THE UNIVERSITY OF MINNESOTA: ADVANCING THE PUBLIC GOOD

Securing the University’s Leadership Position In the 21st Century

A Report of the Strategic Positioning Work Group
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Strategic Positioning Work Group
The University of Minnesota is at an important and exciting crossroads. We face a convergence of demographic, economic, cultural, and political challenges that compel us to change and adapt to ensure the future greatness of our University. We view this challenge as an opportunity to propel the University to a new level of distinction. With enthusiastic support and encouragement from faculty, staff, students, alumni, and members of the community, we announce our goal – to become within the next decade one of the top three public research universities in the world.

To succeed in this quest will require bold choices, new investments, inspirational leadership at all levels of the University, and, most importantly, the support and efforts of the entire University community. Our choices will be true to the values we hold dear at the University: excellence, innovation, integrity, diversity, academic freedom, collaboration, sharing of knowledge, accountability and stewardship, and service. The result will be fulfillment of our vision – to improve the human condition through the advancement of knowledge.

We apply an equivalent standard of excellence to our coordinate campuses, each of which has its own unique mission and well-differentiated strengths. An equivalent standard of excellence applies also to our network of statewide research centers and Extension Service offices. This report is a University system-wide call to action.

There are seven criteria we will apply as we evaluate programs and services and establish priorities for the future:

- Centrality to Mission
- Quality, Productivity, and Impact
- Uniqueness and Comparative Advantage
- Enhancement of Academic Synergies
- Demand and Resources
- Efficiency and Effectiveness
- Development and Leveraging of Resources.

Our foremost priority must be to advance academic quality, and to do so during constrained financial times. The key will be to manage change strategically and to continuously improve. We may need to modify programs and relationships to expand academic synergies and reduce operating costs. We may need to eliminate programs and services that are less essential to our core mission or where we do not enjoy a distinct quality, competitive and comparative advantage. We may need to add or expand programs where the promise and potential are high. A great university must renew itself and seize opportunities. A great university must balance depth and breadth. Choices and tradeoffs will be necessary.
At the same time, the State must recognize that its own future prosperity and the reputation of the University are intertwined and mutually dependent. If the University enhances its international reputation and the quality of its research, education, and outreach, the State of Minnesota’s ability to compete effectively in the global economy and to offer an enhanced quality of life to its residents will prosper. If the State fails reciprocally to invest in the University, the University’s ability to educate, innovate, and compete on the global stage will weaken, and so, too, will the State’s future prosperity and quality of life.

To reach our goal to be one of the top three public research universities in the world, we must focus attention on five strategic action areas. We must:

• Recruit, nurture, challenge and educate outstanding students who are bright, curious, and highly motivated
• Recruit, mentor, reward, and retain world-class faculty and staff who are innovative, energetic, and dedicated to the highest standards of excellence
• Promote an effective organizational culture that is committed to excellence and responsive to change
• Exercise responsible stewardship by setting priorities, and enhancing and effectively utilizing resources and infrastructure
• Communicate clearly and credibly with all our constituencies and practice public engagement responsive to the public good.

With courage, conviction, and creativity, we must develop and implement strategies in each of these five areas. Preserving the status quo guarantees decline: the University’s stature will diminish, we will weaken our ability to function effectively as a talent magnet and a center of innovation for the state, and the quality of life in Minnesota consequently will decline. If we accept this call to action, we will become one of the top three public research universities in the world, we will improve the human condition, and we will improve the quality of life in Minnesota, the country, and the world.
A Call to Action

Higher education is at a crossroads. So is the University of Minnesota. We are presented with unprecedented challenges – and unprecedented opportunities. We must act, and act urgently, to renew and transform this great university. We must confront our challenges and opportunities with boldness, creativity, and determination. Our goal is no less than to transform the University of Minnesota into one of the three best public research universities in the world.

The goal we announce applies an equivalent standard of excellence to all our campuses, each of which has its own unique mission and strong signature and reputation. An equivalent standard of excellence applies also to our network of statewide research centers and Extension Service offices, the legacy of our land grant tradition. The more specific paths mapped out by the University’s coordinate campuses are included later in this document.

To best serve the state of Minnesota – and the world – the University must excel at all we do. To be the best, we must attract the brightest faculty, staff, and students in the face of fierce competition from other major research universities. This competition for talent, combined with our new fiscal constraints, compels us to act and to manage change strategically. To simply continue with the status quo would be to weaken seriously the University and the state. “The time for bold leadership, for hard choices, for reform, for innovation, and for long-term investments is now.”1 If we are serious in our quest, “extraordinary resolve will be required on the part of the Regents, the administration, and the University community to accelerate the difficult choices needed to align standards and resources with competitive excellence.”2

We live today in a global, multicultural, highly competitive society and marketplace. We are judged by world-class standards. Unless the University meets and exceeds these standards we risk losing our leadership role as one of the leading public research universities. This would impair severely our ability to fulfill our vision to advance the public good and to improve the human condition through the advancement of knowledge.

How can the University of Minnesota become one of the preeminent public research universities in the world? First, we must be committed to building excellence through a coherent vision. Each of our decisions should be consistent with our framework of analysis. We constantly need to ask: Are we significantly advancing academic quality and building excellence at each opportunity? Are we aligning our resources and budgets with our academic priorities?

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Second, our current financial environment requires us to exercise fiscal discipline as part of our stewardship. This does not mean cutting “fat” from the budget – we already have done that, as acknowledged in an audit by Deloitte Touche: “The university has really tightened itself up. It is an excellent example of an organization that is very focused and very efficient. I’d call it a model of fiscal responsibility.”\footnote{“A Tighter Belt; Inefficient ‘U’? Don’t Believe It,” Minneapolis Star-Tribune (November 23, 2004) (quoting Cliff Hoffman, partner, Deloitte & Touche). Mr. Hoffman further explained during an oral presentation to the Board of Regent’s Audit Committee on November 11, 2004: “What the financial statements show, both on a cash basis of accounting and an accrual basis of accounting, and frankly I don’t think I’ve ever seen this in 30 years, when people announce a freeze usually there’s still a cost creep upwards – here it was an actual decrease in expenditures of $20 million. You just don’t see that in the world I live in.”} What fiscal stewardship requires at this point is looking at ourselves, our core, and our budget in a different way. The breadth and scope of the University of Minnesota is a strength that permits us to integrate knowledge through teaching and research across a broad spectrum of subject matter – but it can hinder us if we pursue too many options. The consequence is a dilution in quality. We must focus our resources in strategic ways.

Our values and our academic priorities inform our decisions and transcend our circumstances. We prize groundbreaking research, scholarship and creative work, and we cherish the advancement of knowledge through the interplay of research and teaching. By doing so, we provide an education that is transformative for students and faculty, and that prepares students to make a difference in the lives of people. The University is deeply committed to a diverse university community – including the diversity of ideas. We have an obligation as a great public land grant university to share our groundbreaking research, our knowledge and wisdom, and our creative work with others. A university that is publicly engaged is more accessible to the public, more responsive to public needs, and more closely connected to the communities and partnerships in which it participates.

Through education and public service, we prepare thoughtful and responsible citizens prepared to play a leadership role in a diverse democratic society and an advancing civilization.

To become recognized as one of the top three public research universities will require bold choices, new investments, and inspirational leadership at all levels of the university. Our strategies must include: recruiting and retaining talented, qualified, and curious students from diverse racial, ethnic, economic, and social backgrounds; recruiting and retaining innovative, energetic faculty and staff; recognizing the international dimension of all our educational programs; promoting an effective organizational culture that enables us to reach and maintain our goal; exercising responsible stewardship by setting priorities and enhancing and effectively utilizing our resources and infrastructure; and vigorously pursuing more collaborative and cross-college interdisciplinary research and teaching.

To achieve our goal, we will need to work together, creating, exchanging and testing ideas and practices. We will need to be innovative, creative and responsive at all levels of the University, across each of our campuses and throughout the state. We will need to develop objective benchmarks to regularly measure and monitor our progress toward our
aspirational goal. We will need to be fair and consistent in our decisions. We will need to communicate clearly these decisions to the entire University community.

This is a time for all members of the University community to reach together with determination, pride, and courage toward our common goal. There are exciting times ahead for us as we transform the University of Minnesota and take it to a new level of excellence in the 21st century.
New Challenges: Demographic, Economic, Cultural, and Political

We face an unprecedented series of demographic, economic, cultural, political, and global challenges. It is important for us to understand how each of these affects our future as a University. These challenges also represent important opportunities for us, and require us to move beyond the status quo to create an even more focused and effective University. To accept the present is to fall behind in our increasingly competitive world and in the academic market in which we compete.

Reduced public financial support
One of our foremost challenges is financial. State funding for higher education in Minnesota has been declining relative to other states for nearly three decades. Minnesota has dropped from 6th among states in 1978 to 26th in 2004 in the percentage of state budget support for higher education, as measured by tax effort or state support per $1,000 of personal income.

This steady decline in the state’s rank, however, pales in comparison to the actual reduction in state funding for the 2004-2005 Biennium. State funding for higher education in Minnesota in FY 2004 was 10 percent less than in FY 2003; the situation was worse in only six other states: Maryland, Massachusetts, Michigan, West Virginia, South Carolina, and Colorado. The University’s annual appropriation was reduced by nearly $100 million, from $641 million at the beginning of FY 2003 to $547 million at the beginning of FY 2004, and then held relatively flat ($551 million) for FY 2005.

Unfortunately, most studies of higher education funding look only at state funds, even though about half of the states use local taxes to support community and technical colleges. When local taxes are included, Minnesota falls even farther below the national average in tax support per $1,000 of personal income. Sadly, the state ranks only 29th nationally.

Exacerbating these problems, federal deficits are unlikely to abate any time soon, and the implications for higher education – sponsored research and Pell Grant support for students, in particular – are profound.

Increased costs require growth in public research university funding. Yet competition with other state-funded entities – such as PK-12 education, health care, transportation, and corrections – will continue to increase. The competition for private gifts, particularly large, multi-million dollar gifts, will become increasingly keen. Notably, this occurs at a time when the resource gap between public and private higher education continues to widen and while competition among universities continues to escalate.

Education and the “Public Good”
These new financial constraints seem linked to an increasingly popular perspective that higher education is a private benefit that simply prepares students for careers and that should be paid for primarily by students and their parents. In the past, most Americans viewed higher education largely as a public good: colleges and universities provided an
educated citizenry and workforce, offered a ladder to success for its graduates, produced future leaders for society, and benefited all of society through the generation of knowledge and scholarship. Public universities were democratizing institutions that allowed all prepared and motivated citizens, even those lacking financial resources, to develop fully their skills and thus to maximize their contributions to society. That historic “public good” perspective may be shifting in the wrong direction. At the same time, though, society continues to expect research universities to develop and deliver breakthrough solutions in medicine, public health, agriculture, transportation, engineering, and other fields, as well as to enrich the economic, cultural and artistic environment of their communities and provide access to quality educational opportunities.

In fact, higher education is both a private benefit – in that it gives advantage to the individual student – and, importantly, a public good. Moreover, the public good benefits of higher education extend beyond citizen participation and the social benefits of increased regional and national economic growth. Higher education as a public good has a long and distinguished cultural, social and legal basis. It is absolutely crucial that we not lose sight of the public good resulting from higher education. Even the United States Supreme Court recently reaffirmed higher education’s role in creating positive benefits for the whole of society, as well as for the specific individual receiving the education. We also should remain mindful that the significantly higher incomes of graduates – particularly from the University’s graduate and professional schools – support higher tax revenues for the state, representing a high direct return on investment for state support.

Our heterogeneous society
An important part of understanding our commitment to the public good from education is to recognize how demographic changes – some unique to our region – affect our future. Minnesota’s population, like the nation’s, is becoming more diverse and older, and the implications for higher education are immense. About one half of our current faculty are expected to retire within the next decade.

Demographic trends in Minnesota, in a number of ways, are different from the national picture in that the increase in diversity and the decrease in projected numbers of high school age students are very pronounced. There will be many more students of color – 30 percent of Minnesota’s high school graduates by 2018 are projected to be students of color, compared to 13 percent in 2004. We can expect to receive an increasing number of students of color for whom English is not their first language and who are “first-family” or “first-generation” students. There will be even more need for the University to focus on PK-12 educational preparation to ensure that those seeking admission to

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higher education institutions are well-prepared to accept the rigors of a research university education.

Minnesota’s traditional college-age population will begin to decline within the next five years.\(^7\) We can expect increasing numbers of older students with diverse professional and life experiences, goals, values, and expectations. More and more our focus will need to be on recruiting and retaining a broad range of students from across the nation and around the world.

**New organizational structures and incentives**
The organizational structures and incentives that accompanied the creation, growth, and development of land grant institutions across the nation are under challenge as never before. How and where faculty do their work; how and where students learn; the provision of facilities and the arrangement of space for teaching and research; the boundaries between traditional disciplines; the boundaries between the academy and the community; the impact of technology on how information and knowledge are organized, preserved, and disseminated; and how academic priorities are established and funded – all these structures and assumptions – largely created in the 19\(^{th}\) and early 20\(^{th}\) centuries – are being challenged by the needs and demands of 21\(^{st}\) century society.

Nowhere are these challenges more evident than in how research is organized and funded. Federal and other sponsored research support is rapidly shifting to multi-disciplinary, multi-institutional grants and contracts. There is increasing pressure for universities to address society’s problems in ways that often require interdisciplinary and, sometimes, multi-institutional and international responses. In particular, the number of “Big Science” multi-investigator/multi-university/public-private consortia grants funded by government, industry, and foundations has been increasing over the past 10 years.

As President Bruininks has noted: “Today more than ever, pushing the boundaries of knowledge in one field often means crossing into other disciplines. And interdisciplinary work often has mutual reward; often the tools required to build new knowledge in one field require innovation in another. In chemical biology, for example, interdisciplinary work that creates new drugs and therapies for cancer patients is also accelerating the miniaturization of electrical circuits.”\(^8\) Such interdisciplinary work is especially important for our students – undergraduate, graduate, and professional – who can learn in new and dynamic ways.

Universities also are relying increasingly on enterprise-wide technology systems to accomplish process improvement and efficiency goals as well as teaching, learning, and public engagement goals. Open-source software development and multi-institution purchases also are increasingly important competitive elements. Complementary

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\(^{7}\) R. Thomas Gillaspy, Minnesota State Demographer, Presentation to the University of Minnesota Board of Regents, November 11, 2004.

technology partnerships between institutions that leverage their unique strengths will continue to grow as financial constraints drive institutions to focus on core competencies.

**Greater competition in recruiting and supporting faculty and students**
The national and international competition for highly qualified faculty and talented undergraduate, graduate, and professional students is becoming even more intense. In addition to compensation, recruitment and retention of faculty centers on the perceived strength of the appointing department, state-of-the-art facilities and equipment, large start-up packages, and the quality and number of graduate students who will be a part of each faculty member’s individual research enterprise.

Amidst increased competition for talent and faltering state and federal funding, the cost of education to students continues to rise at several times the normal rate of inflation. The University has undertaken a number of initiatives, such as a major scholarship drive and internal reallocation of resources, in order to keep education affordable and accessible and to keep the University competitive as it recruits talented students from the state, the nation and the world.

Support of graduate and professional students is one of the most crucial – and most expensive – components of a research university. It is the pathway to discoveries that lead to intellectual property and benefits to society. Education and development that leads to a Ph.D. is often a joint effort between graduate students and a professor in designing and conducting experiments, analyzing data, and communicating the results at professional meetings, in scholarly publications, and to the public and private sectors.

**Our global world**
As important as technological developments have been to higher education the most profound long-term change may be that we are becoming a much more globally linked world. Higher education is no exception. China is making major advances in promoting and developing higher education in its country. India, England, Germany, Australia and many other countries are all involved in significant reforms to their higher education systems, including much more aggressive recruitment of international students and faculty.

Yet, recent changes in United States immigration practices have led to a significant decline in international student and scholar applications, a major source of graduate and professional students in American universities. As a result, American universities are facing increased competition from each other at the same time competition with institutions outside the United States to admit the best and brightest international students and scholars is increasing. If we neglect this trend, the quality of research and graduate education at the University will be at risk.

Research itself, along with being more multi-disciplinary and multi-institutional is becoming ever more international. Traditional national borders are increasingly permeable, with “[i]ssues from business to agriculture, from human rights to the relief of famine, call[ing] our imaginations to venture beyond narrow group loyalties . . . to
consider the reality of distant lives.” The greatest research universities tackle these problems, frequently fueled with collaborations that transcend university boundaries and national borders. As a result, research universities are judged against world-class standards, comparing the quality of faculty, students and research against international peers.

At present, the University has 3,300 international students and 1,200 international scholars from 130 countries, but we recently have fallen out of the top 20 major research institutions in terms of the breadth of our international representation on campus. This is a trend we must reverse if we are to remain a major research and education institution on the world stage. As the Chancellor of the University of Illinois recently acknowledged, “our best public research universities are institutions of global stature that have long been enmeshed in far-flung international networks of individual and collective collaborations and exchanges of all kinds.”

Faculty and students – graduates and undergraduates alike – increasingly will be expected to be attuned to international developments in their fields and, where appropriate, to have international experience, an international outlook, and an international impact. More than ever it will be important for students to have exposure to international cultures, international students, and experience in foreign countries. The University of Minnesota’s Board of Regents Policy on International Education “recognizes that a great university ideally builds and extends its service, its potential for research, its scholarly standing, and enhances its contribution to the education of students and citizens of the state by providing an international dimension in its educational programs. This is true in all fields of study: in the professions, the sciences, the arts, the humanities, and the social sciences.”

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Framing Concepts: Goal, Vision, Mission, and Values

Goal
There are certain framing concepts that define our heritage and our aspirations for the future. We will remain true to these framing concepts throughout this period of transformation. We start where we intend to end. Our goal is to be one of the three best public research universities in the world.

Vision
In reaching toward our goal, we continually will advance our vision, which is to improve the human condition through the advancement of knowledge. We aspire to do this through excellence and innovation in teaching, research, and outreach, in order to create new knowledge for the world, to drive economic development in the State of Minnesota, to train a talented workforce, and to educate an engaged citizenry for a diverse democracy. Our path-breaking research and teaching spans the arts and humanities, the sciences and social sciences.

As one of the few comprehensive universities around the world that engages in responsibilities that range broadly from medicine to land grant-oriented agriculture and extension services, our vision is to continue our preeminent role as a publicly engaged university that integrates research, teaching, and public engagement. We will continue to be responsive to the needs of our state and our country while we also recognize our responsibilities to the world and our commitment to world-class standards. Our land grant mission combined with our research mission causes a rhythmic pulse here that keeps driving us to solve real-world problems; our comprehensiveness enables us to create synergies among disciplines to better understand and grapple with the problems we try to solve. Our graduates, whatever their course of studies, will be equipped to lead and to promote democratic values and the search for wisdom and understanding in our multiracial, multicultural society. The University will encourage economic, cultural, and educational development within the state and beyond.

Mission
Our mission, as articulated by the Board of Regents, January 14, 1994, is built on the philosophy that people are enriched by understanding, and that the University should be dedicated to the advancement of learning and the search for truth; to the sharing of this knowledge through education for a diverse community; and to the application of this knowledge to benefit the people of the state, the nation, and the world.

The University’s mission, carried out on multiple campuses and throughout the state, is threefold and seeks to integrate:

- Research and Discovery: To generate and preserve knowledge, understanding, and creativity by conducting high-quality research, scholarship, and artistic activity that benefit students, scholars, and communities across the state, the nation, and the world.
Teaching and Learning: To share that knowledge, understanding, and creativity by providing a broad range of educational programs in a strong and diverse community of learners and teachers, and prepare graduate, professional, and undergraduate students, as well as non-degree-seeking students interested in continuing education and lifelong learning, for active roles in a multiracial and multicultural world.

Outreach and Public Service: To extend, apply, and exchange knowledge between the University and society by applying scholarly expertise to community problems, by helping organizations and individuals respond to their changing environments, and by making the knowledge and resources created and preserved at the University accessible to the citizens of the state, the nation, and the world.

Values
As a University community we value: excellence; innovation; discovery and the search for truth; diversity of community; diversity of ideas; integrity; academic freedom; collaboration; stewardship and accountability of resources and relationships; sharing knowledge in a learning environment; application of knowledge and discovery to advance the quality of life and economy of the region and the world; and service as a land grant institution to Minnesota, the nation, and the world.

The University of Minnesota aspires to be a community with an organizational culture that demands excellence in research and discovery, teaching and learning, and public outreach and civic engagement; fosters high achievement, innovation, and inspirational energy; attracts top faculty and bright, curious students; supports academic freedom; invests in physical environments and technological infrastructures to support excellence in research, creative work, and learning; produces knowledge for the people of Minnesota, the country, and the world; embraces a diversity of ideas and community and promotes mutual respect; operates with integrity and complies with ethical practices; practices individual accountability and stewardship of resources in order to operate efficiently and effectively, seeking constantly to improve; appropriately balances centralization with decentralized autonomy; and respects Minnesota’s history and culture, and supports the University’s historic and continuing role in the state.

Strategies
The University should continually aim to: create and nurture world-class research and information centers; function as an academic and economic talent magnet; support a diversity of ideas and communities; strategically align resources with intellectual and academic goals; serve as a catalyst for economic and cultural growth in Minnesota; and improve the quality of life for Minnesotans.

When we consider the characteristics of a world-class public research university, we include: serving the public good through nationally and internationally recognized research, teaching, and engagement; producing the next generation of national and international leaders in the sciences and social sciences, the arts and humanities, and the professions; integrating research, teaching, and outreach, including across disciplines and among the professions; encouraging diversity of ideas and academic freedom and
actively creating a diverse community of faculty, students, and staff; renewing itself regularly to ensure that it continues to be responsive to the most compelling intellectual and social issues.

Of central importance to our status as a world-class public research university is the offering of exceptional graduate and professional programs and a distinguished, challenging undergraduate education focusing on those areas where students can experience teaching and research of national and international quality. Our incoming students should be intellectually curious, ambitious, motivated to learn, prepared to achieve in a challenging academic environment, and expect to graduate in a timely fashion. Our graduates should be able to research and evaluate information, think critically, solve problems, master knowledge, communicate effectively both orally and through written expression, understand research methodologies, understand the roots of civilization in order to function effectively as a global citizen in a continually transforming global society, and be prepared to become engaged citizens and life-long learners.
Framing Concepts: The Coordinate Campuses

Within the shared mission and values of the University of Minnesota are the distinctive contributions of each of our coordinate campuses. Each coordinate campus aims to pursue excellence while investing in well-differentiated strengths and strategic priorities that create unique added value for the University and the state.

University of Minnesota Crookston (UMC)
The University of Minnesota Crookston seeks to become Northwestern Minnesota’s preferred provider of high-value, polytechnic undergraduate education that prepares diverse and deserving learners for rewarding careers and better lives.

UMC strives to enhance the well-being of the region by offering outcome-oriented, teaching-focused, polytechnic professional programs that prepare graduates for career success and for community leadership in a multi-racial and multicultural world; deploy innovative technology-based formats and delivery systems so all ambitious and intellectually curious students can acquire a University of Minnesota education; generate and preserve knowledge, understanding, and creativity by conducting high quality applied research and scholarly work with an emphasis on the needs of Northwestern Minnesota, but with potential application across the state, nation, and world; and extend, exchange, and apply knowledge that enriches society and solves problems.

University of Minnesota Duluth (UMD)
The University of Minnesota Duluth serves Northeastern Minnesota, the state, and the nation as a medium-sized, broad-based university dedicated to excellence in all its programs and operations. As a university community in which knowledge is sought as well as taught, its faculty recognize the importance of scholarship and service, the intrinsic value of research, and the significance of a primary commitment to quality instruction.

Central to the mission of UMD is high quality teaching nurtured by the research and artistic efforts of its faculty. This undergraduate focus is not at the exclusion of graduate programs, but with the keen expectation that UMD’s selected graduate and professional programs generally will mesh with and support its mission and focus on the undergraduate learning experience. Further, UMD acknowledges its Sea Grant designation and obligations to the history of the land grant university. UMD values and provides an inclusive, diverse community, with special emphasis on American Indian education.

The programmatic focus of UMD is on the core liberal arts and sciences, maintaining a strong commitment to professional programs in the sciences and engineering, the arts, business, education, and medicine. Defined future development will include strengthening the core liberal arts and sciences, K-12 professional development in education, and strengthened relationships with regional and Iron Range community colleges. Maintenance of a high quality residential learning environment makes a critical contribution to the strength of the undergraduate learning environment.
Ultimately, UMD’s challenge is to provide innovative solutions to the issues challenging the future of Northeastern Minnesota, to make a difference in the lives of people in this state and elsewhere, and to contribute meaningfully to the quality of life through improving public policy and finding solutions to those problems that impact our lives.

**University of Minnesota Morris (UMM)**

The mission of the University of Minnesota Morris is to provide an undergraduate liberal education of uncompromising rigor to students from around the region, the nation and the world. This tightly focused mission as a public honors college has been at the core of the College since it opened its doors in September 1960.

It is UMM’s vision to be the very best public liberal arts college in America, a position UMM arguably holds today, but which it strives to harden and to make more visible. UMM values students who exhibit high academic potential and high motivation, and who are hard working and self-starters; faculty who excel as undergraduate teachers and successfully pursue a serious scholarly agenda, with measurable results; and staff who understand their important role in the educational process and do their work with prideful excellence.

UMM’s culture is characterized by an unwavering commitment to the liberal arts and to undergraduate learning and teaching, significant diversity (especially recognizing Native American heritage), the thoughtful integration of the curricular, co-curricular and extracurricular aspects of the student experience, and service to the community. The UMM experience requires a faculty dedicated to excellent classroom teaching and significant scholarship, and a curriculum traditional in its basic shape, but innovative in many of its particulars.

As a public liberal arts college, UMM is committed to offering access to students from all economic, social, and cultural backgrounds. UMM is deeply connected to its region and its people. UMM’s population of students, faculty and staff must reflect the diversity of the public in its region, state and nation. UMM will maintain and enhance its national status even as it strengthens its deep regional links.

**University of Minnesota Rochester (UMR)**

The University of Minnesota Rochester, through relationships with other universities and colleges, meets the higher education needs of Southeastern Minnesota by providing and promoting academic programs, research, and outreach. In a unique collaboration with the Minnesota State Colleges and Universities system, UMR provides leadership for baccalaureate and graduate programs that reflect the University of Minnesota’s tradition of excellence. UMR will be a distinctive University of Minnesota branch known for programming in health sciences and technology.

As its mission, UMR provides a strong higher education foundation in health professions, technology, business, education, and social services; responds to the educational, economic, research, and cultural needs of Southeastern Minnesota; and is establishing
itself as the regional higher education institution of choice for students pursuing career preparation in selected health science and technology professions.

As a provision of the 2002 revised agreement between the University of Minnesota and MnSCU, UMR is responsible for providing academic leadership for all future upper division and post-baccalaureate graduate/professional degree programs in Rochester. New baccalaureate and graduate programs for the public higher education institutions are to be developed and operationalized by UMR or through contract with UMR. UMR has built a well-defined scope of educational offerings at the baccalaureate and graduate levels, in response to the educational needs of Southeastern Minnesota. Emphasis will continue to be given to development of programming in areas that relate directly to the region’s economic vitality – health sciences and technology – including partnerships with the Mayo Clinic, IBM, and other area businesses and organizations.
Criteria for Decision Making

If the University is to become one of the top three public research universities in the world, and to achieve excellence in our coordinate campuses and other programs, we must more clearly align the University’s mission to each of its colleges, departments, and other academic units as well as administrative functions and units. We need to ask what the essential support needs to be for core teaching, research, and public engagement and which programs and services no longer fit within our goals, reasonable expectations, and resources.

In order for the University of Minnesota to stay strong and vibrant we must be able to review programs and establish priorities based on well-established criteria. The criteria below, established over the past 20 years at the University, continue to provide a solid framework for such reviews. These seven criteria, taken together as a unified whole, offer useful measures to assess and improve the University.

1. **Centrality to Mission: A program or service is more highly valued if it contributes significantly to the core mission of the University.**

   Each program or service should be evaluated in terms of its contribution to the University’s core mission. Centrality, or proximity to the core mission, is measured by the degree to which a program contributes to the following inter-related mission components:

   ♣ Teaching and learning should be an essential component of a high-quality, holistic undergraduate education or a high-quality graduate/professional education focused on deepening and broadening knowledge for the welfare of society.

   ♣ Research, discovery, and creative work should contribute significantly to the University’s overall excellence in creating and advancing knowledge and helping to stimulate and sustain related work elsewhere in the institution.

   ♣ Public engagement should relate to the University’s teaching and research missions and make significant connections between the needs of Minnesota, its citizens, the nation, and the world, and the University’s knowledge-based resources.

   Funding of programs and services critical to the University’s mission should be a priority.

   **Key Questions**

   A. To what degree is the substance of the activity pertinent to agreed-upon program needs, goals, and mission?
   B. How essential is the program or activity to the University’s core mission?
2. **Quality, Productivity, and Impact**: A program or service should meet objective and evaluative standards of high quality, productivity, public engagement, and impact.

Traditional measures for evaluating programs in higher education should be rigorously applied. For example, the quality, diversity, productivity, public engagement, and impact of the faculty and staff can be measured by peer national ratings, publications, outside funding, surveys, competitive awards, community impact, and other indices that describe important results and impact. The University also must more fully develop its own benchmarks (through the University’s annual *Accountability Report*) for measuring quality, productivity, public engagement, and impact.

*Key Questions:*

A. What are the most appropriate measures to apply?  
B. Are measures being applied consistently and transparently?  
C. How do we measure the quality of a program or service?  
D. How do we measure output, taking into account a blend of qualitative and quantitative assessments?  
E. What is the impact of the program or service? How far does it reach?

3. **Uniqueness and Comparative Advantage**: A program should be evaluated based on characteristics that make it an exceptional strength for the University compared to other programs in Minnesota or at other peer institutions.

The University is committed to maintaining areas of distinctive strength that academic and administrative units have built over the years while recognizing new areas of potential advantage, particularly in interdisciplinary initiatives. This criterion is focused on high-quality foundation programs and services that build on the needs and resources of Minnesota, the nation, and the world as well as areas where further investment will yield significant return in intellectual quality and capital.

*Key Questions:*

A. What is the rationale for the program/service at the University of Minnesota?  
B. Is the program/service a strength of the University in comparison to peer institutions?  
C. Does the program/service contribute to the comparative economic or cultural advantages of Minnesota?  
D. Is the program/service an essential component of a unique synergy of ideas and activities?  
E. What would the loss, reduction, addition, or expansion of the program/service mean to the University, the state, and the region?
4. **Enhancement of Academic Synergies:** A program/service should be organized to promote and facilitate synergies that build relationships and interdisciplinary, multicultural, international and other collaborations.

Programs and services should be structured to leverage and create new synergies and do so in a cost-efficient manner. Dynamic, accountable organizational structures can result in additional resources for the highest priority activities while creating efficiencies to maintain core academic programs at a lower overall cost. This requires careful, strategic combinations of resources that enhance natural connections.

*Key Questions:*

A. Will the proposed structure add value to the intellectual climate of the program/service as well as creating cost savings?
B. Will the proposed structure better serve students, staff, and/or faculty?

5. **Demand and Resources:** Evaluation of a program or service should consider current and projected demand and the potential and real availability of resources for funding program or service costs.

Evaluation should include short- and long-term projections of change in demand for each program or service. Other indicators might include demographic and financial trends, number of applications, quality of acceptances, services performed in support of other programs, degrees awarded, instruction of students, or research undertaken for the solution of pressing problems of society. Programs or services should also be evaluated based on a reasonable generation of resources and to meet costs.

*Key Questions:*

A. Do accurate measures project a rise or fall in demand for this program or service over the long term?
B. Considering the University’s core mission, is there a need for the program, as distinct from a simple measure of demand for the program?
C. Does the program or service have sufficient resources to support it?

6. **Efficiency and Effectiveness:** A program or service should be evaluated based on its effectiveness and how efficiently it operates.

Programs and services should be operated to efficiently and effectively adapt to ongoing changing circumstances internally and externally. Consideration should be given to whether existing administrative functions and responsibilities could operate more efficiently and effectively through shared resources (e.g., student service at multiple levels, business processes, etc.). Consideration also should be given to leveraging human capital to most effectively use the special talents and expertise of faculty and staff. A critical aspect in evaluating programs/services is whether they achieve valued results and impact, in mission-related activities, in relationship to their costs.
Key Questions:

A. Can valued functions be performed at less cost within a new structure or with the aid of alternative strategies (e.g., technology)?
B. Will functions be performed more efficiently and effectively at the unit level, with shared coordination among units, or system-wide?
C. Are the organizational outcomes achieved at acceptable levels of quality and cost?
D. What is the next best alternative use of the resources?
E. Does the program have a clear business plan and a balanced budget?
F. Does it deliver service at the right level, in a timely manner, and at the right cost?
G. Are we identifying core competencies and assigning responsibilities and designing structure based on them?
H. Are decisions being made at a level where there is expertise, experience, and information?

7. Development and Leveraging of Resources: Any new or existing program or service should be evaluated on its potential to develop new resources and leverage existing resources.

Resources needed to support academic research, education, and public engagement are derived from a wide range of public and private sources, and may include more than monetary resources. Ongoing evaluation of priorities and related, internal shifts of resources to areas of higher priority may be required.

Key Questions:

A. Will a revised or new program create new opportunities to expand the University’s quality and range of public contributions?
B. Is the program strongly connected to other academic units so that resources and opportunities are expanded for research, education, and connection of the University to public needs?
C. Are there opportunities for additional resource growth and leveraging that we are not taking advantage of?
D. Are revenues placed in the most appropriate organizational setting to achieve desired results?
Action Strategies: Reshaping the University

To respond to the challenges facing us today and to reach our goal to be one of the top three public research universities in the world, we must be strategic in repositioning, rebalancing, and reshaping the University. We must be responsive to change to fully realize our goals of high academic quality and institutional effectiveness. We must hold ourselves to world-class standards in recruiting and retaining faculty, students, and staff. Our “public good” responsibilities imply that we more than keep pace with others; if we fail to achieve excellence in what we do we are actually failing, in the long run, to contribute to the public good. We will need to promote a nimble organizational culture committed to excellence and responsive to change. And we must make extra efforts to communicate our bold goal, our important mission, and our progress as a University to all our constituencies. We must be prepared to take action. The following action strategies will be key to achieving our aims.

Recruit, educate, challenge, and graduate outstanding students.
Preparing the state’s future leaders and citizens through rigorous undergraduate, graduate, and professional education is a cornerstone of land grant universities. Of special note are the unique learning opportunities a public land grant research university offers its undergraduate students. “To learn from cutting-edge researchers who bring their latest discoveries into their classroom, to share the joy of discovery with scholars who are leading their fields, to learn the possibilities and limitations of inquiry by being an apprentice researcher in a faculty lab – these are added values that the research university brings to undergraduate education.”

At the University we are committed to integrating research and research methodology into the undergraduate curriculum. The exposure to the research enterprise and the possibilities of further education spurs many undergraduates to pursue graduate or professional education. All great universities place a high priority on attracting, retaining, and graduating outstanding students. Research I universities rely on strong undergraduate programs as an important source of graduate and professional students. Indeed, as the Citizen’s League recommends in its November 2004 report, the University should be nationally selective in its undergraduate admissions policy.

As academic standards for admission – especially those at the Twin Cities campus – continue to rise, the University should do all it can to set clear expectations for admission. The University should inform prospective students, their parents, and guidance counselors that “access” as an important University value does not imply immediate admission to students who are not academically ready for the University or who have underperformed in high school. A student is ill-served by the University if the student is ill-prepared for the curriculum that the University offers. Such students should be advised to prepare for the University and to demonstrate their capability to succeed here by successfully completing studies at another two- or four-year institution before transfer to the University. The University does not contribute to the public good by

12 Richard Herman, supra note 10.
13 Citizens League, Trouble on the Horizon, supra note 1, p. 4.
enrolling poorly prepared or poorly motivated students. To do so affects the learning of all students by affecting the quality of classroom interactions as well as interactions outside the classroom. Students learn directly from each other, so an engaged and primed student community is essential.

Maintaining a highly motivated and prepared student body also is essential if Minnesota is to retain its brightest and most highly motivated youth. Excellence attracts excellence; without excellence throughout the student body many of the best and brightest will leave the state to go elsewhere – and frequently fail to return. To insure future prosperity for the state, the University must remain a magnet for talent.

To maintain its status as a talent magnet, and in accordance with its obligations as a public institution, the University must provide access to talented and qualified students from all walks of life, including diverse racial, ethnic, economic and social backgrounds. Student talent, as Thomas Jefferson wrote, is not distributed on the basis of economic or social class and, therefore, public universities have an especially important role to: “avail the State of those talents which nature has sown as liberally among the poor as the rich, but which perish without use if not sought for and cultivated.”\(^\text{1}\) It is extremely important for the University to do all it can to bring bright, diverse, well-prepared students here. We cannot be a great university without recognizing that promoting access based on talent and potential – and not income or other social advantages – is a crucial aspect of our mission. If we are to prepare students for roles in a multiracial, multicultural environment, then we need to provide that environment at this University. That is, we must ensure that we fully understand as a public university that diversity and excellence are intertwined.

We expect that our University will provide strong disciplinary and interdisciplinary research and teaching. We must offer exceptional professional and graduate programs and a distinguished, challenging undergraduate education. University of Minnesota students should be intellectually curious, ambitious, motivated to learn, prepared to achieve in a challenging academic environment, and they should expect to graduate in a timely fashion. Students graduating from the University should be able to research and evaluate information, think critically, solve problems, master knowledge, understand the roots of civilization in a global society, communicate effectively both orally and through written expression, and understand research methodologies. They should be equipped to make ethically responsible decisions in an increasingly complex society and world, and they should be prepared to become engaged global citizens and life-long learners.

The University does not contribute to the public good if the access it offers is to a mediocre institution. Rather, access is valuable and meaningful only if it is access to a University of high quality and excellence throughout – we should expect no less from any member of our University community. To encourage more outstanding students to attend the University we should: attract outstanding students from the state, across the country and around the world; recognize the importance of high quality students to the entire academic enterprise; promote international education and experience in a global world;

\(^{14}\) Thomas Jefferson, \textit{Notes on the State of Virginia} (1782).
develop additional private support for students’ education; and continue aggressive efforts to improve retention and graduation rates.

**Recruit, mentor, reward, and retain outstanding faculty and staff.**

The quality of a university comes first and foremost from the achievements of its faculty. They are the catalysts of a great research university. They design the curriculum and teach classes. They inspire and mentor students – undergraduate, graduate, and professional. Their research discoveries and scholarship expand scientific knowledge, produce new scholarship in the arts and humanities, and contribute to economic vitality.

Great universities rely heavily on talented and motivated staff in order to support the increasingly complex and specialized work of faculty, as well as the educational experience of students, and the University’s engagement with the broader community. Without dedicated staff support, faculty will not flourish and students will not adequately be served. We must recognize and reward the contributions of staff at all levels.

About half of the faculty of the University of Minnesota is of an age likely to retire within the next decade. This represents one of the University’s greatest challenges and one of its greatest opportunities. The opportunities are clear. In the coming decade, the University has the opportunity to identify, attract, mentor, inspire, reward, and retain faculty of the highest quality. It has the opportunity to build on and greatly increase the strengths of existing programs and to pursue emerging opportunities in new areas. The teaching, scholarship, and public engagement of a well-chosen new faculty member can invigorate our students and other faculty. Each search for a new faculty member is an opportunity to bring to the University an individual who can identify and pursue the most fundamental issues of a discipline using the most recent techniques and technologies. The challenge is to choose top new faculty wisely, to successfully attract them to Minnesota, to provide an environment that continually challenges, mentors and inspires them, and then to retain and reward them successfully in the face of offers from our competitors. Our University should be a place where faculty are excited and inspired to do their best path-breaking work. We must maintain our reputation for being on the cutting edge of exciting new research, innovation, and teaching.

The future of the University of Minnesota as a major research university rests on a wise balance of its strengths with its breadth. Although our breadth has been a great strength in the past, given the environment of increasingly scarce resources the university faces, our ability to meet each of these challenges will depend critically on selecting the right balance between breadth and depth. We must focus on seeking faculty and staff of higher quality, including diversity, rather than simply a higher quantity. We must opportunistically build areas of strength rather than retaining or building broad but inadequately funded programs. To be attractive to the highest quality faculty and staff will require that we offer salaries, benefits, and programmatic support and support for graduate students comparable to other top universities. Such selective investments are central to retaining the University’s current strengths and to building additional strengths. There are four key strategies: identify and attract scholars and teachers of the highest quality and potential; encourage and promote greater diversity of faculty background and
of ideas; inspire, challenge, mentor, retain, develop and reward faculty and staff; and establish and enforce at each opportunity University-wide standards for faculty excellence in tenure and promotion decisions.

**Promote an effective organizational culture that is committed to excellence and responsive to change.**

Universities, as institutions steeped in tradition, can be resistant to change. At the same time, a great research university is constantly creating cutting-edge work that redefines and transforms human understanding. So, the notion of revising and revisiting our settled views – and recognition of the need to experiment – are the very heart of the research university. All great universities have supported – and promoted – change at various stages in their histories. The university of 100 years ago was a very different place for faculty, for students, and for staff than the university of today. A great university must manage and direct change and seek innovation and continuous improvement in response to new opportunities, conditions, and needs.

Well-prepared, fully engaged faculty and staff represent the most important asset the University has in times of change. The skills, knowledge, creativity, dedication and motivation they bring to their work are the core of the institution’s competitive advantage. Maintaining that advantage during change requires the constant renewal of skills and talents, an unrelenting focus on innovation, and deep support for agility at all levels. The very greatest universities encourage responsible change and innovation, and courageously confront mediocrity and stasis.

**Enhance and effectively utilize our resources and infrastructure.**

To be committed to excellence as an organization implies that we must exercise responsible stewardship by setting priorities, and enhancing and effectively utilizing our resources and infrastructure. We need to explore new models for developing, supporting, and sustaining resources to support teaching, learning, research, and outreach. We need to reduce system-wide barriers to interdisciplinary research, teaching, and study. We need to explore new ways of ensuring that our long-term revenues are competitive with peer institutions. We need to explore new ways of increasing our productivity and recognizing and rewarding faculty and staff who are productive, creative, and responsible.

**Communicate clearly and credibly with all our constituencies and practice public engagement responsive to the public good.**

In many ways, the University exists to communicate. Its core mission – to discover, interpret and transmit knowledge, to foster the exchange of ideas, to sustain research and creative activity, and to encourage a culture of inquiry – lies at the heart of everything we hold dear. The society that founded the University as a land grant institution desires, and indeed demands, the fruits of this intellectual labor. In the current changing environment, we must engage in conversations on campus and beyond to clarify the University’s ideals for ourselves and for our supporting constituencies.

We can hope to sustain engagement and to hone the definition of our mutual purpose as a research and discovery university only if we find ways to talk to each other across – and
about – our diversity. This effort will help to define common values and common cause in a changed academic environment.

Beyond the conversation that the University needs to have with itself to foster a strengthened sense of purpose and solidarity, we must continue to refine and deepen our communications efforts aimed at Minnesota’s various communities and constituencies, reminding them of the many benefits they derive from the University’s work. Our broader communications efforts must be dynamic and responsive to the needs of Minnesota – a dialogue that helps inform the University’s choices and priorities. We know, for example, that the University’s unique status as the state’s only research university is frequently not fully understood. We must build on this distinction and make clear the value, consequences, and impact on people in the state of breakthrough research and discovery that occurs at the University.
Raising Expectations

“No better inheritance can be given to a child than a good education.”
- Cyrus Northrop, second President of the University of Minnesota

“It is difficult to think that an investment in our youth and our future could be better placed than in our university.”
- Elmer L. Andersen, former Governor and Chair of the Board of Regents

The need for managing strategic change at the University is urgent – and inspiring. An education of the highest quality is essential for our students, but beyond this is it is also an “inheritance” for our state, our nation, and the world. Each of us in the University community throughout the state-wide system is responsible in various ways for preserving the quality of this inheritance. As we move forward, we should keep in sight our goals and values as we align the University’s mission to each of its colleges, departments, and other academic units as well as administrative functions and units. This will entail a change of institutional culture as we move more closely to norms of continuous improvement.

To quote the November 2004 Citizen’s League report: “The University of Minnesota should continue to enhance its role and focus as a world-class public research institution, which includes graduate/professional training, and nationally selective undergraduate and liberal arts education.”15 Our University community also urged this aim, but challenged us to reach higher. Our goal, within the next decade, is to be one of the three best public research universities in the world. We should expect no less in each task and responsibility we undertake.

As we move forward we will focus on our five action strategies: (1) recruit, educate, challenge, and graduate outstanding students; (2) recruit, mentor, reward, and retain outstanding faculty and staff; (3) promote an effective organizational culture that is committed to excellence and is responsive to change; (4) enhance and effectively utilize our resources and infrastructure; and (5) effectively communicate to all our constituencies and practice responsible public engagement responsive to the public good.

To be successful, our University will need to embrace change that includes greater selectivity in programs, curricula, faculty and students; greater integration of knowledge through teaching and research and public engagement; greater focus on a diverse University community; greater investments in human capital – our faculty, staff, and students; greater sharing of intellectual ideas and resources across disciplines, and greater awareness that building excellence at every turn and every task can lift all of us at the University and throughout the state toward a better society.

These action strategies should be considered in the larger framework of our goals, mission, and values but also as part of the question: what are the attributes of a world-class public research university? We all must recognize that in holding ourselves to

15 Citizens League, Trouble on the Horizon, supra note 1, p. 4.
world-class standards and in embracing excellence we will face difficult choices and tradeoffs. Ultimately, though, we cannot as a university responsibly contribute to the public good on the world stage if what we do is mediocre and better done by others.

Now that we have advanced the need for change and outlined strategies to achieve the necessary change, how will we know if there is progress and when we have achieved our goals? We will need to measure our goals and create our own standards and benchmarks, and communicate these appropriately.\(^{16}\) And our standards, our definition of “top three,” will change over time and according to context. Moreover, any “top three” public university cannot expect to reach, or stay at, that level of excellence and recognition without responsibly evolving through continuous improvement and managing change. Implementation details will form the next stage – a separate and later part of this strategic positioning process.

This is an exciting time. We have a compelling case. We are ready to transform the University of Minnesota into one of the world’s leading public research universities for the 21\(^{st}\) century.

Like the beam of the lighthouse, the University produces public goods that cannot be hoarded by any one group but are available to all. . . . By imagining the University as a lighthouse for the “ship” of our State, we can more effectively recognize its unique mission and contribution, and recommit ourselves to sustaining it for future generations.\(^{17}\)

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\(^{16}\) Work on benchmarks for achieving our goal of becoming a preeminent public research university continues. By way of example, benchmarks will include: total research expenditure; federal research expenditure; National Research Council ranking of graduate programs; National Academy and other prestigious organization memberships; national and international faculty awards; faculty salaries and compensation by discipline and rank; number of joint and cross-disciplinary faculty appointments; high school rank percentiles; median SAT/ACT scores; graduate and professional school selectivity based on UGPA and standardized test scores; number of National Merit Scholars; student retention and graduation rates (undergraduate) and time-to-degree (graduate); number of doctoral degrees awarded annually; undergraduate career placement rate and advanced study enrollment; graduate career placement and post-doctoral appointment rates; private giving and endowment value; percentage of students, staff, and faculty who are members of underrepresented populations; infrastructure investment, including library resources; and number of patents, license agreements, start-up companies.

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