



Faculty & Staff Affairs Committee

September 2015

September 10, 2015

1:00 p.m. - 3:00 p.m.

East Committee Room, McNamara Alumni Center

FSA - SEP 2015

1. University Leadership Development Model and Practice

Docket Item Summary - Page 3

Presentation - Page 6

2. 2015-16 Committee Work Plan

Docket Item Summary - Page 23

Draft Work Plan - Revised - Page 24

Draft Work Plan - Page 27

3. Collective Bargaining Agreement with Minnesota State Building and Construction Trades Council - Review/Action

Docket Item Summary - Page 30

Proposed Resolution - Page 31

4. Compensation Principles and Application

Docket Item Summary - Page 33

Presentation - Page 35

5. Consent Report

Docket Item Summary - Page 55

Proposed Amendment - Page 56

Tenure Recommendations - Page 58

Recommended Appointment - Page 60

6. Information Items

Docket Item Summary - Page 61

Information Report - Page 62



BOARD OF REGENTS DOCKET ITEM SUMMARY

Faculty and Staff Affairs

September 10, 2015

AGENDA ITEM: University Leadership Development Model and Practice

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: Kathryn F. Brown, Vice President, Office of Human Resources
Karen Hanson, Senior Vice President for Academic Affairs and Provost
Brandon Sullivan, Director, Leadership and Talent Development
Brian Buhr, Dean, College of Food, Agricultural and Natural Resource Sciences

PURPOSE & KEY POINTS

Development of leadership across the University is critical to the long-term success of the institution. The topics of the presentation include:

- Leadership development efforts and the strategic plan.
- Provost-led academic leadership programs.
- Assessment of leadership development needs.
- Organizational context for leadership development.
- Combined efforts of academic and central administration.
- Complimentary Office of Human Resources-led programs for faculty and staff.
- A case study from the College of Food, Agricultural and Natural Resource Sciences.
- Next steps.

BACKGROUND INFORMATION

The Office of Human Resources (OHR) and the Office of the Senior Vice President for Academic Affairs and Provost (Provost’s Office) collaborate to develop leadership within the University to support the teaching, research, and outreach mission of the institution, as well as the strategic plan for the Twin Cities campus.

The Provost’s Office supports leadership development for disciplinary advancement, faculty development, interdisciplinary inquiry, and academic accountability. OHR provides consulting and resources to support the application of leadership best practices across units and programs.

Office of the Senior Vice President for Academic Affairs and Provost

The Provost’s Office develops academic leadership through external and internal opportunities. These include the comprehensive, year-long Provost’s Department Heads and Chairs Leadership

program, the “Talking Heads” program convened by department heads to exchange best practices, new faculty orientation, comprehensive dean reviews, the Committee on Institutional Cooperation (CIC) Academic Leadership program, the CIC Department Executive Officers program, and the Association of Public and Land-grant Universities (APLU) leadership training opportunities. Additional peer networking activities include the Academy of Distinguished Teachers, distinguished faculty luncheons and lectures, annual promotion and tenure recognitions, and various faculty awards ceremonies.

The core mission of the University’s chief academic office, in collaboration with faculty and collegiate/campus leadership, is to set the institutional strategic vision and the academic priorities that foster and sustain quality and vitality throughout the University’s intellectual community. Working in partnership with OHR and academic officers, leadership development and training includes identifying and strengthening opportunities and incentives for bringing high-profile achievers and innovators to the University, and identifying best approaches to ensuring faculty and academic success. The institutional commitment is to create a culture that sustains top faculty and staff.

Office of Human Resources

OHR leadership development efforts support the development of five leadership competencies: results, vision, engagement, collaboration, and accountability. Developing these competencies among faculty and staff leaders will help the University face current and future challenges and drive results. Central to OHR’s approach is connecting research-based leadership development approaches with college and unit goals, business objectives, and priorities.

OHR uses a number of assessment tools to provide leaders and their teams with insights on both individual and group management strengths and opportunities. Tools include the E² Employee Engagement Survey, 360° feedback assessment, leadership team dynamics, and Hogan Assessments.

Consultants work directly with leaders and their teams to develop customized approaches that support teams in overcoming challenges, such as defining new roles and navigating leadership challenges. These tailored programs use assessments to steer teams toward successful strategic goal attainment, as well as develop leadership competencies by tackling issues in the workplace.

OHR began rolling out a new leadership program in 2015 that supports the development of leadership at all levels—from individual contributors to senior leaders. These ongoing offerings provide a mix of in-classroom, online, and cohort-based training as well as a leadership community of practice.

Level	Program Title	Availability
Senior Leader	<i>The Senior Leader’s Team</i> <i>Executive Leadership</i> (vendor)	Spring 2015 Spring 2016
Mid-Level Leader	<i>Mid-Level Leadership</i> <i>Mid-Level Leadership 2.0</i>	Fall 2015 Fall 2016

First-Level Leadership/ Supervision	<i>Fully Prepared to Lead Certificate Program</i> —composed of: <ul style="list-style-type: none"> • <i>Leadership Essentials</i> • <i>Supervisory Essentials</i> • <i>Supervision 2.0</i> 	Available Now March 2016
Individual Contributor	<i>Becoming a Leader</i> —online program <i>Becoming a Leader</i> —cohort	Fall 2015 Spring 2016

The Faculty & Staff Affairs Committee heard a Leadership Development Strategy presentation at its October 2014 meeting.

Leadership Development

Board of Regents Faculty and Staff Affairs Committee

Kathryn F. Brown, Vice President, Office of Human Resources

Karen Hanson, Senior Vice President for Academic Affairs and Provost

Brandon Sullivan, Director, Leadership and Talent Development

Brian Buhr, Dean, College of Food, Agricultural and Natural Resource Sciences

September 10, 2015

What We Will Cover Today

- Leadership Development and the Strategic Plan
- Provost-Led Academic Leadership Programs
- Assessment of Leadership Development Needs
- Organizational Context for Leadership Development
- Combined Efforts of Academic Administration and OHR
- OHR Programs for Faculty and Staff
- Case Study–College of Food, Agricultural, and Natural Resource Sciences
- Challenges

Leadership Development and the Strategic Plan

- Aggressively recruit, retain and promote field-shaping researchers and teachers
- Build an exceptional University where grand societal challenges are addressed
- Support excellence and, with intention, reject complacency
- Establish a culture of reciprocal engagement, capitalizing on our unique location

Provost-Led Academic Leadership Programs

- Year-long New Chairs and Heads Leadership Program
- “Talking Heads” Program
- Committee on Institutional Cooperation (CIC)
 - CIC Academic Leadership Program
 - CIC Department Executive Officer Program
- Association of Public and Land-Grant Universities (APLU)
- New Faculty Orientation Program

Assessment of Leadership Development Needs

- Based on trends across engagement surveys, 360° degree surveys, and qualitative data
- Four needs appear consistently across the institution:
 - Consistent performance feedback and development coaching
 - Effective goal-setting and alignment
 - Strong sense of ownership and accountability for managers and individual employees
 - Leaders navigating a lot of change: roles, communication, decision-making, and shared goals

Organizational Context for Leadership Development

- Leadership effectiveness is a key driver of employee engagement and impacts our ability to achieve important goals and priorities.
- Strategic goals are defined at University-wide, college and department levels, so leadership development must be tailored to support achievement of goals at all levels.
- Success requires strong partnership between the Provost's office, OHR, and campus/college/unit leaders.
 - Provost's Office supports academic units as they define goals and priorities within their disciplines; OHR supports leaders with tools, consulting, and programming.

Combined Efforts of Academic Administration and OHR

- We now have:
 - Effective tools for assessing leadership skills and leadership team effectiveness to inform development and performance evaluation
 - Expert consultation and coaching to enhance individual and team effectiveness and to inform selection decisions
 - Tailored leadership programs and services developed in partnership with college and unit leaders and HR leads to address local goals and priorities
 - New supervisor training to educate managers about University policies and the fundamentals of supervision

Complementary OHR Programs for Faculty and Staff

- Examples of leadership and team development tailored to college, campus, and unit goals and priorities:
 - Designed a 12-month program for faculty and staff who supervise; topics based on individual leadership assessments
 - Helped a dean gather input from department chairs and heads about the members of his leadership team using a modified 360° survey
 - Conducted input sessions with faculty and staff to help a dean better understand the college's engagement survey data which resulted in supervisor training and leadership development plans

Complementary OHR Programs for Faculty and Staff

- Customized program examples:
 - Helped a college leadership team to define roles and responsibilities, enhance communication, and develop more effective decision-making processes
 - Supporting a dean who is designing a program to identify and develop faculty who are promising candidates to be future department chairs

Case Study

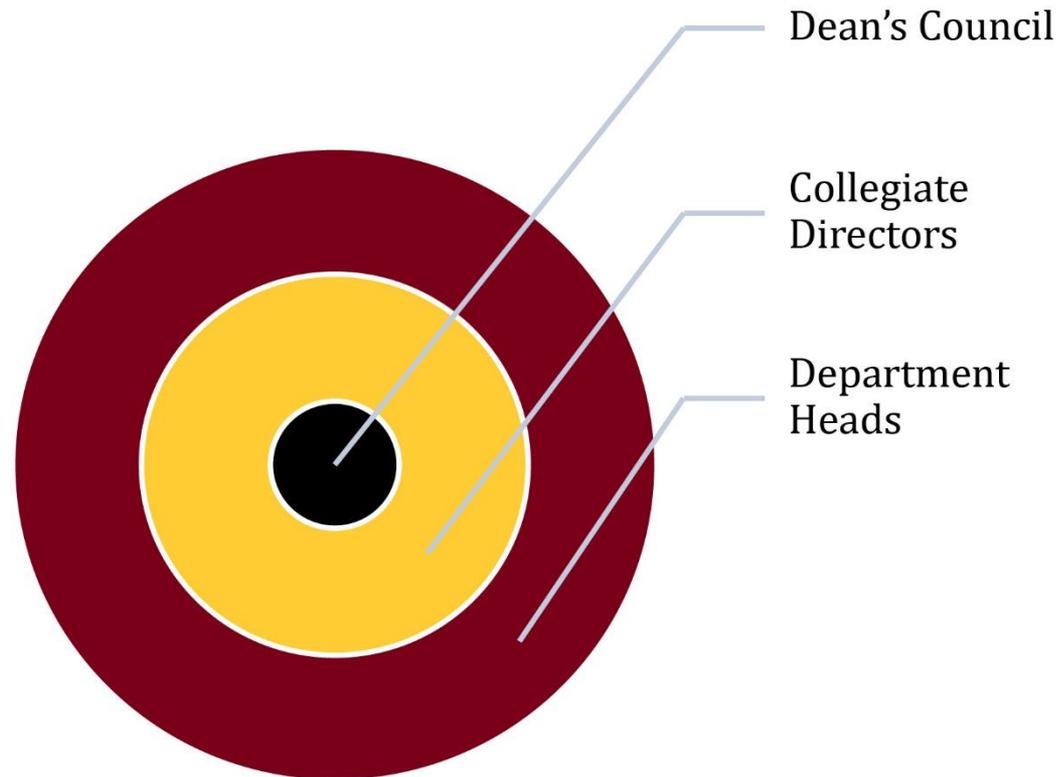
- Dean Brian Buhr, College of Food, Agricultural, and Natural Resource Sciences (CFANS)

CFANS Case Background

- New leadership team–January 2015
- Associate Dean searches
 - Leadership competency basis
 - Driving Results, Vision, Engagement, Collaboration, Accountability
 - Challenges:
 - How to build a common purpose in an environment rewarding entrepreneurship?
 - Creating a “service” oriented collegiate culture
 - Students
 - Staff
 - Faculty
 - Inclusive leadership team – collegiate, departmental, faculty

CFANS Case: Strategy

- Concentric leadership development



CFANS Case: Dean's Council 360°

- Individual survey–supervisor, direct reports, indirect reports, external
- Overall competencies (earlier slide)
- Competency dashboard
 - Top five areas
 - Bottom five areas
- For me:
 - Strong self-awareness
 - Personal ranking matched evaluator rankings
 - Need to improve communication and direction for direct reports and indirect reports.
 - No one surprised–I talk too much (“explainer”)
- As Dean, I can see direct reports’ individual responses
 - Downside–they could see my responses to them (I didn’t know this when I responded)
 - On the plus side–they knew exactly my evaluation

CFANS Case: Team Evaluation

- Most valuable part (IMHO)
- Categories:
 - Team health and performance (**Confidence**, Engagement)
 - Team Dynamics (relationship, **decision making**, trust, support, **process efficiency**)
 - Expectations (**role alignment**, **role clarity**)
 - Leadership (inclusiveness, leader support, leader directiveness)

*Rankings 1-5 w/ 1=low and 5=high. Bold indicate “**Greatest Opportunities**”

CFANS Case:

Actions and Implementation

- Meeting with Leadership and Talent Development
 - Two two-hour meetings as team
 - One hour review of individual results

Outcomes:

- Open and direct communication within team (e.g., one team member reticent to speak up/contradict
 - Much improved engagement and very valuable insights
- Decision making: provided framework for evaluating decisions (e.g., those that need input outside, those we can act directly on, etc.)
- Changed our Dean's Council Meetings—bring only items that need broader input. Stand-up meeting for “fiat” decisions.
- Began to consider decision making styles—found complementarities (e.g., option values v. expediency/action).

CFANS Case: Next Steps

- Continued emphasis on awareness of leadership, process clarity, and decision making
- Department Head/Director's 360° review
 - Critical evaluation process
 - Meeting challenge of, "Designing Mission with Economic Value"

Challenges

- How to measure impact
- How to meet challenges of scale and scope
- How to accelerate culture change



BOARD OF REGENTS DOCKET ITEM SUMMARY

Faculty & Staff Affairs

September 10, 2015

AGENDA ITEM: 2015-16 Committee Work Plan

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: Regent Patricia Simmons
Kathryn F. Brown, Vice President, Office of Human Resources

PURPOSE & KEY POINTS

To review and discuss the 2015-16 committee work plan.

BACKGROUND INFORMATION

Board of Regents Policy: *Board Operations and Agenda Guidelines* defines the role of the Faculty and Staff Affairs Committee as follows:

The Faculty and Staff Affairs Committee advises the administration on faculty and staff compensation, benefits, recruitment, development, retention, and other issues related to employee engagement. This committee also reviews employment-related issues and policies.

Specifically, this committee recommends:

- the granting of faculty promotion and tenure and continuous appointments;
- appointments to specific boards and advisory committees;
- appointments of senior leaders;
- approval of negotiated labor agreements, retirements plans, and other employment matters, consistent with Board policy; and
- changes in the University Senate Constitution and civil service rules.

This committee also provides governance oversight to:

- senior leader compensation, benchmarking, and terms of employment;
- faculty and staff compensation and benefits policy as well as other policies related to employment; and
- employee engagement.

2015-2016 Faculty & Staff Affairs Committee Work Plan - REVISED

Date	Topics
2015	
September 10-11	<ul style="list-style-type: none"> • 2015-16 Committee Work Plan • Collective Bargaining Agreement with Minnesota State Building and Construction Trades Council – Review/Action The committee will take action on a proposed collective bargaining agreement with the Minnesota State Building and Construction Trades Council. • University Leadership Development Model and Practice The committee will discuss the current leadership development model, focusing on how the U is enhancing leadership effectiveness. • Compensation Principles and Application This discussion will share highlights from the 2014-15 annual report on compensation, and include more focused discussion of current principles of compensation and the application of those principles. In addition, the committee will examine current national trends in compensation with John Adams from Towers Watson. • Consent Report • Information Items
October 8-9	<ul style="list-style-type: none"> • Discussion: Academic Department Culture and its impact Presenters will consider the impact of academic department culture on faculty and staff. The committee will hear what steps are being taken to shape department culture. • Strategic Imperative: Attracting and Retaining Field Shapers Following up on the discussion from June 2015, the committee will closely examine the impact and need to attract and retain field shaping faculty. Provost Hanson will provide insight into the current marketplace and the University’s position within it. • Enhancing Human Resource Work Across the Enterprise The delivery of HR across the University will be reviewed and work being done to enhance human resources will be discussed. • [Consent Report] • Information Items
December 10-11	<ul style="list-style-type: none"> • Follow Up: Job Family Project Presenters will update the committee on the why and how of the Job Family Project, and the accomplishments achieved. • HR Analytics The committee will review the HR dashboards and offer comments on which analytics support the Board’s understanding and the accomplishment of its work. • Enterprise System Upgrade – Implications for Human Resources Presenters will examine the impact of the Enterprise System Upgrade on HR, including how the upgrade has influenced the work of employees and if efficiencies have been created. • Diversity: Composition of Workforce and Focus in Hiring, Action Steps Presenters will detail to the committee the components of the University’s efforts to diversify the workforce, including action steps being taken. Presenters will describe the hiring process and efforts to diversify

	<p>candidate pools.</p> <ul style="list-style-type: none"> • [Consent Report] • Information Items
--	---

2016	
February 11-12	<ul style="list-style-type: none"> • Total Compensation: Elements and Principles Presenters will provide information on benchmarking, identification of peer institutions, and progress made toward a total compensation model. This discussion will help prepare the committee for the annual report on compensation in September. • Employee Engagement Results and Action Steps The committee will hear the latest round of results from the Employee Engagement Survey. The discussion will focus on specific highs and lows of the results, detailing how best practices are being shared across the system and describe the action steps undertaken to impact the results. • Human Resources in M-Health, UMP and the Medical School Presenters will give the committee an overview of how faculty members in the Medical School interact with M-Health and UMP. The discussion will focus on the unique challenges and opportunities faced within the structure. • [Consent Report] • Information Items
May 12-13	<ul style="list-style-type: none"> • Promotion and Tenure: Context; Policy and Process; Rationale and Role of Tenure in Higher Ed.; and Post Tenure Review The committee will take action on recommendations for promotion and tenure. Presenters will also give a detailed explanation of the tenure process, the context of tenure in higher education, and how post tenure review currently functions within the University. • Annual Continuous Appointments The committee will take action on recommendations for annual continuous appointments. • [HR Aspects of Operational Excellence: Accomplishments and Barriers] Presenters will discuss the impact of Operational Excellence on the University's workforce. The committee will review accomplishments of the Operational Excellence initiatives within OHR and barriers faced during implementation. • [Consent Report] • Information Items
June 9-10	<ul style="list-style-type: none"> • ACA: Implications and Response The committee will consider the implications of the Affordable Care Act (ACA) as it moves to full implementation. • Terms and Conditions of the University's Employee Groups This item will review the current structure of University employee groups with the committee. • [UMTC Strategic Plan: Implications for Human Resources] Presenters will examine the impact of the UMTC Strategic plan on the University's workforce and detail how the plan will influence human resources.

- | | |
|--|---|
| | <ul style="list-style-type: none">• Human Resources as a Cost Driver
This discussion will build on the full Board discussion on cost drivers at the University. The committee will specifically review how all elements of compensation act as cost drivers.• [Consent Report]• Information Items<ul style="list-style-type: none">○ Annual U Plan Health Insurance Update |
|--|---|

Draft

2015-2016 Faculty & Staff Affairs Committee Work Plan

Date	Topics
2015	
September 10-11	<ul style="list-style-type: none"> • 2015-16 Committee Work Plan • Collective Bargaining Agreement with Minnesota State Building and Construction Trades Council – Review/Action The committee will take action on a proposed collective bargaining agreement with the Minnesota State Building and Construction Trades Council. • University Leadership Development Model and Practice The committee will discuss the current leadership development model, focusing on how the U is enhancing leadership effectiveness. • Compensation Principles and Application This discussion will share highlights from the 2014-15 annual report on compensation, and include more focused discussion of current principles of compensation and the application of those principles. In addition, the committee will examine current national trends in compensation with John Adams from Towers Watson. • Consent Report • Information Items
October 8-9	<ul style="list-style-type: none"> • Discussion: Academic Department Culture and its impact Presenters will consider the impact of academic department culture on faculty and staff. The committee will hear what steps are being taken to shape department culture. • Strategic Imperative: Attracting and Retaining Field Shapers Following up on the discussion from June 2015, the committee will closely examine the impact and need to attract and retain field shaping faculty. Provost Hanson will provide insight into the current marketplace and the University's position within it. • Enhancing Human Resource Work Across the Enterprise The delivery of HR across the University will be reviewed and work being done to enhance human resources will be discussed. • [Consent Report] • Information Items
December 10-11	<ul style="list-style-type: none"> • Follow Up: Job Family Project Presenters will update the committee on the why and how of the Job Family Project, and the accomplishments achieved. • HR Analytics The committee will review the HR dashboards and offer comments support the Board's understanding and the accomplishment of the its work. • Enterprise System Upgrade – Implications for Human Resources Presenters will examine the impact of the Enterprise System Upgrade on HR, including how the upgrade has influenced the work of employees and if efficiencies have been created. • Diversity: Composition of Workforce and Focus in Hiring, Action Steps Presenters will detail to the committee the components of the University's efforts to diversify the workforce, including action steps being taken. Presenters will describe the hiring process and efforts to diversify candidate pools.

	<ul style="list-style-type: none"> • [Consent Report] • Information Items
--	---

2016	
February 11-12	<ul style="list-style-type: none"> • Total Compensation: Elements and Principles Presenters will provide information on benchmarking, identification of peer institutions, and progress made toward a total compensation model. This discussion will help prepare the committee for the annual report on compensation in September. • Employee Engagement Results and Action Steps The committee will hear the latest round of results from the Employee Engagement Survey. The discussion will focus on specific highs and lows of the results, detailing how best practices are being shared across the system and describe the action steps undertaken to impact the results. • Human Resources in M-Health, UMP and the Medical School Presenters will give the committee an overview of how faculty members in the Medical School interact with M-Health and UMP. The discussion will focus on the unique challenges and opportunities faced within the structure. • [Consent Report] • Information Items
May 12-13	<ul style="list-style-type: none"> • Promotion and Tenure: Context; Policy and Process; Rationale and Role of Tenure in Higher Ed.; and Post Tenure Review The committee will take action on recommendations for promotion and tenure. Presenters will also give a detailed explanation of the tenure process, the context of tenure in higher education, and how post tenure review currently functions within the University. • Annual Continuous Appointments The committee will take action on recommendations for annual continuous appointments. • [HR Aspects of Operational Excellence: Accomplishments and Barriers] Presenters will discuss the impact of Operational Excellence on the University's workforce. The committee will review accomplishments of the Operational Excellence initiatives within OHR and barriers faced during implementation. • [Consent Report] • Information Items
June 9-10	<ul style="list-style-type: none"> • ACA: Implications and Response The committee will consider the implications of the Affordable Care Act (ACA) as it moves to full implementation. • Terms and Conditions of the University's Employee Groups This item will review the current structure of University employee groups with the committee. • [UMTC Strategic Plan: Implications for Human Resources] Presenters will examine the impact of the UMTC Strategic plan on the University's workforce and detail how the plan will influence human resources. • Human Resources as a Cost Driver

	<p>This discussion will build on the full Board discussion on cost drivers at the University. The committee will specifically review how all elements of compensation act as cost drivers.</p>
--	--

- **[Consent Report]**
- **Information Items**
 - Annual U Plan Health Insurance Update

Draft



BOARD OF REGENTS DOCKET ITEM SUMMARY

Faculty & Staff Affairs

September 10, 2015

AGENDA ITEM: Collective Bargaining Agreement with Minnesota State Building and Construction Trades Council

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: Kathryn F. Brown, Vice President, Office of Human Resources
Patti Dion, Director of Employee Relations

PURPOSE & KEY POINTS

Recommend approval of the collective bargaining agreement between the University of Minnesota and the Minnesota State Building and Construction Trades Council on behalf of the craft and trade employees of the University. This agreement will be effective through June 30, 2018.

BACKGROUND INFORMATION

Negotiations on this contract occurred in June 2015 and an agreement was reached. Board approval is required before the contract can be implemented.

PRESIDENT'S RECOMMENDATION

The President recommends approval of this collective bargaining agreement between the University of Minnesota and the Minnesota State Building and Construction Trades Council on behalf of the crafts and trades employees.



REGENTS OF THE UNIVERSITY OF MINNESOTA

RESOLUTION RELATED TO

Minnesota State Building and Construction Trades Council

WHEREAS, the parties have met and reached an agreement regarding terms and conditions of employees of this bargaining unit; and

WHEREAS, the Minnesota State Building and Construction Trades Council have ratified acceptance of this agreement; and

WHEREAS, according to the Board of Regents Policy: *Reservation and Delegation of Authority*, approval of labor agreements by the Board of Regents is required;

NOW, THEREFORE, BE IT RESOLVED that on the recommendation of the President, the Board of Regents approves this labor agreement as outlined in the docket for September 11, 2015.

State Building and Construction Trades Council

This unit is composed of crafts and trades employees represented by nineteen different locals on the twin city campus. The total number of employees in this unit is approximately 250 classifications include Pipefitter, Electrician, Carpenter, Painter, Plumber, etc.

ECONOMIC HIGHLIGHTS

We have committed to having the prevailing wage rates (market rate) as negotiated between the locals and the General Contractor Association in the metropolitan area for May 1, 2016. Wages in 2017 and 2018 are subject to a wage reopener.

The parties have also agreed to a \$150 lump sum payment in July of 2016, 2017 and 2018.

Base Annual Payroll	\$17,083,930
---------------------	--------------



BOARD OF REGENTS DOCKET ITEM SUMMARY

Faculty & Staff Affairs

September 10, 2015

AGENDA ITEM: Compensation Principles and Application

Review Review + Action Action Discussion

This is a report required by Board policy.

PRESENTERS: Kathryn F. Brown, Vice President, Office of Human Resources
John Adams, Practice Leader – Executive Compensation, Towers Watson

PURPOSE & KEY POINTS

To discuss highlights from the 2014-15 report on faculty, staff, and senior leader compensation, and to discuss current principles of compensation, as well as current national trends and issues impacting compensation with an emphasis on the higher education landscape.

BACKGROUND INFORMATION

Board Policy: *Employee Compensation and Recognition* defines compensation to mean base salary and additional payments to employees, such as augmentations, lump sum payments, and incentives (Section II. Subd. 1). That same policy sets forth the following guiding principles to guide the University’s compensation and recognition systems (Section III):

- 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.
- The University seeks to reward meritorious performance and employee contribution to the success of the University through compensation and other forms of recognition.
- In the setting of initial salaries and subsequent pay adjustments, the University considers the work responsibilities, market, internal equity, experience, expertise, performance, and other criteria as appropriate.
- The University adheres to compensation and recognition practices that are fair and equitable in design, application, and delivery.

The policy also requires an annual report on compensation programs for all employees, including an annual report on compensation provided to senior leaders (Section V.).

The Faculty & Staff Affairs Committee heard the annual report on compensation for faculty and staff at its May 2015 meeting, and discussed the Senior Leader Compensation Report at its June 2015

meeting. Starting this year, the combined reports will be scheduled annually for the September meeting.

The May 2015 Compensation Report covered the following topics:

- An update on a total compensation policy and definition;
- Trends that impact the cost of compensation;
- The challenges of benchmarking compensation;
- A review of faculty base salaries as compared to peer institutions for each of the University's campuses; and
- A review of the tools being used by the Office of Human Resources to manage compensation in non faculty employee groups, including, setting pay ranges as part of the Job Family Study, performance reviews and the use of merit pay principles and plans, and the negotiation process for labor represented groups.

The June 2015 Senior Leader Compensation report detailed the challenges encountered in working to benchmark the positions described by Board policy as senior leaders. These challenges include:

- Difficulties in matching positions in scope and responsibility;
- The challenge of identifying a peer group that works across all positions;
- The ability to get information from relevant institutions that may or may not define compensation in a similar fashion; and
- The limited sources for analytics.

The report shared the results of a 2013 benchmarking study that the University commissioned with partners from Penn State, the University of Michigan, and the University of Pittsburgh. The group engaged Sibson Consulting to undertake an Executive Comp Base Salary study; 41 leading public and private universities participated. Of the positions studied, OHR was able to pair 22 University senior leader positions with a relevant study match. Of those, 16 positions fell under the 25th percentile compared to compensation for comparable positions, four positions were below the 50th percentile, and two fell between the 50-75th percentiles.

Both reports included a review of ongoing work in the compensation area, and additional opportunities for the Board to receive information on compensation. These include the following:

- All P&A and Civil Service jobs and the market based compensation ranges are being defined as part of the Job Family Study. This work is set to be completed by October 2015, with the benefit of the ability to identify average salary amounts for each.
- Compensation for labor-represented groups are set as part of the negotiation process and reviewed with the Board at the time contracts are approved.
- Senior leader compensation packages are developed and presented to the Board for approval at the time of hire as part of the required template of material pursuant to Board policy. Material changes to the original contract elements are required to be presented to the Board for approval as well.

Compensation Principles and Application

Board of Regents Faculty and Staff Affairs Committee

Kathryn F. Brown, Vice President, Office of Human Resources
John Adams, Practice Leader Executive Compensation, Towers Watson

September 10, 2015

Strategic Direction for OHR

- **Mission:** The Office of Human Resources strategically leads and partners with our community to provide the diverse workforce and organizational capabilities that drive excellence in the University.
- **Vision:** Create the diverse workplace of the future where people are engaged, connected, thriving, and achieving.
- **Values:** Integrity, service, innovation, collaboration, and responsibility.

Strategic Imperatives

- **Define**
 - Re-imagined, integrated OHR portfolio of services
 - Well-articulated partnership between central OHR and HR work in colleges, units, and campuses in which roles and responsibilities are clear and understood
 - Leader in providing HR professional skills and practice, and encouraging best practices in HR systems and service delivery
- **Simplify**
 - Simplified employment policies and administrative procedures
 - Streamlined employment processes and management
- **Empower**
 - Leaders and managers to make strategic decisions about talent
 - Employees to optimize their employment experience
 - Human resource professionals to be proactive, responsible, and responsive
- **Deliver**
 - Excellent, high quality service in core OHR business functions
 - Improved business processes that support talent management
 - Strategic organizational development advice and practice



**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY**

Page 1 of 3

Human Resources

**EMPLOYEE COMPENSATION AND
RECOGNITION**

Adopted: March 9, 2007

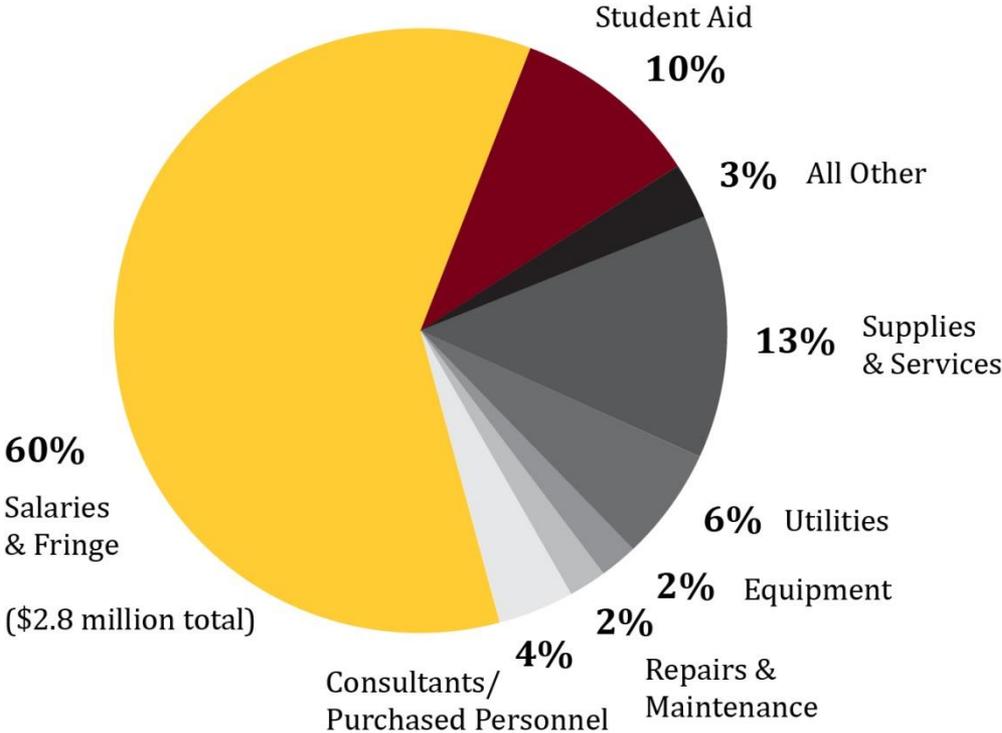
Amended: July 11, 2012

SECTION III. GUIDING PRINCIPLES (Abridged)

- (a) The University strives to achieve and maintain a compensation structure that, when combined with benefits and other rewards, is competitive...
- (b) The University seeks to reward meritorious performance...
- (c) ...the University considers the work responsibilities, market, internal equity, experience and expertise, performance, and other criteria as appropriate.
- (d) The University adheres to compensation and recognition practices that are fair and equitable in design, application, and delivery.

Compensation Report Highlights: Salary and Fringe Are Majority of Spend

**Non-Sponsored Funds
by Object of Expenditure**

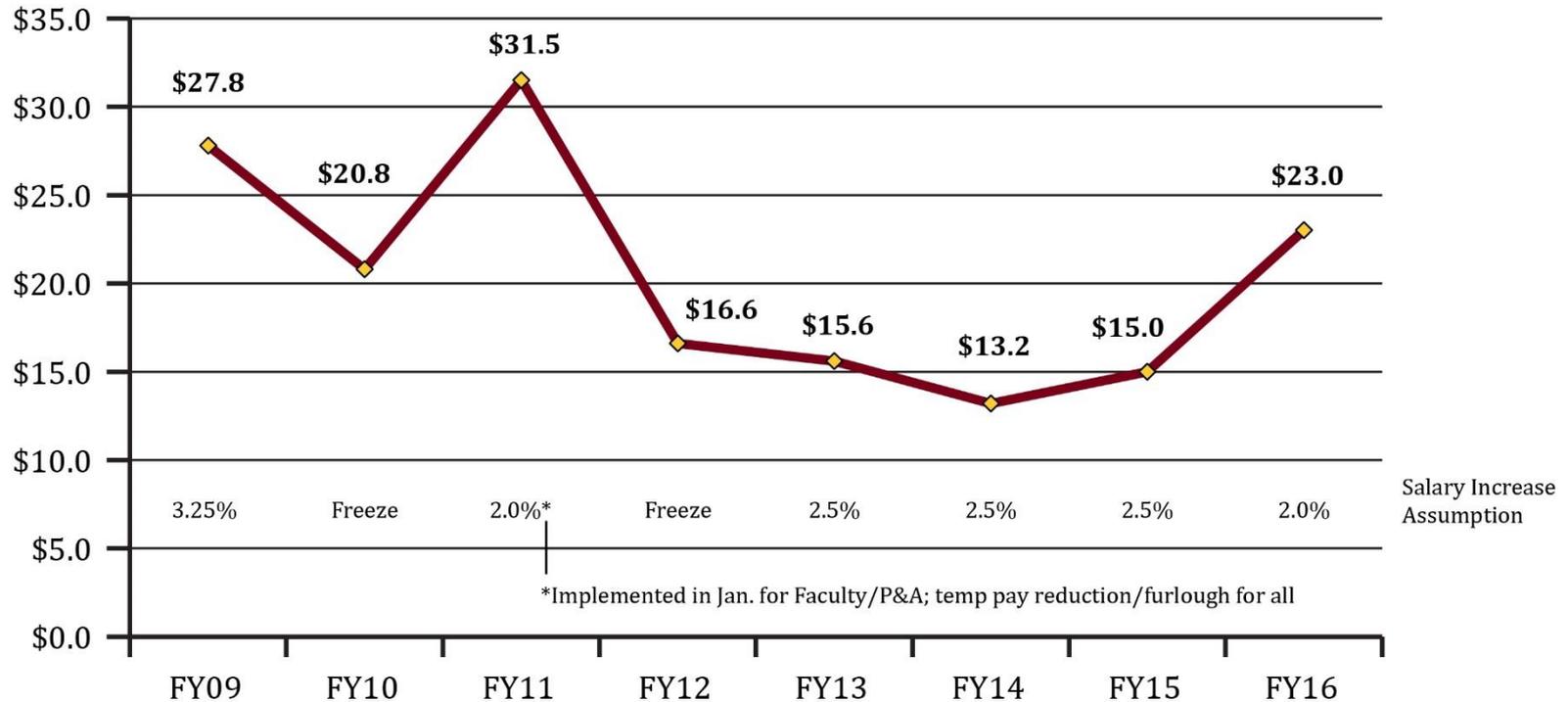


Compensation Report Highlights: Trends Impacting Cost of Compensation

- Total number of employees
- Cost of each element of compensation
- Market, which is impacted by the state of the economy

Incremental Salary and Fringe Costs Planned in the Annual Framework (St. Appropriations & Tuition only)

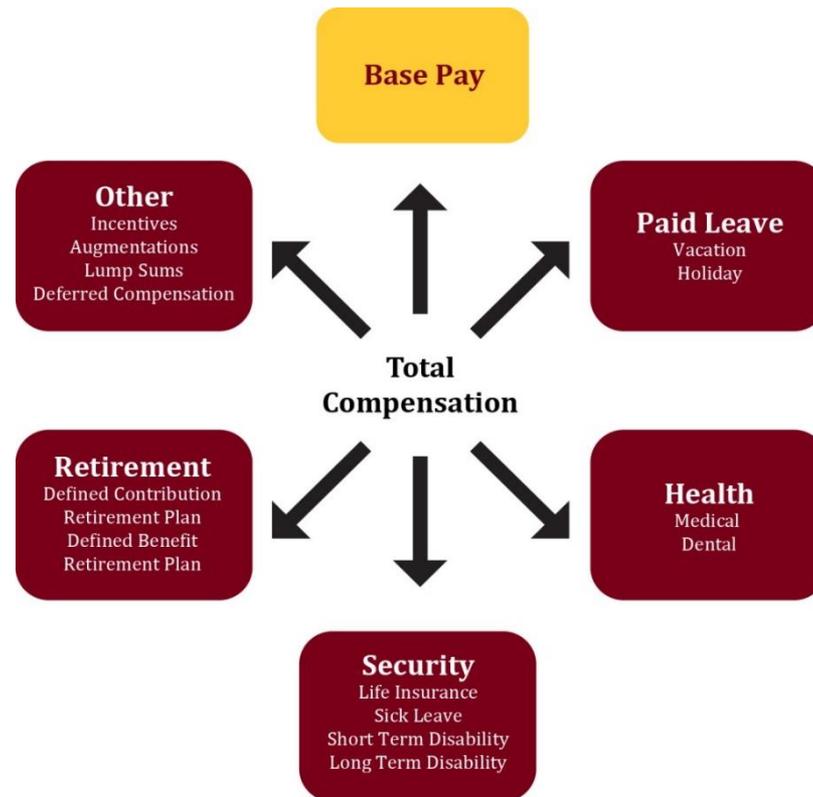
(\$ in millions)



FY17 Estimated Increase:

- Framework Funds - \$13.5 million assuming 2.5% salary increase and preliminary fringe rates
- All Funds (including sponsored) - \$26.8 million assuming 2.5% salary increase and preliminary fringe rates

Compensation Report Highlights: Total Compensation (Total compensation is made up of six components.)





University of Minnesota

Briefing on Compensation Practices and Trends in Higher Education

John Adams, Practice Leader — Towers Watson

Table of Contents

- Higher Education Compensation: Key Trends and Issues
- Executive Compensation: Selected Key Trends

Higher Education Compensation: Key Trends and Issues

- The most significant overall trend/issue in higher education broad-based compensation is the often challenging process of moving to a more rigorous overall system of compensation administration in order to:
 - Drive/achieve performance-based pay decisions, where appropriate
 - Identify skill gaps and provide employees with career opportunities
 - Ensure fairness and best use of limited compensation resources
- The tools of a contemporary compensation system include many of those the U of M is currently working on:*

Tools and Process	Notes and Market Perspective
Documented Jobs	<ul style="list-style-type: none"> • Most organizations have these, and monitor them • Particularly important for FLSA and other compliance processes
Salary Structures	<ul style="list-style-type: none"> • Basis of compensation structure; midpoints aligned with market, range of pay • Often job family or functionally based
Performance Management Process	<ul style="list-style-type: none"> • Includes process for identifying and setting goals • Review process to ensure consistency • Most challenging to do well; biggest return if you do
Pay Administration Guidelines	<ul style="list-style-type: none"> • Application of merit budget based on position in grade and performance • What to do if job paid below minimum or above maximum

* Labor-represented jobs would have a different structure, and would likely not include all tools shown.

Key Observation

It is a challenge for organizations to appropriately/effectively manage pay without the building blocks of a contemporary pay system. It all starts with a well-structured program.

Higher Education Compensation: Key Trends and Issues (cont.)

- Higher education challenges are changing; affecting the talent market and how pay is delivered
-

✓ **Real Estate/Urban Growth**

✓ **Competition for Students**

✓ **Overseas Expansion**

✓ **MOOCs**

✓ **The Endowment and Funding Gap**

✓ **Competition for Qualified Personnel**

Higher Education Compensation: Key Trends and Issues (cont.)

- Consistent with governance practices long seen in the U.S. private company marketplace, higher education institutions are developing and maintaining a specific compensation philosophy, which serves as the basis for many key decisions
 - Committee developed, and often board approved

Peer Group Considerations		
ELEMENT: Peer Group	<ul style="list-style-type: none"> • Market(s) for talent • Characteristics (enrollment, employees, geography, research, etc.) • Typically 10 – 20 other institutions (public and private potentially) • Special/different peer groups for specific jobs (i.e., deans or campus presidents?) 	
	Compensation Element	Targeted Positioning
ELEMENT: Positioning Strategy	Base salary	<ul style="list-style-type: none"> • Example: 50th percentile of peers
	Total cash (base plus variable/incentive pay)	<ul style="list-style-type: none"> • Example: 60th percentile of peers • Example: No Incentive but salary at 60th percentile of peer total cash
	Total compensation ¹	<ul style="list-style-type: none"> • Example: 75th percentile for exceptional performers or highly experienced staff

¹ Total Compensation = Base Salary + Variable Pay + All Other Compensation (e.g., benefits, retirement).

Key Observation

A philosophy provides an important context for decisions, but does not replace a rigorous process.

Higher Education Compensation: Key Trends and Issues (cont.)

Issue	Information and Status
<p>Proposed Changes to the Fair Labor Standards Act (FLSA)</p>	<ul style="list-style-type: none"> On 6/30/2015, DOL proposed new regulations that would update the rules regarding the overtime pay exemption for executive, administrative and professional employees Specifically, the DOL proposes to set the standard salary level for exemption at \$50,440 per year in 2016 Comment period ends early September; it is uncertain when final regulations will be issued, or the extent to which the final regulations might be different from the proposed rules If enacted, will have an impact on higher education institutions What universities are doing now to prepare: <ul style="list-style-type: none"> Conducting analyses on current payroll to determine potential impact Reviewing appropriate classification (exempt or nonexempt) for jobs, assuming a potential change requiring at least 50% of an employee's time exclusively on exempt work – consistent with current CA law, and a possible element of new DOL regulations Assessing how changes would impact pay system and/or assignment to salary bands
<p>Compensation and Development Opportunities for Adjunct Faculty</p>	<ul style="list-style-type: none"> Significant discussion and activity in the market in regard to the compensation and treatment of adjunct professors (for example, pay for professional development) Adjunct faculty at some schools have unionized, or are considering this approach (GWU, Tufts, American University are examples of organizations where there has been recent unionization) Universities are actively reviewing their use of adjunct faculty, and many are seeking to gain feedback regarding best practices and potential changes
<p>Significant HRIS Implementations and Updates</p>	<ul style="list-style-type: none"> Many universities, including the U of M, are actively involved in updating their Human Resource Information Systems (HRIS); these are often significant projects, or require both additional internal and external resources Trend is linkage with focus on using HR as a strategic planning function for the university; by providing greater functionality, it leads to the ability to plan, analyze and implement new human capital plans

Executive Compensation: Selected Key Trends

Base Salaries

- The market is now seeing continued increases in base salary for key executives of larger private and public universities
 - The average one-year **constant population base salary increase** for positions in the Towers Watson Higher Education Survey of Universities was 4%
 - Further “hot jobs” in the university sector are likely to show more aggressive movement; these roles include a variety of financial positions, as well as key jobs in IT, development, online education and research

Selected “Hot” Roles	One-Year Base Salary Movement ¹	Three-Year Compound Salary Growth Rate ¹
President/Chancellor	5.0%	4.0%
Dean, Business School	5.0%	4.0%
Top Health Affairs Officer/Dean of Medical School	6.0%	5.0%
Top Public Relations Officer	7.0%	4.0%
Top Finance/Administration Officer	5.0%	4.0%
Top Information Services Officer	5.0%	3.0%

¹ Based on constant population data (2014 – 2015 over 2013 – 2014, or 2011 – 2012 to 2014 – 2015).

Key Observation

Differentiation is desired/necessary (3% budget for staff and 5% overall budget for executives is problematic to deliver and communicate).

Executive Compensation: Selected Key Trends (cont.)

Annual Incentive/Variable Compensation

- **Annual incentive or variable compensation programs** are less typical at large public institutions; however, they are increasing for very top executives
 - For 12 “Big 10” schools, seven university chancellors received an incentive payment for 2014. The smallest was \$58,000; most were approximately \$100,000
- The average opportunities (e.g., 5% – 20% of salary) are below comparable roles or positions in the for-profit general industry sector; this likely reflects several factors:
 1. Generally quasi-discretionary nature of variable pay plans at most universities
 2. A slow transition to the concept of “total cash” (base salary plus variable pay) compensation for university executives; base salary is still “king” in significant majority of situations
 3. Continued need to keep compensation reasonable/appropriate and aligned with other peer organizations

Key Observation

As pay-for-performance concepts resonate, the use of modest variable/incentive pay is likely to become a more important element of total rewards for key university executives – including public schools. This also will take some pressure off of using base salary as the only performance-based and market/competitive pay element or tool.

Executive Compensation: Selected Key Trends (cont.)

Executive Benefits and Perquisites

- **Executive benefits and perquisites** continue to be relatively important elements of executive compensation in higher education
- Programs for the president/chancellor can be substantially different and more extensive than for other senior executives, especially for the private schools
 - University-owned housing, supplemental life insurance, supplemental retirement, auto allowance, special travel arrangements and sabbaticals are majority practices for this role (although note significant discussion in market on sabbatical benefit design and taxation)
 - “Retreat to faculty” and other retirement provisions are also increasingly seen at private universities; almost universal at most prestigious private universities (note current focus on ensuring individuals are actually functioning as a member of the faculty when covered by these provisions)
- For other key executives, executive benefits are usually more limited, and may not be uniform across the team
 - **Organizations continue to focus on providing the “three Cs”: a coherent, consistent, competitive package rather than individual deals, which had often been the norm in the past**

Key Observation

Higher education organizations have been slow to eliminate executive benefits/perquisites; although some new senior executives may not have the same set of special benefits as retiring/outgoing executives in the same role

Executive Compensation: Selected Key Trends (cont.)

Retirement and Deferred Compensation

- The area of retirement programs is where there is often some divergence between the practices of large public universities and larger private universities
 - **Public Universities:** Still some defined benefit plans in use; some linked to state systems, others specific to the university; many schools (like the U of M) are moving to all defined contribution
 - **Private Universities:** Almost exclusively defined contribution (i.e., 403b plans), some use of restoration and “executive-only plans” or SERPs; simpler, more portable and less long-service focused
- For private and some public universities, there is a continued focus on the use of **deferred compensation programs as a tool to retain and attract senior talent**
 - Due to tax rules, universities cannot (outside of qualified plans) defer compensation without providing substantial risk of forfeiture (if something is vested, it is taxable regardless of when it is to be paid)
 - Therefore, many approaches to providing executive retirement arrangements seen in the for-profit space are not feasible for universities (**which can require special education of board or committee members**)

Key Observation

We expect deferred compensation use to increase over the next several years as higher education organizations look for approaches that provide attraction and longer-term retention of key talent, without resorting to more complex arrangements (COLI, SERPs, structured incentives, etc.). May also take focus off of special retirement deals. *Of 12 “Big 10” Schools, six schools paid or set aside deferred compensation for their chancellor in 2014.*

Executive Compensation: Selected Key Trends (cont.)

Retirement and Deferred Compensation

- While designs of deferred compensation programs can vary significantly, there is a trend toward simple, transparent approaches that enhance retention
 - Often delivered through a 457f plan (or sometimes a 401m plan, as per the U of M)

Academic Grant Year	Deferred Amount	Years Deferred	Timing of Payout
2014 – 2015 (July 1, 2014)	\$50,000	Three Years (Must be employed)	June 30, 2017
2015 – 2016 (July 1, 2015)	–	–	–
2016 – 2017 (July 1, 2016)	\$50,000	Three Years (Must be employed)	June 30, 2019

- For private institutions, these designs require disclosure of amounts deferred in 990s at time of deferral and at date of payout (if paid)
 - Public institutions are also typically required to disclose deferred amounts made and deferred amounts paid (set aside versus paid)

Discussion Questions

- Are the guiding principles contained in Regents policy robust and reflective of institutional values and priorities?
- Are there targets or goals the Board would like considered in determining competitiveness of compensation through the benchmarking process, and if so, should they be similar across faculty, staff, and senior leadership?
- What is a reasonable time interval between market studies on compensation to meet the Board's reporting purposes?



BOARD OF REGENTS DOCKET ITEM SUMMARY

Faculty & Staff Affairs

September 10, 2015

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

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

- a proposed change to Article VII of the Civil Service Constitution pertaining to the eligibility requirements of Civil Service employees for purposes of membership in the Civil Service Senate; and
- the conferral of tenure for faculty who have been hired at the University of Minnesota.

In addition, and pursuant to a 2015 change to Minnesota state law, the administration recommends the appointment of Jeffrey Peterson, Director of the University of Minnesota's Water Resources Center, as the higher education representative to the state Clean Water Council.

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, approval of civil service rules, and appointments of certain trustees and board members to be brought before the Faculty and Staff Affairs Committee for action.

In 2015, the Minnesota State Legislature revised the Legacy Bill to change the membership rules for the Clean Water Council, which advises the legislature and the governor on the Clean Water Fund, created by the Clean Water, Land, and Legacy Amendment. The membership revisions to the bill state that the higher education representative is no longer a voting member and is to be appointed by the Regents of the University of Minnesota rather than the governor.

PRESIDENT'S RECOMMENDATION

The President recommends approval of the consent report.

ARTICLE VII. THE CIVIL SERVICE SENATE (Changes to this article are subject to vote only by the Civil Service Senate)

1. Power

a. The responsibility of the Civil Service Senate shall include but not be limited to matters relating to the employment conditions of the civil service staff; including duties as assigned within the Office of Human Resources Civil Service Employment Rules.

b. The Civil Service Senate may delegate to campus organizations responsibility for matters concerning only one campus of the University.

2. Membership

a. The Civil Service Senate shall be composed of the following voting members:

(1) the chair of the Civil Service Senate;

(2) the chair-elect of the Civil Service Senate;

(3) the elected Civil Service senators; and

(4) the elected members of the Civil Service Consultative Committee if not already elected or appointed to the Civil Service Senate.

b. The Civil Service Senate members elected to the University Senate whose terms on the Civil Service Senate have expired, the past chair of the Civil Service Consultative Committee, and civil service staff serving on Civil Service, Faculty, P&A, Student, and University Senate committees who are not already members of the Civil Service Senate shall serve as ex officio non-voting members.

c. For the purposes of this constitution, the bylaws, and the rules, and to be eligible to be elected to the Civil Service Senate, the term "civil service staff" shall mean individuals covered by the Civil Service Rules who have held temporary or continuing appointments of at least 50% time or more for at least ~~two~~ **one** calendar years are eligible to run for the Civil Service Senate.

e. The manner in which Civil Service are elected to the Civil Service Senate shall be prescribed in the bylaws.

3. Civil Service Senate Officers

The officers of the Civil Service Senate shall be the chair and the chair-elect. The selection and duties of the officers shall be set forth in the bylaws.

4. Civil Service Senate Meetings – Call – Quorum

a. The Civil Service Senate shall hold regular meetings, at least once in each quarter of the fiscal year, at a time and place determined by the Civil Service Consultative Committee.

b. Special meetings of the Civil Service Senate may be held upon the call of the chair, three members of the Civil Service Consultative Committee, or upon written request of ten members of the Civil Service Senate. Senators shall be given notice of any special session by the clerk of the Senate at the earliest possible date and not less than two days before the meeting. Only

subjects specifically listed on the proposed agenda for any special session may be considered at that meeting.

c. At any regular or special meeting of the Civil Service Senate, a majority of its membership (not including vacant seats) shall constitute a quorum.

d. Only elected Civil Service Senate members (or their designated alternates), Civil Service Consultative Committee members, and, in the case of a tie, the presiding officer, shall be entitled to vote. All civil service staff may be present at Civil Service Senate meetings and shall be entitled to speak and to offer motions for Civil Service Senate action.

5. Civil Service Senate Agenda and Minutes

a. The agenda and minutes of each Civil Service Senate meeting shall be distributed in the manner specified in the Rules. Matters under Civil Service Senate jurisdiction, including proposed amendments to this Constitution or Bylaws, may be submitted by any committee of the Civil Service Senate or any Civil Service Senate member.

b. Committees and Civil Service Senators shall submit items for action to the Civil Service Consultative Committee at least one week before the Civil Service Senate meeting.

6. Twin Cities Civil Service Delegation

The Twin Cities Civil Service members of the Civil Service Senate shall constitute the Twin Cities Civil Service Delegation. The Civil Service Senate shall refer to the Twin Cities Civil Service Delegation any matters which pertain only to the Twin Cities campus. Committees which deal only with matters that pertain to the Twin Cities campus shall report to the Twin Cities Civil Service Delegation. The Twin Cities Civil Service Delegation shall meet as needed to conduct business at the call of the chair, three members of the Civil Service Consultative Committee, or upon written request of ten members of the Twin Cities Civil Service Delegation. The officers of the Civil Service Senate shall serve as the officers of the Twin Cities Civil Service Delegation and all procedures and rules established in the constitution, bylaws, and rules for the Civil Service Senate shall apply to the Twin Cities Civil Service Delegation as appropriate. When questions arise, the Civil Service Consultative Committee shall determine the application of the constitution, bylaws, and rules to the Twin Cities Civil Service Delegation.

7. Committees of the Civil Service Senate

The Civil Service Senate may establish standing committees and may also create special committees. Membership on Civil Service Senate committees and procedures for electing or appointing members are described in the Bylaws. Committees may appoint subcommittees.

COMMENT:

Changes to Article VII, Section 2(c) will allow civil service staff to participate in the Civil Service Senate after one year of employment, instead of the current two years.

Tenured 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 Outside Hires for September, 2015 Board of Regents meeting – Twin Cities campus Recommended by Senior Vice President for Academic Affairs and Provost Karen Hanson

Joyce Bell

**Associate Professor with tenure
Department of Sociology
College of Liberal Arts**

Joyce Bell received her Ph.D. in Sociology from the University of Minnesota in 2007. Currently she is an assistant professor of sociology and a faculty associate in the Center on Race and Social Problems at the University of Pittsburgh. Professor Bell is a specialist in the areas of critical race studies and political social movements. She is an excellent educator and teaching mentor with teaching evaluations that consistently rank above average. External evaluators speak highly of Professor Bell's breadth of scholarship and expertise including the centerpiece of her publication record, *The Black Power Movement and American Social Work*. She is a rising star who will be a valuable addition to the Department of Sociology and the University.

Jessica Hellmann

**Professor with tenure
Department of Ecology, Evolution and Behavior
College of Biological Sciences**

Jessica Hellmann received her Ph.D. in Biology from Stanford University in 2000. She is currently an associate professor at the University of Notre Dame. Professor Hellmann is a recognized leader in the field of population and community ecology and the impact of climate change on geographic range change. She is currently a PI or co-PI on eight external grants from a variety of funding sources and has very influential research publications in excellent journals. In terms of service and outreach, Professor Hellmann has been very active in the scientific community and in working with the media to increase public awareness of research. She will also serve as the new Director of the Institute on the Environment.

Tenured Internal Hire for September, 2015 Board of Regents meeting – Twin Cities campus Recommended by Senior Vice President for Academic Affairs and Provost Karen Hanson

Angela Panoskaltzis-Mortari

**Professor with tenure
Department of Pediatrics
Medical School**

Angela Panoskaltzis-Mortari received her Ph.D. in Microbiology and Immunology from the University of Western Ontario in 1990. She is currently a contract research professor without tenure in the department of Pediatrics in the Medical School at the University of Minnesota Twin Cities. Professor Panoskaltzis-Mortari is a highly accomplished scholar in the area of pulmonary medicine with an emphasis on tissue engineering of the lung using adult stem cells and whole lung scaffolds. She also studies bone-marrow transplant-related lung injuries and is exploring methods of enhancing proper lung repair. Professor Panoskaltzis-Mortari has an

exemplary record as a teacher and has mentored numerous undergraduate, graduate students, and post-doctoral fellows. She has served as graduate program director for several years.

Appointment of Professor Jeffrey Peterson as University of Minnesota Representative to the Clean Water Council

In 2015, the Minnesota State Legislature revised the Legacy Bill to change the membership rules for the Clean Water Council, which advises the Legislature and the Governor on the Clean Water Fund, created by the Clean Water, Land and Legacy Amendment. The membership revisions to the bill state that the higher education representative is no longer a voting member and is to be appointed by the Regents of the University of Minnesota rather than the Governor. Professor Deborah Swackhamer, former director of the University's Water Resources Center, had served as the higher education representative to the Clean Water Council since its inception in 2009.

The President recommends the appointment of Dr. Jeffrey Peterson, Director of the University of Minnesota's Water Resources Center and Professor in the College of Food, Agricultural, and Natural Resource Sciences, as the University of Minnesota representative to the Clean Water Council.

Dr. Jeffrey Peterson, began his tenure as director of the Water Resources Center in August 2015. In this role, he guides the interdisciplinary center, encourages and strengthens the links among University water resources research and extension, and promotes graduate education and training in water resources science. Dr. Peterson also will have a faculty appointment in the department of applied economics. He began his faculty career in the department of agricultural economics at Kansas State University moving through a tenure and promotion process to full professor in 2013. He also spent a year as visiting faculty at Oregon State University. His research emphasizes the interaction between agriculture and natural resources, particularly with water use and water policy in the Great Plains. He has received awards and recognition for his scholarly contributions and for teaching and advising students. He holds a Ph.D. and M.S. in Agricultural Economics from Cornell University and a B.S. in Agricultural Economics from the University of Wisconsin-River Falls.

The Water Resources Center (WRC), a partnership between CFANS and University of Minnesota Extension, works to improve and protect the quality and value of water resources for Minnesota's citizens and businesses. The mission of the WRC is to integrate interdisciplinary research, education, and outreach to increase knowledge and improve the quality and value of water resources in Minnesota by leveraging resources and expertise on global environmental issues that have regional significance. More than 100 faculty are engaged in water related science, policy or economic research at the intersection of agriculture, forestry and fisheries and wildlife management and water resource management. The WRC is one of 54 water resources research institutes established by Congress in 1964 by the Water Resources Research Act.☐☐



BOARD OF REGENTS DOCKET ITEM SUMMARY

Faculty & Staff Affairs

September 10, 2015

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

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 report appears as a regular item on the Faculty & Staff Affairs Committee agenda.

UNIVERSITY OF MINNESOTA

BOARD OF REGENTS

September 10, 2015

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

Steve Keto has accepted the position of vice chancellor for Finance and Operations at the University of Minnesota, Duluth. His first day on campus will be October 1, 2015. As vice chancellor, Keto will serve as the chief financial and business officer and will provide direct leadership to the Business Office and Accounting Services, Facilities Management, and UMD Police. He is currently the associate vice chancellor at North Carolina State University.

Highlights

BestCollegesOnline.org named the U of M Landscape Arboretum to a top spot in its “50 Most Amazing University Botanical Gardens and Arboretums in the U.S.” The Arboretum was chosen for its vast and carefully tended array of plant species, and its success at being both a living laboratory for the University’s students and a rich educational resource for the community.

For the third time in four years, the University of Minnesota Dental Clinics have earned the Angie’s List Super Service Award. Service companies are graded by Angie’s List members on an A through F scale in areas ranging from price to professionalism to punctuality. “Only about 5% of the dental service companies in the Twin Cities have performed so consistently well enough to earn out Super Service Award,” said Angie’s List founder Angie Hicks.

All nine officers of the UMD Police Department were recognized for their service and dedication to the Duluth community with Officer of the Year Awards presented by the Kiwanis Club of Friendly Duluth.

Online degree programs in communication and in information technology management offered by the University of Minnesota, Crookston have been ranked among the best online bachelor’s programs by Nonprofit Colleges Online, an online learning resource. The two degree programs were recognized with the 2015-16 Students Before Profits Award for “online degree programs that put students before profits and education before the bottom line.”

The Horticulture Display Garden at the U’s West Central Research and Outreach Center in Morris was named as the Best Public Display Garden in Minnesota by viewers of WCCO News.

The University of Minnesota's Twin Cities campus is included in Campus Pride's top 25 list of colleges across the nation most friendly to lesbian, gay, bisexual and transgender students. Ratings were based on policy inclusion; support and institutional commitment; academic life; student life; housing and residence life; campus safety; counseling and health; and recruitment and retention efforts. Campus Pride is a national nonprofit organization for student leaders and campus groups working to create a safer college environment for LGBT students.

In fiscal 2015, the Venture Center at the U's Office for Technology Commercialization formed a record 16 startup companies around faculty inventions, topping the previous record of 15 companies in 2014 and bringing the total number of startups launched to 84 since the Venture Center formed in 2006. Twelve of the new companies are in Minnesota.

The University of Minnesota, Crookston earned the Northern Sun Intercollegiate Conference (NSIC) 2014-15 Sportsmanship Award. The award is voted on by NSIC head coaches and a Student Athlete Advisory Committee. Criteria are based on the sportsmanship of players, fans, staff and coaches at each opposing NSIC institution.

The University of Minnesota accepted national recognition for its energy conservation successes through the Better Buildings Alliance's Lighting Energy Efficiency in Parking Campaign. The Gortner Avenue Ramp won two awards – one for the greatest percent of savings in a single structure (retrofit) and the other for the best use of lighting controls in a single parking facility.

The University of Minnesota Morris has recently been included in a number of national rankings:

- *Forbes* magazine's listing of America's Top Colleges. The 2015 list ranks the 650 foremost institutions of higher education in the country. UMM ranked 90th in the Midwest and 387th in the nation. Rankings are based on assessments in the areas of student satisfaction, post-graduate success, student debt, graduation rate, and academic success.
- *Sierra* magazine's "Cool Schools" for 2015. This listing by the Sierra Club's official publication ranks universities that lead sustainability initiatives and strive to protect and preserve the environment. Morris was ranked 33rd of 153 institutions and was the most highly ranked school in Minnesota. The University of Minnesota, Duluth also made the list at #73.
- *Consumers Digest* "top values." Among 50 public institutions cited, the University of Minnesota, Morris scored third in the nation, behind Truman State University (Kirksville, MO) and California Polytechnic State University (San Luis Obispo, CA). The rankings were derived from a formula that blends the academic excellence of first-time freshmen (standardized test scores, high-school rank, grade-point average) with educational quality (graduation rates, student-retention rate, percentage of faculty holding a PhD). That value index score was factored with the cost of attending each school to determine which institutions offered the most academic value per dollar.
- *Fiske Guide to Colleges*. This annual publication is a selective, subjective, and systematic look at more than 300 colleges and universities in the United States, Canada, and Great Britain to identify the "best and most interesting schools." This is the fifth consecutive year that Morris has been included.

CenterPoint Energy recently presented the University of Minnesota Twin Cities with its Most Innovative Project of the Year award for implementation of an aggressive environmental plan that includes renewable energy, combined heat and power, and sustainable building and remodeling practices to reduce carbon emissions by 81,000 metric tons (about 12 percent of the UMTC campus footprint).

Faculty and Staff Activities and Awards

Yusuf Abul-Hajj, medicinal chemistry, and R. Lee Penn, chemistry, have been named American Chemical Society (ACS) Fellows in recognition of outstanding contributions and service to chemistry, science, the profession, and the ACS.

Katrice Albert, vice president for Equity and Diversity, was among 20 individuals honored by the *Minneapolis/St. Paul Business Journal* with 2015 Diversity in Business awards. The awards recognize some of the Twin Cities leading business leaders (owners and executives) from the GLBT and ethnic minority communities.

Veterinary Medicine Dean Trevor Ames is president of the Association of American Veterinary Medical Colleges, a nonprofit membership organization working to protect and improve the health and welfare of animals, people, and the environment by advancing academic veterinary medicine. Members include all 35 veterinary medical colleges in the U.S. and Canada, eight departments of veterinary science, seven departments of comparative medicine, 14 international colleges of veterinary medicine, and six affiliate colleges of veterinary medicine.

A team from the University of Minnesota received the Innovations in Teaching Award from the American Association of Colleges of Pharmacy for their project, “When Drug Literature Evaluation Isn’t Enough: Implementing a Longitudinal Evidence-Based Medicine Sequence with a First-Year Milestone EBM Assessment.” Team members were Jim Beattie, Health Sciences Library, and Keri Hager, Kristin Janke, and Shannon Reidt from the College of Pharmacy.

The National Institute of Arthritis and Musculoskeletal and Skin Diseases, part of the National Institutes of Health, appointed Joan Bechtold, orthopaedic research, to its advisory council. Her research focuses on bone healing in the context of challenges such as infection, trauma, smoking, and joint replacement.

John Carmody and professor emeritus Gunter Dittmar, architecture, received AIA Minnesota Special Awards. The Special Awards program seeks to encourage, stimulate, and recognize exceptional contributions that improve the quality of our physical environment made by individuals and organizations that are outside of the architectural profession.

Mike Cihak, UMM instructional and media technologies, was elected chairperson of the Southwest/West Central Higher Education Organization for Telecommunications and Technology (SHOT). Technology and services provided through this consortium include interactive television, desktop conferencing, and IP telephony.

Jim Collins, Veterinary Diagnostic Laboratory, was recognized with a plaque from the Minnesota Board of Animal Health for his years of collaboration with the board and his service to Minnesota's livestock industry.

The Minnesota Veterinary Medical Association presented Marie Culhane with its Distinguished Service Award and Arno Wuenschmann with its Outstanding Faculty Award. Both are professors and pathologists in the Veterinary Diagnostic Laboratory. Culhane's research and clinical interests include infectious diseases of swine and cattle. Wuenschmann's research and clinical interests include infectious diseases (particularly West Nile virus) and diseases of exotic pets, pet birds, zoo animals, and wildlife.

Erin Dady, special assistant to the president for government and community relations and recent Carlson Executive MBA graduate, was selected by Poets & Quants as the best of the class of 2015. PoetsandQuants.com is a news website devoted to the coverage of business schools, MBA degrees, business school and MBA rankings, and MBA admission advice.

"Visible and Invisible Infrastructures: Alternative Futures in Resiliency, Failure, and Design Pedagogy" by Vince deBritto and Ozayr Saloojee, architecture, was awarded Best Research Paper at the Architectural Research Centers Consortium Conference.

"Equity Vesting and Managerial Myopia" by Vivian Fang, Carlson School, won the Wharton School-WRDS Award for the Best Empirical Finance paper at the 2015 Western Finance Association Meeting. The paper was co-authored by Alex Edmans of London Business School and Katharina Lewellen of Dartmouth College. Among the 144 papers that made the program, only five best paper awards were given in different categories.

John Fetrow, veterinary population medicine, was awarded an honorary doctorate from the University of Guelph.

Mike Hanson, UMC Media Services, was selected by the Northwest Educational Technology System (NETS) Executive Committee to serve as the next director of the NETS Regional Network. NETS is a consortium of public colleges that jointly govern and manage the telecommunications infrastructure serving the northwestern Minnesota region.

Senior Vice President for Health Sciences Brooks Jackson received the 2015 Cotlove Lectureship from the Academy of Clinical Laboratory Physicians and Scientists. The award is presented annually to a deserving scientist for their outstanding contributions to the science of laboratory medicine. Jackson was nominated in recognition of his work to reduce transmission of HIV infections from mothers to babies.

Ted Labuza, food science and nutrition, was selected to serve as a member of the Food and Drug Administration's (FDA) Food Advisory Committee. The committee provides advice to the Commissioner of Food and Drugs and other appropriate officials on emerging food safety, food science, nutrition, and other food-related health issues that the FDA considers of primary importance for its food and cosmetics programs.

Paula M. Ludewig, physical medicine and rehabilitation, received the Catherine Worthingham Fellow Award from the American Physical Therapy Association (APTA). The fellow designation is the highest honor bestowed by the APTA. Recipients of this award are nationally recognized physical therapists with at least 15 years of experience advancing the profession through innovation in education, research, and practice.

Steven McCarthy, graphic design, was invited to serve on the board of the Minnesota Center for Book Arts.

Elaine Norton, veterinary population medicine, was named an EQUUS Foundation Research Fellow at the American Association of Equine Practitioners annual convention.

The George Family Foundation, a private family foundation established by Penny and Bill George with an interest in integrative health, authentic leadership, spirituality and the community, named Gayle Ober, College of Continuing Education degree and credit programs, as its new president. Her appointment marks the first time since the Foundation's inception in 1994 that a professional outside the family will serve the organization as president. The Foundation has \$68 million in assets and an annual grantmaking budget of \$3.4 million.

College of Education and Human Development Dean Jean Quam was named one of the 30 Most Influential Deans of Education in the United States by Mometrix, a company that researches, develops, and produces test preparation products to test-takers all over the world. Quam has led CEHD since 2008, and helped launch the program into the upper echelon of education programs in the country.

Karin Quick, primary dental care, was appointed to the American Dental Education Association Women's Affairs Advisory Committee for a three-year term, effective March 2015.

English Professor Paula Rabinowitz's 2014 book, *American Pulp: How Paperbacks Brought Modernism to Main Street*, is the co-winner of the 2015 DeLong Book History Book Prize, presented by the Society for the History of Authorship, Reading and Publishing. According to the judges, the book "acknowledges the power of pulp paperbacks as a medium which introduced new ideas, genres, themes and forms of reading to large audiences."

The American Sociological Association (ASA) awarded its 2015 Gordon Hirabayashi Human Rights Book Award to *The Contentious History of the International Bill of Human Rights* by Christopher N.J. Roberts, Law School. The award is given annually by the ASA Section on Human Rights to the author whose book "demonstrates the most thoughtful, competent, or innovative analysis of a theoretical or empirical issue" in the field of human rights.

Ashok Saluja, surgery, was awarded the medal of the Australian Society for Medical Research (ASMR). The award is offered to an international leader in medical research. Saluja has conducted pioneering basic and translational research in pancreatitis and pancreatic cancer, and becomes one of the few American investigators ever to be granted the medal of the ASMR.

David Samuels, political science, won the American Political Science Association 2015 Woodrow Wilson Foundation Award for the best book on government, politics or international affairs. His book is entitled *Inequality & Democratization: An Elite-Competition Approach*.

Humphrey School Dean Eric Schwartz was re-appointed to the U.S. Commission on International Religious Freedom for 2015. He was first appointed to the commission by President Obama in April 2013.

Bob Stupar, agronomy and plant genetics, will be recognized this fall by the Crop Science Society of America with its Young Crop Scientist Award. The annual awards are presented for outstanding contributions to agronomy through education, national and international service, and research by scientists under the age of 40. The society noted Stupar's development of unique methods to study genome diversity, both in natural and mutant populations.

Paul Timmins, CLA student services, was elected as the National Career Development Association's 98th president and will serve in FY 2017-18. The National Vocational Guidance Association (NVGA) was founded in 1913. In 1985 NVGA was renamed and became the National Career Development Association (NCDA). Thus NCDA is the first, longest running and preeminent career development association in the world.

Yi Zhu, marketing, is the winner of the 2015 John D. C. Little Award, given annually to the best marketing paper published in *Marketing Science* or *Management Science* by INFORMS. This award is considered to be the most prestigious award in the field of marketing science. The paper, "Television Advertising and Online Search," is coauthored by Mingyu Joo of the Fisher College of Business, Kenneth Wilbur of the Rady School of Management, and Bo Cowgill of the Haas School of Business.