

*Council of Academic Professionals and Administrators (CAPA)*

## **Policies and Procedures Manual**

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*Council of Academic Professionals and Administrators (CAPA)*

## **Policies and Procedures Manual**

### **I. CAPA POLICIES AND PROCEDURES**

All policies and procedures herein shall be consistent with the CAPA Constitution and Bylaws, and shall have the same standing and be subject to the same enforcement as those documents, within CAPA governance.

### **II. CAPA REPRESENTATIVES**

#### **A. Voting Units and Number of Representatives**

An initial list of representative units and numbers of representatives from each unit will be approved by CAPA and specified in the Appendices to the Bylaws and to this Manual. This list will be reviewed annually and, if necessary, altered by the following procedures:

1. The Representation and Governance Committee will review the list of units eligible to elect representatives to CAPA, as well as the number of CAPA representatives from each unit, on an annual basis. The committee shall consult with the Office of Human Resources or other official source to determine the number of P&A staff in each unit. CAPA representation will be apportioned as stated in the CAPA Constitution, so that units of more than one hundred P&A staff may be considered for one additional representative.
2. P&A staff from individual units may also petition the Representation and Governance Committee to consider recommending adjustments in the apportionment of CAPA representatives based on geographic distance or other circumstances.
3. The Representation and Governance Committee will present to CAPA recommendations for changes in the list of units and/or the apportionment of representatives, as needed, no later than the January meeting of each year, to be voted on at the February meeting.
4. When considering the addition of representatives to CAPA, the Representation and Governance committee shall base their decision on the following criteria, among other criteria relevant to the situation: difficulties posed to a unit's representative arising from geographic distance from the meeting site; the diversity of P/A within the unit, where diversity shall encompass job classification, functional divergences within the unit, racial or ethnic differences within the unit; or clear evidence of CAPA's failure to represent a significant P&A interest within a unit.
5. The CAPA clerk will distribute the updated list of voting units and the number of representatives eligible to be elected by each unit to all CAPA members and to all University P&A staff, via the minutes of the meeting and other communication, as designated by the Executive Committee. Changes in representation approved by CAPA will go into effect as of March 1 and will apply to that year's unit elections.

*[Ref: Bylaw ARTICLE II. CAPA REPRESENTATIVES, section 1. b]*

## **B. CAPA Representative Elections**

Representatives to CAPA shall be elected in accordance with the following procedures, and as designated in the Bylaws:

1. Each unit shall determine whether to elect or appoint alternate representatives; however, only those alternate representatives who have been elected will be eligible to serve as CAPA Senators as determined in the CAPA Bylaws.
2. The names of the CAPA representatives and alternate representatives, if any, elected the previous spring shall be reported in the minutes of the first regular meeting of the succeeding fall semester, though they should also be circulated among CAPA members and among the constituents of the newly elected representatives and alternate representatives as soon as possible after the elections.

*[Ref: Bylaw ARTICLE II. CAPA REPRESENTATIVES, sec. 2.]*

## **C. CAPA Representatives and Alternates in Restructured Units**

1. CAPA representatives and alternates in units that merge:
  - a. If any CAPA constituent unit merges with another University unit, the current CAPA representatives from the constituent units shall serve out their terms. Within three years of the merger, the number of CAPA representatives from that unit will return to one through attrition, unless the new unit wishes to have more than one permanent CAPA representative seat. In that event, the unit must petition the Representation and Governance committee for additional seats during the first year after the merger, through the process outlined in the Bylaws (e.g., if a merger is finalized July 1, 2006, the unit must petition during 2006-07). The same process shall be followed for CAPA alternates in units that merge.
2. CAPA representatives and alternates units that split:
  - a. If any CAPA constituent unit splits, the current CAPA representatives and alternates from the three constituent units shall serve out their terms. If any new unit has two or more representatives, the representative with the most votes in the original election becomes the new unit representative; the other becomes the first alternate. If the original vote is not known, the units may select a method for designating the representative and alternate. If they are unable to agree upon such a method, the Representation and Governance Committee will devise one.
  - b. If any new unit(s) has no representative or no alternate, an open election must be held within three months of the restructuring date, and no later than following October.

*[Ref: Bylaw ARTICLE II. CAPA REPRESENTATIVES, sec 3]*

## **D. Vacancies and Leaves**

1. CAPA representative seats that are permanently vacated between annual elections shall be filled for the remainder of that year by appointment, interim election, succession by an alternate representative or other mechanism determined by the relevant voting unit until the next regular election. If the seat is vacated with more than 1 year of its term remaining, the seat must be filled by an interim election for the remainder of the term during the following spring (unless the unit chose to hold a mid-term election, as a result of which the current interim was elected to fill the entire remaining term). The results of the spring election shall be reported to the CAPA

Chair and clerk no later than June 30. The interim representative shall serve out the remainder of the vacated term. At the end of the vacated term, an election will be held for a representative to serve a full term of three years, beginning July 1 after the election.

2. CAPA representatives who will be on leave or absent from the University for more than one year shall be replaced by the following process.

a. If the unit has one or more elected alternates, the first-ranked alternate shall fill in as interim unit representative during the representative's leave or absence. If that alternate was not elected (but was designated in some other way, e.g., appointed), he/she moves into the interim representative seat at the start of the leave or absence, and an open election for that interim seat must be held within 3 months of the start of the leave or absence. Others can run in that election, which shall also be used to elect an interim alternate if one is needed.

3. CAPA representatives who will be on leave or absent from the University for one year or less shall be replaced during their absence by the following process.

a. If the unit has one or more elected alternates, the first-ranked alternate shall fill in as interim unit representative during the representative's leave or absence. Upon return of the elected representative on leave, the interim representative would return to his/her former status. The elected representative would complete their term. An election for a 3-year term must be held at the end of the original representative's term.

4. If a CAPA representative becomes CAPA Chair in year 1 or 2 of a 3-year term:

a. If the unit has one or more elected alternates, the first-ranked alternate shall fill in as interim unit representative during the Chair's 1-year term. If that alternate is not elected (but was designated in some other way, e.g., appointed), he/she moves into the interim representative seat at the start of the Chair's term, and an open election for that one-year interim seat must be held within 3 months of that shift (i.e., by October). Others can run in that election, which shall also be used to elect an interim alternate if one is needed.

b. If the first-ranked alternate does not wish to fill the interim representative seat during the Chair's term, the unit shall hold an open election for a 1-year interim representative on the timetable above.

c. If the Chair has time remaining in his/her term after the Chair term ends, he/she is entitled to return to the unit representative seat and finish out the remaining term (1 or 2 years). In this case, the interim representative would return to his/her former status (the alternate would return to finish his/her original term). The interim alternate would step out of that position.

d. If a CAPA representative becomes CAPA Chair in year-3 of a 3-year term, the vacancy is filled on a 1-year interim basis. At the end of that interim year the seat is filled by regular election.

*[Ref: Bylaw ARTICLE II. CAPA REPRESENTATIVES, sec 5.]*

### **III. CAPA OFFICERS**

#### **A. CAPA Officer Elections**

1. Nominations received up to 5 business days before the March CAPA meeting shall be placed on the CAPA Web site. Nominations received after the March meeting shall be circulated with the agenda for the April meeting, if received in time for inclusion. Any additional

nominations shall be announced at the April meeting.

2. The CAPA Clerk shall receive and collate all nominations. The Representation and Governance Committee shall publicize to the CAPA membership all nominations received in time for inclusion in the April meeting agenda, including candidate biographical information submitted with the nominations. Candidates nominated by the March CAPA meeting shall be identified at that meeting.

*[Ref: Bylaw ARTICLE III. CAPA OFFICERS]*

#### **IV. CAPA COMMITTEES**

##### **A. Terms of Membership, Chairing of Committees, and Removal for Neglect of Meetings or Duties**

A member who does not choose at least one committee by the first regular fall CAPA general meeting or who waives the right to choose, will be assigned to a committee by the CAPA Chair. If voluntary selections and Chair assignments do not result in at least four members for each of the standing committees by the first fall meeting, a random drawing will be made from among the members elected within the past year until each committee achieves a minimum of four members. The CAPA Chair also may recruit additional P&A staff, not currently serving on CAPA, to serve on CAPA committees.

*[Ref: ARTICLE IV. CAPA COMMITTEES, sec. 4]*

##### **B. Procedures for Committees of CAPA**

Committees of CAPA shall have a policy of open meetings, as designated in the *Bylaws*. The locations and times of committee meetings shall ordinarily be submitted to the CAPA clerk at least one week in advance and shall be available to anyone who contacts the clerk. Emergency, closed or executive sessions may be held only after approval by a two-thirds majority of the committee members present and voting (or two-thirds of those able to be contacted for an emergency meeting) when closed sessions are required to protect the rights of individuals. The committee shall keep a list of all topics discussed in its closed meetings.

*[Ref: ARTICLE IV. CAPA COMMITTEES, sec. 5]*

#### **V. CAPA SENATORS**

##### **A. CAPA Senator Elections**

1. The Representation and Governance Committee shall distribute a call for nominations for the seats in the University Senate at the February CAPA meeting each year, and via email to the entire CAPA membership within 3 business days after the February meeting or as appropriate to fill open seats at other times of the year. Nominations shall conform to a template provided by the Representation and Governance Committee.

2. Nominations shall remain open from the February CAPA meeting until they are closed at the April meeting.

3. Nominations received up to 5 business days before the March CAPA meeting shall be placed on the CAPA Web site. Nominations received after the March meeting shall be circulated

with the agenda for the April meeting, if received in time for inclusion. Any additional nominations shall be announced at the April meeting.

4. The CAPA Clerk shall receive and collate all nominations. The Representation and Governance Committee shall publicize to the CAPA membership all nominations received in time for inclusion in the April meeting agenda, including candidate biographical information submitted with the nominations. Candidates nominated by the March CAPA meeting shall be identified at that meeting.

5. If the open CAPA Senator seats are uncontested, a call for a voice vote of acclamation is in order. If there are contested CAPA Senator seats, a secret ballot shall be taken and the candidates with the top votes shall become CAPA Senators.

*[Ref: Bylaw ARTICLE V. CAPA SENATORS, sec. 5.]*

## **B. Removal for Neglect of Duties**

1. CAPA Senators may be removed from the University Senate by CAPA, consistent with Senate rules and under the same terms and process by which CAPA representatives may be removed, as specified in the CAPA Constitution and Bylaws, and below.

a. To remove a CAPA Senator from the University Senate, the CAPA Executive Committee must follow the procedure outlined in the CAPA Constitution and Bylaws for removal of a CAPA representative, consistent with University Senate rules.

b. In the event that a CAPA Senator is removed, a special election will be held to fill the position for the remainder of the term.

c. Prior to any removal vote, the CAPA Executive Committee must notify the Senator of the pending action, in writing, and allow 10 days for a written response. After considering the response, the Executive Committee may then choose either to vote on the removal, or to drop the matter.

*[Ref: Bylaw ARTICLE V. CAPA SENATORS, sec. 6.]*

## **VI. GENERAL MEETING PROCEDURES AND RULES**

### **A. Meeting Times**

CAPA meetings shall be held monthly from September through June. Optional CAPA meetings and/or a retreat may be scheduled in June, July or August to consider University-wide policies and issues or for orientation of new members. CAPA may be convened for special session upon the call of the Chair or any three other members of the Executive Committee or by written (including e-mail) request of at least five CAPA members. The CAPA clerk shall send notices of any special sessions to CAPA representatives at the earliest possible date and not less than three working days before the meeting. Only subjects specifically listed on the proposed agenda for any special session may be considered at that meeting.

### **B. Agenda**

The Executive Committee shall plan the agenda for any meeting of CAPA. The agenda shall be prepared finally and distributed by the clerk of CAPA. The agenda shall consist of items submitted for CAPA consideration by any CAPA committee or task force. At the discretion of the

Chair, the clerk of CAPA may be instructed to include additional items on the agenda for any regular meeting of that body. Items for the docket must be delivered to the Chair no later than one week prior to the date of each meeting to assure inclusion on the agenda. Emergency items may be added to the agenda at the discretion of the Chair; however, no such item may be considered for an official CAPA vote, unless two-thirds of the members present at such a meeting agree to such a vote.

### **C. Seating**

The meeting room shall provide a clear and definite area reserved for CAPA members, and no non-representative (except authorized alternates) shall sit at the table in this area without explicit permission from the Chair. CAPA representatives and authorized alternates shall be identified in order to permit their seating to ensure accurate voting.

### **D. Recognition and Participation**

1. In deliberations, priority of recognition shall be given to CAPA members over non-members; speakers who have not spoken over those who have; alternation of pro and con on a specific issue.
2. Any member, upon recognition from the Chair, may yield time in debate to a non-member.
3. In the event that a member has yielded time to a non-member, both shall be considered to have spoken.
4. If lengthy discussion ensues, the Chair has the right to limit speakers to three minutes each time they are recognized.
5. Committee Chairs or the CAPA Chair may recognize committee members who are not elected members of CAPA to speak on reports of their committees at CAPA meetings.
6. Each CAPA member (or alternate serving in the absence of a member) shall have the right to be recognized by the Chair to speak, subject to the agenda time limit for an item (Section E.8) and the three-minute time limit (Section D.4).

### **E. Decision-Making**

The following voting procedures will be followed when CAPA requires a formal written decision.

1. Elected CAPA members or alternates elected by their units or chosen from the pool of P&A staff authorized by their respective units, plus members serving the remainder of a three-year appointed term, are eligible to vote on CAPA positions and policies. Alternates vote only when designated by the absent primary representative.
2. A quorum of a majority of CAPA members (or designated alternates) must be present and voting for a decision to be deemed an official CAPA position.
3. Voting must take place at either a regularly scheduled monthly CAPA general meeting or at special meeting.
4. Notification of the time of the meeting and an agenda indicating issues to be decided must be sent to all eligible voting members of CAPA at least three business days before the meeting at which one or more decisions are to be made. An item of new business presented on the floor, without inclusion in the agenda, may be voted upon at the meeting at which it is introduced if two-thirds of the members of CAPA present approve a motion for immediate consideration (not

debatable). An item on the agenda for information may be sent back to the committee reporting it, for presentation as an item for action at a later meeting, by a simple majority vote of the members of CAPA present and voting.

5. A decision will be deemed to pass, making it an official CAPA decision, when a majority of those members present vote in favor of a given position.

6. The CAPA Chair does not normally vote. In cases of a tie, the Chair or designee will cast the deciding vote.

7. Votes will normally be taken by a show of hands. A secret paper ballot will be taken if any CAPA member present requests it.

8. The time limits specified on the agenda are the maximum time for debate or discussion. When this time limit is reached, a motion to extend the limits of debate may be proposed, for a specified time increment, on any agenda item.

9. A vote of cloture, to end discussion of an issue and bring it to a vote, may be made by any member. Such a motion is not debatable and requires approval of at least two thirds of the voting members present to take effect. Such a motion is not in order unless at least two people on the affirmative and opposing sides (if present) of an issue have had an opportunity to speak.

10. Only CAPA representatives from coordinate campuses may vote by absentee ballot via e-mail, fax or U.S. postal mail sent to the Chair and clerk. Such absentee ballots must arrive at the Chair's office and clerk's office at least two hours before the scheduled meeting to assure being counted in the first vote on an issue at the meeting. Absentee votes will be valid only for the first vote on an issue. If, through discussion and amendments in the course of a meeting, subsequent votes are required, absentee votes will not be officially counted. CAPA members from Twin Cities units must attend a meeting to vote or may send alternates, as authorized by their respective units, to vote in their places.

*[Ref: Bylaw ARTICLE VI. GENERAL MEETING PROCEDURES AND RULES]*

## **VII. SUPPORT**

### **A. CAPA Support and Service**

1. The clerk of CAPA shall be the custodian of its records, shall prepare and circulate the agenda and minutes of CAPA meetings as directed by the Executive Committee, and shall perform such additional functions as shall be assigned to the clerk in the Bylaws or by the Chair. Such duties may be delegated as necessary.

2. It shall be a function of the clerk to obtain from the Office of Human Resources or other official source a count of the number of P&A staff in each CAPA representative unit. This count shall be sent to the Chair of the Representation and Governance Committee no later than December 1 of each year.

3. It shall be a function of the clerk of CAPA to send a letter of confirmation and welcome, a description of the duties of CAPA and its standing committees, and copies of the CAPA Constitution and Bylaws to each new CAPA representative and alternate. With the representative and/or alternate's permission, a copy of the confirmation letter shall be sent to the administrative head of the new representative's unit.

*[Ref: Bylaw ARTICLE VII. SUPPORT]*

## **IX: CHANGES TO THE POLICY AND PROCEDURES MANUAL**

1. Changes in CAPA policies and procedures may be proposed to the Executive Committee for action by the CAPA by the Representation and Governance (R&G) Committee at any time, and may be suggested by any member of CAPA to the R&G at any time. R&G shall respond to suggestions in a timely fashion.
2. Inclusion/revision/deletion of policies and procedures in this manual requires inclusion in the agenda for a regular or special meeting, and a majority vote of approval by the CAPA members present at the meeting.

*[REF: Bylaw ARTICLE IX: POLICY AND PROCEDURES MANUAL]*

## **X: OTHER SITUATIONS**

For any representation or election situation or procedure that arises, but is not specifically covered in the CAPA Constitution, Bylaws, or Manual, the CAPA R&G Committee shall propose a temporary solution which will be implemented, subject to discussion and approval by the CAPA Members.

## APPENDIX I: DUTIES OF CAPA OFFICERS

1. The officers of CAPA will include a Chair, a Vice Chair and the Chairs of the standing committees. Duties are delineated below, and may be delegated as necessary.

a. The duties of the Chair shall include:

- \* to be the official spokesperson of CAPA
- \* to set the agenda of general meetings, subject to approval by the Executive Committee
- \* to Chair general meetings and the Executive Committee
- \* to vote in the case of a tie at general CAPA meetings
- \* to organize an annual orientation and retreat for CAPA members

b. The duties of the Vice Chair shall include:

- \* to assume the duties of the Chair in the event of an absence or incapacity of the Chair
- \* to assume responsibilities delegated by the Chair
- \* to submit an annual budget request for CAPA (subject to approval by the Executive Committee)
- \* to attend the Board of Regents meetings and report back to CAPA on issues of interest to P&A staff

c. The duties of the Chairs of standing committees shall include:

- \* to organize and hold regular meetings of their respective committees
- \* to assure that their committees carry out the duties within their charges
- \* to assume responsibilities delegated by the CAPA Chair
- \* to alert CAPA to issues related to their respective areas
- \* to submit an annual committee budget request to the Vice Chair for inclusion in the CAPA budget request
- \* to make regular reports concerning their committee's activities at CAPA meetings

*[REF: Bylaw ARTICLE III: CAPA OFFICERS]*

## APPENDIX II: CHARGES OF STANDING COMMITTEES

### Executive Committee

#### Purpose

The mission of the Executive Committee is to work on behalf of University of Minnesota Academic Professional and Administrative employees by providing leadership to the Council of Academic Professionals & Administrators (CAPA).

#### Membership

The Executive Committee will be composed of the Chair and Vice-Chair of CAPA, as well as the chairs of the individual committees: Benefits & Compensation, Communications, Professional Development, and Representation & Governance.

#### Duties and Responsibilities

The duties and responsibilities of the Executive committee include the following:

1. Keep P&A employees informed of CAPA activities and decisions as well as other issues;
2. Represent CAPA and P&As to the University's Regents, President, Executive Vice-President and Provost, Vice-President of Human Resources, and other administration officials and governing groups at the University.
3. Draft policy and position papers in response to issues facing P&As at the University of Minnesota, and follow-through on these proposals.
4. Coordinate the work of CAPA committees and ensure the progress of these groups.
5. Manage the CAPA budget, with the Vice-Chair acting as Treasurer for the group.
6. Work with the Clerk assigned by the Office of Human Resources to ensure appropriate and prompt communication among CAPA members and with all P&As.
7. Set meeting agendas.
8. Plan annual CAPA retreat.

### Benefits and Compensation Committee

#### Purpose

The mission of the CAPA Benefits and Compensation Committee is to consider issues and advocate to improve policies related to the benefits and compensation of University of Minnesota Academic Professionals and Administrators (P&A).

#### Membership

The Benefits and Compensation Committee will be composed of CAPA members and other interested University P&A personnel.

#### Duties and Responsibilities

The duties and responsibilities of the Benefits and Compensation Committee include the following:

1. Be informed about benefits and compensation issues and make recommendations to CAPA.
2. Advocate to maintain or achieve levels of salary and benefits that are competitive with comparable markets.
3. Review and affirm health benefits principles.
4. Recommend P&A candidates for University committees related to benefits and compensation, and, serve as liaison between those P&A committee representatives and CAPA (e.g. Benefits Advisory Committee and the Senate Committee on Faculty Affairs).
5. Generate and prioritize a list of annual goals.

## **Communications Committee**

### Purpose

The mission of the CAPA Communications Committee is to enhance the image of Professionals & Administrators (P&A) at the University of Minnesota by publicizing the work of CAPA and the achievements of P&A staff to all stakeholders.

### Membership

The Communication Committee will be composed of CAPA members and other interested University P&A personnel.

### Duties and Responsibilities

The duties and responsibilities of the Communications Committee include:

1. Provide direction for CAPA communication activities.
2. Work with CAPA Executive Committee to represent CAPA and P&A staff to the media on and off campus.
3. Promote the P&A class and CAPA by publicizing newsworthy issues and special events.
4. Arrange for a CAPA spokesperson to welcome all new P&A employees at new employee orientation.
5. Build a strategic identity for CAPA and P&A staff.
6. Conduct a bi-annual audit of CAPA communication tools.
7. Prepare and submit a year-end report to the CAPA Executive Committee.

## **Professional Development and Recognition Committee**

### Purpose

The purpose of the CAPA Professional Development and Recognition Committee is to sponsor new and promote existing development activities, and, to recognize the contributions of P&A personnel and units that demonstrate exemplary practices with regard to P&A employees.

### Membership

The Professional Development and Representation Committee will be composed of CAPA members and other interested University P&A personnel.

## **Representation and Governance Committee**

### Purpose

The purpose of the CAPA Representation and Governance Committee is to assist CAPA members with governance activities within CAPA, and to promote representation of P&A personnel within University governance.

### Membership

The Representation and Governance Committee will be composed of CAPA members as well as other interested University P&A personnel.

### Duties and Responsibilities

The duties and responsibilities of the Representation and Governance committee include the following:

1. Provide oversight of unit level elections of CAPA representatives.
2. Advise units on election processes.
3. Promote and support development of unit level P&A groups.
4. Facilitate annual election of CAPA officers.
5. Promote and build P&A representation within University governance.
6. Conduct an annual review of the Constitution, Bylaws and Policies and Procedures Manual.
7. Prepare and submit an annual written report to the Executive Committee.

### **APPENDIX III: CAPA E-MAIL LIST USE POLICY**

The CAPA e-mail list is for CAPA business use only. It is accessible by any CAPA member, alternate, or senator. The list is to be used to communicate with the CAPA membership about CAPA issues, announcements relevant to P&As, or questions that CAPA members may want to ask of other CAPA members.

**APPENDIX IV: CAPA OFFICER NOMINATION FORM, 2008**

**NOMINATION FORM**  
**DUE, WITH PHOTO, BY APRIL, 2009 TO BE**  
**INCLUDED ON THE CAPA ELECTIONS WEB PAGE**

POSITION FOR WHICH YOU ARE RUNNING:

IF RUNNING FOR THE SENATE, AND THERE IS A CHOICE, CHECK TERM DESIRED: \_\_\_1 YR \_\_\_2 YRS \_\_\_3 YRS

(NOTE: Officers serve 1-Year Terms; Senators serve 3-Year Terms, unless a position is designated as a one- or two-year term, which can happen for a number of reasons.)

NAME:

UNIT:

CURRENT JOB TITLE:

YEARS OF P&A SERVICE TO THE U:

CURRENT JOB DESCRIPTION (LIMIT 25 WORDS):

RELEVANT EXPERIENCE TO POSITION BEING SOUGHT; BOTH IN CAPA AND IN OTHER ORGANIZATIONS:  
 (LIST IN BULLET FORM)

LEADERSHIP STYLE (LIMIT 50 WORDS):

VISION AND SPECIFIC GOALS FOR POSITION SOUGHT AND AGENDA FOR CARRYING OUT (LIMIT 200 WORDS):

**Please send form, along with a photo, to Lisa Towry, CAPA Support Specialist [towry003@umn.edu](mailto:towry003@umn.edu)**

## APPENDIX V, part 1: INSTRUCTIONS FOR CONTACTING CONSTITUENTS

### Generating a List of Your Constituents (as of November, 2007)<sup>1</sup>

1. Go to: <http://www.umreports.umn.edu>
2. Click on the “User Login” button
3. Enter your staff X.500 (e-mail) ID and password
4. Click on “Search Reports” (left column)
5. In the “Filter by” section, select Category: HR & Payroll, SubCategory: HR Reports
6. Select the “University Contact Information” report (near bottom).<sup>2</sup>
7. The first value you need to select is in the “Area Class or Resource Responsibility Center (RRC)(current list at [http://www.budget.umn.edu/rrc\\_assign\\_200902.pdf](http://www.budget.umn.edu/rrc_assign_200902.pdf)) – this is the college, administrative unit or collection of units you represent for CAPA purposes. For most of you, this selection will be straightforward, but please see the next page for specifics on which unit(s) you should select. To select more than one unit, hold down the CTRL key while clicking on your selections.
8. Press the Submit button.
9. The next section will ask which “Departments” within your college or unit you want to include. You must click on the ones you want. To pick more than one unit, hold down the CTRL key and click the units you want. You usually want ALL departments, so hold down the SHIFT key while clicking on the first department listed and then the last department listed; all the departments should now be highlighted.
10. Press the Submit button.
11. The next section is where you select the employee groups to include in the report. Choose the “Acad Prof and Admin” group.  
(NB. Extension Service, CFANS, and three other units<sup>3</sup> must also select the “UMN Extension Service/Fed” group. This class contains many P&As. Use CNTRL key to add this 2<sup>nd</sup> group.)
12. Press the Submit button.
13. Your report should appear on the screen. If you would like to be able to save the report to your computer for future use, click on the “Excel” icon in the top-right corner of the page.
14. A link should appear reading “Click here to get the Excel file”. Click on that link to save the file to your computer.
15. You can email your constituents by copying out their email addresses from the Excel file and pasting them into the address field of your message. It is best to send as a Blind Copy (Bcc), so your message is not dominated by addresses. (MS Outlook and Thunderbird can accept the pasted Excel email addresses, Netscape Mail cannot.)

The data contained in this report is up-to-date as of 2 days prior to the date you create the report. You may generate a new report any time you think there may be changes in the P&As in your unit.

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<sup>1</sup> Note: This process will generate a list of all P&As, including tenure-track faculty serving in an administrative position; e.g., associate dean. You represent such Academic Administrative Staff (job classes 93xx and 9630-9649) and they should be on your contact list. They can vote, but they cannot serve as a CAPA representative, alternate, or Senator. See CAPA Constitution, Article II.

<sup>2</sup> Another option at this point is to choose “Personnel Basic Information,” roughly in the middle of the reports. This report will allow you to see the *job class (code)* and *percent appointment* of your P&A constituents. Access this by clicking “Select and Area Class” and selecting departments and employee types as outlined in this document.

<sup>3</sup> Academic Affairs and Provost, System Academic Administration, and UMD.

## APPENDIX V, part 2: CAPA UNITS FOR REPRESENTATION, AND BUDGETARY SUBUNITS

CAPA Unit	“Area Class or Resource Responsibility Center (RRC)” <a href="http://www.budget.umn.edu/rrc_assign_200902.pdf">http://www.budget.umn.edu/rrc_assign_200902.pdf</a> to select on UM Reports
Academic Health Center	<ul style="list-style-type: none"> <li>• Academic Health Center-Shared</li> <li>• Health Sciences</li> </ul>
Athletics	<ul style="list-style-type: none"> <li>• Athletics</li> </ul>
Carlson School of Management	<ul style="list-style-type: none"> <li>• Mgmt, Curtis L Carlson, Sch of</li> </ul>
College of Biological Sciences	<ul style="list-style-type: none"> <li>• Biological Sciences, Coll of</li> </ul>
College of Continuing Education	<ul style="list-style-type: none"> <li>• Continuing Education, Coll of</li> </ul>
College of Design	<ul style="list-style-type: none"> <li>• Design, College of</li> </ul>
College of Education and Human Development	<ul style="list-style-type: none"> <li>• Education &amp; Human Devel, Coll</li> </ul>
College of Food, Agriculture and Natural Resources	<ul style="list-style-type: none"> <li>• Food, Agri/Nat Rsrc Sci. Coll</li> </ul>
College of Liberal Arts	<ul style="list-style-type: none"> <li>• Liberal Arts, College of</li> </ul>
College of Pharmacy	<ul style="list-style-type: none"> <li>• Pharmacy, College of</li> </ul>
College of Veterinary Medicine	<ul style="list-style-type: none"> <li>• Veterinary Medicine, Coll of</li> </ul>
Graduate School	<ul style="list-style-type: none"> <li>• Graduate School</li> </ul>
Human Resources	<ul style="list-style-type: none"> <li>• Human Resources</li> </ul>
Humphrey Institute of Public Affairs	<ul style="list-style-type: none"> <li>• Humphrey Inst of Publ Aff</li> </ul>
Institute of Technology	<ul style="list-style-type: none"> <li>• Technology, Institute of</li> </ul>
Law School	<ul style="list-style-type: none"> <li>• Law School</li> </ul>
Medical School	<ul style="list-style-type: none"> <li>• Medical School</li> </ul>
Office of the President	<ul style="list-style-type: none"> <li>• Audits</li> <li>• Budget &amp; Finance</li> <li>• Controller's Office</li> <li>• General Counsel</li> <li>• President, Office of the</li> <li>• Regents, Board of</li> <li>• Scholarly and Cultural Affairs</li> </ul>
Research	<ul style="list-style-type: none"> <li>• Research</li> </ul>
School of Dentistry	<ul style="list-style-type: none"> <li>• Dentistry, School of</li> </ul>
School of Nursing	<ul style="list-style-type: none"> <li>• Nursing, School of</li> </ul>
School of Public Health	<ul style="list-style-type: none"> <li>• Public Health, School of</li> </ul>
Senior VP for Academic Affairs and Provost	<ul style="list-style-type: none"> <li>• Academic Affairs, Sr. VP</li> <li>• Agricultural Experiment Station</li> <li>• Undergraduate Education</li> </ul>
Senior VP for System Academic Administration	<ul style="list-style-type: none"> <li>• Equity and Diversity, VP/Vice Provost</li> <li>• Information Technology</li> <li>• International Programs, Ofc of</li> <li>• System Acad Admin, Acad. Units</li> <li>• System Academic Admin., Sr. VP</li> </ul>
Student Affairs	<ul style="list-style-type: none"> <li>• Boynton Health Service</li> <li>• Student Affairs, Office of</li> </ul>
University Libraries	<ul style="list-style-type: none"> <li>• Libraries, University</li> </ul>
University of Minnesota Extension	<ul style="list-style-type: none"> <li>• UofMN Extension</li> </ul>
University of Minnesota, Crookston	<ul style="list-style-type: none"> <li>• All units beginning with UMC (5)</li> </ul>
University of Minnesota, Duluth	<ul style="list-style-type: none"> <li>• All units beginning with UMD (19)</li> <li>• Duluth School of Medicine</li> </ul>
University of Minnesota, Morris	<ul style="list-style-type: none"> <li>• All units beginning with UMM (9)</li> </ul>
University of Minnesota, Rochester	<ul style="list-style-type: none"> <li>• Rochester</li> </ul>
University Relations	<ul style="list-style-type: none"> <li>• University Relations, Ofc of</li> </ul>
University Services	<ul style="list-style-type: none"> <li>• Auxiliary Services</li> <li>• Capital Planning/Project Mgmt</li> <li>• Facilities Management</li> <li>• Public Safety</li> <li>• University Health and Safety</li> <li>• University Services, VP</li> </ul>

**APPENDIX VI: COUNT OF P&As BY UNIT at 12/07/2007 (with instructions for updating)**

CAPA Unit with P/A counts		“Area Class or Resource Responsibility Center (RRC)” <a href="http://www.budget.umn.edu/rc_assign_200902.pdf">http://www.budget.umn.edu/rc_assign_200902.pdf</a> to select on <b>UM Reports</b>
Academic Health Center	226	<ul style="list-style-type: none"> <li>• Academic Health Center-Shared (175)</li> <li>• Health Sciences (51)</li> </ul>
Athletics	151	<ul style="list-style-type: none"> <li>• Athletics</li> </ul>
Carlson School of Management	144	<ul style="list-style-type: none"> <li>• Mgmt, Curtis L Carlson, Sch of</li> </ul>
College of Biological Sciences	140	<ul style="list-style-type: none"> <li>• Biological Sciences, Coll of</li> </ul>
College of Continuing Education	66	<ul style="list-style-type: none"> <li>• Continuing Education, Coll of</li> </ul>
College of Design	70	<ul style="list-style-type: none"> <li>• Design, College of</li> </ul>
College of Education and Human Development	341	<ul style="list-style-type: none"> <li>• Education &amp; Human Devel, Coll</li> </ul>
College of Food, Agriculture and Nat. Resources	303	<ul style="list-style-type: none"> <li>• Food, Agri/Nat Rsrc Sci. Coll</li> </ul>
College of Liberal Arts	421	<ul style="list-style-type: none"> <li>• Liberal Arts, College of</li> </ul>
College of Pharmacy	110	<ul style="list-style-type: none"> <li>• Pharmacy, College of</li> </ul>
College of Veterinary Medicine	172	<ul style="list-style-type: none"> <li>• Veterinary Medicine, Coll of</li> </ul>
Graduate School	33	<ul style="list-style-type: none"> <li>• Graduate School</li> </ul>
Human Resources	64	<ul style="list-style-type: none"> <li>• Human Resources</li> </ul>
Humphrey Institute of Public Affairs	61	<ul style="list-style-type: none"> <li>• Humphrey Inst of Publ Aff</li> </ul>
Institute of Technology	441	<ul style="list-style-type: none"> <li>• Technology, Institute of</li> </ul>
Law School	54	<ul style="list-style-type: none"> <li>• Law School</li> </ul>
Medical School	679	<ul style="list-style-type: none"> <li>• Medical School</li> </ul>
Office of the President	75	<ul style="list-style-type: none"> <li>• Audits (1)</li> <li>• Budget &amp; Finance (17)</li> <li>• Controller's Office (14)</li> <li>• President, Office of the (16)</li> <li>• General Counsel (24)</li> <li>• Regents, Board of (3)</li> <li>• Scholarly and Cultural Affairs</li> </ul>
Research	112	<ul style="list-style-type: none"> <li>• Research</li> </ul>
School of Dentistry	66	<ul style="list-style-type: none"> <li>• Dentistry, School of</li> </ul>
School of Nursing	68	<ul style="list-style-type: none"> <li>• Nursing, School of</li> </ul>
School of Public Health	152	<ul style="list-style-type: none"> <li>• Public Health, School of</li> </ul>
Senior VP for Academic Affairs and Provost	176	<ul style="list-style-type: none"> <li>• Academic Affairs, Sr. VP (28)</li> <li>• Agricultural Experiment Station (6)</li> <li>• Undergraduate Education (142)</li> </ul>
Senior VP for System Academic Administration	226	<ul style="list-style-type: none"> <li>▪ Equity and Diversity, VP/Vice Provost (45)</li> <li>▪ Information Technology (50)</li> <li>▪ International Programs, Ofc of (55)</li> <li>▪ System Acad Admin, Acad. Units (37)</li> <li>▪ System Academic Admin., Sr. VP (39)</li> </ul>
Student Affairs	142	<ul style="list-style-type: none"> <li>• Boynton Health Service (46)</li> <li>• Student Affairs, Office of (96)</li> </ul>
University Libraries	114	<ul style="list-style-type: none"> <li>• Libraries, University</li> </ul>
University of Minnesota Extension	262	<ul style="list-style-type: none"> <li>• UofM Extension</li> </ul>
University of Minnesota, Crookston	67	<ul style="list-style-type: none"> <li>• All units beginning with UMC [5]</li> </ul>
University of Minnesota, Duluth	291	<ul style="list-style-type: none"> <li>• All units beginning with UMD [19] (261)</li> <li>• Duluth School of Medicine (30)</li> </ul>
University of Minnesota, Morris	115	<ul style="list-style-type: none"> <li>• All units beginning with UMM [9]</li> </ul>
University of Minnesota, Rochester	15	<ul style="list-style-type: none"> <li>• Rochester</li> </ul>
University Relations	117	<ul style="list-style-type: none"> <li>• University Relations, Office of</li> </ul>
University Services	112	<ul style="list-style-type: none"> <li>• Auxiliary Services (52)</li> <li>• Capital Planning/Project Mgmt (9)</li> <li>• Facilities Management (11)</li> <li>• Public Safety (5)</li> <li>• University Health and Safety (16)</li> <li>• University Services, VP (19)</li> </ul>

## Instructions for Updating (Methodology):

These counts are extracted from UMReports using *Basic Personnel Information* – about half-way down the HR Reports page. Use the parameters listed below. This tool is used, rather than *University Contact Information* because it does a count of unique employee IDs and does not count people multiple times.

Parameter	Included	Excluded
Pay Group	PAY – Paid Employees	WOS – Without Salary
Status Flag	Current Rows	Future Rows
Employee Class	Acad Prof and Admin UMN Extension Service/Fed	CivSvc/Barg Unit CivSvc V Class Faculty Grad/Prof Student Position Medical Resident Not Benefits Eligible Student Insurance Eligible
Employee Status	Active Leave with Pay	Leave of Absence Retired Suspended Terminated Short Work Break
Employee Type	Salaried	Hourly Exception Hourly

Please note. The **UMN Extension Service/Fed** employee class has not been available to new employees since c2004. It has some unique retirement benefits. There were 207 of these employees at the University as of November 2007. The Extension/Fed class is problematic because it was given to both faculty and P&A job classes. Only five CAPA units had P&A employees in this class:

- College of Food, Agriculture and Natural Resources (23)
- Senior VP for Academic Affairs and Provost (1)
- Senior VP for System Academic Administration (1)
- University of Minnesota Extension (149)
- University of Minnesota, Duluth (2)

Two other CAPA units had Extension/Fed employees, but all of them were faculty:

- College of Design (2)
- College of Education and Human Development (3)

The toughest case is CFANS, the **College of Food, Agriculture and Natural Resources**. CFANS had 47 Extension/Fed employees, 23 P&A and 24 faculty. The Office of Human Resources has written a special program to extract just P&A from the Data Warehouse. The CFANS representative has decided to extract the P&A manually, for the sake of convenience. The Extension/Fed list of employees is very stable, mostly shrinking as people retire; rarely, someone will transfer to the U from another employer carrying that appointment. Because of this stability, she need check the list only once a semester. To extract P&A employees from the Extension/Fed list:

- 1) Create an Excel file from *Basic Personnel Information* using the parameters given above, but only for Extension/Fed Employee Class.
- 2) Sort the Excel file on job code.
- 3) Delete all faculty by removing those rows with job codes 9401-9403 (professor, associate professor, and assistant professor). Those faculty who also have a P&A job code will survive because that 2<sup>nd</sup> appointment has a separate row and job code. P&A employees have job codes 93xx, 9601-9649, and 97xx.

## APPENDIX VII: GUIDE TO CONDUCTING UNIT ELECTIONS

# CAPAPA

## Council of Academic Professionals and Administrators

### CAPA Representative Elections

- I. Suggested Process
- II. Sample Letter
- III. Sample Ballot

## I. SUGGESTED PROCESS

**Contact:** CAPA Representation and Governance Committee Chair, (David Bernstein at [berns009@umn.edu](mailto:berns009@umn.edu) until June 30, 2009. After June 30, 2009 Bill Roberts, [rober029@umn.edu](mailto:rober029@umn.edu) 612-625-1859

1. Note that ideally, elections should be held in the time period between the April CAPA meeting (held on the 3<sup>rd</sup> Friday) and the beginning of final exams. However, when this is not feasible, elections must be held by June 1. P&A's in the unit with 9 month appointments should be invited to participate by e-mail or other remote process.
2. Identify an individual or team to coordinate the election process – someone who does not intend to run in the election.
3. Determine a set of candidates through a nomination process, including self-nominations or nominations by others
  - a) To run, a candidate must be a P&A in the unit who is NOT any of the following: a tenure-track faculty member; appointed for less than 50% time for 9 months; an academic department Chair or Head; a collegiate Dean, Associate Dean or Assistant Dean appointed for more than 25% time.
  - b) Send a letter to initiate nominations (see sample letter in Section II of this Appendix). This letter introduces CAPA, describing the role of the representative and asks interested individuals to contact the person organizing the elections, or another specific contact person, by a certain date.
  - c) Verify the interest of the nominated individuals and ask them to submit a paragraph describing themselves and something about why they are interested in representing their academic or administrative unit on CAPA.
4. Send out a ballot (online or paper) to **all** P&A staff in the unit, as determined by the Instructions for Contacting Constituents (Policies and Procedures Manual Appendix V. part 1 and 2), containing the candidates' names and descriptions. Do this even if the number of candidates equals the number of positions to be filled, and include a line for write-in votes. Ask people to submit their votes by a specific date to the official contact person.

5. Count the votes to determine who won the election, and who came in second. If you are also electing an alternate CAPA representative, who can fill in for the CAPA representative when needed, it is most common, and saves time, to declare the top vote-getter the representative, and the person with the second-highest total, the alternate.
6. Send the results, including the names and e-mail addresses of the representative and alternate – and the vote totals – to CAPA staff person Lisa Towry [towry003@umn.edu](mailto:towry003@umn.edu) (check [CAPA webpage](#) for current Committee Support Specialist) and to the R & G Chair (David Bernstein at [berns009@umn.edu](mailto:berns009@umn.edu) until June 30, 2009. After June 30, 2009 Bill Roberts at [rober029@umn.edu](mailto:rober029@umn.edu) ). Also send a follow-up letter to all unit P&A members, thanking everyone for running and congratulating the new representative (and new alternate, if one is elected).

### ***An Example from One Unit –***

The selection process varies among units at the University. The Carlson School of Management used the following process –

In late April, an email message was sent to all P&A members in the school asking for volunteers to serve on an election committee. They met once briefly and decided on the procedure. One member sent out an email message to P&A members asking for nominations for the CAPA representative position. Later, another committee member emailed ballots with the nominees' names and space for write-ins and asked that replies be sent to him.

Two committee members counted the votes and a decision was made. In some schools, the assistant dean or human resources office conducts the election or counts the ballots to ensure neutrality.

Even if there is only one candidate, an election should be held. It makes the process more credible. It also makes the candidate, as well as CAPA, more visible to constituents so they are more likely to contact the person concerns and ideas in the future. The act of voting also ensures that P&A members are, hopefully, more invested in the organization representing them. Finally, CAPA Senators will be elected from the body of CAPA members. In order to be eligible to be a CAPA Senator, the member must have been elected to CAPA.

## II. Sample Letter to Initiate Nominations for Election Process –

Dear [unit name] P&A Members:

I am writing to inform you of an opportunity to serve on the Council of Academic Professionals and Administrators (CAPA), a University-wide council representing Professional and Academic (P&A) staff in [name of unit]. CAPA advises and consults with the President of the University and central administration on the development and implementation of policies and procedures having an impact on the more than 5,300 P&A employees at the University. For the past [number] years, [name of representative] has filled this role and time has come to hold another election to consider who will be our representative for the next 3 years.

With nearly 50 elected P&A representatives and alternates from all University units, CAPA is a powerful partner in promoting the University's mission of teaching, research and service, and a strong voice for issues of concern to its P&A constituents. You may review some of CAPA's accomplishments on the [CAPA website](#).

CAPA is an important and active group whose recent accomplishments make it an exciting opportunity for someone interested in representing our unit at the University level. To be eligible to run, you must be a P&A in the [name of unit] who is **not**:

- a tenure-track faculty member;
- appointed for less than 50% time for 9 months; an academic department Chair or Head;
- a collegiate Dean, Associate Dean or Assistant Dean appointed for more than 25% time.

If you are interested in nominating yourself, or know somebody you believe might be interested, please contact [name] by [date]. Ballots will be distributed for an election among P&A members in our unit, beginning approximately the week of [date]. **All** P&As in our unit with an appointment of 50% or greater can vote in the election.

Thank you for your interest in this important position in University governance. Please don't hesitate to call or e-mail me with questions.

Sincerely,

[Contact person, including phone # and e-mail – someone who is not intending to run as a candidate]

### III. Sample Ballot

#### CAPA Representative from [name of unit]

The Council of Academic Professionals and Administrators (CAPA) is part of the official governance system of the University of Minnesota. It advises and consults with the President and with central administration on the development and implementation of policies and procedures having an impact on the more than 5,000 P&A employees at the University. In addition, CAPA elects 25 Senators to serve as a voice for P&As in the University Senate.

With nearly 50 elected P&A representatives and alternates from all University units, CAPA is a powerful partner in promoting the University's mission of teaching, research and service, and a strong voice for issues of concern to its P&A constituents. You may review some of CAPA's accomplishments on the CAPA website at: <http://www.capa.umn.edu/index.php>.

Here are the candidates for CAPA representative [and alternate], who will serve 3-year term[s].

\_\_\_\_\_ [Candidate name #1]

\_\_\_\_\_ [Candidate name #2]

\_\_\_\_\_ Other – write in name:

\_\_\_\_\_ Other – write in name:

**Vote for [Number of positions to be elected, including alternates].** Send your completed ballot by [date] to [contact person] at the e-mail [campus mail] address below.

Please vote! Even though there are the same number of nominees as positions, CAPA and the University Senate rules require holding a formal election, which gives the elected positions more credibility. Thank you for taking the time to help strengthen P&A governance at the U of M.

Sincerely,

[name of contact person]

[name of unit]

[contact person's campus address and/or e-mail address, as appropriate, and telephone #]