



# Faculty & Staff Affairs Committee

May 2017

May 11, 2017

10:15 a.m. - 12:15 p.m.

East Committee Room, McNamara Alumni Center

## FSA - May 2017

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### 2. Mutual Obligations of Tenure

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### 3. Promotion and Tenure: Context; Policy and Process; Rationale and Role of Tenure in Higher Ed and Post Tenure Review - Review/Action

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# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Faculty & Staff Affairs**

**May 11, 2017**

**AGENDA ITEM:** Board of Regents Policy: *Reservation and Delegation of Authority*  
(Appointment Authority)

**Review**                       **Review + Action**                       **Action**                       **Discussion**

*This is a report required by Board policy.*

**PRESENTERS:** Kathryn F. Brown, Vice President, Office of Human Resources

### **PURPOSE & KEY POINTS**

The purpose of this item is to take action on proposed amendments to Board of Regents Policy: *Reservation and Delegation of Authority*.

The proposed amendments to Article I, Section IV., Subd. 1. are the following:

- Additions of the positions of Head Coach, Football, Twin Cities campus, Section IV., Subd. 1. (g); Head Coach, Men’s Basketball, Twin Cities campus, Section IV., Subd. 1. (h); and Vice Chancellor for Academic Affairs, Section IV., Subd. 1. (k), to the positions subject to the Board’s reserved appointment authority.
- Corrections to the title for Director of Intercollegiate Athletics, Twin Cities Campus, Section IV. Subd. 1. (d).
- Alphabetical reordering of the list of positions.

Additionally, the proposed amendment clarifies the appointments delegated to the president are not bound by other thresholds listed in the policy, specifically, Article I, Section I, Subd. 5.

### **BACKGROUND INFORMATION**

A Resolution Related to Specification of Appointment Authority was discussed by the Board of Regents at its March 2016 meeting. The resolution was referred to the Governance & Policy Committee for further consideration.

The Governance & Policy Committee discussed the resolution at its May 2016 meeting, and then considered a proposed amendment to Board of Regents Policy: *Reservation and Delegation of Authority* at its June 2016 meeting. The committee forwarded a recommendation that the proposed amendments be adopted by the full Board. At that meeting, the Board voted to refer the amendment to the Faculty & Staff Affairs Committee for further consideration.

The Faculty & Staff Affairs Committee reviewed proposed amendments at its December 2016 and February 2017 meetings.



UNIVERSITY OF MINNESOTA  
**BOARD OF REGENTS POLICY**

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Delegation of Authority

**RESERVATION AND DELEGATION  
OF AUTHORITY**

**Adopted:** April 5, 2001

**Amended:** July 9, 2004; December 10, 2004; July 9,  
2008; February 12, 2010; February 10, 2012; March  
1, 2012

**Technical Change:** December 11, 2013;  
March 31, 2016; February 10, 2017

**Supersedes:** (see end of policy)

Draft for Action

**RESERVATION AND DELEGATION OF AUTHORITY**

**ARTICLE I**

**RESERVATION OF AUTHORITY**

**SECTION I. GENERAL RESERVATIONS OF AUTHORITY.**

**Subd. 1.** The Board of Regents reserves to itself all authority necessary to carry out its legal and fiduciary responsibilities under the University Charter, the Constitution of the State of Minnesota, and the Board of Regents (Board) Bylaws. This reservation specifically includes all authority to enact laws and policies for the governance of the University of Minnesota (University) and to issue Board directives to executive officers and employees. The Board's reserved authority shall be exercised consistent with the University Charter, the Constitution of the State of Minnesota, Board Bylaws, and relevant Board policies.

**Subd. 2.** The Board reserves to itself authority to ensure constitutional and institutional autonomy, to approve the University's mission and vision, to set the overall direction of the institution, including the adoption of fundamental plans for the educational, financial, and physical development of the University, and to declare a fiscal emergency.

**Subd. 3.** No authority that the Board reserves to itself in this policy shall be exercised by any other person or body unless expressly authorized by Board policy or directive.

**Subd. 4.** The Board reserves to itself authority to approve the use, and revocation of the use, of its corporate name or any abbreviated name, including *University of Minnesota*, by any non-University person or entity, consistent with Board policies. The Board also reserves authority over the removal of the corporate name or any abbreviated name from the name of any University campus, college, school, division, or unit, consistent with Board policies.

**Subd. 5.** The Board reserves to itself authority to approve any commercial transaction or matter not otherwise subject to Board approval if the transaction or matter:

- a) raises unusual questions of public interest or public policy;
- b) has a significant impact on the University's mission; or
- c) has a value greater than \$2 million.



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**Supersedes:** (see end of policy)

Draft for Action

**SECTION II. CONDUCT OF BOARD BUSINESS.**

The Board reserves to itself authority to establish procedures for the conduct of its business, create committees, set its agenda, require reports from executive officers and employees, hear appeals, and enforce its code of ethics.

**SECTION III. ELECTION OF BOARD OFFICERS.**

The Board reserves to itself authority to elect and remove Board officers, including the president, chair, vice chair, secretary, and treasurer.

**SECTION IV. APPOINTMENT AUTHORITY.**

**Subd. 1.** The Board reserves to itself authority to appoint all individuals and approve any individually negotiated terms of employment, and any significant contract amendments, for those who serve in each of the following positions:

- (a) Chancellor
- (b) Chief Auditor
- (c) Dean
- (d) Director of Intercollegiate Athletics ~~Director~~, Twin Cities campus
- (e) Executive Vice President and Provost
- (f) General Counsel
- (g) Head Coach, Football, Twin Cities campus
- (h) Head Coach, Men's Basketball, Twin Cities campus
- (i) Librarian
- (j) ~~Provost~~
- (j) Senior Vice President for Finance and Operations
- (k) Vice Chancellor for Academic Affairs
- (l) Vice President
- (m) Such other administrative positions as the Board may specify from time to time.

The president shall recommend individuals for appointment to these positions, consistent with Board policies and directives.

The appointment of University employees not subject to Board approval is delegated to the president or delegate and is not bound by the reservations and limitations set forth in Article I, Section I, Subd. 5 of this policy.



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Draft for Action

**Subd. 2.** The Board reserves to itself authority to remove University officers as provided in the University Charter. The president (a) may remove the general counsel with Board approval and (b) may remove any other individuals appointed under subd. 1 of this section, except the chief auditor.

**Subd. 3.** The Board reserves to itself authority to appoint members of the boards of University-associated foundations, institutes, committees, and other bodies, consistent with Board policies.

**SECTION V. ACADEMIC MATTERS.**

**Subd. 1.** The Board reserves to itself authority to grant academic degrees, grant faculty indefinite tenure, grant continuous appointments to academic professionals, and award the title faculty emeritus, consistent with Board policies.

**Subd. 2.** The Board reserves to itself authority to establish, name, and abolish colleges, academic institutes, programs, and courses of study, consistent with Board policies.

**Subd. 3.** The Board reserves to itself authority to establish tuition and student fees and approve policies and reciprocity agreements related to such matters, consistent with Board policies.

**Subd. 4.** The Board reserves to itself authority to: (a) establish and review policies relating to the conduct of research and the receipt and accounting of sponsored research funds; (b) require timely reporting to the Board of sponsored research activity; and (c) approve financial support greater than \$250,000 to non-University entities for the commercialization of technology, consistent with Board policies.

**Subd. 5.** The Board reserves to itself authority to approve educational policies and procedures, in consultation with the president and the faculty governance process, consistent with Board policies. This policy is not intended to alter the relationship between the Board, the University Senate, and the faculties regarding educational policies.

**SECTION VI. AWARDS, HONORS, AND NAMINGS.**

**Subd. 1.** The Board reserves to itself authority to establish and bestow awards, honors, and recognition, consistent with Board policies.

**Subd. 2.** The Board reserves to itself authority to name and revoke names of University buildings and other assets, consistent with Board policies.

**SECTION VII. BUDGETARY, FINANCIAL, AND INVESTMENT MATTERS.**



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**Draft for Action**

**Subd. 1.** The Board reserves to itself authority to approve the following: annual operating budgets; the central reserves budget and minimum reserve level; and adjustments and amendments, consistent with Board policies. The Board also reserves to itself authority to approve any modifications to the central reserves budget and any expenditures from the central reserves general contingency account, consistent with Board policies.

**Subd. 2.** The Board reserves to itself authority to approve all requests for operating and capital budget appropriations from the State of Minnesota and positive or negative adjustments to the budget caused by a 1% or more change in total appropriations within a fiscal year.

**Subd. 3.** The Board reserves to itself authority to establish investment objectives, approve asset allocation guidelines, and approve the payout rate for endowment distributions.

**Subd. 4.** The Board reserves to itself authority to authorize issuance and retirement of debt and to engage debt advisers and/or underwriters, consistent with Board policies.

**Subd. 5.** The Board reserves to itself authority to accept gifts for the benefit of the University, consistent with Board policies.

**Subd. 6.** The Board reserves to itself authority to approve individual purchases of goods and services with a value greater than \$1,000,000, consistent with Board policies.

**SECTION VIII. PROPERTY, FACILITIES, AND CAPITAL BUDGETS.**

**Subd. 1.** The Board reserves to itself authority to approve the purchase or sale of real property with a value greater than \$1,250,000 or larger than ten (10) acres, consistent with Board policies.

**Subd. 2.** The Board reserves to itself authority to approve leases of real property, easements, and other interests in real property if the initial term amount to be paid by or to the University exceeds \$1,250,000, consistent with Board policies.

**Subd. 3.** The Board reserves to itself authority to exercise the power of eminent domain to acquire land for University purposes.

**Subd. 4.** The Board reserves to itself authority to (a) exercise property owner rights regarding the designation, decommissioning, or demolition of historic resources; and (b) take final action on all environmental reviews of historic resources initiated by the administration for which the University is the responsible governmental unit, consistent with Board policies and applicable state and federal laws.

**Subd. 5.** The Board reserves to itself authority to approve campus master plans and amendments thereto.





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**Draft for Action**

**Subd. 6.** The Board reserves to itself authority to approve multi-year capital plans consisting of projects with a value greater than \$1,000,000.

**Subd. 7.** The Board reserves to itself authority to approve annual capital budgets consisting of projects with a value greater than \$500,000.

**Subd. 8.** The Board reserves to itself authority to approve capital budget amendments to approved projects and new projects when the amendment has a value greater than \$500,000.

**Subd. 9.** The Board reserves to itself authority to approve project schematic plans for (a) interior renovations with a value greater than \$5,000,000; (b) projects with a value greater than \$2,000,000 that have an exterior visual impact; (c) projects that vary from adopted campus master plans or that have a significant visual impact; and (d) projects noted during the annual review of the capital budget.

**Subd. 10.** The Board reserves to itself authority for a subsequent review of approved capital budget projects with a value greater than \$5,000,000 prior to the award of construction contracts.

**SECTION IX. LEGAL MATTERS.**

The Board reserves to itself, or to one of its committees, authority to direct the president or the general counsel to settle any legal claim or initiate or appeal a lawsuit or administrative proceeding, consistent with Board policies.

**SECTION X. AUDIT FUNCTION.**

The Board reserves to itself authority to adopt policies regulating the audit function; approve selection of external auditors and the chief auditor; and evaluate the performance of the independent auditor, and, jointly with the president, the performance of the internal audit function.

**SECTION XI. EMPLOYMENT AND LABOR RELATIONS.**

**Subd. 1.** The Board reserves to itself authority to approve all contracts and other agreements with the exclusive collective bargaining representatives of its employees.

**Subd. 2.** The Board reserves to itself authority to approve civil service rules and annual pay and benefit plans for University employees.

**Subd. 3.** The Board reserves to itself authority to establish or discontinue retirement plans for University faculty and staff. For those plans sponsored by the University and governed by formal plan documents, the Board reserves to itself authority to approve amendments to those plans that significantly affect the cost structure of the plans. An amendment is considered to significantly affect the cost structure of the plan if the change causes a cost impact of more than \$250,000.



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**Draft for Action**

**Subd. 4.** The Board reserves to itself authority to review individually negotiated employee severance agreements of unusual importance or significance.

**SECTION XII. ASSOCIATED ORGANIZATIONS.**

The Board reserves to itself authority to approve the legal structure and scope of any relationship between the University and any associated organization, non-profit corporation, foundation, institute, or similar entity that substantially relies upon University resources or personnel to carry out its mission.

**ARTICLE II**

**DELEGATION OF AUTHORITY**

**SECTION I. DELEGATION OF AUTHORITY TO THE PRESIDENT.**

The Board delegates to the president authority to act as chief executive officer of the University, with such general executive management and administrative authority over the University as is reasonable and necessary to carry out the policies and directives of the Board, subject to the limitations noted in Article II, Section II below.

**SECTION II. LIMITATIONS UPON PRESIDENTIAL AUTHORITY.**

The authority delegated to the president is limited by the following:

- (a) the provisions of the University Charter and the Constitution of the State of Minnesota;
- (b) the provisions of Board Bylaws;
- (c) the provisions of Board policies and directives, including specifically Article I of this policy; and
- (d) the directive that the president shall notify the Board of any matter not otherwise addressed in this section that significantly involves the authority and role of the Board, including its fiduciary, oversight, and public accountability responsibilities.

**SECTION III. DELEGATION OF AUTHORITY BY THE PRESIDENT.**

**Subd. 1.** Unless otherwise restricted by specific Board policies or directives, the president shall be responsible for delegating general executive management and administrative authority to other executive officers and employees as necessary and prudent, including authority to execute contracts and other legal documents. The president may condition, limit, or revoke any presidential authority so delegated.



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**BOARD OF REGENTS POLICY**

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Draft for Action

**Subd. 2.** All delegations and revocations under this section shall be in writing, name the position to whom such authority is delegated, describe the scope and limitations of such authority, and prescribe the extent to which such authority may be further sub-delegated.

**Subd. 3.** All delegations and revocations under this section shall be reviewed as to form, legality, and consistency by the general counsel.

**Subd. 4.** Annually, the president shall report to the Board significant changes to the delegations.

**SECTION IV. DELEGATION OF AUTHORITY TO THE CHAIR AND VICE CHAIR.**

The chair and vice chair of the Board shall have such authority as is authorized by Board Bylaws and policies and is customarily exercised by such officers of a corporation. The chair shall have authority to execute any and all instruments and documents on behalf of the Board.

**SECTION V. DELEGATION OF AUTHORITY TO THE BOARD SECRETARY, TREASURER, GENERAL COUNSEL, AND CHIEF AUDITOR.**

The secretary, treasurer, general counsel, and chief auditor shall have authority to perform such duties for the Board as provided by Board Bylaws, policies, and directives.

The secretary shall have authority to execute such instruments and documents that would customarily devolve upon a corporate officer and are usual to that office.

The secretary and the general counsel shall have authority to accept legal service on behalf of the University.

**SECTION VI. CONFORMANCE WITH THIS POLICY.**

**Subd. 1.** No executive officer or employee of the University shall have any authority to take any action or make any representation on behalf of the University beyond the scope of, or materially inconsistent with, the authority delegated to such executive officer or employee as provided in this policy.

**Subd. 2.** The secretary and the general counsel each shall have the duty to inform the Board of any existing or proposed Board policy or directive that is inconsistent with or alters the delegations of authority as provided in this policy.



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**BOARD OF REGENTS POLICY**

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**Supersedes:** (see end of policy)

Draft for Action

**SUPERSEDES:** General Delegations Adopted October 17, 1980, Last Amended October 10, 1997.



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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Faculty & Staff Affairs

May 11, 2017

**AGENDA ITEM:** Mutual Obligations of Tenure

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

**PRESENTERS:** Karen Hanson, Executive Vice President & Provost  
C. Daniel Frisbie, Distinguished McKnight University Professor and Department Head, Chemical Engineering and Materials Science, College of Science & Engineering

## PURPOSE & KEY POINTS

The purpose of this item is to discuss the reciprocal obligations between the institution and its tenured faculty as defined in Board of Regents Policy: *Faculty Tenure*. The discussion will include current and historical context on tenure in higher education.

## Mutual Obligations of Tenure

The preamble of Board of Regents Policy: *Faculty Tenure* – adopted in 1945 and last amended in 2011 – provides rationale for the tenure system that describes the role of tenure as a compact between the University faculty and the people of Minnesota. The preamble describes as follows:

*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.*

Board policy affirms key characteristics of tenure, such as the protection tenure provides – safeguarding academic risk-taking in the pursuit of new and sometimes controversial inquiry, inquiry that may be protracted and that may not be perceived to have immediate utility to the institution or society. It notes the role of tenure in strengthening institutional loyalty, attracting and retaining excellent faculty and providing a framework for rewarding excellence. It highlights the crucial role of tenured faculty as officers of the institution and stewards of the University’s academic mission.

### **National Context for Tenure**

Tenure is a central element of American research universities. The statement known as the *1915 Declaration of Principles*, adopted by the Committee on Academic Freedom and Academic Tenure of the American Association of University Professors (AAUP), is often considered the foundational document that delineates the mutual obligations of tenure and the connection between academic freedom and tenure. Another *Statement of Principles on Academic Freedom and Tenure*, adopted in 1940 by the AAUP, has since become the doctrinal document explicating the principles of tenure and its obligations.

Key sections of Board of Regents Policy: *Faculty Tenure* mirror the principles set forth in the *Statement of Principles on Academic Freedom and Tenure* and are consonant with the principles adopted by peer institutions. These policy matters relate to the length of faculty members’ probationary periods and to provisions for termination of employment for cause and in cases of financial exigency. Board policy also includes the expectation that when faculty exercise their constitutionally guaranteed right to free speech as citizens outside the University, they must have the “the candor to make it clear that, when [they are] speaking on matters of public interest, [they are] not speaking for the institution” (Board of Regents Policy: *Faculty Tenure*, Section 1.1).

### **Future of Tenure**

Some critics of tenure point to purported inefficiencies in the system, arguing that tenure makes the institutions less nimble and less capable of adjusting to new educational challenges, modes of inquiry, and research foci. Other critics wonder whether faculty, upon attaining tenure, have sufficient incentives to continue to work hard or the prospect of real sanctions if they do not remain effective in their jobs.

While tenure does have costs, so would the elimination of tenure. There are reasons tenure remains intact at research universities. Tenure is presumably of real value to the individual, and, in the absence of tenure, research institutions would likely have to pay substantial compensation premiums to compete for the best faculty. Tenure is a powerful incentive for talent to gravitate to and remain at the University, and thus it helps protect the significant start-up investments in research infrastructure that universities must make for early career faculty. However, the cost of tenure is the benefit of research and inquiry directed to problems and issues not by centralized administrative planning but by the curiosity and expertise that is dispersed throughout the faculty.

The University has addressed questions about tenure in a variety of ways, consistently reinforcing the importance of tenure while remaining attentive to the need for policies and practices that strengthen public confidence in the accountability of universities and demonstrate the value of tenure for the common good. All faculty are subject to annual performance reviews, and the University’s tenure policies include a detailed protocol for addressing post-tenure performance. Each academic department’s tenure and promotion statement includes sections that provide detailed descriptions of the minimum goals and expectations for faculty effectiveness in that unit,

and those expectations for continuing high performance are broadly aligned with the performance criteria relevant for the award of tenure.

Tenure is a central element of American research universities and has become a foundational element of their success. Despite challenges, universities have had continued global preeminence. That may be one reason why many European universities (especially the universities in the League of European Research Universities) have been shifting practices to models more similar to the American system. Even Chinese universities have begun experimenting with Western models of tenure in the last decade. To much of the world, the American system appears grounded on merit and flexible in the pursuit and dissemination of knowledge. Those state universities that in the 19<sup>th</sup> century were among the pioneers emphasizing a strong research enterprise – as a complementary component to their teaching and outreach missions (e.g., Minnesota, Michigan, Wisconsin, Illinois, California) – have all managed to adapt to new circumstances, demographic and disciplinary changes, and different modes of teaching; and all have maintained a system of tenure.



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Faculty & Staff Affairs**

**May 11, 2017**

**AGENDA ITEM:** Promotion and Tenure: Context; Policy and Process; Rationale and Role of Tenure in Higher Ed; and Post-Tenure Review

**Review**

**Review + Action**

**Action**

**Discussion**

*This is a report required by Board policy.*

**PRESENTERS:** Karen Hanson, Executive Vice President & Provost  
Rebecca Ropers-Huilman, Vice Provost for Faculty & Academic Affairs

## **PURPOSE & KEY POINTS**

After careful review and due consideration, the senior academic officers of the University of Minnesota recommend to the Board those faculty being considered for promotion and/or tenure, effective with the beginning dates of their terms of appointment in 2017-2018.

The Executive Vice President and Provost recommends for promotion and/or tenure those individuals listed in the docket who are members of the faculty on the Crookston, Morris, Rochester and Twin Cities campuses.

The Chancellor of the University of Minnesota Duluth, in accordance 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 in the docket who are members of the Duluth faculty.

The docket materials provide statistics concerning the composition of the faculty group being recommended for promotion and/or tenure by gender, faculty of color, and rank. The docket also includes comparisons to previous years and an overview of the current process. This item will include statistical highlights of the cohort and the teaching, research, service, and public engagement of faculty who are recommended for tenure and/or promotion. A few faculty members under consideration for tenure and/or promotion will highlight their past and future work.

## **BACKGROUND INFORMATION**

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

## **PRESIDENT'S RECOMMENDATION**

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



**Promotion and Tenure Recommendations Effective 2017-2018**  
**Presented to the Faculty and Staff Affairs Committee of the Board of Regents**  
**May 11, 2017**

<u>COLLEGE/CAMPUS</u>	<u>DEPARTMENT/UNIT</u>	<u>FROM</u>		<u>TO</u>	
<b><u>Allied Health Programs, Center for</u></b>					
Janice Conway-Klaassen	Medical Laboratory Science	Assistant Professor	TT	Associate Professor	T
Stephen Wiesner	Medical Laboratory Science	Assistant Professor	TT	Associate Professor	T
<b><u>Biological Sciences, College of</u></b>					
Elizabeth Borer	Ecology, Evolution, and Behavior	Associate Professor	T	Professor	T
Jeannine Cavender-Bares	Ecology, Evolution, and Behavior	Associate Professor	T	Professor	T
Eric Seabloom	Ecology, Evolution, and Behavior	Associate Professor	T	Professor	T
<b><u>Dentistry, School of</u></b>					
Brent Larson	Developmental and Surgical Sciences	Associate Professor	T	Professor	T
Kim Mansky	Developmental and Surgical Sciences	Associate Professor	T	Professor	T
<b><u>Design, College of</u></b>					
Hyunjoo Im	Design, Housing, and Apparel	Assistant Professor	TT	Associate Professor	T
Barry Kudrowitz	Design, Housing, and Apparel	Assistant Professor	TT	Associate Professor	T
Marc Swackhamer	School of Architecture	Associate Professor	T	Professor	T
<b><u>Education and Human Development, College of</u></b>					
Joan DeJaeghere	Organizational Leadership, Policy, and Development	Associate Professor	T	Professor	T
Jodi Dworkin	Family Social Science	Associate Professor	T	Professor	T
Lori Helman	Curriculum and Instruction	Associate Professor	T	Professor	T
Katie Johnston-Goodstar	School of Social Work	Assistant Professor	TT	Associate Professor	T
Melissa Koenig	Institute of Child Development	Associate Professor	T	Professor	T
Nidhi Kohli	Educational Psychology	Assistant Professor	TT	Associate Professor	T
Timothy Lensmire	Curriculum and Instruction	Associate Professor	T	Professor	T
Beth Lewis	School of Kinesiology	Associate Professor	T	Professor	T
Tania Mitchell	Organizational Leadership, Policy, and Development	Assistant Professor	TT	Associate Professor	T
Bic Ngo	Curriculum and Instruction	Associate Professor	T	Professor	T
Joyce Serido	Family Social Science	Associate Professor	TT	Associate Professor	T
Catherine Solheim	Family Social Science	Associate Professor	T	Professor	T
Mark Vagle	Curriculum and Instruction	Associate Professor	T	Professor	T
<b><u>Food, Agricultural and Natural Resource Sciences, College of</u></b>					
Xiaoli Chen	Food Science and Nutrition	Associate Professor	T	Professor	T
Mae Davenport	Forest Resources	Associate Professor	T	Professor	T
Omar Espinoza	Bioproducts and Biosystems Engineering	Assistant Professor	TT	Associate Professor	T

Fabian Fernandez	Soil, Water and Climate	Assistant Professor	TT	Associate Professor	T
John Fieberg	Fisheries, Wildlife, and Conservation Biology	Assistant Professor	TT	Associate Professor	T
Aaron Lorenz	Agronomy and Plant Genetics	Assistant Professor	TT	Associate Professor	T
Paul Venturelli	Fisheries, Wildlife, and Conservation Biology	Assistant Professor	TT	Associate Professor	T
Chengyan Yue	Horticultural Science	Associate Professor	T	Professor	T

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

Xinyu (Jason) Cao	Hubert H. Humphrey School of Public Affairs	Associate Professor	T	Professor	T
James Ron	Hubert H. Humphrey School of Public Affairs	Associate Professor	T	Professor	T

### **Law School**

Neha Jain	Law School	Associate Professor	TT	Associate Professor	T
William McGeeveran	Law School	Associate Professor	T	Professor	T
Christopher Roberts	Law School	Associate Professor	TT	Associate Professor	T
Francis Shen	Law School	Associate Professor	TT	Associate Professor	T

### **Liberal Arts, College of**

Manuel Amador	Economics	Associate Professor	T	Professor	T
Susanna Blumenthal	History	Associate Professor	T	Professor	T
Kate Derickson	Geography, Environment and Society	Assistant Professor	TT	Associate Professor	T
Marcus Dilliard	Theatre Arts and Dance	Associate Professor	T	Professor	T
Carl Flink	Theatre Arts and Dance	Associate Professor	T	Professor	T
James Hollyer	Political Science	Assistant Professor	TT	Associate Professor	T
Qadri Ismail	English	Associate Professor	T	Professor	T
Chris Larson	Art	Assistant Professor	TT	Associate Professor	T
Alan Love	Philosophy	Associate Professor	T	Professor	T
Alice Lovejoy	Cultural Studies and Comparative Literature	Assistant Professor	TT	Associate Professor	T
Christine Marran	Asian Languages and Literatures	Associate Professor	T	Professor	T
Stuart McLean	Anthropology	Associate Professor	T	Professor	T
Ann Meier	Sociology	Associate Professor	T	Professor	T
Laurie Ouellette	Communication Studies	Associate Professor	T	Professor	T
Paul Shambroom	Art	Assistant Professor	TT	Associate Professor	T
John B. (JB) Shank	History	Associate Professor	T	Professor	T
Chun Wang	Psychology	Assistant Professor	TT	Associate Professor	T

### **Management, Carlson School of**

Tony Haitao Cui	Marketing	Associate Professor	T	Professor	T
Aseem Kaul	Strategic Management and Entrepreneurship	Assistant Professor	TT	Associate Professor	T
Aaron Sojourner	Work and Organizations	Assistant Professor	TT	Associate Professor	T

### **Medical School**

Anthony Baughn	Microbiology and Immunology	Assistant Professor	TT	Associate Professor	T
Daniel Bond	Microbiology and Immunology	Associate Professor	T	Professor	T

Kathryn Cullen	Psychiatry	Assistant Professor	TT	Associate Professor	T
Brian Fife	Medicine	Assistant Professor	TT	Associate Professor	T
Ranjit John	Surgery	Associate Professor	T	Professor	T
Do-Hyung Kim	Biochemistry, Molecular Biology and Biophysics	Associate Professor	T	Professor	T
David Masopust	Microbiology and Immunology	Associate Professor	T	Professor	T
Genevieve Melton-Meaux	Surgery	Associate Professor	T	Professor	T
Gulin Oz	Radiology	Associate Professor	T	Professor	T
Kyriakie Sarafoglou	Pediatrics	Assistant Professor	TT	Associate Professor	T
DeWayne Townsend	Integrative Biology and Physiology	Assistant Professor	TT	Associate Professor	T

**Medical School (contract faculty)**

Robert Acton	Surgery	Associate Professor	C	Professor	C
Patricia Adam	Family Medicine and Community Health	Assistant Professor	C	Associate Professor	C
Jeffrey Allen	Neurology	Assistant Professor	C	Associate Professor	C
Richard Bianco	Surgery	Associate Professor	C	Professor	C
Melissa Brunsvold	Surgery	Assistant Professor	C	Associate Professor	C
Srinath Chinnakotla	Surgery	Associate Professor	C	Professor	C
Diana Cutts	Pediatrics	Assistant Professor	C	Associate Professor	C
Judith Eckerle	Pediatrics	Assistant Professor	C	Associate Professor	C
Steven Fu	Medicine	Associate Professor	C	Professor	C
Kristi Grall	Emergency Medicine	Assistant Professor	C	Associate Professor	C
Glen Hansen	Laboratory Medicine and Pathology	Assistant Professor	C	Associate Professor	C
Andrew Harris	Medicine	Assistant Professor	C	Associate Professor	C
Jeanette Harris	Psychiatry	Assistant Professor	C	Associate Professor	C
Marjorie Hogan	Pediatrics	Associate Professor	C	Professor	C
Kristen Hook	Dermatology	Assistant Professor	C	Associate Professor	C
Naoko Koyano	Medicine	Assistant Professor	C	Associate Professor	C
Daniel Leslie	Surgery	Assistant Professor	C	Associate Professor	C
Siamak Noorbaloochi	Medicine	Associate Professor	C	Professor	C
Marco Pravetoni	Medicine	Assistant Professor	C	Associate Professor	C
Rebecca Rossom	Psychiatry	Assistant Professor	C	Associate Professor	C
Nina Sayer	Medicine	Associate Professor	C	Professor	C
Jonathan Sembrano	Orthopaedic Surgery	Assistant Professor	C	Associate Professor	C
Zhiyi Sha	Neurology	Assistant Professor	C	Associate Professor	C
Aasma Shaukat	Medicine	Associate Professor	C	Professor	C
Angela Smith	Pediatrics	Assistant Professor	C	Associate Professor	C
Michele Spont	Medicine	Assistant Professor	C	Associate Professor	C
Steven Stovitz	Family Medicine and Community Health	Associate Professor	C	Professor	C
Marc Tompkins	Orthopaedic Surgery	Assistant Professor	C	Associate Professor	C
Lucy Vulchanova	Neuroscience	Assistant Professor	C	Associate Professor	C
Christopher Warlick	Urology	Assistant Professor	C	Associate Professor	C
Craig Weinert	Medicine	Associate Professor	C	Professor	C

**Nursing, School of**

Mary Catherine Hooke	School of Nursing	Assistant Professor	TT	Associate Professor	T
Wendy Looman	School of Nursing	Associate Professor	T	Professor	T
Barbara McMorris	School of Nursing	Associate Professor	TT	Associate Professor	T

**Nursing, School of (contract faculty)**

Andra Fjone	School of Nursing	Clinical Assistant Professor	C	Clinical Associate Professor	C
Judith Pechacek	School of Nursing	Clinical Assistant Professor	C	Clinical Associate Professor	C
Jeanne Pfeiffer	School of Nursing	Clinical Associate Professor	C	Clinical Professor	C

**Pharmacy, College of**

Michelle Johnson-Jennings	Pharmacy Practice and Pharmaceutical Sciences	Assistant Professor	TT	Associate Professor	T
Serguei Pakhomov	Pharmaceutical Care and Health Systems	Associate Professor	T	Professor	T
Changquan (Calvin) Sun	Pharmaceutics	Associate Professor	T	Professor	T

**Pharmacy, College of (contract faculty)**

Karen Bastianelli	Pharmacy Practice and Pharmaceutical Sciences	Assistant Professor	C	Associate Professor	C
Kerry Fierke	Pharmacy Practice and Pharmaceutical Sciences	Assistant Professor	C	Associate Professor	C
Keri Hager	Pharmacy Practice and Pharmaceutical Sciences	Assistant Professor	C	Associate Professor	C

**Public Health, School of**

Jean Abraham	Division of Health Policy and Management	Associate Professor	T	Professor	T
Haitao Chu	Division of Biostatistics	Associate Professor	T	Professor	T
Jennifer Linde	Division of Epidemiology and Community Health	Associate Professor	TT	Associate Professor	T
Cavan Reilly	Division of Biostatistics	Associate Professor	T	Professor	T
Tetyana Shippee	Division of Health Policy and Management	Assistant Professor	TT	Associate Professor	T
Rachel Widome	Division of Epidemiology and Community Health	Assistant Professor	TT	Associate Professor	T

**Science and Engineering, College of**

Alptekin Aksan	Mechanical Engineering	Associate Professor	T	Professor	T
Patrick Alford	Biomedical Engineering	Assistant Professor	TT	Associate Professor	T
Arindam Banerjee	Computer Science and Engineering	Associate Professor	T	Professor	T
Peter Bruggeman	Mechanical Engineering	Associate Professor	TT	Professor	T
Rafael Fernandes	School of Physics and Astronomy	Assistant Professor	TT	Associate Professor	T
Lucy Fortson	School of Physics and Astronomy	Associate Professor	T	Professor	T
Demoz Gebre Egziabher	Aerospace Engineering and Mechanics	Associate Professor	T	Professor	T
Michele Guala	Civil, Environmental, and Geo-Engineering	Assistant Professor	TT	Associate Professor	T
Benjamin Hackel	Chemical Engineering and Materials Science	Assistant Professor	TT	Associate Professor	T
Russell Holmes	Chemical Engineering and Materials Science	Associate Professor	T	Professor	T
Nicholas Hopper	Computer Science and Engineering	Associate Professor	T	Professor	T

Ibrahim Volkan Isler	Computer Science and Engineering	Associate Professor	T	Professor	T
Bharat Jalan	Chemical Engineering and Materials Science	Assistant Professor	TT	Associate Professor	T
Tyler Lawson	School of Mathematics	Associate Professor	T	Professor	T
Kevin Leder	Industrial and Systems Engineering	Assistant Professor	TT	Associate Professor	T
Vuk Mandic	School of Physics and Astronomy	Associate Professor	T	Professor	T
Mohamed Mokbel	Computer Science and Engineering	Associate Professor	T	Professor	T
Vincent Noireaux	School of Physics and Astronomy	Associate Professor	T	Professor	T
William Northrop	Mechanical Engineering	Assistant Professor	TT	Associate Professor	T
Sang-Hyun Oh	Electrical and Computer Engineering	Associate Professor	T	Professor	T
Greg Pawloski	School of Physics and Astronomy	Assistant Professor	TT	Associate Professor	T
Arnab Sen	School of Mathematics	Assistant Professor	TT	Associate Professor	T
Lian Shen	Mechanical Engineering	Associate Professor	T	Professor	T
Craig Westerland	School of Mathematics	Assistant Professor	TT	Associate Professor	T

**Veterinary Medicine, College of**

Andres Perez	Veterinary Population Medicine	Associate Professor	T	Professor	T
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**Veterinary Medicine, College of (contract faculty)**

Gregory Anderson	Veterinary Clinical Sciences	Associate Professor	C	Professor	C
Jeffrey Todd	Veterinary Clinical Sciences	Assistant Professor	C	Associate Professor	C
Laura Molgaard	Veterinary Population Medicine	Assistant Professor	C	Associate Professor	C

**University of Minnesota Crookston**

Abdorrhahman Alghamdi	Agriculture and Natural Resources	Assistant Professor	TT	Associate Professor	T
Timothy Dudley	Math, Science, and Technology	Assistant Professor	TT	Associate Professor	T

**University of Minnesota Duluth**

**College of Education and Human Service Professions**

Lake Dziengel	Social Work	Assistant Professor	TT	Associate Professor	T
Christopher Johnson	Education	Assistant Professor	TT	Associate Professor	T
Brian McInnes	Education	Assistant Professor	TT	Associate Professor	T

**College of Liberal Arts**

Laure Charleux	Geography, Urban, Environment and Sustainability Studies	Assistant Professor	TT	Associate Professor	T
Runa Das	Political Science	Associate Professor	T	Professor	T
Qiang Fang	History	Associate Professor	T	Professor	T
Jeanine Schroer	Philosophy	Assistant Professor	TT	Associate Professor	T
Shannon Walsh	Political Science	Assistant Professor	TT	Associate Professor	T
Robert Weidner	Sociology and Anthropology	Associate Professor	T	Professor	T

**Labovitz School of Business and Economics**

Kimberly Dauner	Economics	Assistant Professor	TT	Associate Professor	T
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Luiggi Donayre	Economics	Assistant Professor	TT	Associate Professor	T
Jennifer Mencl	Management Studies	Associate Professor	T	Professor	T
Bedassa Tadesse	Economics	Associate Professor	T	Professor	T
Neil Wilmot	Economics	Assistant Professor	TT	Associate Professor	T

**School of Fine Arts**

Jefferson Campbell	Music	Associate Professor	T	Professor	T
Eugene Koshinski	Music	Associate Professor	T	Professor	T

**Swenson College of Science and Engineering**

John Greene	Mathematics and Statistics	Associate Professor	T	Professor	T
Brian Hinderliter	Mechanical and Industrial Engineering	Associate Professor	TT	Associate Professor	T
Alison Hoxie	Mechanical and Industrial Engineering	Assistant Professor	TT	Associate Professor	T
David Saftner	Civil Engineering	Assistant Professor	TT	Associate Professor	T
Rebecca Teasley	Civil Engineering	Assistant Professor	TT	Associate Professor	T
Vitaly Vanchurin	Physics and Astronomy	Assistant Professor	TT	Associate Professor	T

**University of Minnesota Morris**

Laura Mercredi Chasman	Division of Science and Mathematics/Mathematics	Assistant Professor	TT	Associate Professor	T
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**University of Minnesota Rochester**

Robert Dunbar	Center for Learning Innovation	Associate Professor	TT	Associate Professor	T
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**Employment Status Symbols**

C- Contract/term faculty  
 TT - Probationary; tenure-track  
 T - Indefinite tenure

## 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 Executive 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 contract 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 of that document. 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 Executive Vice President and Provost (delegated to the Vice Provost for Faculty and Academic Affairs). On the other system 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 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 including full professors) 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 significant and important but has 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. Their recommendations go directly to the Executive 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 Executive Vice President and Provost with recommendations about promotion and/or tenure. For the Crookston, Morris and Rochester campuses, the reviews are conducted along division or department lines, followed by a college-wide or all-university committee review, and review by both the Vice Chancellor and the Chancellor.



The central level of review for the Twin Cities, Crookston, Morris, and Rochester 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 one or more additional central administrators. Results of all cases are reviewed by the Executive 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 recommendations) are reviewed directly by the Executive 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, promotion to professor with 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 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 committee and the dean.

Assistant professors with term appointments may be promoted to the rank of associate professor; associate professors with term 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 Executive Vice President 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 another position 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 as a three-year rolling average. This year, the cohorts of probationary faculty began their appointments in 2007, 2008, and 2009. There were 339 faculty who began their appointments in this three-year group. After seven years, 57% had received tenure and were still employed at the University and 3% had received tenure and left the University. The three-year average tenure success rate is 60%.

## **Results of 2016-2017 Promotion and Tenure Review**

In 2016-2017, a total of 174 cases were evaluated across the University of Minnesota system. There were 107 cases from the Twin Cities campus, 22 cases from the Duluth campus, 1 case from the Morris campus, 2 cases from the Crookston campus, and 2 cases from the Rochester campus. There were 134 cases for regular faculty and 40 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 58 assistant professors on probationary appointments who were reviewed: 55 of them are recommended for tenure and promotion to the rank of associate professor and 3 are recommended for non-reappointment.

Of the 9 associate professors on a probationary appointment, 8 are recommended for conferral of indefinite tenure in rank, and 1 is recommended for tenure and promotion to professor.

All of the 67 associate professors with tenure are recommended for promotion to professor.

For contract faculty, 28 assistant professors are recommended for promotion to associate professor, and 12 associate professors are recommended for promotion to professor.

Of the 174 total cases, 102 are men (59%) and 72 are women (41%). For the regular faculty, 63% are men and 37% are women. For the contract faculty, 45% are men and 55% are women. In addition, 50 decisions or 29% involved faculty of color (includes international faculty of color). These data are displayed in Tables 1 and 2, separated by gender and ethnicity.

**TOTAL P&T CASES  
2016-2017**

**TABLE 1**

**FACULTY TENURE AND/OR PROMOTION RECOMMENDATIONS**

<i>Regular Faculty (Tenure-Track and Tenured Cases)</i>	<b>Male</b>	<b>Female</b>	<b>Total</b>
Assistant professor probationary to associate professor with tenure	32	23	55
Associate professor probationary to associate professor with tenure	5	3	8
Associate professor probationary to professor with tenure	1	0	1
Associate professor with tenure to professor with tenure	43	24	67
Continuation in rank – associate professor probationary	0	0	0
Non-reappointment – assistant professor probationary	3	0	3
<b>Total Tenure-Track/Tenured Cases</b>	<b>84</b>	<b>50</b>	<b>134</b>
<i>Contract Faculty (Non-Tenure Track)</i>	<b>Male</b>	<b>Female</b>	<b>Total</b>
Assistant professor without tenure to associate professor without tenure	10	18	28
Associate professor without tenure to professor without tenure	8	4	12
<b>Total Non-Tenure Track Cases</b>	<b>18</b>	<b>22</b>	<b>40</b>
<b>GRAND TOTAL</b>	<b>102</b>	<b>72</b>	<b>174</b>

**TABLE 2**

**Gender and Race/Ethnicity for all faculty**

	<b>Male</b>	<b>Female</b>	<b>Total</b>
American Indian	1	2	3
Asian or Pacific Islander	21	12	33
Black	5	3	8
Hispanic	6	0	6
Unknown/not specified	3	1	4
White	66	54	120
<b>Total</b>	<b>102</b>	<b>72</b>	<b>174</b>

# Promotion & Tenure for Faculty Continuous Appointments for Academic Professionals 2016-2017

**Karen Hanson**

Executive Vice President and Provost

**Rebecca Ropers-Huilman**

Vice Provost for Faculty and Academic Affairs

May 11, 2017



# *Faculty Tenure Policy*

- Defines regular faculty
  - Tenured with indefinite appointments
  - Tenure-track who are eligible for tenure
- Defines contract faculty
  - Annual appointments or multi-year appointments



# Basic Principles: Tenure

- University-wide criteria for tenure
  - Research or other creative activity
  - Teaching effectiveness  
(classroom, laboratory, studio, advising)
  - Service  
(outreach, public engagement, service to profession)
- Cumulative record should form the foundation for a national or international reputation or both
- Promise of achieving promotion to professor
- Provides for indefinite appointment for faculty after a probationary period



# Basic Principles: Tenure

- Each unit has a set of standards and criteria for research or creative activity, teaching, and service in addition to those of the University
- Annual reviews are mandated each year of the probationary period
- Faculty may resign or receive terminal appointments during the probationary period



# Basic Principles: Promotion

- Ranks
  - assistant professor
  - associate professor
  - professor
- Regular faculty have both rank and tenure or the possibility of achieving tenure
- Contract faculty have rank only





# Basic Principles: Promotion for Regular Faculty

- Tenure and promotion to associate professor occur together
- Promotion to professor for tenured associate professors
  - Added substantially to an already distinguished record of research or other creative work, teaching, and service
  - Must have a national or international reputation or both



# Basic Principles: Promotion for Contract Faculty

- Each unit has criteria for promotion in rank for contract faculty
- These include teaching, research, and service
  - May include clinical activities for those in the Academic Health Center
  - May include extension activities for those in College of Food, Agricultural, and Natural Resource Sciences
- Criteria are different than those for regular faculty



# Review Process

- Unit seeks reviews of each candidate for tenure and/or promotion from external evaluators at other institutions
  - Experts in the area of the candidate write detailed letters
  - Experts have national and/or international stature

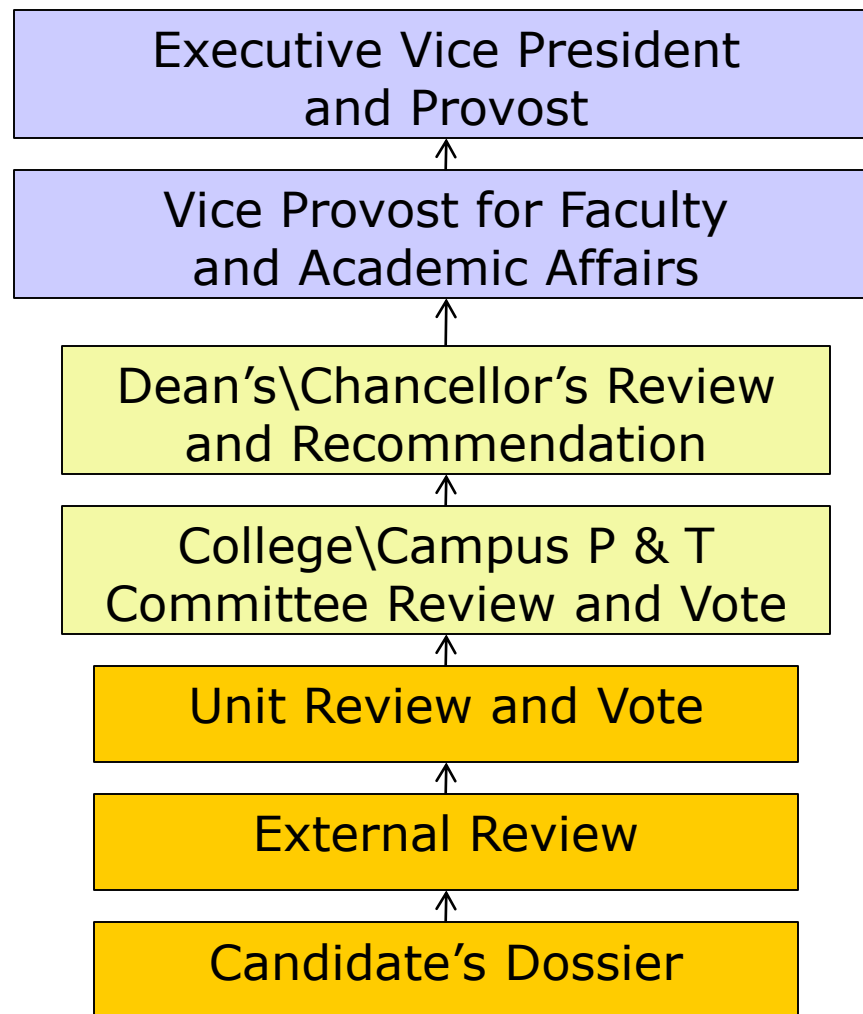


# Review Process

- Candidate has a dossier
  - Curriculum vitae
  - Statements about research or other creative activity, teaching, and service
  - Teaching data from student ratings and peer reviews of teaching
  - Internal letters in some cases
  - Samples of scholarship or other creative activity



# Promotion and Tenure Process



# Promotion and Tenure System Wide

## Two Cohorts of Faculty Candidates

Tenured/Tenure track candidates (Regular faculty - tenure and/or promotion in rank)	134
Non-Tenure Track Candidates (Contract faculty - promotion in rank)	40
<b>Total Candidates</b>	<b>174</b>



# Promotion System Wide: Contract Faculty

Recommendation

Number Faculty

Assistant to Associate Professor

28

Associate to Professor

12

Total

40



# Promotion and Tenure System Wide: Regular Faculty

<u>Recommendation</u>	<u>Number Faculty</u>
Assistant Professor to Associate Professor with tenure	55
Assistant Professor – non reappointment	3
Associate Professor to Associate Professor with tenure	8
Associate Professor to Professor with tenure	1
Associate Professor – continuation in rank	0
Associate Professor with tenure to Professor with tenure	67
<b>Total Candidates</b>	<b>134</b>





# Tenure Success

- This year, only 3 of 67 faculty who were evaluated for tenure and promotion to associate professor are recommended for tenure denial
- Despite this, it is an incorrect assumption that almost all faculty achieve tenure at the University of Minnesota
- We have a rigorous, annual review process
  - Faculty leave during the probationary period based on feedback received
  - Some are not reappointed



# Rate of Tenure Success

- Look at an entering cohort of assistant professors in a given year (e.g. 2007-2008 academic year)
- Follow them over a full cycle of 7 years (6 probationary years + 1 year post-tenure)
- Take a snapshot at a point in time



# Tenure Success Rate

- Look at four possible outcomes for those who were hired:
  - received tenure and are still at the University
  - received tenure and left the University
  - left the University without tenure
  - are still at the University on the tenure clock



# Tenure Success Rate

- Includes the percent of tenure-track faculty who received tenure and stayed at the U of M *plus* the percent of tenure-track faculty who received tenure and left the U of M



# Tenure Success Rate

- Examine the tenure success rate over a three-year period
- Look at the rolling three-year average each year
- Overall tenure success rate of 60% for this year's cohort



# Continuous Appointments

- Fewer than 3% of academic professionals are on continuous appointments (93 individuals)
- Over half of these are in the University Libraries
- The remainder are attorneys, educational or clinical specialists, academic advisors, physicians, psychologists, and curators



# Continuous Appointment Recommendations

- There are six academic professional being recommended for continuous appointment this year
  - Assistant librarian in the University Libraries (includes promotion to associate librarian)

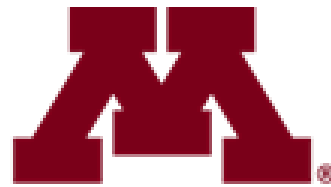


# Recommendations

1. That the regular faculty candidates on the list be approved for tenure and/or promotion as indicated;
2. That the contract faculty candidates listed be approved for promotion to the rank indicated;
3. That the academic professional candidates listed receive continuous appointments and promotions as indicated.







UNIVERSITY  
OF MINNESOTA  
**Driven to Discover<sup>SM</sup>**





# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Faculty & Staff Affairs**

**May 11, 2017**

**AGENDA ITEM:** Annual Continuous Appointments

**Review**

**Review + Action**

**Action**

**Discussion**

*This is a report required by Board policy.*

**PRESENTERS:** Karen Hanson, Executive Vice President & Provost  
Rebecca Ropers-Huilman, Vice Provost for Faculty & Academic Affairs

## **PURPOSE & KEY POINTS**

The purpose of this item is to seek approval of continuous appointment status for six academic professional staff members.

Continuous appointment and promotion is effective with the beginning of the 2017-2018 appointment period.

## **BACKGROUND INFORMATION**

Each spring, the administration presents its recommendations on continuous appointments 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**

The President recommends approval of these annual continuous appointment recommendations.

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

Faculty and Staff Affairs Committee - May 11, 2017

**Continuous Appointment:** The following individuals in the academic professional series has been recommended for continuous appointment, to be effective with the beginning of the 2017-2018 appointment period.

**University of Minnesota Libraries - Twin Cities**

	<b><u>From</u></b>	<b><u>To</u></b>
Carolyn Bishoff	Assistant Librarian	Associate Librarian with continuous appointment
Jennie Burroughs	Assistant Librarian	Associate Librarian with continuous appointment
Shannon Farrell	Assistant Librarian	Associate Librarian with continuous appointment
Megan Kocher	Assistant Librarian	Associate Librarian with continuous appointment
Mary Miller	Assistant Librarian	Associate Librarian with continuous appointment
Lisa Von Drasek	Assistant Librarian	Associate Librarian with continuous appointment

## **Executive Summary**

### **The Continuous Appointment Process**

Each year, the Executive Vice President and Provost recommends to the Board of Regents a group of academic professionals 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. There are currently 93 academic professionals who are on continuous appointment or probationary status on the continuous appointment track.

Over half of the academic professionals with continuous appointments or probationary status work in the University Libraries. The remaining academic professionals 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 Executive Vice President for Academic Affairs and Provost and the Vice Provost for Faculty and Academic Affairs.

### **2016-2017 Candidates for Continuous Appointment**

This year, the Executive Vice President and Provost recommends to the Board of Regents six individuals from the Twin Cities campus in the Librarian series of the academic professional employee category for continuous appointments.

For the employee category of academic professionals, the gender breakdown is 54% women (2,609) and 46% men (2,246). In addition, 13% (641 individuals) are persons of color. The individuals recommended for continuous appointments this year are six white females.



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Faculty & Staff Affairs**

**May 11, 2017**

**AGENDA ITEM:** Consent Report

**Review**

**Review + Action**

**Action**

**Discussion**

*This is a report required by Board policy.*

**PRESENTERS:** Kathryn F. Brown, Vice President, Office of Human Resources

## **PURPOSE & KEY POINTS**

The Consent Report includes the following appointments:

- Mary Holz-Clause as Chancellor, UMC.
- Carol Strohecker as Dean of the College of Design, UMTC.
- Laura Bloomberg as Dean of the Hubert H. Humphrey School of Public Affairs, UMTC, for a two-year term.
- Three trustees to the Minnesota Landscape Arboretum Foundation Board of Trustees.

The Consent Report also includes:

- Amendments to the employment agreement of Richard Pitino, Head Men’s Basketball Coach.
- Conferral of Tenure for four outside hires.

## **BACKGROUND INFORMATION**

Board of Regents Policy: *Reservation and Delegation of Authority* calls for items such as proposed changes to retirement provisions, senior administrative appointments, tenure and/or promotion recommendations, and appointments of certain trustees and board members, to be brought before the Faculty & Staff Affairs Committee for action.

Members of the Board of Trustees of the Minnesota Landscape Arboretum Foundation are appointed in accordance with Board of Regents Policy: *Appointments to Organizations and Boards*.

## **PRESIDENT’S RECOMMENDATION**

The President recommends approval of the Consent Report.

## Faculty & Staff Affairs Committee Consent Report

### *Personnel Appointment*

Pending approval by the Board of Regents, **Dr. Mary Holz-Clause** will be appointed Chancellor of the University of Minnesota, Crookston effective June 30, 2017.

### Position Overview

The chancellor is the chief representative and executive officer of the Crookston campus. The chancellor is appointed by the Board of Regents upon the recommendation of the president of the University. By virtue of delegation from the president, the chancellor has general administrative authority over campus affairs. The chancellor: articulates a vision for the campus and builds support for that vision among external constituencies; develops policy, manages financial resources, and provides leadership and direction to faculty and staff to maximize human and financial capital; makes final recommendations to the Board of Regents for the conferring of tenure and the granting of faculty promotions; and appoints administrative officers, delegates various responsibilities to them, and initiates performance reviews of them.

### Appointees Background and Qualifications

Dr. Holz-Clause comes to UMC from California State Polytechnic (Cal Poly) University Pomona, where she has served since 2014 as dean of the Huntley College of Agriculture and a tenured professor in the Department of Agricultural Business Management and Agriculture Science. In that role, she oversees a student body of more than 2,000 — many of whom are underrepresented minorities and/or first generation college students — and 150 faculty and staff, as well as five departments, four centers, and nine farms and enterprises. Before Cal Poly Pomona, Holz-Clause was the vice president for economic development at the University of Connecticut. There, she oversaw initial development of the UConn Technology Park in Storrs, Conn., and created an Office of Economic Development, garnering millions in outside contracts.

This position at UMC marks a return to the Midwest for Holz-Clause, who has spent much of her life in Iowa — mostly at Iowa State University in Ames. After earning her B.S. in Agriculture Business, a Master's in Public Administration and a Ph.D. in Agriculture Education and Extension there, Holz-Clause spent 25 years working at her alma mater. During that time, she helped ISU Extension become a dynamic engagement and outreach partner across Iowa, the U.S. and the world. An internationally-known researcher and speaker with extensive background in agricultural development and policy, in the past decade Holz-Clause has served as the principal investigator on contracts and grants totaling more than \$40 million. She recently was appointed by California Governor Jerry Brown to serve on the California Department of Food and Agriculture Advisory Board, the primary advisory board for the \$100 billion agriculture industry in California. Holz-Clause and her husband also own and operate a corn/soybean/cattle feedlot in central Iowa.

### Recommended Salary and Appointment Type

Dr. Holz-Clause's annual salary for 2017-18 will be \$250,000. Her appointment as Chancellor of the University of Minnesota, Crookston is a 100%-time, A-term (12-month), L-type (limited)

appointment, reporting to and serving at the pleasure of the president. The full employment agreement between the University of Minnesota and Dr. Holz-Clause is attached as an exhibit.

#### Individually Negotiated Terms of Employment or Separation Agreements

Dr. Holz-Clause will be provided an annual housing allowance of \$15,000.

#### Comparable Market Data

Among the peer group for UMC used by the Office of Human Resources, the figures for campus chief executive officers are as follows:

25th percentile: \$240,600  
50th percentile: \$254,700  
75th percentile: \$256,300  
95th percentile (or highest): \$318,500

When determining comparable market data for the UMC chancellor salary, as with many positions within the University system, salaries at the other University campuses provide an important salary range. The other three chancellors within the University system have salaries that range from \$250,000 to \$298,000.

#### President's Recommendation

The president recommends the appointment of Dr. Mary Holz-Clause to the position of Chancellor, University of Minnesota, Crookston.

## EMPLOYMENT AGREEMENT

**THIS EMPLOYMENT AGREEMENT** is entered into as of this 28th day of March, 2017, by and between Regents of the University of Minnesota, a Minnesota constitutional educational corporation (the "University"), and Dr. Mary Holz-Clause ("Dr. Mary Holz-Clause," "you").

**WHEREAS**, the University wishes to employ Dr. Mary Holz-Clause as the Chancellor of the University of Minnesota Crookston and Dr. Mary Holz-Clause wishes to accept employment as Chancellor of the University of Minnesota Crookston;

**WHEREAS**, this Employment Agreement is subject to the approval of the Board of Regents of the University of Minnesota;

**THEREFORE**, the University and Dr. Mary Holz-Clause agree as follows, subject to the approval of the Board of Regents:

### I. EMPLOYMENT TERM AND DUTIES

Subject to the terms and conditions of this Agreement and University Policies and Procedures, the University appoints Dr. Mary Holz-Clause as the Chancellor of the University of Minnesota Crookston and she agrees to be so employed by the University for a term commencing on June 30, 2017. The Chancellor of the University of Minnesota Crookston is a 100 percent time, 12-month L appointment in the professional and academic personnel classification who serves as an at will employee at the pleasure of the President. As such, you report to and serve at the pleasure of the President and your appointment may be terminated at any time without advance notification.

### II. DUTIES

During the term of your employment as Chancellor of the University of Minnesota Crookston you will diligently and consciously devote your full-time attention and best efforts in performing and discharging the duties of Chancellor of University of Minnesota Crookston as they are set forth in the job description for this position (attached) including, but not limited to, the following duties:

A. Provide visionary leadership and administrative oversight of, and accountability for, the University of Minnesota Crookston;

B. Oversee the responsible planning, stewardship management and accountability of fiscal, capital and human resources of the University of Minnesota Crookston;

*MHC*  
*3-29-17*



C. Promote and represent the interest of the University of Minnesota Crookston in a positive fashion in private and public forums;

D. Recruit and retain distinguished faculty and outstanding students at the University of Minnesota Crookston;

E. Integrate the University of Minnesota Crookston and its many vital resources into the broader community and surrounding region;

F. Play a major leadership role in fundraising for the institution, leading energetic efforts to secure philanthropic support for its mission;

G. Garner support for the institution and its mission from both internal and external stakeholders; and

H. Perform such other duties as related to your employment position and assigned to you by your appointing authority.

### III. PERFORMANCE

In accordance with University policy, you will receive regular annual performance evaluations and, in accordance with University policy, you will receive a broader systemic review of your performance no later than the end of your third year in the position.

### IV. FACULTY APPOINTMENT

In addition to your appointment as Chancellor of the University of Minnesota Crookston, you will also be considered for appointment as a tenured, full professor in the institution. Any such appointment as a professor is subject to Board of Regents Policy: *Faculty Tenure*. Your appointment requires approval of the faculty as well as the Board of Regents. During the time you serve as Chancellor of the University of Minnesota Crookston, you will not receive any compensation for your faculty appointment, but a salary for this appointment will be established each year by the University, based on the average increase to base of your same-ranked collegiate peers. In the event you no longer are employed as Chancellor of the University of Minnesota Crookston and retain this faculty appointment, this will be your established faculty salary.

### V. COMPENSATION

A. Subject to the terms of this Agreement for all services provided by you on behalf of the University, the University shall pay you an annual salary of Two Hundred Fifty Thousand and No/100 Dollars (\$250,000).

B. All base salary shall be paid in accordance with the University's regular payroll procedures for Professional and Administrative employees and shall be subject to withholding for applicable federal and state income taxes, federal social security taxes, and other applicable taxes and deductions.

C. In accordance with University policies and procedures, you shall be eligible for salary increases on an annual basis based upon the evaluation of the appointing authority or his/her designee.

D. The base salary is subject to furloughs, pay freezes, salary reductions or other adjustments to the same extent they are required of other employees of the University.

E. The University shall pay you an annual housing allowance of Fifteen Thousand and No/100 Dollars (\$15,000), subject to applicable state and federal tax withholding.

## VI. BENEFITS

The University shall provide you with a benefits program as provided generally for its Professional and Administrative employees as described in its policies and Procedures (<http://www.umn.edu/ohr/benefits/summary/>). These programs shall be subject to amendments and modifications by the University.

## VII. RELOCATION

The University will pay for actual and reasonable costs associated with your move, in accordance with the University's relocation policy (<http://www.policy.umn.edu/Policies/Finance/Travel/EmployeeRelocation.html>). In accordance with the policy, relocation expenses reimbursed will not exceed Twenty Thousand and No/100 Dollars (\$20,000).

## VIII. SEPARATION

A. Your appointment as Chancellor of the University of Minnesota Crookston is an L appointment, which means you serve at the pleasure of your appointing authority. Your appointment may be terminated without any required notice period.

B. In the event you are separated from your administrative position, you may be eligible for certain benefits provided by the University, in accordance with University policy. Any exception from or waiver of University policy related to your separation must be approved by the Board of Regents.

C. If you are a faculty member at the end of your administrative appointment, you may return to the faculty at your established faculty salary.

#### IX. UNIVERSITY POLICIES AND GENERAL CONDITIONS

A. Your appointment is subject to the University's policies and procedures that govern your position (<http://policy.umn.edu/>), which may be amended from time to time.

B. **Amendment.** Any amendment to this Agreement shall be in a writing executed and delivered by the parties.

C. **Parties In Interest/Assignment.** This Agreement shall be binding upon and the benefits and obligations provided for herein shall inure to the parties hereto and their respective heirs, legal representatives, successors, assigns, transferees or donees, as the case may be. No portion of this Agreement shall be assignable without the prior written consent of the other party.

D. **Effect of Prior Agreements.** This Agreement is intended by the parties as the final and binding expression of their contract and agreement and as the complete and exclusive statement of the terms thereof. This Agreement supersedes and revokes all prior negotiations, representations, and agreements, whether oral or written, relating to the subject matter hereof.

E. **Enforceability.** If any provision contained herein shall be deemed or declared unenforceable, invalid, or void, the same shall not impair any of the other provisions contained herein, which shall be enforced in accordance with their respective terms.

F. **Construction.** The headings preceding and labeling the sections of this Agreement are for the purpose of identification only and shall not in any event be employed or used for the purpose of construction or interpretation of any portion of this Agreement. No waiver by any party of any default or nonperformance hereunder shall be deemed a waiver of any subsequent default or nonperformance. As used herein and where necessary, the singular shall include the plural and vice versa, and masculine, feminine and neuter expressions shall be interchangeable.

#### X. BOARD OF REGENTS APPROVAL AND APPROVAL OF TENURED APPOINTMENT

This agreement is subject to the approval of the Board of Regents. This agreement is also subject to the approval of the faculty appointment provided for in Section IV of this agreement.


IN WITNESS WHEREOF, the undersigned have caused this Agreement to be executed as of the date first shown above.

By:   
Dr. Mary Holz-Clause

**REGENTS OF THE UNIVERSITY OF MINNESOTA**

By:   
Eric W. Kaler  
President

Approved as to Form and Execution

By:   
Douglas R. Peterson  
General Counsel

**Faculty & Staff Affairs Committee**  
**Consent Report**  
**May 12, 2017**

***Personnel Appointment***

Pending approval by the Board of Regents, Carol Strohecker will be appointed Dean of the College of Design, effective August 31, 2017.

Position Overview

As dean, Carol will serve as the chief executive officer and chief academic officer of the College of Design. She will provide strategic and intellectual leadership and administrative oversight for the school and will collaborate with other campus deans to advance the University's collective mission. She will also provide visionary leadership and administrative oversight of, and accountability for, the college, including oversight of the responsible planning, stewardship and management of the college's fiscal, capital and human resources. As dean, Carol will promote and represent the college, playing a major leadership role in fundraising, including efforts to secure philanthropic support for its mission. She will also integrate the college and its many vital resources and functions into the broader community – locally, nationally and globally-- garnering support for the College of Design from both internal and external stakeholders.

Appointee's Background and Qualifications

Carol brings to the University a wealth of experience as an innovative and collaborative leader who has advanced interdisciplinary research, education, and creative work in a variety of settings. Most recently, from 2013 to 2016, she was vice provost for academic affairs at the Rhode Island School of Design, in Providence, RI. She served from 2006 to 2013 as inaugural director of the Center for Design Innovation, a multi-campus, multi-disciplinary research and design center of the University of North Carolina system. There she held concurrent roles as chief research officer at the University of North Carolina School of the Arts and as a tenured professor in art and visual studies at UNC's Winston-Salem State University.

Previously she was principal investigator for the Everyday Learning research group at Media Lab Europe--the European research partner of the MIT Media Lab--where she developed a research agenda in design and education and was a member of the executive team.

As vice provost at RISD, she led assessment of the school's academic programs in arts and design as part of school-wide accreditation processes, enhanced ongoing academic program review, and collaborated with faculty and students to improve academic policies supporting student progress. She co-directed an interdisciplinary dual degree program with Brown University, contributed to the development of a campus master plan, and collaborated in a variety of ways to seed or enhance cross-institutional research and community engagement initiatives.

Carol holds a Ph.D. in media arts and sciences and a master of science in visual studies, both from the Massachusetts Institute of Technology. She has published and presented widely on

topics related to learning theory and the development of environments in which people can learn through creative processes. Her portfolio includes creative works in various media, as well as collaborative work in interactive media tools and methods that has resulted in four U.S. patents.

#### Recommended Salary and Appointment Type

Carol Strohecker's annual salary will be \$240,000. Her appointment as Dean of the College of Design is a 100%-time, A-term (12-month), L-type (limited) appointment, reporting to and serving at the pleasure of the Executive Vice President and Provost. The full employment agreement between the University of Minnesota and Carol Strohecker is attached as an exhibit.

#### Individually Negotiated Terms of Employment or Separation Agreements

There are no individually negotiated terms of employment or separation agreements.

#### Comparable Market Data

Benchmarking with CUPA-HR (College and University Professional Association for Human Resources) Executive Survey\* for the position of Dean of Architecture/Design:

25<sup>th</sup> percentile – \$229,786

50<sup>th</sup> percentile – \$264,904

75<sup>th</sup> percentile – \$294,544

The data represent responses from surveys sent to 35 peer/comparison institutions of higher education across 21 states. When determining comparable market data for the University of Minnesota against our peers, there are often distinct differences in positions—their scope and responsibilities—and salaries across institutions of higher education (i.e., the credentials, background and experience that the dean holds; reporting line; scope of responsibilities; size and complexity of the college/school), which may impact the range and validity of the data.

#### Recommendation

The President recommends the appointment of Carol Strohecker as Dean of the College of Design at the University of Minnesota.

\*aged to July 1, 2017

## EMPLOYMENT AGREEMENT

THIS EMPLOYMENT AGREEMENT is entered into as of this <sup>21<sup>st</sup></sup> 15<sup>th</sup> day of March, 2017, by and between Regents of the University of Minnesota, a Minnesota constitutional educational corporation (the "University"), and Carol Strohecker ("Carol Strohecker," "you").

WHEREAS, the University wishes to employ Carol Strohecker as the Dean of the College of Design and Carol Strohecker wishes to accept employment as Dean of the College of Design;

WHEREAS, this Employment Agreement is subject to the approval of the Board of Regents of the University of Minnesota and the completion of a background check satisfactory to the University;

THEREFORE, the University and Carol Strohecker agree as follows, subject to the approval of the Board of Regents:

### I. EMPLOYMENT TERM AND DUTIES

Subject to the terms and conditions of this Agreement and University Policies and Procedures, the University appoints Carol Strohecker as the Dean of the College of Design and she agrees to be so employed by the University for a term commencing on August 31, 2017. The Dean of the College of Design is a 100-percent time, 12-month I appointment in the professional and academic personnel classification who serves as an at-will employee at the pleasure of the Executive Vice President and Provost. As such, you report to and serve at the pleasure of the Executive Vice President and Provost and your appointment may be terminated at any time without advance notification.

### II. DUTIES

During the term of your employment as Dean of the College of Design you will diligently and consciously devote your full-time attention and best efforts in performing and discharging the duties of Dean of the College of Design as they are set forth in the job description for this position (attached) including, but not limited to, the following duties:

- A. Work collaboratively with faculty, students, staff, and others across the University and externally to advance the College's overall quality, reputation, and aspirational goals;
- B. Provide administrative oversight of the College of Design, including overall strategic leadership and accountability; oversee planning, stewardship, and management of fiscal, capital, and human resources of the College of Design;
- C. Promote and represent the interests of the College in positive fashion in private and public forums; serve as a leader for design-centered research, scholarship, teaching, and engagement in the University community and the broader community;
- D. Provide the creative, strategic leadership, resource management skills, and collaborative leadership to leverage the full interdisciplinary breadth of the College of Design, incorporate forward-looking trends in design and higher education, and catalyze new opportunities for innovation and collaboration;

- E. Oversee recruitment and mentorship of faculty leaders and innovators, and recruitment and support of outstanding students;
- F. Support the College of Design through fundraising; lead efforts to secure philanthropic support; and garner support for the College from both internal and external stakeholders;
- G. Promote and strengthen international and multicultural research and education; advance diversity across the College and productive engagement with local and global communities;
- H. Work with other collegiate deans as a member of the Twin Cities Deans Council and advocate for the College in University-level discussions to advance the educational mission of the University and to develop joint educational and research activities;
- I. Perform such other duties as related to your employment position and assigned to you by your appointing authority.

### III. PERFORMANCE

In accordance with University policy, you will receive regular annual performance evaluations and, in accordance with University policy, you will receive a broader systemic review of your performance no later than the end of your third year in the position.

### IV. FACULTY APPOINTMENT

In addition to your appointment as Dean of the College of Design, you will also be considered for appointment as a tenured, full professor in the college, subject to Board of Regents Policy: *Faculty Tenure*. Your appointment requires approval of the faculty as well as the Board of Regents. During the time you serve as Dean of the College of Design you will not receive any compensation for your faculty appointment, but a salary for this appointment will be established each year by the University, based on the average increase to base of your same-ranked collegiate peers. In the event you no longer are employed as Dean of the College of Design and retain this faculty appointment, this will be your established faculty salary.

### V. COMPENSATION

- A. Subject to the terms of this Agreement for all services provided by you on behalf of the University, the University shall pay you an annual salary of Two Hundred and Forty Thousand and No/100 Dollars (\$240,000).
- B. All base salary shall be paid in accordance with the University's regular payroll procedures for Professional and Administrative employees and shall be subject to withholding for applicable federal and state income taxes, federal social security taxes, and other applicable taxes and deductions.
- C. In accordance with University policies and procedures, you shall be eligible for salary increases on an annual basis based upon the evaluation of the appointing authority or his/her designee.
- D. The base salary is subject to furloughs, pay freezes, salary reductions or other adjustments to the same extent they are required of other employees of the University.



## VI. BENEFITS

The University shall provide you with a benefits program as provided generally for its Professional and Administrative employees as described in its policies and Procedures (<http://www.umn.edu/ohr/benefits/summary/>). These programs shall be subject to amendments and modifications by the University.

## VII. RELOCATION

The University will pay for relocation costs associated with your move by means of a lump sum equivalent to one month's salary (\$20,000) in accordance with the University's relocation policy (<http://www.policy.umn.edu/Policies/Finance/Travel/EmployeeRelocation.html>).

## VIII. SEPARATION

- A. Your appointment as Dean of the College of Design is an L appointment, which means you serve at the pleasure of your appointing authority. Your appointment may be terminated without any required notice period.
- B. In the event you are separated from your administrative position, you may be eligible for certain benefits provided by the University, in accordance with University policy. Any exception from or waiver of University policy related to your separation must be approved by the Board of Regents.
- C. If you are a faculty member at the end of your administrative appointment, you may return to the faculty at your established faculty salary.

## IX. UNIVERSITY POLICIES AND GENERAL CONDITIONS

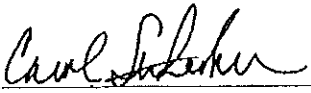
- A. Your appointment is subject to the University's policies and procedures that govern your position (<http://policy.umn.edu/>), which may be amended from time to time.
- B. **Amendment.** Any amendment to this Agreement shall be in a writing executed and delivered by the parties.
- C. **Parties In Interest/Assignment.** This Agreement shall be binding upon and the benefits and obligations provided for herein shall inure to the parties hereto and their respective heirs, legal representatives, successors, assigns, transferees or donees, as the case may be. No portion of this Agreement shall be assignable without the prior written consent of the other party.
- D. **Effect of Prior Agreements.** This Agreement is intended by the parties as the final and binding expression of their contract and agreement and as the complete and exclusive statement of the terms thereof. This Agreement supersedes and revokes all prior negotiations, representations, and agreements, whether oral or written, relating to the subject matter hereof.
- E. **Enforceability.** If any provision contained herein shall be deemed or declared unenforceable, invalid, or void, the same shall not impair any of the other provisions contained herein, which shall be enforced in accordance with their respective terms.

F. **Construction.** The headings preceding and labeling the sections of this Agreement are for the purpose of identification only and shall not in any event be employed or used for the purpose of construction or interpretation of any portion of this Agreement. No waiver by any party of any default or nonperformance hereunder shall be deemed a waiver of any subsequent default or nonperformance. As used herein and where necessary, the singular shall include the plural and vice versa, and masculine, feminine and neuter expressions shall be interchangeable.

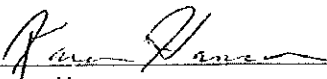
**X. BOARD OF REGENTS APPROVAL  
AND APPROVAL OF TENURED APPOINTMENT**

This agreement is subject to the approval of the Board of Regents and a background check that is satisfactory to the University. This agreement is also subject to the approval of the faculty appointment provided for in Section IV of this agreement.

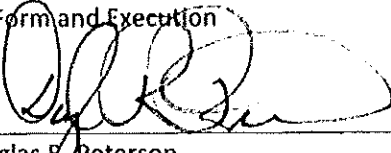
**IN WITNESS WHEREOF**, the undersigned have caused this Agreement to be executed as of the date first shown above.

By:   
Carol Strohecker

**REGENTS OF THE UNIVERSITY OF MINNESOTA**

By:   
Karen Hanson  
Executive Vice President and Provost

Approved as to Form and Execution

By:   
Douglas R. Peterson  
General Counsel

**Faculty & Staff Affairs Committee**  
**Consent Report**  
**May 12, 2017**

***Personnel Appointment***

Pending approval by the Board of Regents, Laura Bloomberg will be appointed Dean of the Hubert H. Humphrey School of Public Affairs, effective June 12, 2017, for a two-year term, with a national search to be launched in 2018.

Position Overview

As dean, Laura will serve as the chief executive officer and chief academic officer of the Hubert H. Humphrey School of Public Affairs. She will provide strategic and intellectual leadership and administrative oversight for the school and will collaborate with other campus deans to advance the University's collective mission. She will also provide visionary leadership and administrative oversight of, and accountability for, the school, including oversight of the responsible planning, stewardship and management of the school's fiscal, capital and human resources. As dean, Laura will promote and represent the school, playing a major leadership role in fundraising and in efforts to secure philanthropic support for its mission. She will also integrate the school and its many vital resources and functions into the broader community – locally, nationally and globally-- garnering support for the Humphrey School from both internal and external stakeholders.

Appointee's Background and Qualifications

As the school's associate dean since early 2013, Laura has contributed substantially to new programs and collaborations critical to the success of the Humphrey School. She has worked successfully with faculty, students, and staff within the school, and community members beyond the school, to advance the quality of academic programs, to strengthen financial resources, and to raise the school's national ranking into the top 10.

Prior to becoming associate dean, Laura was executive director of the Center for Integrative Leadership, a joint initiative of the Humphrey School, Carlson School of Management, School of Public Health and College of Education and Human Development. As a member of the Humphrey School graduate faculty since 2007, Laura has taught courses on leadership and management, educational innovation, and program evaluation. She holds a Ph.D., in educational policy and administration, from the University of Minnesota, and a master of science, in educational psychology and measurement, from Cornell University. Her research focuses on community-based leadership, public value creation, cross-cultural dialogue, and educational policy.

Laura's experience as associate dean and principal academic officer of the Humphrey School over the past four years will serve the school well. She will provide valuable leadership continuity for newly launched initiatives and effective strategic oversight as the school turns toward planning for the future.

### Recommended Salary and Appointment Type

Laura Bloomberg's annual salary will be \$240,000. Her appointment as Dean of the Hubert H. Humphrey School of Public Affairs is a 100%-time, A-term (12-month), L-type (limited) appointment, reporting to and serving at the pleasure of the Executive Vice President and Provost. The full employment agreement between the University of Minnesota and Laura Bloomberg is attached as an exhibit.

### Individually Negotiated Terms of Employment or Separation Agreements

There are no individually negotiated terms of employment or separation agreements.

### Comparable Market Data

Benchmarking with the *Annual Review of Senior Leader Compensation*, presented to the Board of Regents in December, 2016, shows comparative base salary data\* for the position of Dean of the Hubert H. Humphrey School of Public Affairs as follows:

25<sup>th</sup> percentile – \$302,900

50<sup>th</sup> percentile – \$322,900

75<sup>th</sup> percentile – \$339,000

The data represent responses from surveys sent to 35 peer/comparison institutions of higher education across 21 states. When determining comparable market data for the University of Minnesota against our peers, there are often distinct differences in positions—their scope and responsibilities—and thus salaries across institutions of higher education (i.e., the credentials, background and experience that the dean holds; reporting line; size and complexity of the college/school), which may impact the range and validity of the data.

### Recommendation

The President recommends the appointment of Laura Bloomberg as Dean of the Hubert H. Humphrey School of Public Affairs at the University of Minnesota.

\*salary data taken from the 9<sup>th</sup> payroll of fiscal year 2017

## EMPLOYMENT AGREEMENT

**THIS EMPLOYMENT AGREEMENT** is entered into as of this 14th day of April, 2017, by and between Regents of the University of Minnesota, a Minnesota constitutional educational corporation (the "University"), and Laura Bloomberg ("Laura Bloomberg," "you").

**WHEREAS**, the University wishes to employ Laura Bloomberg as the Dean of the Hubert H. Humphrey School of Public Affairs and Laura Bloomberg wishes to accept employment as Dean of the Hubert H. Humphrey School of Public Affairs;

**WHEREAS**, this Employment Agreement is subject to the approval of the Board of Regents of the University of Minnesota and the completion of a background check satisfactory to the University;

**THEREFORE**, the University and Laura Bloomberg agree as follows, subject to the approval of the Board of Regents:

### I. EMPLOYMENT TERM AND DUTIES

Subject to the terms and conditions of this Agreement and University Policies and Procedures, the University appoints Laura Bloomberg as the Dean of the Hubert H. Humphrey School of Public Affairs and she agrees to be so employed by the University for a two-year term commencing on June 12, 2017, and continuing up to June 15, 2019. The Dean of the Hubert H. Humphrey School of Public Affairs is a 100-percent time, 12-month appointment in the professional and academic personnel classification who serves as an at-will employee at the pleasure of the Executive Vice President and Provost. As such, you report to and serve at the pleasure of the Executive Vice President and Provost and your appointment may be terminated at any time without advance notification.

### II. DUTIES

During the term of your employment as Dean of the Hubert H. Humphrey School of Public Affairs you will diligently and consciously devote your full-time attention and best efforts in performing and discharging the duties of Dean of the Hubert H. Humphrey School of Public Affairs as they are set forth in the job description for this position (attached) including, but not limited to, the following duties:

- A. Work collaboratively with Humphrey School faculty, students, staff, and others across the University and externally to advance the School's overall quality, reputation, and aspirational goals;
- B. Provide administrative oversight of the School, including overall strategic leadership and accountability; oversee planning, stewardship, and management of fiscal, capital, and human resources of the School;
- C. Promote and represent the interests of the School in positive fashion in private and public forums; serve as a leader for public policy research, scholarship, teaching, and engagement in the University community and the broader community;

- D. Provide the creative, strategic leadership, resource management skills, and collaborative leadership to leverage the full interdisciplinary breadth of the School, incorporate forward-looking trends in public affairs and higher education, and catalyze new opportunities for innovation and collaboration;
- E. Oversee recruitment and retention of outstanding faculty, students and staff;
- F. Support the School through fundraising; lead efforts to secure philanthropic support; and garner support for the School from both internal and external stakeholders;
- G. Promote and strengthen international and multicultural research and education; advance diversity across the School and productive engagement with local and global communities;
- H. Work with other deans as a member of the Twin Cities Deans Council and advocate for the School in University-level discussions to advance the educational mission of the University and to develop joint educational and research activities;
- I. Perform such other duties as related to your employment position and assigned to you by your appointing authority.

### III. PERFORMANCE

In accordance with University policy, you will receive regular annual performance evaluations.

### IV. COMPENSATION

- A. Subject to the terms of this Agreement for all services provided by you on behalf of the University, the University shall pay you an annual salary of Two Hundred and Forty Thousand and No/100 Dollars (\$240,000).
- B. All base salary shall be paid in accordance with the University's regular payroll procedures for Professional and Administrative employees and shall be subject to withholding for applicable federal and state income taxes, federal social security taxes, and other applicable taxes and deductions.
- C. In accordance with University policies and procedures, you shall be eligible for salary increases on an annual basis based upon the evaluation of the appointing authority or his/her designee.
- D. The base salary is subject to furloughs, pay freezes, salary reductions or other adjustments to the same extent they are required of other employees of the University.

### IV. BENEFITS

The University shall provide you with a benefits program as provided generally for its Professional and Administrative employees as described in its policies and Procedures (<http://www.umn.edu/ohr/benefits/summary/>). These programs shall be subject to amendments and modifications by the University.

## VIII. SEPARATION

- A. Your appointment as Dean of the Hubert H. Humphrey School of Public Affairs is an L appointment, which means you serve at the pleasure of your appointing authority. Your appointment may be terminated without any required notice period.
- B. In the event you are separated from your administrative position, you may be eligible for certain benefits provided by the University, in accordance with University policy. Any exception from or waiver of University policy related to your separation must be approved by the Board of Regents.
- C. If you are a faculty member at the end of your administrative appointment, you may return to the faculty at your established faculty salary.

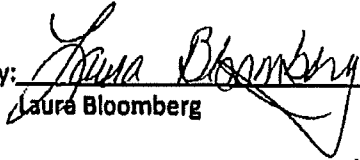
## IX. UNIVERSITY POLICIES AND GENERAL CONDITIONS

- A. Your appointment is subject to the University's policies and procedures that govern your position (<http://policy.umn.edu/>), which may be amended from time to time.
- B. **Amendment.** Any amendment to this Agreement shall be in a writing executed and delivered by the parties.
- C. **Parties In Interest/Assignment.** This Agreement shall be binding upon and the benefits and obligations provided for herein shall inure to the parties hereto and their respective heirs, legal representatives, successors, assigns, transferees or donees, as the case may be. No portion of this Agreement shall be assignable without the prior written consent of the other party.
- D. **Effect of Prior Agreements.** This Agreement is intended by the parties as the final and binding expression of their contract and agreement and as the complete and exclusive statement of the terms thereof. This Agreement supersedes and revokes all prior negotiations, representations, and agreements, whether oral or written, relating to the subject matter hereof.
- E. **Enforceability.** If any provision contained herein shall be deemed or declared unenforceable, invalid, or void, the same shall not impair any of the other provisions contained herein, which shall be enforced in accordance with their respective terms.
- F. **Construction.** The headings preceding and labeling the sections of this Agreement are for the purpose of identification only and shall not in any event be employed or used for the purpose of construction or interpretation of any portion of this Agreement. No waiver by any party of any default or nonperformance hereunder shall be deemed a waiver of any subsequent default or nonperformance. As used herein and where necessary, the singular shall include the plural and vice versa, and masculine, feminine and neuter expressions shall be interchangeable.


## X. BOARD OF REGENTS APPROVAL

This agreement is subject to the approval of the Board of Regents and a background check that is satisfactory to the University.

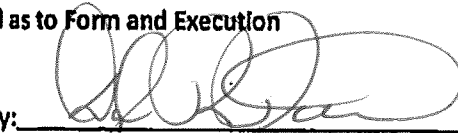
**IN WITNESS WHEREOF**, the undersigned have caused this Agreement to be executed as of the date first shown above.

By:   
Laura Bloomberg

**REGENTS OF THE UNIVERSITY OF MINNESOTA**

By:   
Karen Hanson  
Executive Vice President and Provost

**Approved as to Form and Execution**

By:   
Douglas R. Peterson  
General Counsel



**Faculty & Staff Affairs Committee**  
**Consent Report**  
**May 11, 2017**

***Amendment to Employment Agreement***

Pending approval by the Board of Regents, Richard Pitino's employment agreement as Head Men's Basketball Coach, University of Minnesota, Twin Cities, will be amended.

Position Overview

Head men's basketball coach is a leadership position reporting directly to the athletics director. The head coach must demonstrate an ability to build and maintain a men's basketball program of approximately 25 students and staff that achieves at high levels academically, athletically and socially. As one of the most visible head coach among the more than 20 head coaches within Intercollegiate Athletics (ICA), the head men's basketball coach must also be a strong collaborator, working with ICA staff and campus leadership as an advocate for the men's basketball program and to advance the missions of ICA and the University.

It is expected the head men's basketball coach will oversee all aspects of the program and its operations. These expectations include:

- developing and maintaining a competitive intercollegiate men's basketball program within the NCAA and Big Ten Conference;
- leading the recruitment/hiring, goal setting, coaching and performance review of all men's basketball staff;
- directing all aspects of men's basketball staff in recruiting, practice and game competitions;
- evaluating and recruiting qualified student-athletes to the University of Minnesota whose athletic skills make them highly competitive in the Big Ten and whose academic abilities make them good candidates for a meaningful academic experience and graduation from the University of Minnesota;
- instructing and teaching student-athletes in fundamentals of basketball technique and strategy;
- planning and executing practice and competition plans, including the evaluation of opponents;
- assisting in monitoring the academic performance of student-athletes to help them achieve full potential;
- providing opportunities for student-athletes to develop life and leadership skills;
- managing program's administrative responsibilities, including budget planning and management, scheduling of competitions and planning and executing team travel;
- establishing and maintaining effective relationships within the athletics department, the University, community, booster clubs, alumni, high school coaches, media and the general public;
- assisting with departmental or University fund raising and public relations;
- representing the men's basketball program in fulfilling contacts with or requests from, the news media, including appearances on radio and television;
- assisting in advancing the department's mission, vision, and strategic plan, including its commitment to equity and diversity;
- adhering to all rules and regulations of the department, the University, the Big Ten Conference, and the NCAA; and,

- representing in a positive fashion the University and its athletic programs in private and public forums.

#### Appointee Background and Qualifications

Head Coach Richard Pitino took over as the head coach of the Gopher men's basketball program in 2013 and immediately led his team to a program-record 25 victories and a National Invitational Tournament (NIT) championship. Though those 25 wins remain the program's highest total for a single season, it's inarguable that last season was the best for the program under Coach Pitino's guidance. Last year, Pitino's team set new program records and accomplished milestones that the program had not reached in decades.

Pitino oversaw the greatest single-season turnaround of any Division I men's basketball program last year, improving the Gophers' win total by 16 and marking a return to the NCAA Tournament. Under Pitino's watch, Minnesota set a new program record with 23 regular season victories. That total was driven, in part, by eight-straight Big Ten wins, the team's longest conference winning streak since 1973. The team's 11-7 record in conference play was its highest single-season Big Ten win total in more than a quarter-century, and its fourth-place finish in the league standings was its best in 12 years. Four individual Gophers were recognized this year in All-Big Ten and Pitino, for his efforts, was named Big Ten Coach of the Year by the conference head coaches and the media. That success was built on a sustainable foundation, as Coach Pitino will return four starters and 12 contributors from what was among the nation's youngest teams this past season.

One of the nation's youngest head coaches and second-youngest at a Power 5 conference school, Pitino has posted a 75-61 overall record in his four seasons at the helm. He has presided over three winning seasons while at Minnesota.

#### Background Information

Coach Pitino's initial employment agreement as men's basketball coach went into effect on April 14, 2013. A first amendment to the employment agreement went into effect on August 14, 2015. A second amendment to the employment agreement went into effect on January 1, 2017 that did not change the financial terms, but simply clarified language related to travel.

#### Summary of Amendment to the Employment Agreement

This third amendment would add one year to Coach Pitino's existing employment agreement with the University, with the additional year not guaranteed. Both parties would have the right to terminate the contract after April 30, 2021 without any financial obligations to the other. This contract amendment does not change Coach Pitino's salary, which will remain at \$1.6 million per each year of the agreement (this amount includes both his base salary and supplemental compensation as outlined in the employment agreement). It also does not change the financial conditions tied to either Coach Pitino or the University terminating this contract without just cause. The change in compensation included in this amendment is the addition of four retention bonuses that will be paid to Coach Pitino if he is still head coach on specific dates and his team is compliant with the NCAA's Academic Progress Rate (APR). The new retention bonuses are as follows:

- \$250,000 to be paid on August 1, 2017
- \$250,000 to be paid on April 30, 2020
- \$550,000 to be paid on April 30, 2021
- \$650,000 to be paid on April 30, 2022

#### Comparable Market Data

The inclusion of the retention bonuses in the amendment to the employment agreement will increase Coach Pitino's average annual compensation over the duration of the contract to approximately \$2 million, which will place him 9th among the 14 Big Ten Conference coaches in annual compensation.

#### Recommendation

The president recommends approval of the amendment to the employment agreement for Richard Pitino as Head Men's Basketball Coach, University of Minnesota, Twin Cities.

### THIRD AMENDMENT TO EMPLOYMENT AGREEMENT

This is a third contractual amendment to the Employment Agreement between the University of Minnesota (“the University”), on behalf of its Department of Intercollegiate Athletics on the Twin Cities campus (“the Department”), and Richard Pitino (“Coach”), entered into effective April 14, 2013 (“Employment Agreement”), as amended effective August 14, 2015 (“First Amendment”) and amended again effective January 1, 2017 (“Second Amendment”). The University and Coach do now mutually desire to amend certain terms of the Employment Agreement by entering into this third amendment to the Employment Agreement (“Third Amendment”), effective May 13, 2017.

**NOW, THEREFORE**, in consideration of the mutual promised and covenants contained in this Third Amendment, and such other good and valuable consideration, the receipt and sufficiency of which the parties hereby acknowledge, the parties agree to amend their Employment Agreement as follows:

**1. Paragraph 1.1 is deleted and replaced with the following:**

**1.1 Term.** Subject to the terms and conditions of this Agreement, the University hereby employs Coach as the head coach of its intercollegiate Men’s Basketball team at the University of Minnesota (Twin Cities campus), and Coach agrees to be so employed by the University, for a term commencing on April 8, 2013, and ending on April 30, 2022 (the “Term of Employment”).

**2. Paragraph 2.6 is deleted and replaced with the following:**

**2.6 Contract Fulfillment Incentive.** The University shall pay to Coach the following amounts:

- a. \$250,000 to be paid on August 1, 2017
- b. \$450,000 to be paid on April 30, 2019
- c. \$250,000 to be paid on April 30, 2020
- d. \$550,000 to be paid on April 30, 2021
- e. \$650,000 to be paid on April 30, 2022

In order to earn any payment under this paragraph, Coach must be employed by the University as its head coach for men’s basketball on the dates set forth above, and the men’s basketball team must be fully APR compliant (compliant APR score with no penalties) on the dates set forth above.

3. Paragraph 3.2.1 is deleted and replaced with the following:

3.2.1 The University may terminate this Agreement at any time, without just cause, upon 30 days' prior written notice to Coach. If such termination occurs on or before April 30, 2021, the University shall pay Coach a Termination Fee of one-half the base salary under Section 2.1.1 and the full amount of supplemental compensation under Section 2.1.2, including guaranteed increases provided in those sections, that would otherwise have been payable to Coach through April 30, 2021, had the Agreement continued through that date. If termination occurs after April 30, 2021, there will be no Termination Fee. Any Termination Fee paid under this Section 3.2 shall be subject to withholding for applicable federal and state income taxes, federal social security taxes, and all other applicable taxes and deductions. Payments under this Section 3.2 shall be made on a monthly basis in accordance with the following schedule:

a. The first installment will be equal to the amount of federal, state, and local income tax and the amount of FICA withholding that would have been remitted by the University if there had been a payment of wages to Coach on the date of his involuntary termination equal to the income includible by Coach on the Termination Fee under Section 457(f) of the Internal Revenue Code. This installment will be paid within sixty (60) days following the date of involuntary termination.

b. The second and remaining installments will be paid over the remaining Term of Employment in substantially equal monthly amounts.

If the University makes any payment under this Section 3.2, Coach waives the right to seek additional compensation or damages from the University. Termination under this Section 3.2 shall supersede all rights Coach may have under the Policies and Procedures including but not limited to any rights to notice or layoff programs.

4. Except as expressly provided in this Amendment, each and every term and condition of the Employment Agreement shall remain unchanged.

IN WITNESS WHEREOF, the undersigned have caused this Amendment to be effective as of the date first shown above.


Date: 4/7/17



Richard Pitino  
Head Men's Basketball Coach

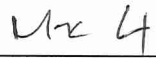
**REGENTS OF THE UNIVERSITY OF  
MINNESOTA**

Date: 4/22/17

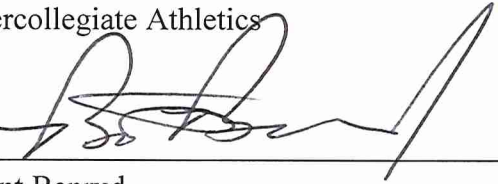
By:   
Eric Kaler  
President

Recommended for Approval:

Date: 4/7/2017

By:   
Mark Coyle, Director  
Intercollegiate Athletics

Date: 5/1/17

By:   
Brent Benrud  
Senior Associate General Counsel

## **Tenured Outside Hires**

The decision of the Board of Regents to confer tenure and rank for any individual faculty hire from outside the University of Minnesota becomes effective on the first day of that faculty member's academic appointment at the University.

### **Tenured Hires for the May 2017 Board of Regents meeting - Twin Cities campus Recommended by Executive Vice President and Provost Karen Hanson**

#### **Elisia Cohen**

**Professor with tenure  
School of Journalism and Mass Communication  
College of Liberal Arts**

Elisia Cohen received her doctorate from the Annenberg School for Communication at the University of Southern California in 2003. A tenured professor in Department of Communication at the University of Kentucky, she served as chair of that department from 2013 to the present. Dr. Cohen's research concerns the strategic use of communication to promote positive health outcomes for at-risk populations. Her work examines communication interventions to promote vaccination for preventable disease, as well as patient-centered communication to promote effective cancer prevention and treatment. Dr. Cohen's research is published in top scholarly journals and she has received substantial research funding. She brings with her a stellar teaching and advising record as well as an extra-ordinary record of service and leadership experience. Dr. Cohen has been appointed director of the School of Journalism and Mass Communication in the College of Liberal Arts Effective June 30, 2017,

#### **Joseph Neil Henderson**

**Professor with tenure  
Biobehavioral Health and Population Sciences  
Medical School, Duluth Campus**

Dr. Henderson received his Ph.D. in Medical Anthropology from the University of Florida in 1979. Prior to his appointment as executive director of the Memory Keepers Medical Discovery Team at the University of Minnesota Medical School, Duluth campus, he served as the Edith K. Gaylord Presidential Professor at the University of Oklahoma Health Sciences Center. Dr. Henderson is an internationally recognized expert on Alzheimer's disease and other dementias in American Indian tribes. He has a long record of obtaining federal funding for his work on the relationship between dementias and diabetes. He has made strong contributions in education and service with a particular focus on developing and supporting young investigators in the field. He also serves as a permanent member of an NIH study section and has served as president of the Association of Anthropology & Gerontology.

**Catherine Kotz**

**Professor with tenure  
Integrative Biology and Physiology  
Medical School**

Dr. Kotz received her Ph.D. in nutrition from the University of Minnesota in 1993. She is currently a research biologist at the VA Healthcare System in Minneapolis where she also serves as director of the MN Obesity Center Neuromodulation Core. Her research focuses on neurophysiological aspects of metabolism and body weight regulation. External reviewers remark on her a stellar research and publication record and she has obtained considerable funding as principal investigator including from the VA and the NIH. Her service record includes commendable service as a journal reviewer, including her role as the associate editor of *Frontiers in Nutrition Methodology*. Dr. Kotz is a gifted teacher and adviser, having served on the graduate faculty of several University of Minnesota departments, including Neuroscience, Physiology, and Nutrition.

**Nathan Mara**

**Associate professor with tenure  
Chemical Engineering and Materials Science  
College of Science and Engineering**

Dr. Mara received his Ph.D. in materials science and engineering from the University of California – Davis in 2005 followed by a prestigious Director’s Postdoctoral Fellowship at Los Alamos National Laboratory from 2005-2008. He is currently employed as a staff scientist and deputy director of the Institute for Materials Science at Los Alamos National Laboratory. Dr. Mara’s research focuses on the synthesis and characterization of nanostructured metals for applications in load bearing structures, armor, and light weight vehicles. He is an expert in the structure-property relationships in metals and dislocation science in general. Dr. Mara’s work has won him wide recognition in the materials science community. He has won two major young investigator awards – the International Journal of Plasticity Young Investigator Award and the TMS Young Leaders Professional Development Award – and his work has been described in over 100 co-authored publications. In addition to teaching responsibilities at University of California – Davis, Dr. Mara has advised several graduate students and post-docs during his tenure at Los Alamos National Laboratory.



## **Appointments to the Board of Trustees of the Minnesota Landscape Arboretum Foundation**

Members of the Board of Trustees of the Minnesota Landscape Arboretum Foundation (Foundation) are appointed in accordance with Board of Regents Policy: *Appointments to Organizations and Boards*. The Board of Regents appoints one-fourth of the Foundation Board's membership. The Foundation Board currently has 32 members, thereby requiring eight Regent Designated Trustees. They have, however, requested nine regent appointees, anticipating their total Board membership may increase during the 2017-2018 year.

### **There is one recommended reappointment and two recommended new appointments:**

**Reappointment: Brian Buhr** was named Dean of CFANS in May, 2014, after serving as Interim Dean since August, 2013. Prior to that, Dr. Buhr held the position of Professor and Head of the Department of Applied Economics at the University of Minnesota since 2009. He completed his Ph.D. at Iowa State University in 1992 with a major in economics. In the summer of 1999, Brian began a one-year leave to work with E-Markets, Inc., an Agricultural Internet commerce firm. There he was engaged primarily in product development, including auction mechanisms and exchange algorithms. Dr. Buhr has also published and spoken extensively in the areas of marketing contracts, value-added production, price analysis, structural change and of experimental economics. Dr. Buhr resides in Chisago City with his wife, Michelle.

**New appointment: Ron Olson** is a retired General Mills Vice President of Grain Operations, and former Chairman of the National Grain and Feed Assn, former Chairman of the Minneapolis Grain Exchange, and Advisory board on sustainability and biotechnology for USDA. Mr. Olson provided strategic and operational leadership for all aspects of the grain division. He managed a network of county and terminal elevators, and was involved in commodity risk management, inter-company relationships with marketing division, R & D and quality/regulatory groups. Mr. Olson helped to start a Charter School - Agricultural & Food Sciences Academy. Mr. Olson received his Master's degree in Economics, and undergraduate degree in Agricultural Business from Iowa State University. Mr. Olson resides in Bloomington with his wife, Lynn, who is also a valuable Arboretum volunteer.

**New appointment: Jenny Verner** is President of Cargill's Specialty Seeds & Oils Business Unit, responsible for the success of healthy solutions with oil customers and leading seed technology for grower customers. In her 33 years with Cargill, she has held a variety of roles in merchandising, transportation, general management and sales. Ms. Verner serves on the Board of Directors for Minnwest Corporation, a financial services enterprise; on the board of Women Venture, a non-profit focused on helping women succeed as entrepreneurs; and is a member of the United Way Tocqueville Society Cabinet. She received a BA in Economics and a BA in French from the University of Minnesota in 1981. Ms. Verner resides in Chaska with her husband and has four grown children.

**Current Regents Trustees on the Foundation Board:**

- Gordon Bailey
- John Bryant
- Brian Buhr
- Susan Campbell (retires June 30, 2017)
- Linda Cutler
- Emily Hoover
- Thomas Martin
- Joseph Tashjian (resigned March, 2017)
- Susan Bachman West



# BOARD OF REGENTS DOCKET ITEM SUMMARY

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**Faculty & Staff Affairs**

**May 11, 2017**

**AGENDA ITEM:** Information Items

**Review**

**Review + Action**

**Action**

**Discussion**

*This is a report required by Board policy.*

**PRESENTERS:** Kathryn F. Brown, Vice President, Office of Human Resources

## **PURPOSE & KEY POINTS**

The purpose of this item is to inform the Board of Regents of noteworthy items, administrative actions, and local, regional, and national policy issues affecting University units and departments. Specific items covered include personnel highlights, University highlights, and faculty and staff activities and awards.

## **BACKGROUND INFORMATION**

This Information Report appears as a regular item on the Faculty & Staff Affairs Committee agenda.

## UNIVERSITY OF MINNESOTA

### BOARD OF REGENTS

May 11, 2017

#### Faculty and Staff 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, rather, 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 and staff affairs.*

#### **Personnel**

Matt Kramer is the University's new vice president for university and government relations. He previously served as the President and Chief Executive Officer for the Saint Paul Area Chamber of Commerce. Prior to that, he worked at the University of Minnesota in the Office of Business Relations and was Governor Pawlenty's commissioner of the Department of Employment and Economic Development. Kramer received his Ed.D. in Leadership from Creighton University, his M.A. in Organizational Leadership from Bethel University, and his B.S. from the University of Minnesota.

Lynda Welage was named dean of the College of Pharmacy, effective July 31. As dean, Welage will be chief executive officer and chief academic officer of the College of Pharmacy, which spans the Twin Cities and Duluth campuses. She comes to UMTC from the University of New Mexico in Albuquerque, where she has served since 2011 as professor of pharmacy practice and administrative sciences, and dean of the College of Pharmacy. She holds both a doctor of pharmacy degree from the State University of New York at Buffalo and a bachelor of science degree in pharmacy from the University of Michigan.

#### **University Highlights**

The School of Journalism and Mass Communication will become the Hubbard School of Journalism and Mass Communication. The name change, which officially takes effect July 1, honors the family that founded, owns, and operates Hubbard Broadcasting.

A geosciences outreach app developed by University of Minnesota researchers is a winner of the 15th Annual Vizzies, a national competition sponsored by *Popular Science* magazine and the National Science Foundation (NSF) celebrating the use of visual media to artfully and clearly communicate scientific data and research.

The University of Minnesota ranks 15th in the world in the fields of business and economics according to Times Higher Education's 2016-17 World University Rankings.

The University of Minnesota, Crookston is listed among the "Best Online Colleges in Minnesota" for 2016-17 (at number 2) by Affordable Colleges Online.

The University of Minnesota Landscape Arboretum was named the winner of the 10 Best Readers' Choice Award as Best Botanical Garden in the country. A panel of experts partnered with USA Today to pick the initial 20 nominees, and the top 10 winners were determined by popular vote.

The University of Minnesota Libraries is among 30 finalists for the 2017 National Medal for Museum and Library Service from the Institute of Museum and Library Services. The National Medal is the nation's highest honor given to museums and libraries for service to the community.

The University of Minnesota, Twin Cities, is ranked the 15<sup>th</sup>-best public college in the nation by Business First (Business Journal's sister publication). The formula used was designed to identify the public universities and colleges that offer the best educational experiences to their students.

The Women's Business Development Center - Minnesota (WBDC-MN) selected the University of Minnesota as the recipient of the 2017 Corporate Partner of the Year Award. The award is presented to a WBDC-MN Corporate Member whose supplier diversity program advances local women's business enterprises.

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

Linda Beringer, School of Nursing, was presented the Outstanding Achievement in Adolescent Health and Medicine Award by The Society for Adolescent Health and Medicine. This award recognizes individuals nationally and internationally for their commitment to improving the health and health care resources for adolescents and young adults.

Susanna Blumenthal, Law School received the Merle Curti Award from the Organization of American Historians. The award is given annually to the author of the single best book in American intellectual history. Susanna won for her book, "Law and the Modern Mind: Consciousness and Responsibility in American Legal Culture".

Marie Bodin, veterinary medical center, was awarded the 2017 Veterinary Technician of the Year by the Minnesota Veterinary Medical Association (MVMA).

Michael Broton, Medical School, was named a Rising Star in Family Medicine by the Mpls.St.Paul Magazine's Top Doctor List

Erin Carlson, chemistry, has received the 2017 Rising Star Award, given by the Women Chemists of the American Chemical Society.

Giancarlo Casale, history, has received a Mellon Directions Fellowship. The New Directions Fellowships assist faculty members in the humanities and humanistic social sciences who seek to acquire systematic training outside their own areas of special interest.

Rajdeep Chatterjee, physics and astronomy, was given an award for outstanding young scientists who have made significant contributions to the Compact Muon Solenoid (CMS) experiment.

The American Institute of Architects (AIA) elevated Renee Cheng, architecture, to the AIA College of Fellows, in recognition of her contributions to the profession and society.

Renee Crichlow, Medical School, was selected as the 2017 Family Medicine Educator of the Year by the Minnesota Academy of Family Physicians

Faculty ad Honorem Joanne Disch was named the recipient of the Geraldine “Polly” Bednash Lectureship Award by the American Association of Colleges of Nursing for her accomplishments related to AACN’s Quality and Safety for Nursing Education initiative.

Anand Gopinath, electrical and computer engineering, is the recipient of the 2017 Microwave Application Award of the IEEE Microwave Theory and Techniques Society (MTT-S) for his contributions to the analysis of microstrip lines and their discontinuities.

Megan Gunnar, director of the Institute of Child Development, has been elected into the American Academy of Arts and Sciences (AAAS), one of the nation’s most prestigious honorary societies.

Dean Hewes, communication studies, received the Lifetime Achievement Award from the Small Groups Division of the National Communication Association.

Sarah Hobbie, ecology, evolution and behavior, has been elected into the American Academy of Arts and Sciences (AAAS), one of the nation’s most prestigious honorary societies.

Three College of Science and Engineering chemistry faculty members will receive major awards from the American Chemical Society (ACS) in 2017: Thomas Hoye will receive a 2017 ACS Arthur C. Cope Scholar Award; Lawrence Que Jr. will receive the 2017 ACS Award in Inorganic Chemistry; and William Tolman will receive the 2017 ACS Award for Distinguished Service in the Advancement of Inorganic Chemistry.

Susan Jones, ecology, evolution, and behavior, has been awarded a Guggenheim Foundation Fellowship. This highly competitive, national fellowship is appointed on the basis of prior achievement and exceptional promise.

Heidi Kitrosser, Law School, has been awarded a Guggenheim Foundation Fellowship. This is a highly competitive, national fellowship appointed on the basis of prior achievement and exceptional promise; and the first awarded to a U of M Law School professor.

Vipin Kumar, computer science and engineering, was recently named a 2017 Fellow for the Society of Industrial and Applied Mathematics (SIAM).

Robert Levy, Medical School, was named a Rising Star in Family Medicine by the Mpls.St.Paul Magazine's Top Doctor List.

Carrie Link, Medical School, was named a Rising Star in Family Medicine by the Mpls.St.Paul Magazine's Top Doctor List.

Neil Linscheid, U of M Extension and Catherine Squires, communication studies, have received Bush Fellowships. The Bush Fellowship provides recipients with the resources and guidance to build leadership capacity in their area of focus.

Conor Maki, UMD Dining Services, won the gold medal at the National Association of College and University Food Services (NACUFS) regional conference.

Keith Mays, School of Dentistry, has been elected to a three-year term as Board Director for Sections of the American Dental Education Association.

Ruth Mazo Karras, history, has been elected to be an officer of the Medieval Academy of America. She will serve for three years, culminating in 2019-2020 when she will serve as president of the academy.

Phil Miller, assistant dean of the Carlson MBA Programs, has been elected to the board of the MBA Roundtable, a global association of business schools whose mission is to advance graduate management education through MBA curricular and co-curricular innovation.

Larissa Minicucci, Center for Animal Health and Food Safety, was awarded the 2017 Outstanding Faculty Award by the Minnesota Veterinary Medical Association (MVMA).

Samuel Myers, Jr., received the Marilyn Gittell Activist Scholar Award from the Urban Affairs Association (UAA) and SAGE Publishing. The award honors the contributions of urban scholars who engage in field-based research that incorporates direct engagement with local residents and organizations in the host community for the annual UAA conference.

Jorge Perdigão, School of Dentistry, received the Peyton-Skinner Award from the International Association of Dental Research (IADR) - Dental Materials Group.

Vlad Pribiag, physics and astronomy, has been selected as a 2017 Alfred P. Sloan Research Fellow in Physics.

Sheila Riggs, dentistry, was named to Minnesota Business magazine's "The (Real) Power 50 list", which honors influential business people.

Gillian Roehrig, curriculum and instruction, was elected president of the Association for Science Teachers Education (ASTE), a nonprofit professional organization composed of over 800 members from countries around the globe.

Luverne Seifert, theatre arts & dance, was given a Fox Foundation Distinguished Achievement Award through the Theatre Communications Group.

Stephen Shuman, School of Dentistry, was appointed chair of a new oral health initiative for the Gerontological Society of America.

Andrew Slattengren, Medical School, was named a Rising Star in Family Medicine by the Mpls.St.Paul Magazine's Top Doctor List.

Robert Sterner, director of UMD's Large Lakes Observatory (LLO) has been honored for a paper he wrote in 1994. Sterner is the recipient of the John Martin Award from the Association for the Sciences of Limnology and Oceanography (ASLO), the world's leading professional organization for researchers and educators in aquatic science.

Emily Threinen, music, was inducted into the American Bandmasters Association and is one of only eight band directors from Minnesota to be inducted.

Ian Tonks, chemistry, has been awarded a prestigious Alfred P. Sloan Research Fellowship in Chemistry for 2017.

The Hennepin County Board of Commissioners has named Susan Carlson Weinberg, director of U of M Real Estate, chair of its Capital Budgeting Task Force.

Marlene Zuk, ecology, evolution and behavior, has been elected into the American Academy of Arts and Sciences (AAAS), one of the nation's most prestigious honorary societies.