Mission Fulfillment

October 2018

October 11, 2018

1:30 p.m. - 4:45 p.m.

Boardroom, McNamara Alumni Center
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   Revised Policy - Page 4

2. Student Education Records, Directory, and Data Privacy
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AGENDA ITEM: Board of Regents Policy: Research Involving Human Subjects

Review + Action

This is a report required by Board policy.

PRESENTERS: Allen S. Levine, Vice President for Research

PURPOSE & KEY POINTS

The purpose of this item is to review proposed amendments to Board of Regents Policy: Research Involving Human Subjects. The proposed amendments reflect items identified during the comprehensive review process.

Proposed amendments include:

- Replacing the term “human subjects” with “human participants” throughout the policy.
- Adding Section II. Guiding Principles which reflects and reiterates the University's commitment to meeting, upholding, and exceeding the highest ethical standards in research practices involving human participants.
- Minor edits done to align with federal regulatory policy, including Section IV., Subd. 2, (b).
- Adding a link to the new administrative policy library and toolkit for the Human Research Protection Program.

BACKGROUND INFORMATION

Board of Regents Policy: Research Involving Human Subjects was last comprehensively reviewed in 2012. At that time, no amendments were recommended.
SECTION I. SCOPE.

This policy governs all research involving human subjects conducted at the University of Minnesota (University) or conducted by University faculty, staff, or student researchers.

SECTION II. GUIDING PRINCIPLES.

The University is dedicated to meeting, upholding, and exceeding the highest ethical standards in research practices involving human participants. The University holds each individual involved in research with human participants accountable for adherence to these standards. Essential to the research enterprise is preserving the trust of research participants. Each researcher has a duty to maintain that trust and to protect participant well-being. Individuals who make the gift of consenting to volunteer as research participants trust the University to protect them from harm and to respect their freely given, informed consent to participate in research. All involved in conducting research must ensure that research is conducted ethically and in compliance with University policies and procedures.

SECTION III. COMPLIANCE WITH FEDERAL CODE.

Subd. 1. Roles. The federal government requires the University to designate the Institutional Review Board (IRB) to ensure that research covered under this policy meets federal requirements. The president or delegate is responsible for overseeing the IRB. University officials may not approve research covered under this policy if it has not been approved by the IRB. However, University officials are authorized to decline to conduct research previously approved by the IRB.

Subd. 2. Compliance with Federal Regulations. All research subject to this policy shall be conducted in accordance with federal regulations, including, but not limited to, the Department of Health and Human Services' Guidelines for Protection of Human Research Subjects 45 Code of Federal Regulations (CFR) 46, and Food and Drug Administration regulations to protect human subjects, 21 CFR 50, 56, 312, 812.

SECTION IV. COMPLIANCE PROVISIONS.

Subd. 1. Appointments. The president or delegate shall appoint members of the IRB in accordance with federal regulations.

Subd. 2. Responsibilities of the IRB. In conjunction with the president or delegate, the IRB and its staff shall provide assurance that all University faculty, staff, and student researchers comply with applicable federal regulations and guidelines. The IRB also shall:

(a) review and approve, require modifications to, or disapprove all research covered under this policy;
Draft for Review

(b) monitor and conduct continuing review of research at intervals of at least once annually in accordance with applicable regulation; and

c) report to appropriate University and federal government officials:
   (1) any unanticipated problems involving risks to subjects participants or serious or continuing noncompliance with IRB requirements; and
   (2) any suspension or termination of IRB approval of research.

Subd. 3. Other Responsible Parties. It is the responsibility of the president or delegate and each principal investigator to implement decisions of the IRB.

Subd. 4. Authorities of the IRB. The IRB is authorized to:

(a) inspect research facilities;
(b) obtain records and other relevant information relating to the use of human subjects participants in research;
(c) observe the consent process or conduct of research directly or through third parties;
(d) suspend or terminate research not conducted in accordance with the IRB's requirements or research associated with unexpected serious harm to subjects participants;
(e) oversee research at other organizations pursuant to appropriate inter-institutional agreements; and
(f) take other actions as necessary to ensure compliance with federal guidelines and regulations, other applicable federal and state law, Board of Regents policies, and administrative policies and procedures.

Subd. 5. Administrative Policies. The IRB, with responsible oversight by the president or delegate, shall maintain appropriate administrative policies and procedures to implement this policy. See https://research.umn.edu/units/irb/toolkit-library/overview-0.

Mission Fulfillment

AGENDA ITEM:  Student Education Records, Directory, and Data Privacy

☐ Review  ☐ Review + Action  ☐ Action  ☒ Discussion

☐ This is a report required by Board policy.

PRESENTERS:  Robert McMaster, Vice Provost and Dean of Undergraduate Education
              Brent Benrud, Senior Associate General Counsel
              Stacey Tidball, Director, Continuity and Compliance, Academic Support Resources

PURPOSE & KEY POINTS

The purpose of this item is to review and discuss procedures for releasing student directory data as governed by Board of Regents Policy: Student Education Records. The item will include an overview of policies that govern the release of student data as well as the current practice for responding to requests for student director information.

BACKGROUND INFORMATION

The following policies and administrative procedures are included in the docket:

- Board of Regents Policy: Student Education Records
- Administrative Policy: Public Access to University Information
- Administrative Procedure: Minnesota Government Data Practices Act - Procedures for Requesting Information from the University of Minnesota
Student Education Records, Directory, and Data Privacy

The Board of Regents Policy: *Student Education Records* (included in the docket materials) governs student information privacy and sets forth what student information is “directory” or public information at the University. Regarding the disclosure of directory information, the policy specifically states:

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

Procedures for responding to student directory information records requests are governed by this provision of the Regents Policy, as well as the Minnesota Government Data Practices Act (MGDPA), the Family Educational Rights and Privacy Act (FERPA), and the University’s Administrative policy: Public Access to University Information (included in the docket materials).

**Policies and procedures for Public Access to University Information**

The University’s Administrative policy: *Public Access to University Information* provides that the Coordinator of Records and Information Management (RIM) is responsible for managing and fulfilling requests for information in accordance with the MGDPA. The companion Administrative Procedure: *Minnesota Government Data Practices Act - Procedures for Requesting Information from the University of Minnesota* (included in the docket materials) sets forth how requests are made and processed.

Requests for information are submitted via an online portal ([http://z.umn.edu/dparequest](http://z.umn.edu/dparequest)). The University acknowledges receipt of requests within three working days and responds promptly, in accordance with the time requirements set forth in the MGDPA. Requests are reviewed for whether the data exist and for compliance with privacy laws. If the data are not available, or if the data are available but not public, the requester is notified. If the request is for student mailing lists or student summary data, the request is assigned to staff in the Office of Institutional Reporting (OIR). OIR staff evaluate the request, determine the time required to process, and send a response back to the requester (through the portal) with information about the required costs for obtaining the requested information. (The law authorizes charges for the cost of searching for, retrieving, copying and transmitting the data. Charges may be included for employee time, materials, and mailing costs.) Once payment is received, OIR staff process the request and upload the information to the portal.

**Policies and procedures specific to Student Directory Information**

Before student information can be released to a requester, it must be determined that the information is public directory information eligible for release, as governed by Board of Regents Policy: *Student Education Records* and FERPA.
Neither FERPA nor the MGDPA set a specific date for providing directory information. Instead, they indicate that an institution may disclose directory information after giving proper notice to students in attendance (i.e., notice of the types of information designated as directory information, and notice of the right to suppress), and allowing students the opportunity to suppress their information. This comports with Regents Policy, “Students shall be given the opportunity to suppress their directory information during the term of their enrollment.”

“Enrollment” has a specific meaning in connection with student status. Students apply to attend the University at various times throughout the year preceding desired matriculation. If accepted, they sign up for classes during a period of summer orientations. However, they are not considered “enrolled” until they attend classes and remain enrolled as of “census.” Census is the 10th day of term. This is the date when enrollment is considered official under the rules for state reporting and federal financial aid. If a student who has been accepted to the University and has registered for classes withdraws or otherwise decides not to attend class prior to the census date, that student is not considered to have enrolled.

Historically, the University of Minnesota has not responded to public records requests for student directory information until after the census date. In the summer of 2017, a requester pointed out that the online directory, published via People Search at search.umn.edu, made student directory information available as soon as students signed up for classes during the summer orientations. Given this fact, the University released student directory information prior to the census date for the last two summers.

**Student-Centered Planning**

During this academic year, the University plans to update the online directory and return to its policy of releasing public directory information after the census date. This is consistent with policy language and the needs of new students.

Over the summer months before enrollment, the U of M attempts to be highly selective in communicating with students in order to avoid their being overwhelmed with peripheral messages about, for instance, non-University housing, credit card offers, or other types of advertisements.

Students themselves have provided input and made recommendations concerning the privacy of their information. Students have complained about the amount of spam e-mail they receive after their directory information becomes public. They have noted that the use of directory information by requesters can drown out official University communications and lead to unwanted advertisements and surveys. The March 2018 Report of the Student Representatives to the Board of Regent noted that students need even more awareness of directory information, their ability to suppress it, and/or the implications for leaving their information public.

Given these considerations, we propose a consistent policy that release of public directory information on students will occur after the 10th day, at official time of census.
STUDENT EDUCATION RECORDS

SECTION I. SCOPE.

This policy governs information maintained by the University of Minnesota (University) in the performance of its functions as an educational institution regarding enrolled or prospective students.

SECTION II. GUIDING PRINCIPLE.

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

SECTION III. DEFINITIONS.

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

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

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

Subd. 4. School Official. School official shall mean a person employed by the University in an administrative, supervisory, academic, research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the University has contracted to perform an institutional service or function in accordance with law; a person serving on the Board of Regents; or a student serving on a University committee or otherwise assisting another school official in performing institutional tasks.

SECTION IV. ACCESS TO STUDENT RECORDS.

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

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

(a) to the student;
(b) to school officials with a legitimate educational interest in the information;
(c) to persons specifically authorized by the student in writing to receive the information;
(d) to other educational institutions in which the student seeks to enroll or is already enrolled so long as the disclosure is for purposes related to the student's enrollment or transfer;
(e) to other organizations conducting educational research studies, provided the studies are conducted in a manner that does not permit identification of students and the information will be destroyed when no longer needed for the specific purpose;
(f) to persons in compliance with a court order or lawfully issued subpoena, provided that a reasonable attempt is made to notify the student where required prior to release;
(g) to appropriate members of the court system when legal actions against the University is initiated by the student and the disclosure is part of the University's defense;
(h) to appropriate persons in connection with an emergency if knowledge of the information is necessary to protect the health or safety of the student or other individuals;
(i) to accrediting organizations and state or federal education authorities using information for auditing, evaluating, or enforcing legal requirements of educational programs, provided the data is protected to prohibit the identification of students and all personally identifiable information is destroyed when no longer needed;
(j) to appropriate persons or agencies in connection with a student's application for or receipt of financial aid to determine eligibility, amount, or conditions of financial aid and to enforce the terms and conditions of the aid;
(k) to parents of a dependent student as defined under the Internal Revenue Code;
(l) the final results of a disciplinary proceeding, regardless of outcome, to the victim of an alleged perpetrator of a crime of violence or a nonforcible sex offense;
(m) findings from a disciplinary proceeding that a student has violated an institutional rule or policy in connection with a crime of violence or nonforcible sex offense; and
(n) disclosures concerning sex offenders and other persons required to register as offenders under federal law.

SECTION V. ADMINISTRATIVE PROCEDURES.

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

POLICY STATEMENT

The University will provide convenient and timely access to all public information in accordance with Minnesota's Public Records Law, the Minnesota Government Data Practices Act (MGDPA), Chapter 13 of the Minnesota Statutes. The MGDPA applies to all government data that is “collected, created, received, disseminated or maintained by the University, regardless of physical form, storage media or conditions of use.” This includes all University work-related information produced or held on University-owned devices or on employee owned devices such as tablets or smartphones.

The Coordinator of Records and Information Management (RIM) is the Responsible Authority and Data Practices Compliance Official under the MGDPA and is responsible for managing and fulfilling requests for information in accordance with the MGDPA. Wherever possible, the University will direct requesters to existing sources of public information.

Units that receive requests from either the public or subjects of data must send those requests to the RIM Office for review and response. Individuals who are the subjects of data collected or maintained about them by the University have the right to:

- know what data is kept and how it is classified;
- notification when private or confidential data is collected from them;
- challenge the accuracy or completeness of data about them; and
- have private data secured.

REASON FOR POLICY

The University adheres to the provisions of state and federal privacy and records laws. In so doing, the University:

- Increases the value of University information resources through widespread and appropriate use.
- Prevents the inappropriate and unauthorized disclosure of information and thereby avoids adverse legal consequences.

Providing efficient and effective access allows the University to minimize expenses related to record keeping and document production and maximize the resources devoted to the primary mission of the University.

PROCEDURES

- [Minnesota Government Data Practices Act - Procedures for Requesting Information from the University of Minnesota](#)
- [Information on Rights of Subjects of Government Data](#)
- [Sharing Data with Audiences External to the University](#)

FORMS/INSTRUCTIONS

- [Data Request Center](#)
APPENDICES

- Commonly Requested Public Information Links
- Examples of Public, Private and Confidential Information

The following appendices are under development:
- Guidelines for Charging for Copies of Public Data

FREQUENTLY ASKED QUESTIONS

1. I received a call from someone who wanted information from my office. What should I do?
   The University of Minnesota uses an online portal to manage public information requests. You can send the requester to: http://z.umn.edu/dparequest to submit their request for information, or have them contact the Records & Information Management Office at 612-625-3497

CONTACTS

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
<th>Phone</th>
<th>Fax/Email</th>
</tr>
</thead>
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<tr>
<td>Primary Contact(s)</td>
<td>Susan McKinney</td>
<td>612-625-3497</td>
<td><a href="mailto:mckin018@umn.edu">mckin018@umn.edu</a></td>
</tr>
<tr>
<td>Access to Public Data</td>
<td>Records and Information Management</td>
<td>612-625-3497</td>
<td><a href="mailto:mckin018@umn.edu">mckin018@umn.edu</a></td>
</tr>
<tr>
<td>Questions From Media</td>
<td>University Relations</td>
<td>612-624-8038</td>
<td><a href="mailto:dpa@umn.edu">dpa@umn.edu</a></td>
</tr>
</tbody>
</table>

DEFINITIONS

Access
The ability to view information, and, when applicable, update or download it. Access is provided to individuals and groups of individuals based on state and federal law and University policy. Access to private or confidential data, and access which permits data updates or downloads requires specific permissions related to job responsibilities.

Data
Information collected, stored, transferred or reported for any purpose, whether stored electronically or in paper files.

Data Custodian
Representatives of the University who are assigned responsibility to serve as a steward of University data in a particular area. They are responsible for developing procedures for creating, maintaining, and using University data, based on University policy and applicable state and federal laws.

Data Owner
Individuals, who in the course of carrying out the University's official business, serve as stewards of data in alignment with their function at the institution. This role is responsible for the accuracy of institutional data that they manage.

Family Educational Rights & Privacy Act
Federal law (P.L. 93-568, 2) as amended in 1974 (with updates). Specifies rights and responsibilities of students and colleges regarding access to student data.

Information/Data Classifications
A determination that establishes the breadth of access to information See Appendix: Examples of Public, Private and Confidential Information.

Minnesota Government Data Practices Act (MGDPA)
Legislation governing access to information that is created, received, and maintained by the Minnesota government entities.

Security Incident
An intentional or accidental occurrence affecting information or related technology in which there is a loss of data confidentiality or integrity, or a disruption and/or denial of availability.
Security Measures
Process, software and/or hardware used by system and network administrators to assure confidentiality, integrity and availability of computers, networks and data belonging to the University and users of University computer and network resources. Security measures include the ability to review files for potential or actual policy violations and responsibility for investigation of security related issues.

Security Violations
Any action that does not comply with system security concepts, policies, processes, procedures or measures.

University Information
Information collected, manipulated, stored, reported or presented in any format, on any medium, by any unit of the University.

RESPONSIBILITIES

General Counsel
Provide legal advice to University staff and decision makers to ensure compliance with state and federal law, including the proper classification of University Data.

Records and Information Management Office
- Serves as the responsible authority and data practices compliance official under the MGDPA
- Fulfills requests for public information that cannot be met through existing reports and other materials.
- Assists General Counsel in advising University staff and other decision-makers regarding access to University information.
- Maintains Appendix: Examples of Public, Private and Confidential Information, specifically, the section on what University information is classified as Public or Not Public.

RELATED INFORMATION

- Board of Regents Policy: Student Education Records
- Administrative Policy: Acceptable Use of Information Technology Resources
- Administrative Policy: Managing University Records and Information
- Administrative Policy: Reporting and Notifying Individuals of Information Security Breaches
- Administrative Policy: Information Security
- University of Minnesota Duluth - Appropriate Use of Information Technology
- Office of the Registrar Policies on Access to Student Records
- Enterprise Access Requests
- Family Educational Rights and Privacy Act - US Statute
- Computer Fraud and Abuse Act, 1986
- Electronic Communications and Privacy Act

HISTORY

Amended:
April 2014 - Comprehensive Review, Minor Revision. 1. A new procedure covered the rights of subjects of government data was added. 2. The reason for policy was clarified and the process for making data requests was enhanced. 3. Outdated definitions were removed.

Effective:
January 1999
ADMINISTRATIVE PROCEDURE

Minnesota Government Data Practices Act
- Procedures for Requesting Information from the University of Minnesota

Related Policy: Public Access to University Information

The Minnesota Government Data Practices Act ("MGDPA") requires that every state agency appoint a "responsible authority" who will "establish procedures to insure that requests for government data are received and complied with in an appropriate and prompt manner." The University has given that responsibility to the University's Records and Information Management Office. The Records and Information Management Office, established in 1996, serves as the University's "responsible authority" under the state public records law and also is responsible for developing, implementing, and coordinating a University-wide records management program. The Records and Information Management Office reports to the Office of General Counsel.

Routine Requests for Public Information
(Student, employment, salary and purchasing) Many routine requests for public information can be obtained by calling the following locations. The general information regarding students is covered in Board of Regents Policy: Student Education Records.

Academic/Student Records - Office of Registrar

| Twin Cities | | |
|-------------|--------------------------|
| OneStop Student Services | University of Minnesota | 612-624-1111 |
| 200 Fraser Hall | 106 Pleasant St SE | Fax: 612-625-3002 |
| Minneapolis, Mn 55455 | | |

| Duluth | | |
|----------|--------------------------|
| Phone Center | University of Minnesota, Duluth | 218-726-8000 |
| 139 Darland | 10 University Drive | Fax: 218-726-6144 |
| Duluth, MN 55812 | | |

| Morris | | |
|---------|--------------------------|
| Office of the Registrar | University of Minnesota, Morris | 320-589-6030 |
| 212 Behmler | 600 East 4th Street | Fax: 320-589-6025 |
| Morris, MN 56267 | | |

| Crookston | | |
|-----------|--------------------------|
| Office of the Registrar | University of Minnesota, Crookston | 218-281-8547 |
| 109 Selvig Hall | 2900 University Avenue | Fax: 218-281-8050 |
| Crookston, MN 56716 | | |

| Rochester | | |
|-----------|--------------------------|
| Office of the Registrar | University of Minnesota, Rochester | 507-258-8008 |
| 111 South Broadway, Suite 300 | Rochester, MN 55904 | Fax: 507-258-8066 |

Human Resource and Purchasing Requests
### System-Wide Requests

<table>
<thead>
<tr>
<th>Type of Request</th>
<th>Responsible Office</th>
<th>Location</th>
<th>Phone and Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment Verification - Faculty Mortgage Only</td>
<td>Office of Human Resources</td>
<td></td>
<td>612-625-8328 Fax: 612-625-2574</td>
</tr>
<tr>
<td>ALL Other Employment Verification</td>
<td>Office of Human Resources Help Desk</td>
<td>Office of Human Resources 319 15th Avenue S.E. 200 Donhowe Minneapolis, MN 55455</td>
<td>612-624-8647 Fax: 612-627-4515</td>
</tr>
<tr>
<td>Salary Verification</td>
<td>Payroll Services</td>
<td>Central Payroll University of Minnesota 1300 S. 2nd Street 545 WBOB Minneapolis, MN 55454</td>
<td>612-624-8647 Fax: 612-626-1053</td>
</tr>
<tr>
<td>Contract/Bid Awards</td>
<td>Office of Purchasing Services</td>
<td>Purchasing Reception Desk University of Minnesota Office of Purchasing Services 1300 S. 2nd Street 277 WBOB Minneapolis, MN 55454</td>
<td>612-624-2828 Fax: 612-624-3410</td>
</tr>
</tbody>
</table>

### Public Reports on the Web

The University of Minnesota publishes many statistical and informational reports on the website. See Appendix: [Commonly Requested Public Information Links](#).

### Data Requests

The University of Minnesota uses an online portal to manage public information requests. Please go to the website at [http://z.umn.edu/dparequest](http://z.umn.edu/dparequest) to submit the request for information. If there are questions concerning the dpa process, please contact the staff listed below.

#### System-Wide

| News Service | University of Minnesota University Relations 6 Morrill Hall 100 Church Street S.E. Minneapolis, MN 55455 | 612-625-8510 Fax: 612-624-6369 dpa@umn.edu |

#### Twin Cities

| News Service | University of Minnesota University Relations 6 Morrill Hall 100 Church Street S.E. Minneapolis, MN 55455 | 612-625-8510 Fax: 612-624-6369 dpa@umn.edu |

#### Duluth

| Lynne Williams, Director of University Marketing and Public Relations 302 Darland Administration Bldg 1049 University Drive Duluth, MN 55812 | 218-726-6141 |

#### Crookston

| Sue Erickson Director of Institutional Effectiveness 309 Selvig Hall Crookston, MN 56716 | 218-281-8277 |

#### Morris

| Melissa Weber Director, University Relations 600 East Fourth Street Morris, Minnesota 56267 | 320-589-6050 urel@morris.umn.edu |

#### Rochester

| Sarah Oslund Director of Communications and Public Relations | 507-258-8062 soslun@r.umn.edu |
1. **How the University responds to public data requests**
   The University will acknowledge receipt of the data request within 3 working days of receipt. The University will respond to all data requests as promptly as possible and within statutorily required time frames.
   
   If the data is not available, the requester will be notified in writing as soon as reasonably possible.
   
   If the data is available, but the data are not public, the requester will be notified as soon as reasonably possible and state which specific law says the data are not public.
   
   The Responsible Authority will work with requesters on a time frame for response, and help narrow the request as much as possible in order to provide the information requested as soon as possible. Requesters should understand that the University of Minnesota is a large, decentralized entity, and that information they have requested may need to be gathered from several departments or units.

2. **Charging for copies of public data**
   Charges for copies of data will follow the law. For 100 or fewer paper copies, the charge is $.25 per copy. For other types or amounts of copies, the charge will vary. The law authorizes entities to charge the cost of searching for, retrieving, copying and transmitting the data. This may include employee time, materials, and mailing costs. The Responsible Authority will respond to the requester with an estimate of the charges for the copies. Charges must be paid in full prior to the receipt of the copies. Charges must be paid by check, made out to the University of Minnesota.

3. **Summary data**
   Summary data means reports or statistical data derived from private data and from which all identifying information is removed. The requester must pay the costs of preparing summary data, which may include employee time, materials, programming costs, etc. Within 10 days of receipt of the request, the Responsible Authority will inform the requester (1) whether it is possible to produce summary data without compromising confidentiality, and (2) if so, the time schedule and the estimated costs for producing the summary data. Charges must be paid in full prior to the information being processed. Charges must be paid by check, made out to the University of Minnesota.

4. **How to request information about yourself**
   If you are requesting information on yourself, please be as specific as possible. If you have an employee or student ID number, please include that in your request (if you do not have that information, please include a birthdate or the last 4 digits of your SSN).
   
   If you are requesting information on your minor children, an individual for whom you have been appointed legal guardian, or a decedent, please provide identifying information that proves you are the data subject's parent/guardian/next of kin.
   
   Individuals who are the subjects of data have certain rights under Minnesota state law. Additional information is available in [Information on Rights of Subjects of Government Data](http://policy.umn.edu/it).

5. **Standing requests**
   Standing requests will be honored for 60 days, after which they must be renewed to ensure that the requester is still interested in receiving the data.

6. **Keeping Data Secure**
   The University of Minnesota has policies and procedures relating to the privacy and security of information. These policies can be found at: [http://policy.umn.edu/it](http://policy.umn.edu/it).
   
   In the unfortunate event that a security breach has occurred and an unauthorized person has gained access to private data on individuals, those persons will be notified as required by law.
Student Education Records, Directory, and Data Privacy

October 2018

Robert McMaster
Vice Provost & Dean of Undergraduate Education

Brent Benrud
Senior Associate General Counsel

Stacey Tidball
Director of Compliance, Academic Support Resources
Student Data Governance

Executive Vice President & Provost
Karen Hanson

Vice Provost & Dean of Undergraduate Education
Robert McMaster

Associate Vice Provost & University Registrar
Sue Van Voorhis
Student Data: University Data Owner

Chief Privacy Officer for Student Records
Stacey Tidball
Student Data: University Data Custodian

Public
Directory information, unless suppressed

Private-restricted
Academic record, Advising, Demographic, Financial aid, Student affairs, Student account
Board of Regents Policy: Student Education Records

Defines “directory information” for the institution: Name, address, telephone, dates of enrollment, enrollment status (full- or part-time, not enrolled), major, adviser, college, class, academic awards and honors, and degree awarded.
Board of Regents Policy: Student Education Records

Opportunity to suppress:

“Students shall be given the opportunity to suppress their directory information during the term of their enrollment.”
Administrative policy: *Public Access to University Information*

- Details process for reviewing and responding to public records requests
Enrollment of Undergraduates

• Application opens August 1st
  – November 1st Early Action deadline
  – January 1st Regular deadline
  – UMTC utilizes rolling admissions through the year. Students are admitted throughout the review process, beginning in September

• Admitted students must confirm by May 1st
  – 7% of confirmed students never attend (Summer Melt)
    • Some withdraw
    • Some do not show up for orientation
    • Some attend orientation but do not attend classes, or withdraw prior to 10th day
• Surprisingly, there are students who confirm at multiple institutions and even attend orientation at multiple institutions. In the admission’s world, this practice is considered unethical.
Enrollment & “census”

- Admitted and confirmed students register for classes during the summer orientation period.
- First attend classes and are considered enrolled as of the 10th day of fall semester.
  - The 10th day is the “census” date when students are reported for IPEDS data.
Communication Impacts

• Once directory information is available, it must be released to any requester
  – Credit card offers, advertisements, etc.
• During the summer, University needs to be selective in its communications to emphasize key messages
Critical Correspondence over summer

- E-mail is the official form of University correspondence. Students are responsible for reading
- Recruitment/ Anti-melt
- Final HS Transcript outreach
- New Student Checklist (weekly email Apr - Jun)
- Prepare for your Advising Appointment
- Final HS Transcripts
- Invitation to attend Parent and Family Weekend. (rolling mailed invite)
- Housing LLC preferences notice
- Housing assignment notification
Concerns with E-mail overload

• Credit card companies including local and national banks
• Non-University owned apartment complexes
• Local businesses
• Non-for Profit Organizations
• Corporations
• Many types of advertisements
Academic Best Practice for Release

• In order to minimize E-mail, best practice is to release student directory information on the 11th day.

• Many peer institutions among the Big 10 Conference follow the census date (10th day of the term) for when they release student directory information for public records requests under their applicable state laws, if any. These institutions include the University of Illinois, Indiana University, University of Maryland, University of Michigan, and the University of Nebraska.
10\textsuperscript{th} is official IPEDS census date, meaning students are counted in formal statistics.

Data are processed from \sim 11\textsuperscript{th} to 12\textsuperscript{th}

Enrollment data released to the BOR
Student Concerns

• The March 2018 Report of the Student Representatives to the Board of Regent noted that students need even more awareness of directory information, their ability to suppress it, and/or the implications for leaving their information public.

• They noted that the use of directory information by requesters can drown out official University communications and lead to unwanted advertisements and surveys.
Mission Fulfillment

AGENDA ITEM: Disability Support Services Systemwide

☐ Review  ☐ Review + Action  ☐ Action  ☒ Discussion

☐ This is a report required by Board policy.

PRESENTERS: Michael Goh, Vice President for Equity and Diversity
Julie Showers, Associate Vice President for Equity and Diversity
Lisa Erwin, Vice Chancellor for Student Life, UMD

PURPOSE & KEY POINTS

The purpose of this item is to discuss disability services across the University system. The discussion will provide an overview of disability services that sustain the systemwide commitment to equitable access and opportunity for students, faculty, staff, and guests with disabilities. The item will include a description of the work of aligned offices across the system that are responsible for facilitating access to learning, working, and participating in all aspects of campus life. These disability resource centers are aligned in common mission and purpose, as they implement services meeting the unique needs of each campus population.

Disability services support the goal of equitable access and opportunity for people with disabilities in programs, facilities, employment, and educational programs, as defined in Board of Regents Policy: Disability Services. These services reflect the policy's guiding principles, which are grounded on the University's commitment to fostering a diverse and inclusive academic and social environment for all members of the University community, as well as attentiveness to applicable state and federal law, which is also referenced Board of Regents Policy: Equity, Diversity, Equal Opportunity, and Affirmative Action.

All services across the system deliver on the University's commitment to:

- provide equitable access to and opportunity in its programs, facilities, employment, and educational programs to people with documented disabilities;
- provide reasonable accommodations to persons with documented disabilities in accordance with applicable state and federal law; and
- promote and practice adopting accessible media, technology, instructional methods, building design for new and renovated facilities, and procurement practices that are inclusive to students, faculty, staff, and guests with disabilities.

All five campuses are experiencing an increased demand for services and/or more complex accommodation requests. The discussion will include a review of data on usage trends, as well as an overview of how disability services offices across the system are focusing their efforts both...
proactively, through inclusive design (to enable individuals with disabilities to access, use and benefit from resources without the need for modification or accommodation) and reactively (to meet requests for reasonable accommodations that are necessary in some situations.) All campuses do use a rigorous interactive process, as required by law, to determine reasonable accommodations, tailored to an individual and their context.

BACKGROUND INFORMATION

The Board has previously discussed disability services in the following items:

- May 2018: Student Health and Wellness Programs, Mission Fulfillment Committee.
- February 2018: Update on Twin Cities Campus Climate, Mission Fulfillment Committee.
Common Goals, Standards, and Practices

All University of Minnesota campuses share a common mission and purpose as they serve faculty, staff, and students with disabilities. While individual campus offices focused on disability services carry different names, they all focus on three basic objectives:

1. Providing equitable access to people with disabilities;
2. Advancing social equity for people with disabilities; and
3. Ensuring the University complies with applicable laws.

The Board of Regents policy on Disability Services ([here](#)) states that the University shall provide reasonable accommodations to people with disabilities in accordance with applicable state and federal laws. With assistance from system disability support offices, the University ensures compliance with the Americans with Disabilities Act of 1990 (ADA), as amended, and Section 504 of the Rehabilitation Act of 1973 (Section 504), which states that no otherwise qualified person will be denied access to, participation in, or the benefits of, any program or activity by the University because of a disability (US Department of Education, Office for Civil Rights).

All five campuses are experiencing an increased demand for services and/or increasingly complex accommodation requests. All five campuses focus their efforts both proactively (through encouraging increased attention to inclusive design), and reactively (in response to requests for reasonable accommodation).

Inclusive Design

Access for individuals with disabilities can be significantly improved why considering the design of courses, programs, activities and facilities before a disabled student or employee is impacted. Inclusive design enables individuals with disabilities to access, use and benefit from resources without the need for modification or accommodation. Accessible practices promote an inclusive classroom that enables all students to succeed. For example, an instructor may share lecture notes with all students, benefiting all learners and allowing a student who may require note taking as a disability accommodation to access the relevant content without specially designed accommodations.

Insuring full access to the programs and services offered at the University requires attention to a wide range of settings. Equitable access to technology is a rapidly evolving area of focus. The Accessibility of Information Technology Policy states, “The University of Minnesota is committed to providing equitable access to information technology, digital materials, services and the environments in which information technology is used.” With technological advances, accessibility of new and/or different uses of technology should be considered prior to purchase and/or development. Creators or purchasers of all digital media, such as documents, videos and websites, can create (or purchase) accessible media, thus achieving access earlier and more effectively for the student/employee, saving the expense of reactive remediation and improving the experience for all students by recognizing diverse learning styles.
Reasonable Accommodations

Accommodations will be necessary in some situations. All campuses use a rigorous interactive process to determine reasonable accommodations. This interactive process, required by law, means continuous engagement with those served to determine the impact of their disability on their work or academic experience and to identify the context in which a barrier is encountered (academic, co-curricular, dining, housing, etc.) so that a reasonable accommodation can be identified. An accommodation is typically a modification made to a course, program, service, job, activity or facility that eliminates or minimizes disability-related barriers in order to allow equitable access.

There is often more than one way to provide accommodations for a situation or activity. In order for an accommodation to be considered reasonable, however, it must meet four criteria:

1. It must not compromise essential requirements of a course, program, job, activity, or facility.
2. It must not cause an undue administrative or financial hardship.
3. It must not compromise the safety of the disabled person or others.
4. It must not fundamentally alter a course or program.

Accommodations are tailored to an individual and a context, as each situation requires a tailored accommodation or set of accommodations. For example, a blind student may require that materials be made available in Braille or other forms of document conversion. Another blind student who does not read Braille may require a scribe or note-taker. Likewise, accommodations may need to change depending on the physical location of learning (e.g., a classroom versus a laboratory setting).

Increase in Demand for Services

Slides follow that highlight the increasing demand for disability services on each campus. There are a number of common factors driving this heightened demand. Some include:

- More people with disabilities using disability services
- Broader legal definition of qualified disability
- Mental health issues manifesting during college years and the reduction of stigma, so that more students with mental health conditions seek counseling and accommodations
- Social, technological, and medical advances allow more students with disabilities to enter college
- Reduced state funding for vocational rehabilitation
- Students entering with expectations of assistance similar to what they may have experienced in K-12 and/or not prepared for the shift to greater self-sufficiency required at the University level
- Increasing digital accessibility requirements
- Aging workforce
- Outsourcing of Employee Assistance Program and consumer use of FMLA
- Centralized DRC services

For each campus, one of the challenges in planning and budgeting for disability services is the inability to predict the future needs of students and employees, recognizing that both are shifting populations and that the needs of the incumbent populations change in often immediate and unpredictable ways. With the growing demand for accommodations for mental health conditions
and for some chronic conditions (e.g., autism spectrum issues), the interactive process of determining the reasonableness of accommodations increasingly requires more professional contact time.

It is likely that the demand for services and the complexity of cases will continue to increase. If so, disability support offices within the University system will either need to increase staffing or to reduce the level of services offered. For example, the focus may need to shift from a development model that facilitates student learning to a more transactional model. This comes with great risk, as the intent of the disability support office is to foster self-determination and advocacy skills, concepts which are new to many students. If we fail to guide students in learning to articulate barriers to access and the need for accommodation, we’ll continually add to our workload. Likewise, if we fail to provide leadership and education in best practices in inclusive design, we’ll do little to advance the notion of pursuing system- and campus-level change to advance equal access.

**Campus Specific Information**

**Twin Cities Campus**

The DRC serves faculty, staff, students and guests on the Twin Cities campus as well as faculty and staff at the Crookston, Duluth, Morris, and Rochester campuses, including guests of the U of M Extension throughout Minnesota. The Director of the DRC also serves as the ADA Coordinator for the Crookston, Duluth (faculty and staff, not students), Morris and Rochester campuses and holds bi-weekly case consultations with disability staff on those campuses.

The following outlines a sample interactive student accommodation process on the Twin Cities campus:

- The interactive process begins when a current or prospective student contacts the DRC and schedules an initial appointment with a DRC access consultant.
- The DRC will request documentation from the student that describes the student’s disability. If no documentation exists, the DRC may assist the student in obtaining it. The documentation is reviewed by the DRC access consultant.
- At the initial appointment, the student and access consultant will discuss how the student’s disability impacts their academic experience. If reasonable accommodations are appropriate, they will be outlined in a letter for the student’s instructors.
- Students are asked to share the accommodation letter with each instructor to continue the interactive process of determining which accommodations will be appropriate and how they will be implemented.
- Throughout the year, students and instructors are encouraged to connect with the student’s access consultant if they or their instructors have any questions or concerns about the accommodations.

The following are examples of student accommodations:

- Testing accommodations, such as additional time, a lower distraction room, or use of assistive technology
- Note-taking assistance
- Sign Language interpreting or captioning support
- Document Conversion to create alternate text formats
• Access assistance for students or employees who need audio description, support with manipulation tasks, help with library materials, or other tasks
• Consultation on the use of computers and assistive technology

In cases involving disabilities requiring more complex accommodations, the process involves numerous conversations with the student, the student’s care providers, and the University partners who work collaboratively to determine effective reductions in barriers.

UMTC’s approach to disability services is unique in size and scope among Big Ten peer institutions. Faculty and staff of all University of Minnesota campuses are served by one unit. The Twin Cities DRC also serves students on all campuses, except for UM Duluth. This reduces duplication in services and creates opportunities to effectively and efficiently serve people with disabilities who are engaged in dual roles (e.g., people who are both UM students and staff).

Also distinctive, the UMTC funds disability accommodations from a central cost pool. Centralized funding greatly reduces risk to the university that individual departments will deny accommodations because of cost. For a recent example of a case that resulted in litigation, see UC-Berkeley complaint.

Finally, the organizational home of the DRC, in the Office for Equity and Diversity, is unusual compared to other institutions. The University of Minnesota values diverse identities and experiences and honors disability as an important aspect of human diversity. Promoting a more inclusive model reduces isolation and marginalization for those with disabilities.

Data

The PowerPoint slides submitted along with this document provide a five-year look at the Twin Cities data related to disability services and summary data for Crookston, Morris and Rochester. Duluth data are provided below.

Provision of Disability Services at UMD Data

The number of students served at the Duluth campus is variable from year to year, but this data point alone does not fully capture the demand for disability services at UMD.

Similar to the process described by our Twin Cities colleagues, UMD Disability Resources engages in the same interactive student accommodation process. With that in mind, it is important to understand the types of disability conditions students are experiencing over time. The primary group of students accessing accommodations through Disability Resources is students with mental health conditions.

Compared to other disabilities, students with mental health conditions generally require more professional contact time with the student and their instructors to engage in the interactive process of determining accommodations to reduce the barriers presented.

Finally, note that in the Summary of Services table there is steady growth of faculty members who are providing accommodations within their courses. This, paired with increases in the numbers of exams administered, also helps demonstrate the increased demand for disability support services.
Stories of Success & Best Practices at UMD

1) Media captioning
The University has made a commitment to ensuring equal access to information technology. This includes providing captioning for course media such as videos and audio files. In recent years, UMD has noted a decrease in the number of captioned media hours. This could be a positive indicator that faculty members are aware of the requirement to ensure access to course media and selecting materials accordingly.

The Duluth campus has shown great leadership in the area of ensuring access to media. UMD is the only campus with a specific policy on video captioning. Disability Resources provides faculty with advance notice when captioned course media is required as an accommodation. This advance notice is also shared with UMD outreach librarians, who follow up with faculty to analyze course media and determine if captioned resources are available. If not, faculty are referred to captioning resources, or work with library staff to explore alternative captioned materials that achieve the same educational outcome.

This example suggests that when time is invested to thoughtfully design inclusive practices, the University community benefits by offering accessible, barrier-free experiences for people with disabilities.

2) Database development
Disability Resources has used an electronic records management database application for well over 10 years. Demands and expectations for service have changed over time, and the application did not meet expectations for efficiently managing work flow, generating reports, and most importantly, allowing students to engage in self-service features in managing accommodations for equal access.

After exploring numerous commercial products, Disability Resources determined that the optimal outcome would be achieved by collaborating with UMD ITSS to develop a database application customized to our business needs.

Development of the application began in Spring 2017. Phase 1 of the project focused on internal workflows, management of the student record, and development of reporting features. Phase 1 was completed in Fall 2017 and was deployed to production in October 2017.

Phase 2 is currently in progress and focuses on the development of a self-service student portal. Features are continually being developed and deployed to production upon completion. At present, an online option for students to request accommodations is available. Features in development include options for students to send accommodation notices to faculty, schedule appointments with Disability Resources staff, request accommodations, and schedule exams. The projected completion date for Phase 2 is the end of FY19.

The importance of a self-service student portal must be specifically stated. A student portal offers flexibility in self-managing disability accommodations, thereby increasing independence and reducing barriers to achieving equal access.
UMD Disability Resources offered an opportunity for other disability support offices in the system to join the collaboration in developing the database application. As of August 2018, UM Morris and UM Crookston have implemented the application at their campuses.

3) Initiatives to Advance Accessibility of Information Technology
In 2014, Disability Resources and other key stakeholders advocated for UMD senior leadership to appoint and charge a task force with evaluating accessibility of UMD web pages and the technology-based teaching and learning tools. The task force fulfilled its charges in 2015 and made a series of recommendations to campus leadership. Two prioritized recommendations included appointing technical working groups to continuously monitor and advance accessibility of UMD websites and technology-based teaching tools.

An opportunity to monitor and advance web accessibility was identified in 2016. In close partnership with UMD Marketing and Public Relations and ITSS, web templates are built and tested for accessibility before deployed to production. Additionally, Disability Resources is part of a Web Advisory committee, which affords an opportunity to consider web accessibility for current and future website upgrades.

In Spring 2018, a work group was assembled and tasked with advancing accessibility of technology-based teaching tools. Members of this group also participate in system-wide digital accessibility work groups to advance accessibility of technology within the U of M system. The director of Disability Resources participates in the digital accessibility steering committee, which provides oversight to the digital accessibility work groups and ensures that the University is fulfilling the charge of developing a systematic approach to improving accessibility of information technologies.

4) Disability Resources Role in Supporting Student Well-Being
Disability Resources plays an important role in UMD’s student well-being support system. Disability Resources participates in a Student Care Team (SCT), a group that addresses student needs as it pertains to chemical use, mental health concerns, personal distress, or other behavioral issues. Other units represented in SCT includes Academic Affairs, Counseling, Disability Resources, Diversity and Inclusion, Housing and Residence Life, UMD Police, and the Office of the Vice Chancellor for Student Life and Dean of Students. Disability Resources works with the team to evaluate disability access needs within the context of the cases presented. Disability Resources also works with the team to ensure that procedures are not discriminatory on the basis of disability, and to advise of trends related to service provision for students with disabilities.

Disability Resources plays a vital role in the Commission on Disabilities (COD). COD seeks to continually advance access and inclusion for people with disabilities at the UMD campus. This group is integral in creating an inclusive campus climate that is welcoming to students, employees and campus guests with disabilities.

Finally, Disability Resources contributes to student well-being by serving as a partner and advocate for programming designed to proactively prepare students to manage stress and promote mental health. For example, Disability Resources partners with UMD Counseling Services to co-sponsor and offer assistance in facilitating CALM, a stress management and resiliency skill building workshop.

Program Innovations at UMD
Database
Please see notes above for a detailed explanation of the Disability Resources database application. Disability Resources continually seeks to be responsive to the demands and expectations of students. While the creation of the student self-service portal has implications for advancing inclusivity and barrier-free design at UMD, there is also an expectation among this generation of learners to have immediate access to information and support. A self-service student portal assists in meeting this expectation.

*Drop-in hours*

In seeking to balance the need for a deliberative process with student expectations of immediate access to information, Disability Resources is piloting drop-in hours effective Fall 2018. Drop-in hours allow students to quickly get support or services, or, if the needs present beyond that which can be addressed effectively within the drop-in format, the student can be referred for additional follow-up. Usage statistics have been tracked by week and in the first 5 weeks of the term, over 60 students have accessed disability support via drop in hours.

*Disability Ally Program*

Being responsive to student needs is important to fulfilling this office’s mission. However, Disability Resources must also be responsive to the needs of the entire campus community. UMD is committed to creating an inclusive and welcoming campus community, however, we recognize that disability is not often intuitively understood to be an aspect of diversity. To advance UMD's work in creating an inclusive campus climate, Disability Resources is developing a Disability Ally training. This optional, self-paced training will be available online to UMD faculty, staff, and students. The training will promote awareness of the foundations of disability discrimination and provide actionable strategies that will systemically advance access for people with disabilities. Launching in Spring 2019, this training offers a significant opportunity for UMD to advance efforts in inclusively designing programs, services, and facilities so the need for individual accommodation is minimized.

*Consultation*

In FY18, Disability Resources responded to numerous requests for individual and group consultation on issues pertaining to disability access, such as rights and responsibilities within pertinent non-discrimination legislation, how to navigate concerning student behavior in a sensitive manner, and how to implement universal design principles. In response to the needs of our faculty partners, Disability Resources is also proposing to offer “coffee breaks” with faculty twice per semester. These drop-in sessions will allow Disability Resources staff to engage with faculty to analyze disability access issues, offer best practices in implementing universal design principles, and provide individualized consultation for faculty.
Disability Support Services Systemwide

Michael Goh, Vice President for Equity and Diversity
Julie Showers, Associate Vice President for Equity and Diversity
Lisa Erwin, Vice Chancellor for Student Life, UMD
Board of Regents Policy on Disability Services—Guiding Principles

The University of Minnesota:

- values the richness and diversity that people with disabilities bring to the U community;
- believes access to educational, work, co-curricular, and other opportunities for people with disabilities enriches the academic and social environment for all members and guests of the University community;
- seeks to foster an inclusive community of faculty, staff, and students engaged in research, scholarship, artistic activity, teaching and learning, or community engagement;
- strives to: (1) develop curricula and educational materials; (2) design buildings and other physical spaces; and (3) select products and services that can be used by students, faculty, staff, and guests with different backgrounds, learning styles, abilities, and disabilities consistent with the concepts of universal design.
The University shall:

- provide equitable access to and opportunity in its programs, facilities, employment, and educational programs to people with documented disabilities;
- provide reasonable accommodations to persons with documented disabilities in accordance with applicable state and federal law; and
- promote and practice adopting accessible media, technology, instructional methods, building design for new and renovated facilities, and procurement practices that are inclusive to students, faculty, staff, and guests with disabilities.
Legal Requirements

The Americans with Disabilities Act of 1990 (ADA), as amended, and Section 504 of the Rehabilitation Act of 1973 (Section 504), require that no otherwise qualified person will be denied access to, participation in, or the benefits of, any program or activity by the University because of a disability (U.S. Department of Education, Office for Civil Rights).
Inclusive Design

- Access for individuals with disabilities can be significantly improved when consideration is given to the design of courses, programs, activities, and facilities before a disabled student or employee is impacted.

- Inclusive design enables individuals with disabilities to access, use, and benefit from resources without the need for modification or accommodation. This provides quicker access and reduces the cost of reactive remediation.

- The University strives for inclusive design so that a student with a disability may have the same access to their education as a student without a disability.
Examples of Inclusive Design

- Creators and purchasers of all digital media such as documents, videos, and websites can create (or purchase) accessible media, thus providing earlier access and reducing the cost of reactive remediation.

- An instructor may share lecture notes with all students, benefiting all learners and allowing a student who may require note taking as a disability accommodation to access the content needed without specially designed accommodations.
Reasonable Accommodations

- All campuses use a rigorous interactive process to determine reasonable accommodations.
- This interactive process, required by law, means continuous engagement with those served to determine the impact of their disability on their work or academic experience and to identify the context in which a barrier is encountered (academic, co-curricular, dining, housing, etc.) so that a reasonable accommodation may be identified.
There is more than one way to accommodate a situation.

A reasonable accommodation must not:

- Compromise essential requirements of a course, program, job, activity, or facility.
- Cause an undue administrative or financial hardship.
- Compromise the safety of the disabled person or others.
- Fundamentally alter a course or program.

Accommodations are tailored to an individual and their context, as each situation requires a unique accommodation or set of accommodations.
The interactive process begins when a current or prospective student contacts and meets with the Disability Resource Center (DRC).

The DRC will request documentation from the student that describes their disability. If no documentation exists, the DRC may assist the student in obtaining it. The DRC access consultant reviews the documentation.

At the initial appointment, the student and an access consultant discuss how the student’s disability impacts their academic experience. If reasonable accommodations are appropriate, they will be outlined in a letter for the student’s instructors. If guidance is required to ensure the reasonableness of the accommodation, the DRC will consult with the Office of General Counsel.
UMTC Accommodation Process, continued

- Students are asked to share the accommodation letter with each instructor to continue the interactive process of determining which accommodations will be appropriate and how they will be implemented.

- Throughout the year, students and instructors are encouraged to connect with the student’s access consultant if they or their instructors have any questions or concerns about the accommodations.
Examples of Accommodations

- Testing accommodations, such as additional time, a lower-distraction room, or use of assistive technology
- Note-taking assistance
- Sign Language interpreting or captioning support
- Document conversion to create alternate text formats
- Access assistance for students or employees who need audio description, support with manipulation tasks, help with library materials, or other tasks
Drivers of Increased Demands for Services

Changes in student and employee demographics resulting in increased demand for services, include:

- Social, technological, and medical advances allowing more students with disabilities to enter college.
- Students entering with expectations of assistance similar to what they may have experienced in K–12 and/or not prepared for the shift to greater self-sufficiency required at the University level.
- Mental health issues manifesting during college years, and the reduction of stigma that makes more students with mental health conditions seek counseling and accommodations.
- Aging workforce.
Drivers of Increased Demands for Services

- Additional changes that drive increased demand include:
  - Centralized DRC services
  - Broader legal definition of qualified disability
  - Reduced state funding for vocational rehabilitation
  - Increasing digital accessibility requirements
  - Outsourcing of Employee Assistance Program and consumer use of FMLA
The DRC serves faculty, staff, students, and guests on the Twin Cities campus, as well as extension services throughout Minnesota.

The director of the DRC serves as the ADA coordinator for faculty and staff on all campuses, and for students on all campuses except UMD.

The director also holds biweekly case consultations with disability service staff on all campuses.
UMTC Disability Resource Center—Students, Faculty, and Staff Served

* Decline in Student number served during FY13 and in Faculty/Staff number served during FY14 and FY16 is due to the deactivation of inactive clients, while number of contacts in both categories increased due to the complex nature of the people served.
UMTC Disability Resource Center—Interpreting Hours Delivered

Hours Delivered by DRC Staff, Contract, and Agency Interpreters

- FY13: 12,515
- FY14: 10,544
- FY15: 8,887
- FY16: 11,099
- FY17: 11,341
- FY18: 8,872

16% Decrease
25% Increase
2% Increase
22% Decrease

Office for Equity and Diversity
UNIVERSITY OF MINNESOTA
UMTC Disability Resource Center—Real-Time Captioning Hours
Hours Delivered by DRC Staff and CART Captioners

*Data does not include time for time coding and transcribing*
UMTC Disability Resource Center—Media Captioning
DRC Staff Hours Worked in Media Captioning

Includes staff time for time coding and transcribing
UMTC Disability Resource Center—Tests Administered

- FY13: 4,921
- FY14: 5,660
- FY15: 6,278
- FY16: 8,296
- FY17: 9,681
- FY18: 11,769

Increases:
- FY14: 15% Increase
- FY15: 11% Increase
- FY16: 32% Increase
- FY17: 17% Increase
- FY18: 22% Increase
UMTC Disability Resource Center—Hours of Access Assistance Delivered
Hours of Access Assistance Delivered to Students, Faculty, and Staff
Includes in-class and out-of-class assistance, proctoring, and document conversion
UMTC Disability Resource Center—Document Conversion

Number of Pages Converted by Document Conversion

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Office for Equity and Diversity
UNIVERSITY OF MINNESOTA
UMTC Disability Resource Center—Summary of Services Provided
FY13–FY18

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<tr>
<td>FY18</td>
<td>3,736</td>
<td>2,144</td>
<td>5,880</td>
<td>8,872</td>
<td>5,783</td>
<td>496</td>
<td>11,769</td>
<td>36,782</td>
<td>215,000</td>
</tr>
</tbody>
</table>
UMC Disability Resource Center—Students Served

![Bar chart showing the number of students served by the Disability Resource Center from FY15 to FY18. The chart indicates the following:

- FY15: 94 students
- FY16: 142 students (51% increase)
- FY17: 182 students (28% increase)
- FY18: 218 students (20% increase)]

Source: Office for Equity and Diversity, University of Minnesota
UMM Disability Resource Center—Students Served

- FY15: 154
- FY16: 168 (9% Increase)
- FY17: 174
- FY18: 139 (20% Decrease)

Office for Equity and Diversity
UNIVERSITY OF MINNESOTA
UMR Disability Resource Center—Students Served

26% Increase

<table>
<thead>
<tr>
<th>Year</th>
<th>Students Served</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY17</td>
<td>54</td>
</tr>
<tr>
<td>FY18</td>
<td>68</td>
</tr>
</tbody>
</table>
UMD Office of Disability Resources—Students Served

*Significant decline in student number served during FY14 is due to the deactivation of inactive students. Number of contact counts increased over prior year (5% increase from FY13 to FY14) due to complex nature of students served.
UMD Office of Disability Resources—Primary Disability Condition by Year

- Mental Health Condition
- ADHD
- Learning Disability
- Chronic Health Condition
- Autism Spectrum Disorders
- Sensory Impairment
- Mobility Impairment

Number of Students by Year:

- FY13
- FY14
- FY15
- FY16
- FY17
- FY18
UMD Office of Disability Resources—Tests Administered

- Stable Growth
- 18% Increase
- 9% Decrease
- 5% Increase
- 15% Increase

<table>
<thead>
<tr>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17</th>
<th>FY18</th>
</tr>
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<tr>
<td>2762</td>
<td>2768</td>
<td>3277</td>
<td>2967</td>
<td>3110</td>
<td>3580</td>
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</tbody>
</table>

Stable Growth,
18% Increase,
9% Decrease,
5% Increase,
15% Increase.
# UMD Office of Disability Resources—Summary of Services Provided

**FY13–FY18**

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Number of Students Served</th>
<th>Number of Faculty Providing Accommodations</th>
<th>Number of Interpreter Hours</th>
<th>Number of Captioned Media Hours</th>
<th>Number of Tests Administered</th>
<th>Hours of Access Assistance Delivered</th>
<th>Number of Alternative Format Texts Delivered</th>
<th>Number of Pages Converted</th>
<th>Number of Contact Counts</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY13</td>
<td>497</td>
<td>395</td>
<td>1363</td>
<td>-</td>
<td>2762</td>
<td>-</td>
<td>192</td>
<td>-</td>
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<tr>
<td>FY14</td>
<td>368</td>
<td>399</td>
<td>2088</td>
<td>-</td>
<td>2768</td>
<td>46</td>
<td>196</td>
<td>11142</td>
<td>1517</td>
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<tr>
<td>FY15</td>
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<td>422</td>
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<td>FY16</td>
<td>502</td>
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<td>1962</td>
<td>126</td>
<td>2967</td>
<td>167</td>
<td>152</td>
<td>2721</td>
<td>1260</td>
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<tr>
<td>FY17</td>
<td>468</td>
<td>431</td>
<td>2142</td>
<td>67</td>
<td>3110</td>
<td>89</td>
<td>155</td>
<td>3650</td>
<td>1200</td>
</tr>
<tr>
<td>FY18</td>
<td>494</td>
<td>443</td>
<td>694</td>
<td>50</td>
<td>3580</td>
<td>10</td>
<td>113</td>
<td>2200</td>
<td>1107</td>
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</tbody>
</table>
Disability Support Services Systemwide

Questions and Discussion
AGENDA ITEM: Graduate and Professional Education, Part II: Key Aspects and Challenges

☐ Review  ☐ Review + Action  ☐ Action  ☒ Discussion

☐ This is a report required by Board policy.

PRESENTERS: Karen Hanson, Executive Vice President and Provost
Scott Lanyon, Vice Provost and Dean of Graduate Education
Craig Hedberg, Professor, School of Public Health
Joseph Merighi, Associate Professor, College of Education and Human Development, UMTC
Deborah Dillon, Associate Dean for Graduate and Professional Programs, College of Education and Human Development, UMTC

PURPOSE & KEY POINTS

This presentation is the second of a four-part series discussing postbaccalaureate education. The item will give specific attention to key aspects and challenges associated with graduate and professional education, including academic planning, enrollment management, and financing.

Presenters will highlight Master of Education, Master of Social Work, and Master of Public Health degree programs as examples to illustrate how faculty and collegiate leaders manage professional education.

BACKGROUND INFORMATION

September 2018: Graduate and Professional Education, Part I: Postbaccalaureate Education at the University of Minnesota, Mission Fulfillment Committee.
University of Minnesota Board of Regents  
Mission Fulfillment Committee  
October 11, 2018  

Graduate and Professional Education,  
Part II: Key Aspects and Challenges

The Mission Fulfillment Committee’s 2018-19 work plan includes a four-part series discussion on postbaccalaureate education at the University of Minnesota. The September presentation articulated the distinction between graduate and professional education. The October discussion will address topics including degree enrollment management, tuition, and key issues. Discussions about the value and impacts of graduate and professional education are planned for December and February.

**Distinction between Graduate and Professional Education**

Since 2015, the University of Minnesota has organized institutional support for postbaccalaureate education in alignment with salient distinctions in the nature of postbaccalaureate degree programs. On the one hand, there is traditional graduate education, where a major portion of the degree program involves research or creative activity; and on the other, there are the professional degree programs—programs whose graduates most often seek applied professional or practice-based employment, where there is often a requirement of licensure to practice, and where outside accreditation bodies play important roles in determining program requirements. These distinctions shape aspects of the degree programs, such as curriculum requirements and appropriate administrative support.

**Aspects of Graduate Education**

The September presentation to the Board noted that the management of graduate education is highly variable across 160+ graduate programs. The goal in the October presentation is to provide an overview that is generally applicable to graduate education, even as we recognize variations across colleges and programs.

Given the feedback received from the Board in September, the October presentation will focus attention on:

- **Academic Planning** – What criteria and processes are involved in the creation of new programs and the closure of existing programs?
- **Enrollment Management** – How do programs and colleges determine the right size for a program and how many new students should be admitted each year?
- **Financing** – To what extent do graduate students receive financial support and what is the level of graduate student debt?
- **Key Issues** – What are the major challenges facing graduate education today and in the coming years?

1) **Academic Planning** – Proposals to create new graduate programs are initiated primarily by the faculty. The impetus varies across the system, but, in general, enthusiasm for creating a program results from some combination of applicant interest, employer interest, and faculty interest and expertise. Faculty work with the leadership of one or more colleges/campuses to determine whether a proposed program would address needs not addressed by an existing program, and, if so, they work to develop a proposed curriculum and a business plan.
Proposals to close an existing graduate program are generally initiated by Chancellors, Deans, or Graduate Associate Deans. The factors that administrators consider are exactly the same—applicant interest, employer interest, and faculty interest and expertise. Proposals for closing programs summarize the declining interest that led to the recommendation and articulate how the needs of students currently enrolled in the program (if any) will be met.

Once a proposal for a new program creation or existing program closure is approved by the relevant Dean(s) or Chancellor, the proposal proceeds through all appropriate governance and administrative levels, culminating in review and approval by the Provost and the Board of Regents. There are relatively few new graduate programs created, or existing programs closed, each year (see Table 1).

Table 1: New graduate programs created and existing graduate programs closed in 2017-2018.

<table>
<thead>
<tr>
<th>College/Campus</th>
<th>New Programs Created</th>
<th>Existing Programs Closed</th>
</tr>
</thead>
<tbody>
<tr>
<td>CLA</td>
<td>M.A. in Asian Studies</td>
<td></td>
</tr>
<tr>
<td></td>
<td>M.S. in Cognitive Science</td>
<td></td>
</tr>
<tr>
<td>CSE</td>
<td></td>
<td>Ph.D. and M.S. in Scientific Computation</td>
</tr>
<tr>
<td>UMD</td>
<td>M.S. in Applied Materials Science</td>
<td></td>
</tr>
</tbody>
</table>

2) **Enrollment Management** — Decisions about graduate program size and, therefore, about annual enrollment targets, are made by graduate programs and/or the collegiate Dean’s office. Factors that guide these decisions include some combination of applicant demand, employer demand, need for TA/RA support, financial resource availability, current diversity, and faculty capacity and need.

Individual graduate program enrollment trends vary significantly, with some increasing, some decreasing, and some in steady state. The current graduate enrollment is 48 percent female/52 percent male, 31 percent Masters/69 percent Ph.D., 35 percent international/65 percent domestic, and 20 percent non-white/80 percent white. The system-level consequences of local decisions and trends can be seen in the general enrollment trends depicted in Figure 1. Current enrollment (7,242) is up 20 percent from 2000-2001 (6,039) but down 11 percent from a high of 8,099 in 2005-2006. The largest change in these numbers is in domestic student enrollment, which tends to respond to national economic trends.

Figure 1: University of Minnesota Graduate Enrollment Trends by nationality.
A strategic priority of the Graduate School is increasing the diversity of students receiving graduate degrees. Figure 2 shows that from 2008-2009 to 2015-2016, the University experienced a three percent drop (from 903 to 874) in the number of enrolled graduate students from underrepresented ethnicities. Since the realignment of graduate and professional programs and the Graduate School’s focus on diversity, the number of enrolled students from these underrepresented groups has risen 7.9 percent (from 875 to 950), we hope an early indicator of a return on our investment of effort and new services to support recruitment, retention, and success of underrepresented graduate students.

Figure 2: University of Minnesota Graduate Enrollment Trends by Race/Ethnicity.

![Figure 2: University of Minnesota Graduate Enrollment Trends by Race/Ethnicity.]

3) **Financing Graduate Education** – At the September meeting, a conceptual graphic showed how different groups of post-baccalaureate students spend differing amounts of time mastering existing knowledge vs. generating or communicating new knowledge, with students arrayed along the diagonal from 100 percent mastering existing knowledge to 100 percent generating/communicating new knowledge. Figure 3 contains this same graphic, to which has been added a summary of how those different groups of students are supported financially. The percent of students who are self-supporting varies from nearly 100 percent, for students whose education is characterized primarily by mastering existing knowledge, to less than 20 percent self-supporting, for those who are involved primarily in generating and communicating knowledge (conducting original research, teaching, doing public engaged scholarship, etc.).
Figure 3: Difference between postbaccalaureate student types in terms of time spent mastering existing knowledge vs. time generating and communicating knowledge. Pie charts depict the differences in funding sources for students in each group.

Ph.D. students, and to a somewhat lesser extent students in research-based master’s programs, are helping the University to produce original scholarship (both by their individual efforts and through their facilitation of the scholarship of their faculty advisor), to deliver high quality undergraduate education (through their efforts as teaching assistants and often as mentors to undergraduate students involved in research), and to engage the community. Consequently, these students are financially supported for their work to help the University accomplish its mission.

4) **Key Issues in Graduate Education** – In recent years, five interconnected issues have emerged nationally and at the University of Minnesota as central to the continued success of graduate education:

a. **Increasing Diversity in Graduate Education** - The Graduate School’s primary goal is to increase the quality of graduate education, and we’ve concluded that to do this most effectively, we need to work with colleges to increase the diversity of students receiving graduate degrees.

b. **Campus Climate** – Many students indicate that the campus climate does not feel welcoming, which influences their ability to succeed in their scholarly pursuits.

c. **Career Diversity** – Over fifty percent of graduate students expect to pursue careers as something other than a university faculty member. Providing professional development opportunities that prepare students for these various careers is a serious challenge.

d. **Advising** - The quality of advising is strongly correlated with graduate student and postdoctoral success and satisfaction. With increasing demands on faculty, there is a growing need for the institution to provide them with tools that will help them increase their efficiency and effectiveness as advisors.

e. **Graduate Student Stress and Mental Health** – Graduate students were likely exceptional in the high school and undergraduate classes they took. Now as graduate students, they are
surrounded by an entire community of students, faculty, and postdocs who are equally outstanding. This can lead to feeling like an imposter and to feelings of social isolation. Graduate education is a stressful endeavor. While good stress is a natural part of the process of becoming outstanding scholars, students are also experiencing high levels of “bad” stress, which, unaddressed, can divert attention from academic and research priorities and affect overall wellbeing. The previous four key issues are sources of bad stress that the University can take steps to address.

Aspects of Professional Education

Even more than graduate education, professional education includes degree programs with characteristics that vary widely. For example, professional education degree programs may have very different tuition costs, earning potentials, educational experiences, and time-to-degree requirements. Table 2 lists the University’s largest professional programs in terms of degrees conferred.

Because of the variety among these programs, enrollment is managed largely by the academic programs and departments, with oversight and coordination from the colleges. Faculty and program leaders are attentive to market, competition, University expertise, operational costs, and state need. (See Table 3 for ten-year enrollment numbers.)

Although professional education programs vary greatly, there are also some commonly shared concerns, such as students’ high debt-to-income ratios, the school’s and the profession’s interest in recruiting and retaining a more diverse student body, and the need to provide support for the wellbeing and mental health of students, many of whom are balancing family and other responsibilities with a rigorous academic schedule.

To consider just the first concern: While tuition rates differ substantially across professional education programs—in many cases driven by market—debt-to- [prospective] income ratio is an issue vexing many programs. Veterinarians, for example, have the lowest return on investment of any medical health training program, and the University of Minnesota’s program has one of the highest tuition rates among peer competitors in the nation. The challenge is similar for M.S.W., M.Ed., and Humphrey School graduates, where a large number go on to careers in the public and nonprofit sectors; the need to maintain tuition rates that align with the expectation of lower salaries is critical. Among Doctor of Pharmacy programs, enrollment has doubled nationally over the past 15 years, causing a decrease in pharmacist salaries and making the current student-debt ratio unsupportable for the long-term. Each program must attend to these sorts of issues and find appropriate ways to respond to the economic realities.

Attracting and retaining a diverse student population is an ongoing challenge and opportunity across the spectrum of professional education programs. Nearly all professional education programs report that they are working strategically and diligently to increase the diversity of their student body and engaging students, staff, and faculty in a number of ways as part of their recruitment, enrollment, and retention efforts. For example, the Humphrey School of Public Affairs is currently updating its five-year Equity and Inclusion Plan, to focus not only on recruitment and retention but also on institutionalizing considerations of equity and inclusion in the curriculum and climate of the School. The Medical Device program, among others, has seen a recent dip in international enrollment and is working to address this, and the Management of Technology program is working to recruit more women to future cohorts. Many programs report that attracting and retaining a diverse population of students is directly linked to cost
of tuition, costs associated with part-time study (for those who must work and attend school), and in many cases, the salaries associated available at degree completion.

Table 2: Degrees Conferred among University’s largest Professional Education Degree Programs (Degrees awarded > 30), 2016-2017

<table>
<thead>
<tr>
<th>Degree Name</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Master of Accountancy (M.Acc.)</td>
<td>39</td>
</tr>
<tr>
<td>Master of Architecture (M.Arch.)</td>
<td>34</td>
</tr>
<tr>
<td>Master of Business Administration (M.B.A.) – UMTC (479) and UMD (14)</td>
<td>479</td>
</tr>
<tr>
<td>Master of Science (M.S.) in Business Analytics</td>
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</tr>
<tr>
<td>Master of Business Taxation (M.B.T.)</td>
<td>36</td>
</tr>
<tr>
<td>Master of Public Health (M.P.H) in Community Health Promotion</td>
<td>39</td>
</tr>
<tr>
<td>Master of Education (M.Ed.) in Curriculum and Instruction</td>
<td>50</td>
</tr>
<tr>
<td>Doctor of Dentistry (D.D.S)</td>
<td>107</td>
</tr>
<tr>
<td>Doctor of Nursing Practice (D.N.P.)</td>
<td>121</td>
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<tr>
<td>Master of Education (M.Ed.) in Early Childhood Education</td>
<td>30</td>
</tr>
<tr>
<td>Master of Public Health, Epidemiology (M.P.H)</td>
<td>50</td>
</tr>
<tr>
<td>Master of Financial Mathematics (M.F.M.)</td>
<td>34</td>
</tr>
<tr>
<td>Master of Health Care Administration (M.H.A.)</td>
<td>76</td>
</tr>
<tr>
<td>Master of Arts (M.A.) in Human Resources and Industrial Relations</td>
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</tr>
<tr>
<td>Master of Public Health (M.P.H.) in Integrated Behavioral Health</td>
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</tr>
<tr>
<td>Juris Doctor (J.D.)</td>
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<td>Master of Laws (L.L.M.)</td>
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<tr>
<td>Master of Nursing (M.N.)</td>
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<td>Master of Public Health (M.P.H.) in Maternal and Child Health</td>
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<td>Doctor of Medicine (M.D.)</td>
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<tr>
<td>Master of Occupational Therapy (M.O.T.)</td>
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<tr>
<td>Doctor of Pharmacy (Pharm.D.)</td>
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<tr>
<td>Master of Public Affairs (M.P.A.)</td>
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<td>Master of Public Health (M.P.H.) in Administration and Policy</td>
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<tr>
<td>Master of Public Health (M.P.H.) in Practice</td>
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<td>Master of Public Policy (M.P.P.)</td>
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<td>Master of Social Work (M.S.W.) – UMD (31) and UMTC (131)</td>
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<tr>
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</tbody>
</table>
Table 3: Fall End of 2nd Week Enrollments among University’s largest Professional Education Degree Programs (Degrees awarded > 30), 2008-2017

<table>
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<tr>
<th>Program</th>
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<th>Fall 2009</th>
<th>Fall 2010</th>
<th>Fall 2011</th>
<th>Fall 2012</th>
<th>Fall 2013</th>
<th>Fall 2014</th>
<th>Fall 2015</th>
<th>Fall 2016</th>
<th>Fall 2017</th>
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<td>72</td>
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<td>27</td>
<td>27</td>
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<tr>
<td>Master of Sci. (M.S.) in Business Analytics</td>
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<td>Master of Business Taxation (M.B.T.)</td>
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<td>Doctor of Dentistry (D.D.S)</td>
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<td>Doctor of Nursing Practice (D.N.P.)</td>
<td>66</td>
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<tr>
<td>Master of Education (M.Ed.) in Early Childhood Education</td>
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<td>70</td>
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<td>132</td>
<td>146</td>
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<td>66</td>
<td>64</td>
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<td>66</td>
<td>106</td>
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<td>Master of Social Work (M.S.W.)-UMTC</td>
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<td>Master of Education (M.Ed.) in Teaching</td>
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<td>65</td>
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<tr>
<td>Master of Urban and Regional Planning (M.U.R.P.)</td>
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<td>90</td>
<td>95</td>
<td>104</td>
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<tr>
<td>Doctor of Veterinary Medicine (D.V.M.)</td>
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<td>304</td>
<td>340</td>
<td>446</td>
<td>407</td>
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<tr>
<td>Master of Education (M.Ed.) in Youth Development Leadership</td>
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<td>95</td>
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<td>62</td>
<td>74</td>
<td>62</td>
<td>77</td>
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</tr>
</tbody>
</table>

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Graduate and Professional Education, Part II: Key Aspects and Challenges

Presentation to the Board of Regents Mission Fulfillment Committee October 11, 2018

Karen Hanson
Executive Vice President and Provost

Scott Lanyon
Vice Provost and Dean of Graduate Education

Deborah Dillon
Assoc. Dean for Graduate and Professional Programs, College of Education and Human Development

Joseph Merighi
Assoc. Professor, College of Education & Human Development

Craig Hedberg
Professor, School of Public Health
### Postbaccalaureate Degrees:

<table>
<thead>
<tr>
<th>Graduate</th>
<th>Professional</th>
</tr>
</thead>
</table>
Today’s Graduate Education Topics

01 Academic Planning
02 Enrollment Management
03 Financing Grad Ed
04 Key Issues in Grad Ed
Academic Planning: New Program Creation

Current Employer Interest

1

New Program Proposal

Current Student Interest

Faculty Interest

New Program Proposal

[Diagram showing a triangle with sections for Current Employer Interest, Current Student Interest, and Faculty Interest]
Academic Planning: Program Closure

Existing Program

Declining Employer Interest
Declining Faculty Interest
Declining Student Interest
02

GRADUATE EDUCATION ENROLLMENT MANAGEMENT
03
FINANCING GRADUATE EDUCATION
% Time Mastering Existing Knowledge

% Time Generating & Communicating New Knowledge

- Self-supported or Scholarship
- Teaching Assistantship
- Research Assistantship
- Fellowship

Research Masters Students

PhD Students
Comparison of main reasons prospective students selected their graduate program

- Program Reputation: 62%
- University Reputation: 54%
- Financial Support: 51%
- Location/Region: 49%
- Faculty Reputation: 48%
- Academic Considerations: 33%
- Course Offerings: 19%
- Job Placement: 17%
- Cost: 13%
- Advice of family/friend: 13%
- Completion Rates: 12%
- Advice of an employer/coworker: 11%
- Previous Degree: 5%
- Other: 4%
Graduate education-related debt of U.S. doctorate recipients, by age at doctorate award: 2016

Graduate Education-Related Debt of US Doctorate Recipients ages 30 or younger

- no debt
- less than $10K
- $10K to $30K
- More than $30K
KEY ISSUES IN GRADUATE EDUCATION
1) DIVERSITY

The Graduate School is committed to increasing the diversity of students receiving graduate degrees & postdoctoral training.
The University of Minnesota supports a welcoming campus climate in which all persons are treated with respect. Toward that end, the University facilitates, sustains, and advances a culture that supports equity, inclusion, and community by fostering dialogue, respect, and personal growth.
Program & Campus Climate

Average Favorable Responses for UMN-TC

- Faculty respect students regardless of their background: 92%
- Students respect other students regardless of their background: 94%
- Faculty encourage expression of diverse viewpoints from their students: 89%
- Overall, the environment or climate is positive and welcoming: 90%
Program & Campus Climate

Range of Favorable Responses for UMN-TC

- **Faculty respect students regardless of their background**: 56%-100%
- **Students respect other students regardless of their background**: 36%-100%
- **Faculty encourage expression of diverse viewpoints from their students**: 46%-100%
- **Overall, the environment or climate is positive and welcoming**: 18%-100%
Career Diversity: Research Masters Students

% Interested in a faculty position.

% Supportive, Very Supportive, or Extremely Supportive
Career Diversity: PhD Students

% Interested in a faculty position

% Supportive, Very Supportive, or Extremely Supportive
3) T-Shaped Education

"T-Shaped"

Capable of
Many Things,
Expert in One
Discipline
Graduate students are more than six times as likely to experience depression and anxiety as compared to the general population."

"Over the last 2 weeks, how often have you been bothered by any of the following problems?"

01. Little interest or pleasure in doing things
02. Feeling down, depressed, or hopeless
03. Feeling nervous, anxious, or on edge
04. Not being able to stop worrying

% Responding "More than half the days" or "Nearly every day"
5) Advising

The advisor – advisee relationship is incredibly important to the success of graduate students.
Advising

My advisor is able to effectively help me

My advisor provides me with the information that helps me think about my future career

My advisor respects me as an individual

My advisor has a reputation of being a good advisor
Advising

Range of Favorable Responses for UMN-TC

My advisor is able to effectively help me

My advisor provides me with the information the helps me think about my future career

My advisor respects me as an individual

My advisor has a reputation of being a good advisor
Graduate School initiatives to address key issues

- Climate
- Stress & Mental Health
- Diversity
- Preparation for Multiple Career Paths
- Advising
HOW ARE WE DOING: Race/Ethnicity Enrollment

The chart shows the enrollment numbers for different ethnicities from 2008-2009 to 2017-2018. The ethnicities include American Indian, Asian, Black, Hawaiian - Pacific Islander, and Hispanic. The numbers for each ethnicity are as follows:

- American Indian: 187, 181, 159, 76, 73, 85, 94, 8
- Asian: 187, 181, 159, 76, 73, 85, 94, 8
- Black: 187, 181, 159, 76, 73, 85, 94, 8
- Hawaiian - Pacific Islander: 187, 181, 159, 76, 73, 85, 94, 8
- Hispanic: 187, 181, 159, 76, 73, 85, 94, 8
<table>
<thead>
<tr>
<th>Rank</th>
<th>Institution</th>
<th>2016 Doctorate Recipients</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Univ. of Texas, Austin</td>
<td>849</td>
</tr>
<tr>
<td>2</td>
<td>Univ. of Wisconsin, Madison</td>
<td>823</td>
</tr>
<tr>
<td>3</td>
<td>Univ. of Michigan, Ann Arbor</td>
<td>819</td>
</tr>
<tr>
<td>4</td>
<td>Univ. of California, Berkeley</td>
<td>796</td>
</tr>
<tr>
<td>5</td>
<td>Univ. of Minnesota, Twin Cities</td>
<td>787</td>
</tr>
<tr>
<td>6</td>
<td>Stanford Univ.</td>
<td>763</td>
</tr>
<tr>
<td>7</td>
<td>Univ. of Florida</td>
<td>730</td>
</tr>
<tr>
<td>8</td>
<td>Purdue Univ., West Lafayette</td>
<td>727</td>
</tr>
<tr>
<td>9</td>
<td>Ohio State Univ., Columbus</td>
<td>716</td>
</tr>
<tr>
<td>10</td>
<td>Univ. of California, Los Angeles</td>
<td>689</td>
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</table>
# HOW ARE WE DOING: PhDs awarded in 2016 by major field

<table>
<thead>
<tr>
<th>Major Field</th>
<th>Number of PhDs</th>
<th>National Rank</th>
<th>Big10 Rank</th>
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<tbody>
<tr>
<td>Life Sciences</td>
<td>198</td>
<td>5</td>
<td>2</td>
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<tr>
<td>Psychology and Social Sciences</td>
<td>141</td>
<td>3</td>
<td>1</td>
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<tr>
<td>Engineering</td>
<td>136</td>
<td>16</td>
<td>6</td>
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<tr>
<td>Education</td>
<td>80</td>
<td>5</td>
<td>2</td>
</tr>
<tr>
<td>Physical Sciences and Earth Sciences</td>
<td>79</td>
<td>18</td>
<td>6</td>
</tr>
<tr>
<td>Mathematics and Computer Sciences</td>
<td>47</td>
<td>20</td>
<td>8</td>
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<tr>
<td>Humanities and Arts</td>
<td>44</td>
<td>&gt;20</td>
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</table>
## Presentation Schedule:

<table>
<thead>
<tr>
<th>Month</th>
<th>Topics</th>
</tr>
</thead>
</table>
| September 2018 | • Core distinctions between grad and prof education  
                • Graduate education’s connection to the University’s mission |
| October 2018   | • Academic planning  
                • Enrollment management – trends, diversity, and international recruitment  
                • Financing of postbaccalaureate education – student tuition and debt  
                • Student employment and funding – fellowships, TAs, RAs  
                • Key issues facing graduate and professional education |
| December 2018  | • Role of graduate students in advancing knowledge and research  
                • Impacts to the state, the nation, and the world  
                • Student success outcomes  
                • Student 3-minute thesis presentations |
Professional Education

Master of Social Work Program
Master of Education Program
Master of Public Health Program
Master of Health Administration
Professional Programs in CEHD: An Overview and Description of Two Programs

Deborah R. Dillon, Associate Dean and Professor, CEHD

Joseph Merighi, Associate Professor, School of Social Work, CEHD
CEHD Enrollment: Fall 2017

• 2,353 graduate and professional students
  – 20.3% students of color (SOC)
  – 71.7% female

• 40 graduate and professional program areas
  – ILP M.Ed: 492
  – Prof M.Ed: 419
  – MA/MS: 236
  – MSW: 258
  – PhD: 680
  – EdD: 21
Social Work Overview

Key Areas

- Children, families, and schools
- Health care
- Mental health and substance abuse
- Policy and community advocacy

US and Minnesota

- US = 682,110
- Minnesota = 15,000
- Largest group of mental health services providers

Social Work Trends and Needs

Trends: 2016 to 2026
• 16% anticipated job growth
  • 7% for other professions
  • Projected increase in jobs = 109,700

Needs
• Practitioners to deliver culturally appropriate services
• Behavioral health, gerontology, and trauma-informed care

School of Social Work: Past and Present

Past
• 101 years old
• Awarded nearly 5,000 Master’s degrees

Present
• UMTC MSW graduates (2016-2017): 131
  – Students of color: 34%
  – Female: 84%
School of Social Work: Strengths

- MSW Program at a Research Intensive University

- Concentration Options
  - Clinical Mental Health
  - Health, Disability and Aging
  - Families and Children
  - Community Practice

- 200+ community agency training sites

- > 90% pass rate for licensure after graduation
School of Social Work: Challenges

• Financial Aid and Tuition Disparity
  – Loans and employment are necessary for many students
  – Aid from MSW program (40%), average award = $7,000
  – Tuition disparity: Part-time ($70,000) vs full-time ($34,000)

• Annual Salary (U.S., 2017)
  – $47,980

• Competition from Online MSW Programs

School of Social Work: Responding to State Needs

- School of Social Work developed Integrated Behavioral Health (IBH) program with a 3-year federal grant ($1.2 million)
- 103 students trained between 2014 and 2018
- IBH now integrated into the curriculum
- Creating a pipeline to fill behavioral health provider gaps in Minnesota
School of Social Work: Recap

• Providing outstanding social work education to train students in the delivery of evidenced-based and culturally appropriate services
  – Student diversity
  – Research university environment

• Focused on helping fill workforce gaps and address community needs in Minnesota
  – Integrated behavioral health

Prepare to Build a Better World
Initial Teaching Preparation Programs

Undergraduate (bachelors degree leading to licensure)
- CFANS Ag Ed
- CLA Music Ed
- CEHD Special Ed: ABS only

Post-bac (12-18 month graduate program focused on teaching licensure, may lead to masters)
- CEHD Education Psychology, Special Ed (ABS, ASD, DD, D/HH, ECSE, LD)
- CEHD Curriculum & Instruction (CI): Comm Arts, Dance, Elem, Math, Sciences
- CEHD CI: Social Studies, Second Languages, Theater, Visual Arts
- CEHD Institute of Child Development (ICD): Early Childhood
- CFANS Ag Ed CLA Vocal & Instrumental Music

Multiple Pathways (12-24 month graduate program designed in partnership with school district(s), may lead to masters)
- CEHD Special Ed Emotional Behavior Disorders (EBD) Residency
- CEHD Alternative Pathway to Teaching (APT) in El Ed, ESL & Sciences
- CEHD Minneapolis Residency Program
- CEHD Dual Language Immersion - Licensure

5th year w/degree (undergraduate degree in CEHD followed by masters program in CI or ICD)
- CEHD Elementary foundations undergraduate undergraduate bachelors degree at the U plus 5th year
- CEHD Early Childhood foundations undergraduate bachelors degree at the U plus 5th year

CEHD | College of Education + Human Development

University of Minnesota
Driven to Discover.
CEHD Teacher Education Initial Licensure Program
Enrollment and Demographics

<table>
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<tr>
<th></th>
<th>2017-18</th>
<th>2018-19</th>
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<tbody>
<tr>
<td>Total enrolled at entry point</td>
<td>355</td>
<td>343</td>
</tr>
<tr>
<td>Female</td>
<td>256</td>
<td>256</td>
</tr>
<tr>
<td></td>
<td>(72.11%)</td>
<td>(74.64%)</td>
</tr>
<tr>
<td>Male</td>
<td>99</td>
<td>86</td>
</tr>
<tr>
<td></td>
<td>(27.89%)</td>
<td>(25.07%)</td>
</tr>
<tr>
<td>Students of Color</td>
<td>55</td>
<td>56</td>
</tr>
<tr>
<td></td>
<td>(15.49%)</td>
<td>(16.33%)</td>
</tr>
<tr>
<td>International</td>
<td>7</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>(2.0%)</td>
<td>(2.9%)</td>
</tr>
<tr>
<td>Bachelors Degree average GPA</td>
<td>3.29</td>
<td>3.39</td>
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</tbody>
</table>

* Adult Basic Education and Parent & Family Ed. enrollees included for first time in this report effective 2016-17.
Program Accountability and Assessment of Candidates:
U of M-TC CEHD Teacher Licensure Programs

Admission:
- Course assessments and satisfactory academic progress (Terms 1, 2, 3 & 4)
- Formative Assessments during Clinical Experiences (Terms 1, 2, 3, & 4)
- Case conferencing & advising
- Pre-placement Dispositions Assessment (Term 2)
- edTPA: Planning, Instruction, Assessment, Reflection (Term 3)
- Final Dispositions Assessment (Term 3 or 4)
- Admission data:
  • Bachelor’s degree w/appropriate pre-requisites
  • Undergraduate GPA 2.8*
  • Advanced level language proficiency (if applicable)
  • Entry Survey

Mid-Evaluation of Student Teaching (Terms 2 or 3)
Final Evaluation of Student Teaching (Terms 3 or 4)

Exit Requirements:
- Exit Survey
- Transcript Review
- MTLE-Content & Pedagogy
- Submit edTPA
- Background check
- Fingerprinting

Post-completion data:
- Transition to Teaching Survey (10-11 months into first year)
- Employer Survey (end of the first year)
CEHD Teacher Ed Graduates’
MTLE and edTPA Tests: Aggregate Pass Rates

<table>
<thead>
<tr>
<th></th>
<th>MTLE</th>
<th>UMN-TC</th>
<th>MN</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012-13</td>
<td></td>
<td>99%</td>
<td>91%</td>
</tr>
<tr>
<td>2013-14</td>
<td></td>
<td>95%</td>
<td>92%</td>
</tr>
<tr>
<td>2014-15</td>
<td></td>
<td>96%</td>
<td>90%</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th></th>
<th>edTPA: July 2015-June 2016</th>
<th>UMN-TC Mean</th>
<th>State Mean</th>
<th>National Mean</th>
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</thead>
<tbody>
<tr>
<td>All initial licensure programs</td>
<td>46.1</td>
<td>42.8</td>
<td>44.9</td>
<td></td>
</tr>
</tbody>
</table>

## Where our CEHD Teacher Ed Graduates are Employed

<table>
<thead>
<tr>
<th>Locations</th>
<th>Completed in 2014/15</th>
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</thead>
<tbody>
<tr>
<td>Minneapolis/Saint Paul</td>
<td>28%</td>
</tr>
<tr>
<td>Twin Cities Suburbs</td>
<td>36%</td>
</tr>
<tr>
<td>Rural/Outstate MN</td>
<td>19%</td>
</tr>
<tr>
<td>South Dakota</td>
<td>0%</td>
</tr>
<tr>
<td>North Dakota</td>
<td>0%</td>
</tr>
<tr>
<td>Iowa</td>
<td>0%</td>
</tr>
<tr>
<td>Wisconsin</td>
<td>2%</td>
</tr>
<tr>
<td>Other States in US</td>
<td>12%</td>
</tr>
<tr>
<td>International</td>
<td>3%</td>
</tr>
</tbody>
</table>

"Where they were employed as teachers" data source is the Office of Teacher Education’s Candidate Tracking/Employment Data for the 2014/15 UMN-TC program completers, updated January 2017. Completers were identified and categorized based on employers’ locations.
CEHD Teacher Ed Graduates’ Satisfaction with Preparation at Two Points in Time: Program Completion and After One Year of Teaching

<table>
<thead>
<tr>
<th>Question: I would recommend my teacher preparation program to a prospective teacher.</th>
<th>2014/15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exit Survey (at program completion)</td>
<td>92.5%</td>
</tr>
<tr>
<td>Transition to Teaching Survey (after 10-11 months of teaching)</td>
<td>94.3%</td>
</tr>
</tbody>
</table>

CEHD’s U of Minnesota Grow Your Own Teachers Programs
MNGOT provides a needed pathway to teacher licensure for underrepresented future teachers: people of color, bilingual individuals, and first generation college students.

Some critical facts:
• A paraprofessional with a bachelor’s degree in Minneapolis Public Schools (MPS) earns about $25,000 per year.
• A first year teacher with a master’s degree in MPS earns about $49,000.
• After ten years, a licensed teacher with a master’s degree can earn $68,000.

In interviews of program participants, almost all say: “I wouldn’t be able to become a teacher if it weren’t for this program.”
PROFESSIONAL PROGRAMS IN PUBLIC HEALTH

Craig Hedberg | Professor, School of Public Health
# OVERVIEW OF PROFESSIONAL PROGRAMS

## MPH
(Master of Public Health)

### PROGRAM TYPES
- 9 traditional programs
- 15 dual-degrees
- 2 executive programs

### ENROLLMENT
- 844 students

## MHA
(Master of Healthcare Administration)

### PROGRAM TYPES
- 1 traditional program
- 2 dual-degrees
- 1 executive program

### ENROLLMENT
- 138 students

## CERTIFICATES: 7 PROGRAM OPTIONS
PROFESSIONAL STUDENT PROFILE

- 1,075 students
- 29 average age
- 73% female
- 26% American Indians & students of color
- 38 countries represented by students
- 42 U.S. states represented by students
CAREER FOCUS

We train the next generation of public health professionals who will advance our understanding of how to improve the quality of life for Minnesotans and others.

98%
Students employed within 12 months of graduating

$79,925
Average salary for SPH graduates within 12 months of graduating
BUILDING MINNESOTA’S WORKFORCE

The majority of our graduates stay in **Minnesota** and become our state’s hospital administrators, community health workers, health policy experts, research scientists, epidemiologists, etc.

10,500+ Alumni living today

69% Graduates staying in Minnesota (2015-17 avg.)
KEY ISSUES

• **Funding**  |  Less Federal, State

• **Competition**  |  New schools & programs each year
  
  2008: 40 schools of public health
  2018: 64 schools and 100+ programs
  (MHA also competes with MBA)

• **Top reasons students decline**: #1 funding package; #4 tuition/cost

• **Visibility**  |  Public health touches everyone everywhere, but many people don’t know what it is
TUITION COMPARISON (MPH)

- Resident cost of MPH degree at U of MN: $43,369
- Non-resident cost of MPH degree at U of MN: $56,011
- Avg. non-resident cost of MPH degree at public schools in the top ten*: $70,324

*The average cost displayed is based on 2017-2018 published cost of degree among U.S. News & World Report’s top 10 (cost based on 42 credits; includes fees).

- 266 SCHOLARSHIP AWARDS (FY18)
- 188 STUDENTS RECEIVED SCHOLARSHIPS (FY18)
- $1,262,317 TOTAL AWARD AMOUNT (FY18)
- 63% STUDENTS GRADUATE WITH LOAN DEBT (DATA FROM 2015)
PROGRAM & ENROLLMENT MANAGEMENT

- **Shared governance model**  |  Education Policy Committee
- **Data Innovation Project**  |  Creating a single source of data and decision-making for SPH
- **Student Support Strategy**  |  Includes: CQI of student services, programs, recruitment and scholarship
- **Recruitment**  |  Local, regional, national targeted ad strategy
PARTNERSHIPS

- UMN
- State
- Nation
- World

Pictured: Alumna Amira Adawe, MPH (left) was involved in an effort to get more Somalis in public health. As a student at SPH she helped ban skin lightening creams and created a swim program for women and children in the Somali community.
DEVELOPING DISEASE DETECTIVES

Every year, Minnesota experiences more than 40 foodborne disease outbreaks. Team D, a group at the Minnesota Department of Health — made up in large part of SPH students — investigates the source of these outbreaks.

LEADING THE WAY

Other state health departments and even the CDC have taken note of Team D’s efficiency and innovative model of engagement.
THANK YOU!

Learn more: sph.umn.edu
Discussion Topic

Importance of balancing central and local oversight of graduate and professional education
AGENDA ITEM:  Consent Report

☐ Review  ☐ Review + Action  ☐ Action  ☐ Discussion

This is a report required by Board policy.

PRESENTERS:  Karen Hanson, Executive Vice President and Provost

PURPOSE & KEY POINTS

To seek Board approval of new academic programs and program additions, program deletions and discontinuations, and/or program changes, and conferral of tenure, as outlined below.

I. Request for Approval of New Academic Programs

- College of Biological Sciences (Twin Cities campus)—Create undergraduate minor in Computational Biology
- College of Biological Sciences (Twin Cities campus)—Create undergraduate minor in Cellular and Molecular Neuroscience
- Medical School (Twin Cities campus)—Create fellowship in Integrated Vascular Surgery
- Medical School (Twin Cities campus)—Create fellowship in Pediatric Obesity Medicine

II. Request for Approval of Changed Academic Programs

- College of Biological Sciences (Twin Cities campus)—Change the name of the undergraduate minor in Neuroscience to Integrative Neuroscience

III. Request for Conferral of Tenure for Outside Hires

- Samuel Dudley, professor with tenure, Medicine, Medical School
- John Hoffman, professor with tenure, Liberal Arts and Education, University of Minnesota Crookston

IV. Correction to the September 2018 Tenured Hire Recommendations

- Prakash Kara, professor with tenure, Neuroscience, Medical School
V. Request for Promotion in Rank

- Gary Anderson, professor with tenure, Developmental and Surgical Sciences, School of Dentistry

BACKGROUND INFORMATION

This report appears as a regular item on the Mission Fulfillment Committee agenda. Academic program proposal review and approval is governed by University of Minnesota Policy 2.2.4: Review of Proposals for New, Changed, and Discontinued Academic Programs. Approval by the Board of Regents is required for the establishment of new academic programs; addition of formal tracks and of new sites for existing academic programs; discontinuance/merger of existing programs; and changes in program titles/degree designation.

Board of Regents Policy: Reservation and Delegation of Authority, calls for tenure and/or promotion recommendations to be brought before the Mission Fulfillment Committee for action.

PRESIDENT’S RECOMMENDATION

The President recommends approval of the Consent Report.
I. Request for Approval of New Academic Programs

- **College of Biological Sciences (Twin Cities campus) — Create undergraduate minor in Computational Biology**

  The College of Biological Sciences on the Twin Cities campus requests approval to create an undergraduate minor in Computational Biology, effective spring 2019. The proposed program trains students in data analysis techniques related to biological research. The proposed program makes use of existing courses and resources.

- **College of Biological Sciences (Twin Cities campus) — Create undergraduate minor in Cellular and Molecular Neuroscience**

  The College of Biological Sciences on the Twin Cities campus requests approval to create an undergraduate minor in Cellular and Molecular Neuroscience, effective spring 2019. The proposed program gives students a background in these particular areas of neuroscience and prepares them for work in medical school. The proposed program makes use of existing courses and resources.

- **Medical School (Twin Cities campus) — Create fellowship in Integrated Vascular Surgery**

  The Medical School on the Twin Cities campus requests approval to create a fellowship in Integrated Vascular Surgery, effective summer 2019. The program will offer clinical, surgical, and research opportunities for fellows, including training in diagnosis, medical treatment, and reconstructive vascular surgical techniques. The proposed program makes use of existing resources.

- **Medical School (Twin Cities campus) — Create fellowship in Pediatric Obesity Medicine**

  The Medical School on the Twin Cities campus requests approval to create a fellowship in Pediatric Obesity Medicine, effective summer 2019. The program will offer clinical, surgical, and research opportunities for fellows, while training them in the specialized, multidisciplinary therapies used to address childhood obesity, including behavioral, pharmacological, and surgical options. The proposed program makes use of existing courses and resources.
II. Request for Changes to Academic Programs

- **College of Biological Sciences (Twin Cities campus)—Change the name of the undergraduate minor in Neuroscience to Integrative Neuroscience**

The College of Biological Sciences on the Twin Cities campus requests approval to change the name of the undergraduate minor in Neuroscience to Integrative Neuroscience, effective spring 2019. The new name better reflects the program curriculum and distinguishes it from other program offerings.
Tenured Outside Hires

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

Tenured hires for the October 2018 Board of Regents meeting – Twin Cities campus
Recommended by Executive Vice President and Provost Karen Hanson

Samuel Dudley

Professor with tenure
Medicine
Medical School

Professor Dudley is an internationally recognized authority in electrophysiology and cardiac ion channels. He earned his Ph.D. in physiology from the Virginia Commonwealth University in 1991. Dr. Dudley was recently recruited to the University of Minnesota from Brown University where he served as the chief of cardiology and the director of the cardiovascular service line for their affiliated hospital system.

Tenured hires for the October 2018 Board of Regents meeting – Crookston campus
Recommended by Executive Vice President and Provost Karen Hanson

John Hoffman

Professor with tenure
Liberal Arts and Education
University of Minnesota Crookston

Dr. Hoffman earned his Ph.D. from the University of Minnesota in 2000. Prior to joining the University of Minnesota, he was professor and chair of the Department of Educational Leadership at California State University, Fullerton. His research interests include access, equity, inclusion, college success, and leadership. Dr. Hoffman will serve as the vice chancellor for academic and student affairs on the Crookston campus.

Amended tenured hires for the September 2018 Board of Regents meeting – Twin Cities campus
Recommended by Executive Vice President and Provost Karen Hanson

Prakash Kara

Professor with tenure
Neuroscience
Medical School
Professor Kara is internationally recognized as one of the leading neuroscientists examining activity within the cerebral cortex. He earned his Ph.D. in neuroscience/physiology from the University of Alabama at Birmingham in 1998. He joins the University of Minnesota from the Medical University of South Carolina (MUSC).

Promotion in Rank

Recommended by Executive Vice President and Provost Karen Hanson

Gary Anderson
Professor with tenure
Developmental and Surgical Sciences
School of Dentistry

Dr. Anderson’s primary areas of research are in occlusion and prosthodontics, temporomandibular disorders (TMD), and orofacial pain. His work on TMD has been described as groundbreaking and having shaped the field of TMD research and clinical practice both nationally and internationally. He earned a D.D.S. from the University of Minnesota in 1980. Since joining the University of Minnesota in 1981, Dr. Anderson has served in a variety of positions including department chair, senior associate dean, and director of the Cleft Palate and Craniofacial Program. Dr. Anderson currently serves as dean of the School of Dentistry.
AGENDA ITEM: Information Items

☐ Review  ☐ Review + Action  ☐ Action  ☒ Discussion

☐ This is a report required by Board policy.

PRESENTERS: Karen Hanson, Executive Vice President and Provost

PURPOSE & KEY POINTS

Report of Student, Faculty, and Staff Activities and Awards

This report highlights select activities at the local, regional, national, and global level in the areas of teaching, research, outreach, and other academic achievements at the University.

Report of the Bias Response and Referral Network

The Bias Response and Referral Network (BRRN) was charged by President Kaler in January 2016. Initially called the Bias Response Team, the name was changed in November 2016 to better reflect the group’s purpose and work. Committees such as the BRRN are common on campuses across the country. The work of the Bias Response and Referral Network includes:

- referring those who report incidents to appropriate campus offices that can effectively respond through investigation, educational coaching, or other resources, depending on the nature of the incident;
- referring students, faculty, and staff to support resources;
- logging all reported incidents and tracking for trends;
- notifying campus leaders of ongoing bias incidents and trends;
- educating and consulting about the BRRN to campus groups; and
- informing the campus community about the group’s work through informational meetings and annual reports.

The Bias Response and Referral Network does not:

- conduct investigations;
- take disciplinary action; or
- impinge on free speech rights and academic freedom.

The complete report of the committee's second year of work is included in the docket.
BACKGROUND INFORMATION

This report appears as a regular item on the Mission Fulfillment Committee agenda.
This report highlights select activities at the local, regional, national, and global level in the areas of teaching, research, outreach, and other academic achievements at the University.

University Highlights
The Carlson School of Management’s Master of Science in Supply Chain Management (MS SCM) program debuted as the sixth best in the nation, according to a ranking released by Gartner, a global research and advisory firm. Gartner evaluated programs nationwide to compile its list of the “Top 25 North American Supply Chain Graduate University Programs, 2018.”

The National Science Foundation recently recommended renewal of funding for long-term research at the University of Minnesota’s Cedar Creek Ecosystem Science Reserve for another six-year term. This funding sets the stage for the continuation of longstanding experiments as well as the addition of new studies, led by project co-leaders Sarah Hobbie and Eric Seabloom (ecology, evolution, and behavior, College of Biological Sciences).

The University of Minnesota’s College of Education and Human Development (CEHD) has been recognized as the #4 public school of education in the Academic Ranking of World Universities’ 2018 college rankings. CEHD was ranked seventh overall, among private and public universities.

The University of Minnesota has received a four-year, $8 million grant from the United States Department of Agriculture to study how soil health impacts potato production. Carl Rosen, soil, water, and climate (College of Food, Agricultural and Natural Resource Sciences), will lead the research team.

The University of Minnesota has received a three-year, $1.43 million grant from the National Science Foundation to advance machine learning techniques to better monitor global agricultural and environmental change. The grant funds a team of researchers at the College of Science and Engineering, College of Food, Agricultural and Natural Resource sciences, and Minnesota Supercomputing Institute.

The University of Minnesota has received a four-year, $5.3 million grant from the Defense Advanced Research Projects Agency (DARPA), an agency of the U.S. Department of Defense, to lead an effort that could spark the next wave of U.S. semiconductor innovation and broaden the competitive field for circuit design. Sachin Sapatnekar, electrical and computer engineering (College of Science and Engineering), will lead the grant.
The College of Veterinary Medicine’s Raptor Center recently secured funding for a three-year initiative for wildlife rehabilitation care across all species. The program is being designed and implemented by the Raptor Center with hopes of improving animal welfare in wildlife rehabilitation.

The University of Minnesota’s Humphrey School of Public Affairs and the Institute on the Environment, along with Duke University, are leading a new, multi-university project that will explore how to make interdisciplinary research more common and more effective. The two-year research project, “Institutionalizing Interdisciplinarity,” is funded with a $500,000 NAKFI Challenge grant from the National Academies Keck Futures Initiative.

The U.S. Department of Education named the University of Minnesota’s Institute for Global Studies a National Resource Center in International Studies, providing an award of $4 million for projects furthering international studies from 2018–22.

University of Minnesota’s Masonic Children’s Hospital has been ranked in the top 20 U.S. children’s hospitals in innovation and technology. The rankings, which were conducted by Parents.com, highlight hospitals with a proven record of cutting-edge medical advancements and exceptional patient care. The Masonic Children’s Hospital was featured due to its attention to patient’s mental health, among many other focuses of care.

The University of Minnesota announced an award of $8 million over the next four years from the Simons Foundation to an international collaboration. The project, called the Simons Collaboration on Localization of Waves, will be headquartered at the University of Minnesota and will bring together top experts from around the world to study the fundamental science of waves. Svitlana Mayboroda, a University of Minnesota Northrop Professor in mathematics will lead the collaboration.

The Centers for Disease Control and Prevention has awarded the National Association of School Nurses a $1.3 million three-year contract to educate and support the school nurse workforce so that they can conduct national active surveillance among U.S. school children for chronic conditions. The University of Minnesota School of Nursing will develop the data platform for this project, which will collect and manage the data and provide user-friendly reports that school nurses can use to advocate for student health.

The University of Minnesota Crookston was ranked #2 by U.S. News in the category Midwest Top Public Regional Colleges for 2019.

The University of Minnesota Duluth received a $1 million grant from the U.S. Department of Agriculture for four years to expand research on fast-growing hybrid trees and to promote industrial use. The University’s Natural Resources Research Institute (NRRI), Forestry Extension, and department of applied economics are teaming up on the project to meet the future demand of biomass resources.

The University of Minnesota Morris was ranked #8 by U.S. News in the category Top Public Liberal Arts Colleges.
Faculty and Staff Activities and Awards
Kate Adamala, genetics, cell biology, and development, is among a group of researchers chosen to advance work on “biocomputers” that integrate synthetic biology with semiconductor technology. The $12 million National Science Foundation project funds the creation of bio-based semiconductors using synthetic biology.

Jose Alejo, genetics, cell biology, and development postdoctoral associate, has been named a Hanna H. Gray Fellow by the Howard Hughes Medical Institute. As one of 15 fellows announced this month, Alejo will receive mentoring and research funding up to $1.4 million that will span eight years.

Joanne Disch, professor ad honorem, School of Nursing, was named a Living Legend by the American Academy of Nursing. The Academy’s highest honor, the award recognizes those who have made exceptional contributions to the field throughout their careers.

Rutherford Johnson, business department, University of Minnesota Crookston, has been appointed general conference chair of the West East Institute, an international academic collaborative organization, and also editor-in-chief of the Journal of WEI Business and Economics, which is one of the two journals of the West East Institute.

Katy Kozhimannil, School of Public Health, joined the Women’s Health Issues editorial board. The journal is dedicated to providing important information on women’s health for researchers, health professionals, social scientists, policymakers, and others.

Carolyn Porta, School of Nursing, is one of 10 statewide experts named to a sexual assault investigation work group by Attorney General Lori Swanson. The group, made up of leaders in the areas of victim advocacy, health care, and law enforcement, will make recommendations to the state legislature to improve state laws and policies regarding sexual assault and the criminal justice system’s treatment of these crimes.

The World Food Prize Foundation announced that Matthew Rouse, plant pathology, was the winner of the 2018 Norman Borlaug Award for Field Research and Application, endowed by the Rockefeller Foundation.

Linli Xu, marketing, has been named a Young Scholar by the Marketing Science Institute. This honor recognizes promising scholars in marketing and closely related fields whose work suggests they are potential leaders of the “next generation” of marketing academics.

Student Activities and Awards
Fangzhou Chen, Luke Gagnon, and Eamonn Gallagher, all members of the Law School’s class of 2018, have been named Star of the North Fellows by the state of Minnesota. Each will spend the next year in a salaried position at a state agency that aligns with their educational background and professional interests.

Law School alumnae Melissa Listug Klick (’03) and Tracy Perzel (’99) were appointed District Court judges in the state’s Eighth and First Judicial Districts, respectively, by Governor Mark Dayton.
Michael Rose, a fourth-year MD student was selected by the Pisacano Leadership Foundation as a 2018 Pisacano Scholar. Rose is one of six MD students in the country awarded with the scholarship, which is valued at up to $28,000 each. The scholarships are awarded to students attending U.S. medical schools who demonstrate a strong commitment to the specialty of Family Medicine.
BACKGROUND AND SUMMARY

The Bias Response and Referral Network (BRRN), established through a charge from President Eric W. Kaler in January 2016, furthers the goal of a campus climate that is welcoming, inclusive and respectful to all by responding to reports of bias incidents on the Twin Cities Campus.

PRIMARY RESPONSIBILITIES:

The BRRN compiles information about bias incidents involving the Twin Cities campus community, supports those who experience bias, and promotes a healthy campus climate through dialogue and education about the nature and impact of bias incidents in our working and learning community. Specifically, the BRRN:

- Refers reporters to appropriate campus offices that can effectively respond through investigation, educational coaching, or other resources depending on the nature of the incident.
- Provides referrals to support resources for students, faculty and staff.
- Logs all incidents and track for trends.
- Notifies campus leaders of ongoing bias incidents and trends.
- Provides education and consultation about the BRRN to campus groups.
- Meets to discuss current issues and trends.
- Publishes annual reports to the community.

The first annual report can be found here.
The BRRN receives reports from many sources, primarily from the online reporting tool UReport. The BRRN also receives reports through its email account, endbias@umn.edu, or from an email sent to an individual member of the BRRN. BRRN members also provide information to the group about incidents that have occurred in their units.

FREE SPEECH AND ACADEMIC FREEDOM

The University is committed to safeguarding the free expression rights of all University community members, even if the expression is biased, hateful, and contrary to University values of equity and diversity. Nevertheless, biased and hateful expression causes harm and fractures in our campus community that must be addressed. The BRRN, along with other campus bodies, units, and departments, responds to bias incidents in ways that support those most impacted and promotes education and dialogue. The BRRN is committed to upholding free speech and academic freedom on campus and does not have an investigative or disciplinary role in responding to any bias reports.

Please visit provost.umn.edu for our statement of these values and links to additional information.

STRUCTURE

The BRRN team reports to the Vice President for Equity and Diversity and the Office of the Executive Vice President and Provost and comprises members from:

- Campus Climate Engagement Team
- Coalition for a Respectful U
- Diversity Community of Practice
- Equal Opportunity and Affirmative Action
- Faculty representatives
- Global Programs and Strategy Alliance
- The Graduate School
- Housing and Residential Life
- Office for Equity and Diversity
- Office for Student Affairs
- Office of Human Resources
- Office of the Executive Vice President and Provost
- Office of the General Counsel
- Office of the President
- University Services

A full roster is available on the BRRN website. https://bias-response.umn.edu/

A Faculty and Student Consultation and Advisory Group, was formed last year to provide insight, expertise, and feedback to the BRRN.

YEAR TWO HIGHLIGHTS

During its second year of operation, the BRRN team used its experiences and growing expertise to hone and refine its protocol and scope as a resource and referral entity. Representatives from University Services, Housing and Residential Life, and the Graduate School were added to the team to better address bias concerns among the populations served by those areas.

A group of six staff leads formed in year one, met every other work week and solidified its role providing overall leadership for the team, working with the executive oversight leaders, responding to incident reports on a day to day basis, and identifying issues for discussion with the full team.

To address emerging needs and ideas, the BRRN team formed subcommittees that focused on:

- Identifying education and training resources
- Increasing awareness of the BRRN in the campus community, and
- Further engaging the Faculty and Student Consultation and Advisory Group.

The Faculty and Student Consultation Advisory Group has proved to be an invaluable resource for the BRRN, offering insight into campus trends and concerns, and feedback on the overall work of the BRRN during its once-per-semester meetings.

BRRN team members provided informational updates about its work to a variety of committees and groups. Trainings about the BRRN and campus climate concerns were conducted collaboratively by members of the BRRN and the Campus Climate Engagement Team.
In total, between March 1, 2017 and April 30, 2018, the BRRN received 189 reports. Some of these 189 reports include reports of the same bias incidents. For example, in February 2018, the BRRN received 59 identical reports about the same incident. These reports and this specific trend is discussed in more detail below. In total, the BRRN received reports about 107 bias incidents that impacted our campus community.

For purposes of this summary, the incidents reported are organized into three charts. The first chart organizes the incidents based on the targeted protected identity as reported. BRRN recognizes that some incidents include biased conduct against persons or groups because of multiple identities. However for clarity and simplicity purposes, and based on review of the reports, BRRN has identified the following seven identities that were targeted in the incidents reported during this time period: religion, race, gender, sexuality, national origin, disability, and other. An explanation of each category is below.

- **Religion**: biased conduct or comments made against a person or group because of their actual or perceived religious or spiritual beliefs or identity. Reporters often categorize these incidents as “anti-Muslim” and “anti-Semitic.” BRRN recognizes the intersectionality of some...
incidents in this category, specifically with national origin. Yet based on the limits of the current data and for clarity, BRRN has separated and limited the categories accordingly.

- **Race**: biased conduct or comments made against a person or group because of their actual or perceived race. Incidents include racial slurs, flyers advocating for “alt-right” and white pride movements and defacing posters related to the Black Lives Matter movement.

- **Gender**: biased conduct or comments made against a person or group because of their actual or perceived gender identity or gender expression. Incidents under this category include the reported misuse of gender pronouns, comments and posters disparaging women, sexual assault victim survivors, and men in fraternities.

- **Sexuality**: biased conduct or comments made against a person or group because of their actual or perceived sexual orientation or sexual identity. Incidents within this category include homophobic and transphobic comments and posters advocating against LGBTQ participation in University activities.

- **National Origin**: biased conduct or comments made against a person or group because of their actual or perceived country of origin. Incidents under this category include mocking and derogatory comments about University community members’ national origin and accent, as well as reports related to the conflict between Israel and Palestine and the All-Campus Elections referendum requesting the University to divest from companies involved with Israel. Again, the BRRN recognizes the intersectionality and complexity of some incidents in this category, specifically with religion and race. Yet based on the limits of the current data and for clarity, BRRN have separated and limited the categories accordingly.

- **Disability**: biased conduct or comments made against a person or group because of their actual or perceived physical or mental abilities. The majority of incidents in this category included student concerns that instructors/faculty had mocked or denied accommodation requests or used inappropriate language when discussing disability-related issues.

- **Other**: This category includes biased conduct based on other protected identities, such as military status. It also includes reports that did not specify which protected identity was targeted, but listed several.

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**CHART 1: Bias Incidents Reported by Protected Identity between March 1, 2017 and April 30, 2018**

![Chart showing incidents by protected identity]
Biased and hateful expression causes harm and fractures in our campus community that must be addressed.

**CHART 2:** Bias Incidents Reported by Month between March 1, 2017 and April 30, 2018

**CHART 3:** Bias Incidents Reported by Method and Location between March 1, 2017 and April 30, 2018
• **Graffiti and vandalism** includes swastikas, “KKK” and other biased comments etched into or drawn on University property, including on whiteboards and bathroom stalls. It also includes as defacing University community members’ Black Lives Matter signs.

• **Classroom interactions** include those that occur between students and teaching assistants while in class or between faculty and students, including comments by fellow students or faculty that reporters perceived as sexist or racist.

• **Online communication** includes biased comments observed or received through social media or email. For example, multiple University departments received emails from an unknown source calling for racial segregation at the University.

• **Posters/flyers/stickers** include paper items found on or near campus, including flyers found in Coffman calling for the “white genocide” of South Africans, anti-Muslim stickers, and homophobic flyers provided by a student group.

• **Campus events** include reports about the design, accessibility or topic of a University sponsored event, not conduct targeted at a specific individual. This category includes a report that speakers for an annual event were not racially diverse, and a report that an event discussing “whiteness” was prejudiced against white people. This category does not include in-person interactions during a University event between community members.

• **In-person interactions** include interactions between University community members that were perceived as biased. For example, a student reported being misgendered repeatedly by a staff member in Coffman; another reported that their roommate used derogatory language toward them because of their national origin.

• **Off-campus incidents** include interactions between University community members and individuals of unknown affiliation that occurred off-campus. For example, one student reported racial slurs directed at them from unknown parties while in Dinkytown.

• **Unknown** includes reports in which the reporter articulated that they had experienced bias, but did not describe the incident. It also includes reports about overall structural or institutional bias, not attributable to a particular incident or event.

### NEW AND CONTINUING TRENDS

• **Multiple identical reports about the same incident.** This year, the BRRN received 59 identical reports related to the All-Campus Elections Commission (ACEC) non-binding referendum requesting the University to divest from companies involved with Israel. As noted above, the BRRN logged all of the reports, but recognizes this as both a new development and a potential emerging trend. Prior to this, the BRRN had received reports about the same incident from different people, but never at this volume or with this sense of shared strategy among several different campus community members. In this grouping of incident reports, the BRRN was often included in messages that
went to other administrative offices about this issue. This is a trend that is likely to continue when more highly charged issues emerge on campus.

- **Reports about flyers/stickers combating alt-right or other racist messaging.** This was a new trend this year. The BRRN received 6 reports this year about flyers, stickers and other forms of media that challenged other language, behavior and/or practices from alt-right organizations and concepts of white supremacy. For instance, the BRRN received reports about stickers and other materials on campus that called for the renaming of University buildings that bear the names of people reporters said were associated with racism, anti-Semitism, or supporting white supremacy. Stickers that said “Punch a Nazi” and called for driving fascists off campus were also reported. Reporters were sometimes confused about or misinterpreted the point of the messages. It was encouraging to note that reporters felt the need to let the BRRN know about these messages, despite being unsure of their meaning. This demonstrates a growing awareness of the BRRN and its value in tracking trends, and providing responses to campus incidents.

- **Reports related to political speech and affiliation.** As with its first year of operation, the BRRN continues to receive reports (9 this year) related to political identity. Sometimes, this takes the form of flyers/stickers that are aligned with a particular political viewpoint, and other times, it takes the form of comments and in-person interactions. While neither political speech nor political identity are seen as protected identities, the BRRN notes the intersections of its work to issues of free speech, and recognizes the importance of continuing to track reports along these lines. The BRRN responds to these reports with resource and referral information. These reports reflect the ongoing trend surrounding divisive political discourse on campus and across the country.

- **Reports regarding majority identities.** The BRRN received more reports this year where the reporter felt like they were the target of bias based on their majority or dominant identity. For example, reporters believed an event on campus was biased because it focused on non-majority identities, such as people of color. Reporters in these cases were provided with resources and referrals, including to Equal Opportunity and Affirmative Action (EOAA) if they believed that they have been discriminated against based upon a protected identity. The BRRN anticipates more of this nature as this mirrors a trend in higher education and in the legal landscape across the country.

**Disclaimer:** The BRRN acknowledges that the reports received do not include all bias incidents that impacted University community members during this time period, but only include the incidents that were reported directly to the BRRN. This reports reflects our best estimate based on the information that was provided to us. At times, reporters do not provide detailed information about an incident and do not follow-up when more information is requested. Other times, reporters experience bias based on not one, but numerous protected identities. Therefore, it is sometimes challenging to accurately categorize incidents as reported.

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After two years of operation, the BRRN has become more established as a trusted and valuable campus resource.
After two years of operation, the BRRN has become more established as a trusted and valuable campus resource. Early concerns about potential threats to free speech and academic freedom have been largely assuaged by the BRRN’s protocol, focus on resources and referrals, and demonstrated commitment to addressing bias issues in ways that affirm and uphold free speech. Presentations to groups and governance committees largely reinforced a belief in the work as positive and helpful to the campus community and climate. Monthly executive oversight meetings provided positive reinforcement about the group’s efforts and feedback about any issues and concerns from the Office of the Executive Vice President and Provost and the Office for Equity and Diversity. To continue to build the BRRN’s impact and effectiveness, recommendations for year three include:

- **Increase resources to provide education and training on key topics.** There continues to be a clear need to provide educational programming and training that address issues of bias, discrimination, and hate on campus - for individuals, small groups, and through larger events. As requests increase for these resources, the education and training subcommittee was formed and began by identifying existing education and training resources, which enhances the BRRN’s ability to provide appropriate referrals. There are, however, some core education and training topics such as free speech and strategies to counter bias in various campus settings that the BRRN should consider adding to its work, enhancing its impact. This would mean expanding the BRRN’s scope. A first step will be to determine if this makes sense and is
• **Collaborate more closely with those working to improve campus climate.** The BRRN is a reactive entity in that it is designed to respond to reports of bias incidents. It complements and is intrinsically connected to efforts to improve campus climate, both centrally and within colleges and units. Last fall, a position to lead campus climate efforts was created by President Kaler and placed in the Office for Equity and Diversity to better coordinate the work and advance change across campus. As a result, there are important opportunities to deepen partnerships and collaborations, and to leverage resources through various groups working more closely together. In particular, the Campus Climate Engagement Team is a logical entity to closely align with the Bias Response and Referral Network. This partnership is already happening informally through training and education opportunities. Looking at ways to more formally connect the two teams makes sense.

• **Increase awareness of and trust in the BRRN to encourage its use when witnessing or experiencing hate or bias incidents.** The BRRN is still a new entity on campus and many are either unaware it exists or lack trust that it will handle the sensitive issues of bias and hate in a way that feels safe to make a report. The work to build awareness and trust is ongoing and involves both the BRRN’s track record in responding to incident reports and through engaging in both formal and informal communications. Work is underway to create a variety of educational presentations designed for various campus populations such as international students, advising staff, facilities management staff, and more. This work will enable the BRRN to be more proactive and intentional in reaching out to the campus community.

• **Continue to evaluate the best way to provide information on trends and statistics to the campus community.** Currently, in addition to its annual report to the community, the BRRN provides summary updates about incident trends and statistics as part of the informational sessions it provides to committees and groups. Work in the upcoming year will include looking at other ways to provide this information with an appropriate level of transparency to ensure that the Twin Cities campus community is informed about issues of bias and how the BRRN and others are responding.

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**To report an incident**
submit an anonymous report online to [bias.ethicaladvocate.com](http://bias.ethicaladvocate.com) or email [endbias@umn.edu](mailto:endbias@umn.edu). Call 911 in case of emergency.
The Bias Response and Referral Network compiled this report and its recommendations. Feedback and suggestions can be submitted to endbias@umn.edu.