AGENDA

1. Board of Regents Policy: Employee Work-Life and Personal Leaves - Action - C. Carrier (pp. 2-19)

2. Board of Regents Policy: Employee Compensation and Recognition - Review - C. Carrier (pp. 20-22)


4. Supporting New Faculty at the University of Minnesota - C. Carrier/A. Carney (pp. 26-28)

5. Consent Report - Review/Action - C. Carrier (p. 29)

6. Information Items - C. Carrier (pp. 30-35)
Faculty, Staff, and Student Affairs Committee

February 8, 2007

Agenda Item: Board of Regents Policy: Employee Work-Life and Personal Leaves

☐ review  ☐ review/action  ☒ action  ☐ discussion

Presenters: Vice President Carol Carrier

Purpose:

☒ policy  ☐ background/context  ☐ oversight  ☐ strategic positioning

To take action on the proposed Board of Regents Policy: Employee Work-Life and Personal Leaves.

Outline of Key Points/Policy Issues:

1. This proposed Board policy covering work-life and personal leave opportunities for University employees is one of the comprehensive set of Board of Regents policies on core Human Resource components. These policies have been supported by the Board.

2. This proposed policy describes the University’s commitment to creating a workplace in which employees are supported in their efforts to effectively integrate and manage their work and personal life responsibilities. As a part of this commitment, the University provides leave opportunities that contribute to employee well-being, are supportive of family care concerns, and are aligned with legal requirements.

3. The committee reviewed a draft of the proposed policy at its December 7, 2006 meeting. Based on comments by the committee, an amendment to the policy is proposed, as underlined in Section III (d).

4. The proposed new policy is on pages 4-6 (marked NEW). The policies to be superseded are on pages 7-19.
Background Information:

1. The September 2006 Board of Regents work session on Strengthening Human Resource Policies resulted in Board support for guiding principles for a comprehensive set of Human Resource policies. These policies communicate the strategic directions and values guiding the University’s Human Resource practices. The Faculty, Staff, and Student Affairs Committee reviewed and supported the comprehensive set of Human Resource Board policies.

2. The proposed Board of Regents Policy: Employee Work-Life and Personal Leaves would supersede the following Board policies:
   - Board of Regents Policy: Military Leave – Adopted June 14, 1969
   - Board of Regents Policy: Parental Leave for Academic Employees – Adopted June 10, 1983 and last amended November 9, 1990
   - Board of Regents Policy: Sick and Disability Leaves – Adopted June 10, 1983 and last amended February 8, 2002
   - Board of Regents Policy: Sick Leaves – Adopted May 1, 1929

President's Recommendation for Action:

The President recommends Board adoption of proposed Board of Regents Policy: Employee Work-Life and Personal Leaves.
EMPLEE WORK-LIFE AND PERSONAL LEAVES

SECTION I. SCOPE.

This policy governs the work-life and personal leave opportunities of faculty, academic professional and administrative, civil service, union-represented staff, and graduate assistant employee groups of the University of Minnesota (University).

SECTION II. DEFINITIONS.

Subd. 1. Flexible Work Arrangements. Flexible work arrangements shall mean alternatives to the standard schedule for individual positions, including time-flexible scheduling, compressed work weeks, telecommuting, voluntary reduction in percent time, and job sharing.

Subd. 2. Well-Being. Well-being shall mean the physical, mental, psychological, and emotional health of the employee.

SECTION III. GUIDING PRINCIPLES.

The following principles shall guide the University's workplace:

(a) The University fosters a productive, healthy, and safe workplace that helps employees effectively integrate and manage their work and personal life responsibilities.

(b) The University provides leave opportunities that contribute to employee well-being, support family care concerns, align with legal requirements, and are appropriately benchmarked and consistent with peer institutions.

(c) The University strives to provide for a responsibly managed workplace through careful selection, preparation, and accountability of supervisors, managers, and leaders.

(d) The University seeks to effectively address the personal needs of employees and the needs of their respective units when considering discretionary leave requests.
SECTION IV. WORKPLACE PROVISIONS.

Subd. 1. Policies and Programs. The University shall have policies and programs that engender employee well-being, permit flexibility, provide employees options to help in managing work and personal life responsibilities, and are appropriate to the work to be done.

Subd. 2. Flexible Work Arrangements. If appropriate, the University shall support flexible work arrangements as an effective management tool in building job satisfaction, improving productivity, and retaining employees.

Subd. 3. Healthy Behaviors. The University recognizes the importance of supporting employee well-being through University-sponsored wellness programs and initiatives that encourage healthy behaviors in employees.

SECTION V. LEAVE OPPORTUNITIES.

The University makes available several types of paid and unpaid leaves. To the extent provided for by administrative policies, rules, and collective bargaining agreements, the following leaves may be offered and granted:

(a) bereavement;
(b) civic duty;
(c) disability;
(d) family medical;
(e) medical;
(f) military;
(g) parental;
(h) personal; and
(i) vacation.

SECTION VI. EMPLOYER RESPONSIBILITY.

Subd. 1. Leadership Accountability. University leaders, managers, and supervisors shall be held accountable and recognized for excellence in efforts that foster workplace cultures that address the business needs of the University and unit and that promote employee well-being.
Subd. 2. Administration. Leaves of absence, flexible work arrangements, and programs that promote healthy behaviors shall be administered consistent with applicable administrative policies, rules, and collective bargaining agreements.

SECTION VII. EMPLOYEE RESPONSIBILITY.

The University expects employees to exercise responsibility for contributing to a welcoming, inclusive, and positive workplace by respecting students and other employees; valuing multiple perspectives; and supporting each other in effectively managing work and life responsibilities. Employees shall be held accountable for workplace behaviors consistent with all applicable Board and administrative policies, rules, and collective bargaining agreements.

FAMILY AND PERSONAL LEAVES WITHOUT PAY

Subd. 1. **Senior Administrator.** “Senior administrator” means the president, chancellor, provost, senior vice president, or vice president, as appropriate.

Subd. 2. **Applicability.** This policy applies to all academic faculty, professional, and administrative staff who hold appointments for nine months or longer. It does not apply to the student/professional training classes (95XX).

Subd. 3. **Family Leaves.** An academic employee may, upon request, extend the leave of absence without pay or at a reduced percent of time following maternity, paternity, or adoption leave up to a total of twelve months of paid and unpaid leave combined. In the case of a child, spouse, or other dependent with a serious health problem, an academic employee may, upon request, take up to twelve months unpaid leave or reduce the percent of time worked. All leave time must fall within the term of appointment, and must be taken consecutively and without interruption.

Subd. 4. **Personal Leaves.** Academic employees may, upon prior approval of the appointing authority, take up to twelve months leave of absence without pay for personal reasons. Non-regular faculty members and professional and administrative staff on date specific appointment (J and K appointment type) shall be automatically eligible for an unpaid leave of absence after seven years in the same position at the University; provided, however, that the appointing authority may adjust the starting date of the leave to begin within six months of the employee’s requested date.

Subd. 5. **Procedures.** With the exception of unforeseen situations, wherever possible an individual requesting leave under this policy should submit a written request to the department head at least four months prior to the expected beginning date of the leave. For academic employees with instructional duties, the academic employee must adjust the family or personal leave end date to coincide with the beginning of a semester. The department head and the individual may agree to shorten or lengthen the duration of the leave or make such a leave part-time. All leaves require the approval of the senior administrator or a designee.

Subd. 6. **School Conference and Activities Leave.** An employer must grant an employee leave of up to a total of 16 hours during any school year to attend school conferences or classroom activities related to the employee’s child, provided the conferences or classroom activities cannot be scheduled during nonwork hours. When
the leave cannot be scheduled during nonwork hours and the need for the leave is foreseeable, the employee must provide reasonable prior notice of the leave and make a reasonable effort to schedule the leave so as not to disrupt unduly the operations of the employer.

**Subd. 7. Paid Leave.** Nothing in this policy requires that the leave be paid; except that, an employee may substitute any accrued paid vacation leave or other appropriate paid leave for any part of the leave under this policy.
MILITARY LEAVE

Subd. 1. Eligibility for Leave for Extended Military Service. Members of the academic staff of the rank of instructor and above, who are on full-time regular appointments, shall be granted a leave of absence without pay during their active service with the military forces of the United States.

Leaves of absence for academic staff members on less than 100% time, or on non-regular appointments, will be considered only on the basis of individual cases. (For definitions of regular appointment, see Board of Regents policy, “Faculty Tenure,” sections 1a and 1b)

Leaves of absence of military service should be dated to run concurrently with the fiscal year for A appointees, and concurrently with the academic year for B appointees’ and may be renewed by the regents each year at the time of approval of the annual budget.

Subd. 2. Resumption of University Service Following Military Leave. Upon completion of their military service, and subject to any then existing financial limitations, academic staff members will be reappointed to their former positions provided that:

(1) they give notice of their intention to return to University service within 90 days following discharge from the military; and

(2) they are physically and mentally qualified to carry on the work of the University in the position from which they were granted leave of absence.

Subd. 3. Tenure Implications. During military leave, staff members without permanent tenure do not accumulate additional tenure rights.

In the event of any necessary retrenchment that affects a position from which a staff member is on leave, budgetary adjustments will be made insofar as possible to reflect the tenure status of individuals.
Subd. 1. Eligibility. The leaves provided by this policy are available to academic employees who have been employed by the University for at least nine months and who are either full-time employees or part-time employees who provide an average of 20 or more hours of service per week. The leaves provided by this policy are not available to individuals with certain student/professional training appointments as specified herein, academic employees who are represented by an employee organization for purposes of collective bargaining, or academic employees who do not satisfy the eligibility requirements described in the preceding sentence. Parental leaves for civil service employees, hospital employees, and employees who are represented by an employee organization for purposes of collective bargaining are contained in applicable personnel rules and collective bargaining agreements.

Employment in academic, civil service, and student/professional training positions will be counted toward the nine-month eligibility period. Teaching appointments (instructors of record and teaching assistants) in summer session and CEE must be recognized in determining eligibility for parental leave. Summer session appointments will be counted at the percentage time for the dates shown on the appointment document (PAF) or, if pay is hourly, on the actual hours paid. Appointments in extension classes paid on a credit hour basis will be counted as 30 hours per term for each credit taught. Noncredit courses will be computed on the basis of ten contact hours in the classroom as being equal to one credit. If the appointment is on a clock hour basis, the actual hours paid will be used to determine eligibility. Short-term conferences, seminars, and workshops, and independent study activities are not counted.

Subd. 2. Parental Leaves. A female academic employee may, upon request, take up to six weeks’ leave with pay related to the birth of her child. The paid leave must fall within the term of appointment. The paid leave time must be taken consecutively and without interruption. The employee need not prove actual disability during this six-week period. This leave is for the purposes of child rearing and recovery from physical disability associated with the birth. To the extent this leave is for disability, it shall be included in the time limits described in tables in the Board of Regents policy, “Sick and Disability Leaves.”

Parental leave during summer session and extension class teaching appointments shall be without pay.

A male academic employee may, upon request, take up to two weeks’ leave with pay and four weeks’ leave without pay related to the birth or adoption of a child. All leave time must fall within the term of appointment. All leave time must be taken consecutively and without interruption.
A female academic employee may, upon request, take up to two weeks’ leave with pay and four weeks’ leave without pay related to the adoption of a child. All leave time must fall within the term of appointment. All leave time must be taken consecutively and without interruption.

Subd. 3. Timing of Leave. The leaves described in this policy begin at a time requested by the employee, but no later than six weeks after the birth or adoption and no sooner than two weeks before the birth or adoption. In the case where the child must remain in the hospital longer than the mother, the leave must begin no later than six weeks after the child leaves the hospital. A request to use parental leave must be submitted to the appointing authority at least four weeks in advance, except in unusual circumstances. The appointing authority must submit the appropriate leave document to academic affairs.

Subd. 4. Employee Benefits. No employee will be subject to retaliation for requesting or obtaining a leave of absence as provided under this policy. During the parental leave, coverage will continue to be available for the employee and any dependents under any group insurance policy, group subscriber contract, or health care plan in existence at the time of the leave. While on paid leave, the continued coverage will be provided on the same basis as available to the employee during the course of employment; while on unpaid leave, the continued coverage will be available at the employee’s expenses.

Subd. 5. Professional Training Appointments. Individuals holding appointments in class numbers 9550-9599 are not eligible for parental leave under the terms of this policy as previously described. Trainees who receive stipends as pre-doctoral fellow (9550), post-doctoral fellow (9551), and National Research Service Award fellow (9560) may be prohibited from receiving these benefits under the terms of their awards. Parental leave for individuals in this class series is as follows.

(a) A female may, upon request, take up to two weeks’ leave with pay and four weeks’ leave without pay related to the birth of her child. Disabilities associated with childbirth and pregnancy will be treated like any other disability.

(b) A male may, upon request, take up to six weeks’ leave without pay related to the birth or adoption of a child.

(c) A female may, upon request, take up to six weeks’ leave without pay related to the adoption of a child.

All parental leave time must fall within the term of appointment and must be taken consecutively and without interruption.
Departments may, at their option, adopt a policy that provides up to six weeks’ paid leave to female trainees related to the birth of a child and up to two weeks’ paid leave related to adoption of a child; and up to two weeks’ paid leave to male trainees related to the birth or adoption of a child.
SICK AND DISABILITY LEAVES

SECTION I. INFORMAL SICK LEAVES.

All academic employees, including student/professional training classes, may be absent with pay because of illness, injury, or other disability of the employee or the employee's child, for up to two weeks by informally notifying the appointing authority. If, in the judgment of the appointing authority, there is excessive use of informal sick leave, the appointing authority may require the employee to submit a health care provider’s certificate to verify the illness, injury, or other disability of the employee or the employee’s child. An academic employee who takes a leave of two weeks or less shall make reasonable efforts to ensure that classes are taught by others or made up later.

Appointing authority refers to the vice presidents, general counsel, chancellors, deans, directors, and department heads.

SECTION II. FORMAL MEDICAL LEAVE.

Subd. 1. Eligibility. This policy applies to full-time (100 percent) academic employees appointed for nine months or longer, with the following exceptions:

(1) Tenured faculty and continuous professionals qualify for prorated benefits at 67 to 99 percent time, nine months or longer;
(2) Faculty ranks with visiting, clinical, and adjunct prefixes (appointment types V, U, A) are not eligible;
(3) Professional classes lecturer (9753), teaching specialist (9754), research specialist (9755), and clinical preceptor (9756) are not eligible; and
(4) Student/professional training classes (95XX) are not eligible.

Subd. 2. Medical Leave Notification Requirements. Medical leave is the term used for an individual who is sick or disabled beyond the two week informal sick leave. The appointing authority may require the employee to submit a health care provider’s certificate. The Personnel Action Form (PAF) requesting a medical leave of absence should be processed with a copy, if available, of the health care provider’s certificate documenting inability to work. In some cases, such as elective surgery, the period of absence may be known in advance. In most cases, however, the period of absence required is estimated and will be corrected when the individual returns to work. If inability to work is documented, eligible academic employees may have three full months of paid medical leave. The department is responsible for making arrangements to cover the employee’s responsibilities.
SECTION III. DISABILITY LEAVE.

Subd. 1. Eligibility for Disability Benefits. Academic employees who cannot return to work by the fourth month of combined informal sick leave and formal medical leave must apply for disability benefits under the Faculty Group Income Disability (FGID) Insurance Plan, under social security, and under other specified disability programs whose benefits are deducted under the Disability Insurance Plan. The FGID payment under this policy will be reduced by the amount of the benefits paid under those programs. If the individual fails to apply for these other disability benefits, payments under this policy will be reduced by the benefits that would have been received with proper application.

Subd. 2. Obtaining Application. The application for Faculty Group Income Disability is obtained by calling Employee Benefits (612/624-9090).

Subd. 3. Salary Calculations. For academic employees who are on sick or disability leave for more than three months and who have at least two years’ service, beginning with the fourth month the central administration will pay the cost of that portion of the leave with pay which is not covered by insurance and to which the individual is entitled under this policy.

### A (12-month) Appointments

<table>
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<tr>
<th>Period of service</th>
<th>First 3 months</th>
<th>Next 3 months</th>
<th>Next 6 months</th>
<th>Next 12 months</th>
<th>More than 24 months</th>
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<tbody>
<tr>
<td>&lt; 2 years</td>
<td>full salary</td>
<td>FGID only</td>
<td>FGID only</td>
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<td>2 - 10 years</td>
<td>full salary</td>
<td>FGID plus U supp. to = 100% salary</td>
<td>FGID plus U supp. to = 2/3 salary</td>
<td>FGID only</td>
<td>FGID only</td>
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<tr>
<td>&gt;10 years</td>
<td>full salary</td>
<td>FGID plus U supp. to = 100% salary</td>
<td>FGID plus U supp. to = 100% salary</td>
<td>FGID plus U supp. to = 2/3 salary</td>
<td>FGID only</td>
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B, L, and M (9-month) Appointments

<table>
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<tr>
<th>Period of service</th>
<th>During Summer Periods</th>
<th>First 3 months</th>
<th>Next 3 months</th>
<th>Next 9 months</th>
<th>More than 18 months</th>
</tr>
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<tbody>
<tr>
<td>&lt; 2 years years</td>
<td>FGID only</td>
<td>full salary</td>
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<td>2 -10 years</td>
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<td>full salary</td>
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<td>More than 10 years</td>
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<td>full salary</td>
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<td>FGID plus U supp. to = 2/3 salary</td>
</tr>
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</table>

Salary and supplement are paid during the contract year only.

G (9.5 month appointment): Full salary first 3 months
   Service between 2 and 10 years: supplement to = 100% next 3 months
   supplement to = 66.67% next 3.5 months
   Service more than 10 years: supplement to = 100% next 6.5 months
   supplement to = 66.67% next 9.5 months

K (10 month appointment): Full salary first 3 months
   Service between 2 and 10 years: supplement to = 100% next 3 months
   supplement to = 66.67% next 4 months
   Service more than 10 years: supplement to = 100% next 7 months
   supplement to = 66.67% next 10 months

Subd. 4. Definitions.
(a) FGID = Faculty Group Income Disability
(b) Full Salary = Base Salary and administrative augmentation in effect as of the onset date of disability.
Subd. 5. Payments. Disability insurance payments are based on 60 percent of salary for the 12 months preceding the onset date, up to a limit of $3,250 per month (equivalent 12-month salary $65,000 and 9-month salary $48,750). The first payment from the FGID Plan is for the fourth month after the onset date of disability. Insurance payments are mailed monthly to the individual’s home address. University supplements are based on the salary in effect on the date of onset of disability and will be paid by semimonthly paycheck. Supplemental payments will cease with the last disability payment.

Subd. 6. Time Limits. The time limits in this policy are maximums for each separate disability. An academic employee will be entitled to more than one period of paid leave only upon proof that the sickness or disability which requires a subsequent leave is separate from and not a continuation of an earlier sickness or disability for which the academic employee took a paid leave. The president or delegate may determine in the interest of fairness that the person who suffers a recurring disability after returning to work should be allowed a subsequent paid leave.

SECTION IV. BONE MARROW DONATION.

An academic employee who works an average of 20 or more hours per week may have a paid leave of absence of up to 40 work hours to undergo a medical procedure to donate bone marrow. Employees requesting paid leave pursuant to this section must provide written verification by a physician of the purpose and length of each leave requested to donate bone marrow. To the extent possible, the leave should be arranged not to interfere with the work of the academic employee.

SECTION V. ORGAN DONATION.

An academic employee who works an average of 20 or more hours per week may have a paid leave of absence of up to 40 work hours to undergo a medical procedure to donate an organ or partial organ to another person. Employees requesting paid leave pursuant to this section must provide written verification by a physician of the purpose and length of each leave requested to donate an organ or partial organ. To the extent possible, the leave should be arranged not to interfere with the work of the academic employee.
SICK LEAVES

The Board of Regents refer to the president of the University the power of granting sick leaves to members of the administrative, instructional, and research staff provided that the work of members of the staff granted leave is carried by other members of the staff and the grant of sick leave does not involve additional expense.
VACATIONS

Subd. 1. Eligibility. Academic employees must hold full-time (100 percent), twelve-month (A) appointment. There is an initial requirement of six months’ employment before vacation may be taken. Unused vacation days may not be paid out with termination of service until the employee has worked a full eleven months. Academic appointments less than 100 percent worked time or less than twelve months in duration, do not accrue paid vacation. For those academic employees governed by the University Education Association (UEA), refer to the appropriate section of the current UEA agreement.

A-base appointments are eleven month appointments paid over 12 months. When A-base appointments are converted to the nine-month academic year, the salary is set at 9/11ths of the A-base. Because it is often inconvenient for the employee and the department to take a one-month leave (22 days) at one time, the following vacation policy has been established.

Subd. 2. Accrual. Vacation is accrued for a total of eleven months at the rate of one day per half month of service. The first half month is the first through fifteenth day of the month. The second half is the remainder of the month. There is no accrual for the twelfth month of service whether it is taken as vacation or worked. Vacation accrual continues during paid leaves of absence; e.g., faculty single-quarter leave, sabbatical furlough, professional and administrative professional development leave, and parental leaves (accrued vacation days may be used to extend parental leave). Vacation is not earned on unpaid leaves of absence or on disability leaves under the Board of Regents policy. Vacation is not accumulative beyond one year’s total accrual of 22 days, and it may not be paid in lieu of being taken. Unused vacation days are lost when the month in which the days were earned is older than one year. Under special circumstances, up to 22 days of earned vacation may be postponed into the following year. The number of deferred vacation days must be agreed to by the academic employee, the department head, and the dean or, in cases where there is no dean, the appropriate vice president. A signed agreement, including the rationale for deferral, must be attached to the employee’s vacation record at the time of approval. The deferred vacation days must be utilized within the following year, otherwise they are forfeited. In no instance of continuing University employment, such as a different position within the University, may extra pay be granted for unused vacation.

Subd. 3. Termination of Service. Unused vacation days, up to a maximum of one year’s accumulation of 22 days, may be paid when the individual ends University employment providing the employee has worked 100 percent time for 11 months.
The vacation pay should be identified on the Personnel Action Form (PAF) showing termination of appointment and the last day worked. Vacation may not be used to extend the period of appointment beyond the last day of work. A vacation record must be appended to the PAF documenting vacation days earned and taken. If non-University funding sources prevent vacation payout, the employee should be given the opportunity to use vacation time within the funding period, providing the eleven months’ initial eligibility requirement is met.

**Subd. 4. Academic Employees Assuming New Positions.** When an academic employee assumes a new academic position in a different department and has unused vacation days, there are two options:

1. unused vacation days may be taken before starting the new position; or
2. before starting the new position, arrangements may be made with the receiving department to use the vacation time prior to its expiration.

In the second option, the new department will be reimbursed for unused vacation days at the rate of pay at which days were accrued. Vacation days will expire if not used within one year of the month in which they were accrued. There will be no waiting period if vacation is accrued in the new position.

**Subd. 5. Civil Service Employees Assuming Academic Positions.** When a civil service employee assumes an academic position, the civil service vacation days are handled according to civil service policy. If civil service vacation days are banked, a copy of the civil service vacation record and last rate of pay should be sent to the new department.

**Subd. 6. Vacation Records.** Vacation is to be scheduled at the mutual convenience of the department and the employee. The employee must submit a written request for specific days to the academic administrator for review and approval. Approved requests should be maintained in the employee’s personnel file in the department to assure accurate recording. Academic vacation records are available from the storehouse, Business Administration form number 1154, Stock Number GS92190.
Facility, Staff, and Student Affairs Committee  February 8, 2007

Agenda Item:  Board of Regents Policy: Employee Compensation and Recognition

☑ review  ☐ review/action  ☐ action  ☐ discussion

Presenters:  Vice President Carol Carrier

Purpose:

☑ policy  ☐ background/context  ☐ oversight  ☐ strategic positioning

To review proposed Board of Regents Policy: Employee Compensation and Recognition.

Outline of Key Points/Policy Issues:

1. This proposed policy covering University employee compensation and recognition is part of the comprehensive set of Board of Regents policies on core Human Resource components. These policies have been supported by the Board.

2. This proposed policy sets forth principles to guide the University in its compensation decisions, outlines consideration of appropriate criteria, and addresses the University’s adherence to applicable legal requirements. At a high level, it describes the University’s commitment to achieve and maintain a compensation structure that, when combined with a benefits package, is competitive relative to peer institutions and to other appropriate labor markets.

3. This proposed policy describes the University’s commitment to recognize the meritorious performance of its employees through compensation and other means.

Background Information:

The September 2006 Board of Regents work session on Strengthening Human Resource Policies resulted in Board support for guiding principles for a comprehensive set of Human Resource policies. These policies communicate the strategic directions and values guiding the University’s Human Resource practices. The Faculty, Staff, and Student Affairs Committee reviewed and supported the comprehensive set of Human Resource Board policies.

President’s Recommendation for Action:

The President recommends Board adoption of proposed Board of Regents Policy: Employee Compensation and Recognition.
EMPLOYEE COMPENSATION AND RECOGNITION

SECTION I. SCOPE.

This policy governs compensation and recognition for University of Minnesota (University) employees.

SECTION II. DEFINITIONS.

Subd. 1. Compensation. Compensation shall mean base salary and additional payments to employees, such as augmentations, lump sum payments, and incentives.

Subd. 2. Recognition. Recognition shall mean formal and informal appreciation for acknowledgement of work or service performed.

SECTION III. GUIDING PRINCIPLES.

The following principles shall guide the University's compensation and recognition systems:

(a) The University strives to achieve and maintain a compensation structure that, when combined with benefits and other rewards, is competitive relative to institutional peers and other appropriate labor markets and serves to attract and retain a high performance workforce.

(b) The University seeks to rewards meritorious performance and employee contribution to the success of the University through compensation and other forms of recognition.

(c) In the setting of initial salaries and subsequent pay adjustments, the University considers the work responsibilities, market, internal equity, experience and expertise, performance, and other criteria as appropriate.

(d) The University endorses adheres to compensation and recognition practices that are fair and equitable in design, application, and delivery.
SECTION IV. IMPLEMENTATION.

**Subd. 1. Compensation System.** The University's compensation system shall define, articulate current compensation, present current strategies, describe forms of pay, identify funding sources, and outline annual compensation plans for each employee group. Responsible administrators shall be held accountable for disseminating salary and other compensation within the defined parameters of the annual plans in a manner that supports the academic direction and investment strategies of the University. The University compensation system shall (a) be administered in a manner that complies with all applicable federal, state, and local regulations and laws and (b) be consistent with applicable administrative policies, rules, and collective bargaining agreements.

**Subd. 2. Recognition System.** The University shall have programs of awards, honors, and events that recognize excellence in performance by individuals, groups, and units.

SECTION V. MONITORING AND REPORTING.

The president or delegate shall monitor the effectiveness of compensation and recognition programs and report annually to the Board of Regents.
Agenda Item:  Board of Regents Policy: Employee Performance Evaluation and Development

☑ review  ☐ review/action  ☐ action  ☐ discussion

Presenters:  Vice President Carol Carrier

Purpose:

☑ policy  ☐ background/context  ☐ oversight  ☐ strategic positioning

To review proposed Board of Regents Policy: Employee Performance Evaluation and Development.

Outline of Key Points/Policy Issues:

1. This proposed Board policy covering University employee performance management is one of the comprehensive set of Board of Regents policies on core Human Resource components. These policies have been supported by the Board.

2. At a high level, this policy guides the University’s evaluation of employee performance and supports employee development and improvement of professional competencies and outcomes as a part of the process.

3. This policy addresses regularly conducted and documented reviews of all employees, with shared responsibility between responsible administrators/supervisors and employees for an effective process with ongoing feedback and communication. Operational detail and procedural information are left to administrative documentation.

Background Information:

The September 2006 Board of Regents work session on Strengthening Human Resource Policies resulted in Board support for guiding principles for a comprehensive set of Human Resource policies. These policies communicate the strategic directions and values guiding the University’s Human Resource practices. The Faculty, Staff, and Student Affairs Committee reviewed and supported the comprehensive set of Human Resource Board policies.

President's Recommendation for Action:

The President recommends adoption of proposed Board of Regents Policy: Employee Performance Evaluation and Development.
EMPLOYEE PERFORMANCE EVALUATION AND DEVELOPMENT

SECTION I. SCOPE.

This policy governs performance evaluation and development of University of Minnesota (University) faculty, academic professional and administrative, civil service, and union-represented staff employees.

SECTION II. DEFINITIONS.

Subd. 1. Performance Evaluation and Development. Performance evaluation and development shall mean a process undertaken between responsible administrators/supervisors and their employees that includes assessing, guiding, and improving employee performance, resulting in effective achievement of organizational and individual goals.

SECTION III. GUIDING PRINCIPLES.

The following principles shall guide the University's evaluation and development of employee performance:

(a) The University cultivates a high performing workforce through employee performance evaluation and development that engages the entire organization, is appropriate to the nature of the work, recognizes and rewards exemplary performance, and addresses substandard performance.

(b) The University is committed to assessing and supporting the development of the behavioral and functional competence of its employees, consistent with expressed academic and administrative needs, the role of the employee, and performance expectations.

(c) The University aspires to a performance evaluation process that incorporates regular feedback and candid discussion about individual and group performance.

(d) The University is committed to investing responsible investments in its employees through professional development, education, and training directed at maximizing productivity, enhancing employee personal and professional competencies, supporting employees as they seek new career opportunities within the University, and
generating a succession of leaders prepared and able to lead the University into the future.

(e) The University holds its leaders, responsible administrators, and supervisors accountable for actively supporting and engaging in the performance evaluation and development process in a fair and equitable manner and for ensuring the alignment of employee and organizational goals and priorities.

SECTION IV. PERFORMANCE REVIEWS.

University leaders, responsible administrators, and supervisors shall conduct performance reviews for purposes of evaluation and development. The University expects ongoing evaluation of employee performance, with regularly conducted and documented reviews of all employees administered according to applicable administrative policies, rules, and collective bargaining agreements.

SECTION V. EMPLOYER RESPONSIBILITY.

Subd. 1. Leadership Accountability. University leaders, responsible administrators, and supervisors shall be held accountable for implementing a performance evaluation and development process that is consistent in the treatment of employees, provides for accurate performance reviews, and encourages open communication.

Subd. 2. Implementation. The University shall provide to its leaders, responsible administrators, and supervisors the necessary resources, tools, and training to effectively manage employee performance.

SECTION VI. EMPLOYEE RESPONSIBILITY.

Employees, recognizing the importance of their contribution to the University's mission, values, and success, are expected to exercise responsibility for actively engaging in the performance evaluation process and subsequent development efforts.
Agenda Item: Supporting New Faculty at the University of Minnesota

Presenters: Vice President Carol Carrier
Arlene Carney, Vice Provost for Faculty and Academic Affairs

Purpose:

To discuss efforts being made to support new University faculty consistent with the goals of Transforming the University and with the recommendations of the Faculty Culture Task Force.

Outline of Key Points/Policy Issues:

One of the key pillars of Transforming the University is the emphasis on recruiting and retaining the best faculty across all disciplines and units. The Office of the Senior Vice President for Academic Affairs and Provost has implemented a new, three-day comprehensive orientation program for all faculty new to the University, regardless of rank or unit home. The goal of the program is to welcome faculty to their new academic community in a meaningful way and to provide them with the information, tools, and personal connections to begin their careers successfully and satisfactorily. The New Faculty Orientation Program is data-driven and based on current research in higher education, the recommendations of the Faculty Culture Task Force, and the evaluation of the first year of the program.

Background Information:

Recommendations from several strategic positioning reports drew attention to the need for a more comprehensive look at our approaches to the orientation and support of new University of Minnesota faculty. Focus groups discovered that many faculty identify solely with a department or college, as opposed to the University as a whole. This expanded program has been developed to:

1) introduce faculty to key information critical to their early success;
2) help lay the groundwork for faculty socialization to the University culture; and
3) build important faculty networks across and within disciplines.
Faculty Staff and Student Affairs Committee
Supporting New University Faculty

The Academic Task Force on Academic Positioning (2005) identified three major areas of necessary change, one of which was faculty culture. The Task Force recommended that the University strengthen its current approach and implement a broad range of new strategies to attract, retain, recognize, reward, and develop its faculty. The Faculty Culture Task Force (FCTF) (2006) examined this charge by collecting responses from faculty through focus-group dialogues, town meetings, and a survey sent to all faculty at the University. The FCTF found that many faculty did not identify with the University of Minnesota as an institution but rather with their units or colleges; the size and extent of the University further precluded them from finding the services or individuals that might be useful to them in their academic careers. In spring 2006, the Office of the Senior Vice President for Academic Affairs and Provost (SVPP) responded to these findings by designing a new, three-day program of orientation for new faculty across the Twin Cities campus. Previously, the office of the SVPP had held a welcome reception for the new faculty that enabled them to meet the President, Provost, and other administrators briefly. Most of the orientation was done at the collegiate or departmental level with little consistency across experiences. New faculty had little experience with the concept of the University community as a whole.

This program was designed with input from an advisory group of administrators, staff, and faculty. Faculty advisors were task force members from the Faculty Culture Task Force, the Diversity Task Force, several of the college-redesign task forces, and alumnae of faculty development programs sponsored by the University, such as the CIC Academic Leadership Program, the CIC Department Executive Officer Program, the Provost’s Academic Leadership Institute, and key members of faculty governance. The final program was an intensive, three-day New Faculty Orientation that allowed us to host one day at each of the three geographical locations of the Twin Cities campus, and most importantly, to allow sufficient time for networking and information dissemination without overload. The program focused on three factors central to the success of faculty new to the University: 1) introducing faculty to key information critical to their early success, 2) helping lay the groundwork for faculty socialization to the University culture, and 3) building important faculty networks across and within disciplines. The three-day orientation was designed with a mix of presentation formats – large-group lecture, small-group discussion, activities, etc. – and involved all senior administrators, including the President and Provost, faculty governance representatives, and service providers for faculty. Topics included: 1) getting started as an effective teacher; 2) getting started as an effective researcher; 3) promotion and tenure; 4) getting to know our student body; 4) diversity; 5) public engagement; 5) technology; 6) human resources; and 7) special resources for faculty. Faculty were provided with an e-mail address called newfaculty@umn.edu to provide a one-stop source of information to address their questions and help solve problems in a timely and direct manner.

One hundred thirty-five faculty members were invited to attend, and ninety-six spent at least one day in the program. Approximately 85 faculty attended each day. Because the program began prior to the beginning of their contracts, faculty were provided with a stipend of $200 per day for each day that they attended the orientation. At the close of each day’s orientation program a written evaluation was collected. The evaluation on the third and last day of the program included questions about the overall effectiveness of the three-day program. The program was evaluated based on the outcome goals established as well as the topical areas covered over the course of the three days. Feedback was very positive overall with sessions on promotion and tenure, teaching and learning, and the libraries receiving high praise. The program met its goal of establishing a sense of community for faculty and giving them tools to succeed. The program has a year-long component with six lunches and a final reunion to examine how the first year went along with regular e-mail connection.

Next year’s program will be modified based on evaluations from the 2006 orientation and will include a greater emphasis on hands-on, interactive experiences, more choices of break-out
sessions, and even more opportunities to interact with current faculty colleagues. The Office of the SVPP is currently conducting a study of the long-term and short-term impact of the orientation on faculty satisfaction with their jobs, connection with the University, and ability to maneuver through the University successfully.

This program is an investment in the retention of the new faculty that the University has recruited into positions across all ranks. If faculty can teach, do research, and perform service successfully, they are more likely to remain at the University as happy and productive academics and to make contributions to the University community of which they are a significant part.
Agenda Item: Consent Report

☐ review ☒ review/action ☐ action ☐ discussion

Presenters: Vice President Carol Carrier

Purpose:

☐ policy ☐ background/context ☒ oversight ☐ strategic positioning

To seek approval of senior administrative appointments and institutional appointments to other boards, agencies, or organizations as required by Board of Regents Policy: Reservation and Delegation of Authority.

Outline of Key Points/Policy Issues:

No Consent Report is anticipated this month for the Faculty, Staff, and Student Affairs Committee.

Background Information:

Board of Regents Policy: Board Operations and Agenda Guidelines calls for items, such as senior administrative appointments, bargaining unit contract approvals, and appointments of certain trustees and board members, to be brought before the Faculty, Staff, and Student Affairs Committee for action.
Faculty, Staff, and Student Affairs Committee  February 8, 2007

Agenda Item:  Information Items

☐ review  ☐ review/action  ☐ action  ☒ discussion

Presenters:  Vice President Carol Carrier

Purpose:

☐ policy  ☐ background/context  ☒ oversight  ☐ strategic positioning

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

Outline of Key Points/Policy Issues:

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

Background Information:

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

BOARD OF REGENTS

February 8, 2007

Faculty, Staff, and Student Affairs Committee
Information Report

*This report does not capture and record a complete listing of the significant awards and activities of the University community but, 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, staff, and student affairs.*

**Task Force Report**

**Academic Support and Performance for Student-Athletes Task Force**

A key element of strategic positioning is to strengthen the quality of students’ educational experiences through major academic initiatives, such as the Four-Year Graduation Plan. As part of this plan, Senior Vice President for Academic Affairs and Provost Tom Sullivan announced new aspirational goals that will significantly improve undergraduate retention and graduation rates. Because the President and Provost have made the academic success of all students one of their highest priorities, they charged an Academic Support and Performance for Student-Athletes Task Force to directly address the academic support and performance of one particular group of students—student-athletes.

The task force, chaired by Professors Mary Jo Kane and Perry Leo, presented the following five recommendations to the President and Provost in a recent report:

- Formalize, standardize, and streamline data collection of student-athletes’ academic performance by creating a centralized database that can be used by Athletics, Compliance, Admissions, the McNamara Academic Center, and other relevant units across the University.

- Examine the potential for an intensive and comprehensive Summer Bridge program to help student-athletes—especially those who are academically fragile—successfully transition into the academic and social rigors of life on a college campus.

- Increase access to academic programs that are relevant to student-athletes as a way to increase their interest and motivation, leading to better academic outcomes.
- Intensify efforts to track, engage, and provide opportunities to former student-athletes who have left the University without graduating, but who have accumulated enough credit hours so that graduation is well within reach.

- Strengthen current efforts to more fully integrate intercollegiate athletics with the broader University community by eliminating unnecessary barriers and creating structures and opportunities that promote a culture of integration.

The President and Provost have accepted all five recommendations and have already identified key University officials who will have the responsibility of implementing the recommendations.

For a complete copy of the report visit:
http://www.academic.umn.edu/provost/reports/athletics.html

Personnel Highlights
Serge Rudaz, professor in the School of Physics and Astronomy and director of undergraduate studies for the department, has been named as the founding director of the new, campus-wide University Honors Program. As founding director, he will work with colleges to integrate current college-based honors programs into a single, more visible, campus-wide program. The new honors program is designed to attract the very best students and strengthen and expand the honors opportunities for all undergraduates on the Twin Cities campus as the university works towards its mission to become one of the top three public research universities in the world.

University Highlights
The University ranks 12th in a recent survey of “Top Wired Colleges” in the United States, according to PC Magazine. Noteworthy examples of the University’s wired technologies include: campus portal, web space for blogs, lifetime access to e-mail, and large storage capacity on University e-mail accounts.

Carlson School of Management ranks number one in total number of scholarly articles published in top management information systems journals. This honor was recognized in Communications for the Association for Information Systems.

The University of Minnesota Parking and Transportation Services has been recognized as one of the 100 Best Fleets in North America for 2006 by industry magazine Fleet Equipment.

Faculty and Staff Activities and Awards
Humphrey Institute dean Brian Atwood was inducted as a Fellow into the National Academy of Public Administration (NAPA). Fellows address emerging issues and contribute to the intellectual discourse on government. NAPA and the National Academy of Sciences are the only academies recognized in statute by the U.S. Congress.
Bell Museum researcher Keith Barker identified a species of bush warbler previously unknown to science. The specimen, from the mountains of Papua New Guinea, was named *Cettia haddeni*.

Joyce Bono, psychology, was awarded the 2007 American Psychological Association, Industrial Organization Early Career Award.

UMD’s James Boulger, professor of behavioral sciences and of family medicine and community health, has won the Lake Superior Medical Society President’s Award. More than 600 physicians are members of the society, which is part of the Minnesota Medical Association. Boulger has been a faculty member at UMD since 1974 and has taught every student who attended medical school in Duluth since the school opened.

Rose Brewer, African American and African studies, was awarded the Gustavus Myers Outstanding Book Award for her book, *The Color of Wealth*.

UMM head football coach Ken Crandall was named the Upper Midwest Athletic Conference (UMAC) North Division and Conference Coach of the Year. Crandall led the Cougars to their first-ever UMAC championship in November.

Mary Gannon, food science and nutrition and department of medicine, has been awarded the American College of Nutrition award, the highest honor bestowed by the organization.

DonnaMae Gustafson, College of Continuing Education degree and credit programs, won the Association of Graduate Liberal Studies Programs National Faculty Award for 2006.

Regents Professor Patricia Hampl, English, received a 2006 *New York Times* Notable Book of the Year Award for *Blue Arabesque: A Search for the Sublime*.

Stephen Hecht, Cancer Center, recently received the Award for Excellence in Cancer Prevention Research from the American Association for Cancer Research. This major international award recognized Hecht’s three decades of work on tobacco and the biochemistry behind this carcinogen.

Dana Johnson, international adoption clinic, received the Harry Holt Award for significant contributions toward the placement of orphans in permanent, loving families.

Jerry Krepps, art, was elected vice-president of the Mid-America Print Council, an organization consisting of 13 state organizations.

Ben Lockhart, plant pathology, has been named a fellow by the American Phytopathological Society. Lockhart was recognized for his expertise in plant virology and international education and agriculture.
Gary McLean, work and human resource education, was inducted into the International Adult and Continuing Education Hall of Fame.

Michael Molasky, Asian languages and literature, was awarded the Suntory Prize for Arts and Letters for his recent book focusing on the jazz culture of postwar Japan. The Suntory Prize is one of the most prestigious awards for academic arts and humanities work written in Japanese. Molasky is the first English-speaking scholar to win the award.

Biology professor Randy Moore, post-secondary teaching and learning, has received the 2006 Carnegie Foundation for the Advancement of Teaching Minnesota Professor of the Year Award. This year’s 45 winners were selected from a pool of nearly 300 nominees. The program is the only national initiative specifically designed to recognize excellence in undergraduate teaching and mentoring.

Margaret Moss, nursing, was awarded the “Nurse Competency in Aging” Award by the National Alaska Native American Indian Nurses Association.

Christine Mueller, nursing, received the 2006 Geriatric Faculty Member Award from the American Association of Colleges of Nursing.

Philip Pardey, applied economics, was named Fellow of the American Agricultural Economics Association for “substantially improving our understanding of the role of science and technology in fostering long-term economic growth and development.”

Recently retired professor Brad Pedersen has been honored with a special service award by the Minnesota Nursery and Landscape Association (MNLA) in recognition of his contributions to horticulture education and the horticulture industry. The MNLA is Minnesota’s largest green industry trade association, with more than 1,500 member companies. Pedersen was a University faculty member for 33 years.

Jeff Reneau, animal science, was recognized this fall by the Upper Midwest Dairy Industry Association for his work in improving milk quality.

Tricia Todd, health careers center, is chair-elect of the American Public Health Association’s Health Administration Section.

Linda Watson, director of the University’s health sciences libraries, was named president-elect of the Association of Academic Health Sciences Libraries.

Five University professors were named 2006 American Association for the Advancement of Science Fellows: Wayne Gladfelter, chemistry; Vipin Kumar, computer science and engineering; Paul Magee, genetics, cell biology, and development; William Tolman, chemistry; and William Toscano, Jr., environmental health sciences. Election as a Fellow is an honor bestowed upon faculty for meritorious efforts to advance science or its applications. The University of Minnesota had more faculty elected this year than any other public research university except the University of California-Berkeley.
**Student Activities and Awards**

Katie N. Lee, an honors senior with a double major in biochemistry and chemistry, was named one of 32 U.S. Rhodes Scholars for 2007.

UMC’s Collegiate Crops Team took first place at national competitions in Chicago and Kansas City. Team members were Meagan McGrane, Eric Proulx, Dan Pazdernik and alternate Amy Schwartz.

UMC sophomores Desiree Carrlson, Cory Detloff, and Amanda Fickes received their American FFA degrees, the highest level an FFA member can achieve as part of the FFA degree system.

UMM’s women’s soccer team upset top-ranked St. Scholastica in double overtime to win their third straight Upper Midwest Athletic Conference postseason title.

A UMM team comprised of Tyler Hutchison, Andy Korth, Scott Lembcke, and Daniel Selifonov took first place overall in the 2006 Digi-Key Collegiate Computing Competition, which included events in programming and math/logic problems.

The Delta Theta Sigma (DTS) fraternity chapter at UMC earned top honors for philanthropy for the third year in a row at their national meeting. Out of the eight active DTS chapters, UMC had the most community service projects and hours, with 68% of their members participating in projects.

For the second year in a row, the U of M Chapter of the American Student Dental Association (ASDA) received the “Ideal ASDA Chapter Award,” the most prestigious award presented to an individual ASDA chapter.