-Charlotte	\$140.20	\$103.00	\$88.00	\$108.60
	University of Wisconsin-Milwaukee	\$127.70	\$100.10	\$94.10	\$106.00
	Villanova University - PA	\$150.10	\$110.90	\$85.80	\$111.40
	Wright State University-Main - OH	\$140.50	\$103.90	\$90.00	\$113.40
Comparison Group Mean (weighted)		\$138.60	\$104.30	\$90.40	\$110.70
Difference from University Mean		-\$8.90	\$1.40	-\$3.60	-\$6.50
Difference (%)		-6.90%	1.30%	-4.10%	-6.30%
Ranking		12th	8th	10th	13th

**Table 15: Fall 2009 Average Faculty Salary for the Duluth Campus (x\$1,000)**

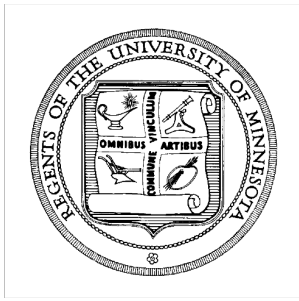
<b>Institution Name</b>		<b>Full Professor</b>	<b>Associate Professor</b>	<b>Assistant Professor</b>	<b>Three Professorial Ranks Combined</b>
<b>University of Minnesota-Duluth</b>		\$93.20	\$73.30	\$57.70	\$72.00
<b>Comparison</b>	Cleveland State University	\$99.80	\$72.10	\$62.40	\$77.80
	Florida Atlantic University	\$96.50	\$72.00	\$63.90	\$77.70
	Marquette University - WI	\$114.30	\$83.00	\$72.40	\$88.90
	Oakland University - MI	\$95.30	\$71.70	\$59.90	\$73.80
	Old Dominion University - VA	\$104.20	\$73.80	\$66.60	\$82.90
	University of Central Florida	\$116.10	\$78.70	\$66.00	\$87.20
	University of Colorado-Denver	\$114.90	\$87.40	\$72.20	\$91.10
	University of Massachusetts-Dartmouth	\$106.60	\$82.70	\$71.50	\$88.90
	University of Michigan-Dearborn	\$102.90	\$83.20	\$70.10	\$85.10
	University of Nevada-Las Vegas	\$119.70	\$87.00	\$70.30	\$94.20
	University of North Carolina-Charlotte	\$112.70	\$81.30	\$69.00	\$86.20
	University of Wisconsin-Milwaukee	\$94.60	\$71.50	\$66.50	\$76.40
	Villanova University - PA	\$121.50	\$88.10	\$69.20	\$89.50
	Wright State University-Main - OH	\$109.80	\$78.10	\$68.10	\$86.80
Comparison Group Mean (weighted)		\$108.00	\$78.70	\$67.20	\$84.30
Difference from University Mean		-\$14.80	-\$5.40	-\$9.50	-\$12.20
Difference (%)		-15.90%	-7.40%	-16.40%	-17.00%
Ranking		15th	11th	15th	15th

**Table 16: Fall 2007 – Fall 2010 Faculty Compensation Ranking among Comparison Group (15 Institutions including U of M - Duluth) for the Duluth Campus**

	<b>Full Professor</b>	<b>Associate Professor</b>	<b>Assistant Professor</b>	<b>3-Professorial Ranks Combined</b>
<b>Fall 2007</b>	<b>14<sup>th</sup></b>	<b>10<sup>th</sup></b>	<b>14<sup>th</sup></b>	<b>15<sup>th</sup></b>
<b>Fall 2008</b>	<b>14<sup>th</sup></b>	<b>4<sup>th</sup></b>	<b>11<sup>th</sup></b>	<b>13<sup>th</sup></b>
<b>Fall 2009</b>	<b>11<sup>th</sup></b>	<b>6<sup>th</sup></b>	<b>9<sup>th</sup></b>	<b>12<sup>th</sup></b>
<b>Fall 2010</b>	<b>12<sup>th</sup></b>	<b>8<sup>th</sup></b>	<b>10<sup>th</sup></b>	<b>13<sup>th</sup></b>

**Table 17: Fall 2007 – Fall 2010 Faculty Salary Ranking among Comparison Group (15 Institutions including U of M - Duluth) for the Duluth Campus**

	<b>Full Professor</b>	<b>Associate Professor</b>	<b>Assistant Professor</b>	<b>3-Professorial Ranks Combined</b>
<b>Fall 2007</b>	<b>14<sup>th</sup></b>	<b>10<sup>th</sup></b>	<b>15<sup>th</sup></b>	<b>15<sup>th</sup></b>
<b>Fall 2008</b>	<b>15<sup>th</sup></b>	<b>13<sup>th</sup></b>	<b>15<sup>th</sup></b>	<b>15<sup>th</sup></b>
<b>Fall 2009</b>	<b>14<sup>th</sup></b>	<b>11<sup>th</sup></b>	<b>15<sup>th</sup></b>	<b>15<sup>th</sup></b>
<b>Fall 2010</b>	<b>15<sup>th</sup></b>	<b>11<sup>th</sup></b>	<b>15<sup>th</sup></b>	<b>15<sup>th</sup></b>



**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Faculty, Staff, and Student Affairs Committee**

**May 12, 2011**

**Agenda Item:** Consent Report

review       review/action       action       discussion

**Presenters:** Vice President Carol Carrier

**Purpose:**

policy       background/context       oversight       strategic positioning

As required by Board of Regents Policy: *Reservation and Delegation of Authority*, the administration seeks approval for the following:

- Conferral of tenure for faculty member who has been hired at the University of Minnesota.

**Outline of Key Points/Policy Issues:**

- The attached document outlines a faculty member who has recently been hired, and whose college has voted to grant tenure upon hire. All files are reviewed by the Provost's office following departmental and collegiate review.

**Background Information:**

Board of Regents Policy: *Reservation and Delegation of Authority* calls for items, such as proposed changes to retirement provisions, senior administrative appointments, bargaining unit contract approvals, tuition and fees policies, and appointments of certain trustees and board members, to be brought before the Faculty, Staff, and Student Affairs Committee for action.

**President's Recommendation for Action:**

The President recommends approval of the Consent Report.

## Faculty Staff and Student Affairs Committee

May 12, 2011

Karen Painter

School of Music

Liberal Arts

Recommendation: Confer tenure at the rank of associate professor

Karen Painter received her Ph.D. from Columbia University in 1996 and has held faculty appointments at Dartmouth College and Harvard University, before serving as a contract faculty member at the University of Minnesota in the School of Music for the past three years. Since coming to the University of Minnesota, she has been affiliated with the Center for Jewish Studies and the Center for German and European Studies. Professor Painter's research is in the area of musicology and she is particularly interested in the different cultural meanings that have been ascribed to classical music. Her excellent scholarly contributions include a book, *Symphonic Aspirations: German Music and Politics, 1933-1945* (Harvard University Press, 2008), as well as a co-edited book and numerous articles and presentations. Professor Painter is an innovative and committed teacher and mentor, and she has been an active citizen of the School of Music and the University of Minnesota.



**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**Faculty, Staff, and Student Affairs Committee**

**May 12, 2011**

**Agenda Item:** Information Items

review       review/action       action       discussion

**Presenters:** Vice President Carol Carrier

**Purpose:**

policy       background/context       oversight       strategic positioning

To inform committee members of noteworthy items, administrative actions, and local, regional, and national policy-related issues affecting University units and departments.

**Outline of Key Points/Policy Issues:**

- Personnel highlights
- University highlights
- Faculty and staff activities and awards
- Student activities and awards

**Background Information:**

This report appears as a regular item on the Faculty, Staff, and Student Affairs Committee agenda.

# UNIVERSITY OF MINNESOTA

## BOARD OF REGENTS

May 12, 2011

### Faculty, Staff, and Student Affairs Committee Information Report

*This report does not capture and record a complete listing of the significant awards and activities of the University community, but instead makes note of unit reported items in these areas. It also highlights reports and activities at the local, regional, and national level in the area of faculty, staff, and student affairs.*

#### **Personnel**

Effective June 1, Professor Ann Hill Duin will assume leadership responsibility for the Office of Information Technology (OIT) as interim vice president and CIO. This action comes as a result of Steve Cawley's decision to accept the position of vice president for information technology and CIO for the University of Miami in Coral Gables, Fla. As interim vice president and CIO, Ann Hill Duin will ensure a seamless transition for OIT. Named associate vice president and associate CIO in 2007, Ann has worked closely with Steve and the management team of OIT to advance IT leadership throughout the University. Her ongoing collaboration with this team will ensure that operations in this key academic administrative unit continue without interruption.

#### **University Highlights**

The Minnesota Society of Professional Engineers awarded Short Elliott Hendrickson Inc. and the University of Minnesota a 2011 Seven Wonders of Engineering award for design and construction support of the Pleasant Street Storm Sewer and Chilled Water Line Improvements.

*Times Higher Education Magazine* ranked the University of Minnesota as the 52<sup>nd</sup> best school in the world. Rankings were based on a survey of 13,000 academics in 131 countries. Harvard University topped the list.

The Daily Green, a website devoted to news and information for consumers about going green, named the University of Minnesota as the fourth greenest big school in the country. The U of M was cited for its biofuels plant, fleet vehicles that run on alternative fuels, LEED standards for new construction, number of student groups with green themes, and its organic farm.

The University's AgEcon Search has been selected as the 2011 recipient of the Association of College and Research Libraries Science and Technology Section Innovation in Science and Technology Librarianship Award. AgEcon Search is a free, open access repository of full-text scholarly literature in agricultural and applied economics.

U.S. News ranked the University of Minnesota Medical Center as the top hospital in the Twin Cities metro area and the Amplatz Children's Hospital as the top children's hospital in the state.



The medical center was nationally ranked in six treatment areas: cancer, gastroenterology, kidney disorders, orthopedics, pulmonology, and ear, nose and throat.

Marketing communications firm SimmonsFlint received multiple awards for its work on the University of Minnesota Crookston's 2010 student recruitment materials. The firm was a winner of the 26<sup>th</sup> Annual Educational Advertising Award in a competition with over 2,500 entries. In addition, the College Essentials campaign received a Silver ADDY award from the American Advertising Federation and the posters from the campaign received a Gold ADDY.

The League of American Bicyclists ranked the U of M Twin Cities the 9<sup>th</sup> most bike-friendly campus in the U.S. Schools are judged in five bike-related categories: engineering, education, encouragement, enforcement, and evaluation and planning.

### **Faculty and Staff Activities and Awards**

Jasjit Ahluwalia, center for health equity, has been appointed by the U.S. Secretary of Health and Human Services to serve a three-year term on the National Advisory Council on Minority Health and Health Disparities of the National Institutes of Health.

Lowell Anderson, pharmaceutical care and health, received the Phi Lambda Sigma-Procter & Gamble National Leadership Award from the American Pharmacists Association. Steven Simenson, college of pharmacy, received the 2011 American Pharmacists Association-Academy of Pharmaceutical Research and Science Distinguished Achievement Award in Community and Ambulatory Practice.

Melissa Avery, nursing, was selected as a 2011 inductee into the University of Kentucky College of Nursing Hall of Fame, the highest honor given by the college to its alumni.

Bjoern Bauer, UMD pharmacy, has been invited to join the editorial board of the journal *Pharmacologia*.

Linda Bearinger and Renee Sieving, nursing, were inducted as fellows into the Society for Adolescent Health and Medicine. Fellows are selected for their commitment to improving the health and well-being of adolescents.

David Bedford, Peter Hemstad, and Jim Luby, horticultural science, received the Minnesota Horticultural Society's Bronze Award for their outstanding contributions to horticulture in fruit breeding.

Dale Bergeron, Minnesota sea grant program, was elected vice-chair of the Harbor Technical Advisory Committee, which addresses challenges and opportunities in the Duluth-Superior Harbor while promoting the harbor's economic and environmental importance to the community.

Eleven of the individuals featured in *Duluth Superior Magazine's* February cover story on "top doctors" teach at UMD: Mary Boylan, Jay Lenz, Robert Lund, Dan Nikcevich, Vincent Ohaju, Sandy Popham, Thomas Silvestrini, Frank Suslavich, Tracy Tomac, Tanya Repka, Tim Zager.

Dick Brundage, experimental and clinical pharmacology, has been appointed to a two-year term on the Board of Directors for the newly established American Society of Pharmacometrics.

John Bryson, Humphrey institute, received the American Society for Public Administration's Dwight Waldo Award for "outstanding contributions to the professional literature of public administration over an extended scholarly career of at least 25 years." Bryson is among the top one percent of all social scientists cited by other published social scientists in the last decade.

Ananya Chatterjea, theatre arts and dance, won a 2011 Guggenheim Award in choreography. The Guggenheim Foundation, established in 1925, presents about 200 awards annually, primarily to scholars and academics. Winners in this series were picked from 3,000 applicants.

Governor Mark Dayton has appointed Margaret Chutich, Humphrey institute, an at-large member of the Commission on Judicial Selection. The commission recruits and reviews judicial candidates for judgeship vacancies within district courts and for openings on the Workers' Compensation Court of Appeals.

Dante Cicchetti, institute of child development, has received the Society for Research in Child Development's award for Distinguished Scientific Contributions to Child Development in recognition of his major lifetime contributions to the field.

Prentiss Cox, law school, has been elected to the Board of Directors of The State Center, a national organization that provides grants to state attorneys general for vigorous enforcement of antitrust and consumer protection laws. The State Center is independent and bipartisan.

Jonathan D'Cunha, medical school, received the Philip J. Wolfson Outstanding Teacher Award from the Association for Surgical Education in recognition of his commitment to teaching, educational innovation, enthusiasm and stimulation of interest among students and trainees.

School of nursing dean Connie Delaney was elected to the Board of Directors of the American Association of Colleges of Nursing (AACN). AACN is the national voice for America's baccalaureate- and higher-degree nursing education programs.

Aaron Doering, Charles Miller, and Cassie Scharber, curriculum and instruction, received an award for the best research paper at the Society for Information Technology and Teacher Education conference. The paper describes how a technology, pedagogy, and content knowledge framework informed the authors' design for GeoThentic, an online teaching and learning environment that focuses on solving real-world geography problems.

Jeffrey Edleson, social work, has been named a fellow in the American Academy of Social Work and Social Welfare.

Haim Einat, UMD pharmacy, has been invited to serve on the editorial board of *Acta Neuropsychiatrica*, an established journal in the field of neuropsychiatry.

Phil Esten, University of Minnesota alumni association, was recently named to *Minneapolis/St. Paul Business Journal's* "40 Under Forty" list—an annual list that honors some of the Twin Cities' top young business and civic leaders.

Tina Falkner, academic support resources, was awarded the Thomas A. Bilger Citation for Service from the American Association of Collegiate Registrars and Admissions Officers. Falkner was recognized for her outstanding contributions to the organization's conferences and programs, special projects, task forces, and committee assignments.

Gunda Georg, pharmacy, has been named one of two new editors of *Journal of Medicinal Chemistry*, the most-cited international journal for the publication of original medicinal chemistry research.

Regents professor Allen Goldman, physics, has been named Chair-elect of the American Association for the Advancement of Science Physics Section. He has also been appointed to the Department of Energy's Basic Energy Science Advisory Committee.

UMM head basketball coach Tim Grove was named Upper Midwest Athletic Conference women's basketball coach of the year.

Satish Gupta, John Moncrief, and Gyles Randall, of the department of soil, water, and climate and southern research and outreach center, recently were awarded the Friends of Agriculture Award from the Minnesota Corn Growers Association.

Tasoulla Hadjiyanni, interior design, has been elected to serve a three-year term on the Board of the Environmental Design Research Association (EDRA). EDRA is an international, interdisciplinary organization that advances and disseminates behavior and design research toward improving understanding of the relationships between people and their environments.

Cindy Hagley, Minnesota sea grant program, won a Len Anderson Environmental Stewardship Award from St. Louis River Alliance for her leadership role in connecting teachers to the Great Lakes through Centers for Ocean Sciences Educational Excellence.

Les Hansen, animal science, was named distinguished graduate by the Dairy Science Club of Iowa State University.

Three college of veterinary medicine faculty won awards from the Minnesota Veterinary Medical Association: Robert Hardy, President's Award; Dale Sorensen, Veterinarian of the Year Award; and Sheila Torres, Outstanding Faculty Award.

Linda Herrick, nursing, was selected to receive the 2011 Midwest Nursing Research Society Distinguished Service Award. The award recognizes a member who has demonstrated dedicated service and an untiring commitment to further the development of the organization.

Barb Hesse, center for small towns, was inducted into the Artillery Order of Molly Pitcher in honor of her work with the Family Readiness Group for the National Guard's Battery C 1-151.

Ezra Hyland, postsecondary teaching and learning, and the African American Read-In were honored as a community hero by the Minnesota Timberwolves. The African American Read-In is a literacy initiative addressing the attainment of reading and writing skills in African American students and encouraging reading and writing across the curriculum.

Pamala Jacobson, experimental and clinical pharmacology, joined the senior editor team for the textbook Koda-Kimble Applied Therapeutics, Clinical Use of Drugs in 2010. The textbook is used to teach pharmacotherapy.

Professor Emeritus Dennis Johnson, west central research and outreach center, was awarded the Distinguished Service Award by the Sustainable Farming Association of Minnesota.

Extension educator Laura Kieser was selected as the Carver-Wright-Hennepin Holstein Association Person of the Year in recognition of her work with the dairy industry in this region.

John Lamb, soil, water and climate, and Albert Sims, northwest research and outreach center, are recipients of the 2011 Meritorious Service Award from the American Society of Sugar Beet Technologists.

John Loegering, UMC agriculture and natural resources, is a member of the Golden-winged Warbler Working Group, which recently received the Region 3 Award for Strategic Conservation from the U.S. Fish and Wildlife Service. The golden-winged warbler is a small forest songbird that is declining in abundance.

Zhi-Quan (Tom) Luo, electrical and computer engineering, has been named a 2011 Society for Industrial and Applied Mathematics Fellow for the development of novel applied mathematics ideas and methods for signal processing and digital communication.

Carl Malmquist, sociology, will receive the 2011 Isaac Ray Award from the American Psychiatric Association. This annual award acknowledges outstanding accomplishments in psychiatry and jurisprudence.

Jeylan Mortimer, sociology, will receive the 2011 Cooley-Mead Award from the American Sociological Association (ASA). The award is the highest honor conferred by the ASA's Social Psychology Section to honor long-term contributions to the field.

Laura Musacchio, landscape architecture, has been invited to be an editorial board member of the international scientific journal *Biodiversity and Conservation*.

The American Educational Research Association's Committee on Scholars of Color in Education named Bic Ngo, curriculum and instruction, as a recipient of the 2011 Early Career Contribution Award. This award recognizes early career scholars who have made significant contributions to the understanding of issues that disproportionately affect ethnic and social minority populations.

Sandy Olson-Loy, vice chancellor for student affairs at UMM, was one of 22 members appointed to the Commission on Judicial Selection by the Minnesota Supreme Court.

Hari Osofsky, law school, was voted president-elect of the Association for Law, Property & Society. She will become president in March 2012. She also was elected to the Executive Council of the American Society of International Law.

Chris Paola, geology and geophysics, is the 2011 recipient of the Lyell Medal from the Geological Society of London. The medal is awarded annually to an earth scientist of exceptional quality.

Carl Patow, otolaryngology, was honored with the Parker J. Palmer Courage to Lead Award from the Accreditation Council for Graduate Medical Education.

Dennis Polla, technical leadership institute, received the award for Exceptional Public Service from the U.S. Department of Defense. He also received an award for devoted service and achievement from the Defense Advanced Research Projects Agency.

Dan Schlies, UMD medical school, received an award from the Northern Lights Foundation commending him for “his contributions to the foundation and his unwavering support for assisting sick children and their families who are in need of serious medical care.” Schlies’ volunteer photo services support many organizations during events and for fundraising purposes.

Gregory Shaffer, law school, was elected to the Executive Committee of the American Society of International Law (ASIL). The 4,000 member group was founded to engage a worldwide network of people interested in international law, promote research and public awareness in the field, and foster international relations based on law and justice.

Sergei Shipilov, visiting professor in mechanical and industrial engineering at UMD, was named a Fellow of NACE International (formerly the National Association of Corrosion Engineers). The Fellow designation is the highest honor that NACE confers upon members. Shipilov was recognized for advances in the development of crack-growth characterization techniques.

Thomas Skovholt, educational psychology, received the Minnesota Psychological Association's Susan T. Rydell Outstanding Contribution to Psychology Award. He was chosen for his expertise in bridging the large epistemology gap between academic psychology and the practice of counseling and education.

Extension educator Jim Stordahl was named 2011 Friend of the Farmer by the Northern Plains Sustainable Ag Society. The society cited his extensive work with organic and conventional producers in Minnesota and knowledge of organic grain and livestock production.

Paul Timmins, CLA career services, has been elected to the board of directors of the National Career Development Association. He will be the mid-western region trustee.

Viktor Zhdankin, chemistry and biochemistry at UMD, will receive the 2011 National Award of the American Chemical Society. Zhdankin's research involves the development and application of new reagents for organic synthesis based on polyvalent iodine compounds.

Research Animal Resources received the One Step Ahead Award at the annual Kaposia Gala Awards Banquet. The award honors an employer for supporting Kaposia's mission of "investing in the prosperity of people with disabilities and the profitability of our partners."

### **Student Activities and Awards**

Graduate student Adria Fernandez, agronomy and plant genetics, won the poster research contest at this year's organic farming conference sponsored by Midwest Organic and Sustainable Education Service.

Silvia Guttman, apparel design, was awarded second place and the People's Choice Award at Project Outdoor Retailer, a design competition that celebrates the functionality, originality and design of outdoor recreation clothing. Guttman designed a women's ice climbing pant that is functional and still provides a fashionable, attractive garment for consumers.

UMM student Joseph Hartmann was named a National Wildlife Federation (NWF) Campus Ecology Fellow for 2011, becoming Morris's first NWF Fellow. The program allows recipients to pursue their visions of an ecologically sustainable future through tangible projects to confront global warming on campus and in the community, and to develop leadership skills.

UMD senior Anna Hewitt was selected from a nationwide search of university students to attend the Department of State's National Council for International Visitors (NCIV) National Meeting in Washington, D.C. The NCIV is currently marking 50 years of leadership in citizen diplomacy.

UMC seniors Adam Kleinschmidt and Timothy Knudson were co-recipients of the 2011 Student Conservationist and Scholarship Award from the Minnesota Chapter of the Soil and Water Conservation Society. Knudson is president of the UMC Chapter of The Wildlife Society. Kleinschmidt is the area chairman and founder of the Golden Ducks Chapter of Ducks Unlimited based in Crookston. This marks the 8th time in the last 10 years that a UMC student has received this honor.

Kerry Landry, graduate student in public health and administrative policy, won the student paper competition at the Minnesota Health Services Research Conference for "The Impact of the Patient Protection and Affordability Care Act (ACA) on Low-Income Individuals Currently Enrolled in the Minnesota Comprehensive Health Association (MCHA)."

Veterinary medicine student Katie Mrdutt received a Bovine Veterinary Student Recognition Award from the American Association of Bovine Practitioners.

Conservation biology graduate student Nathan Mueller's poster was selected as the best environment and ecology entry in the American Association for the Advancement of Science's student poster competition.

Jagannath Muzumdar, social and administrative pharmacy graduate student, received the 2011 American Pharmacists Association-Academy of Pharmaceutical Research and Science (APhA-APRS) Postgraduate Best Paper Award in the Economic, Social & Administrative Sciences. Co-authors were Richard Cline, Ronald Hadsall, and Jon Schommer, all from pharmaceutical care and health, and Jisu Huh, journalism and mass communications. APhA also recognized the Minnesota Pharmacy Student Alliance for the top "Heartburn Awareness" project in its region.

Grant Remmen, a student in the University Honors program and triple major in astrophysics, physics, and mathematics, has received the Chambliss Astronomy Achievement Student Award from the American Astronomical Society for exemplary research.

Thomas Ries, Ph.D. student in organizational leadership, policy, and development, has been selected as the ninth president of Concordia University-St. Paul.

UMM women's basketball player Steph Roggenbuck was named an All-America Honorable Mention by Women's DIII News, the monthly newsletter of Division III Women's Basketball. The annual list honors the top players from across the country.

UMM student Craig Sandberg received a Certificate of Merit for his musical composition and direction at the Region Five Kennedy Center American College Theater Festival.

Graduate student Ravishankar Sivalingam, computer science and engineering, has been selected to receive an ITS Minnesota Graduate Student Award from the Intelligent Transportation Society of Minnesota. The award rewards exceptional students for their interest in the transportation industry and intelligent transportation systems.

Veterinary medicine graduate student Evan Van Beusekom won the student poster competition at the annual meeting of the American Association of Swine Veterinarians.

A team representing the University of Minnesota received an honorable mention in the University of Alabama at Birmingham's Annual Case Competition. Acting as a consulting team, master of healthcare administration students Tyler Leishman, Benjamin Smalley, and Kaelee Stone made recommendations to position an 11-hospital health system for health care reform.

Several University of Minnesota students received awards at the 91st annual meeting of the Conference of Research Workers in Animal Diseases: Timothy Boyer and John C. Schwartz for their oral presentations; Amanda Beaudoin and Matt Allerson for their posters. The meeting was dedicated to Sam Maheswaran, professor emeritus of microbiology at the University of Minnesota College of Veterinary Medicine.

The University of Minnesota Duluth Bulldogs won their first-ever national championship in men's hockey April 9 at the Frozen Four in St. Paul.

The UMM Cougar men's and women's cross-country teams received Division III All-Academic honors from the United States Track & Field and Cross-Country Coaches Association.

The UMM Cougar women's basketball team finished a perfect season: an Upper Midwest Athletic Conference championship and a perfect 14-0 conference record.

A team of Production Animal Medicine Club members from the college of veterinary medicine won the Dairy Challenge competition between the Iowa State and the University of Minnesota.