

UNIVERSITY OF MINNESOTA

BOARD OF REGENTS

MINUTES

BOARD OF REGENTS MEETINGS

AND

COMMITTEE MEETINGS

July 11, 2012

Office of the Board of Regents

600 McNamara Alumni Center

UNIVERSITY OF MINNESOTA
BOARD OF REGENTS

Minutes of the Board of Regents Meetings
and Committee Meetings

July 11, 2012

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UNIVERSITY OF MINNESOTA

BOARD OF REGENTS

Finance & Operations Committee

July 11, 2012

A meeting of the Finance and Operations Committee of the Board of Regents was held on Wednesday, July 11, 2012 at 10:30 a.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: John Frobenius, presiding; Clyde Allen, Richard Beeson, Laura Brod, Thomas Devine, and Venora Hung.

Staff present: President Eric Kaler; Chancellor Fred Wood; Senior Vice President and Provost Karen Hanson; Senior Vice President Robert Jones; Vice Presidents Kathryn Brown, Richard Pfutzenreuter and R. Scott Studham; Acting Executive Director Brian Steeves; and Associate Vice Presidents Mike Berthelsen, Gail Klatt, Julie Tonneson and Mike Volna.

Student Representative present: Meghan Mason.

RESOLUTION RELATED TO: ENTERPRISE SYSTEMS UPGRADE PROJECT

Vice President Pfutzenreuter invited Vice President Studham, Vice President Brown, Associate Vice President Volna and Robert McMaster, Vice Provost and Dean of Undergraduate Education, to discuss the resolution related to the Enterprise Systems upgrade project, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Studham, Brown, Volna and McMaster provided detailed information on the upgrade project, including planned work during the next several years to upgrade human resources, financial, and student systems and to re-examine and reform relevant business processes. Studham noted that vendor support of the University's current system ends in December 2014.

The enterprise systems upgrade project budget is \$83,500,000. The project timeline spans July 2012 through July 2016 and includes the following components:

Project Administration	\$ 4,130,000
Hardware	\$ 8,320,000
Software	\$ 4,170,000
Implementation Partner	\$ 29,400,000
University Staffing/Backfill	<u>\$ 37,480,000</u>
Grand Total	\$ 83,500,000

Studham explained that the enterprise assessment funding account recognizes that all units should share in providing resources to meet institutional business system needs. This account is structured as a long-term, self-financing program to provide a mechanism for funding enterprise projects. The current 1.25% assessment rate will raise approximately \$12.6 million in FY 2012.

President Kaler expressed support for the project and stated that to remain an effective, state-of-the-art university, there must be investment in the technology infrastructure, which is a critically important tool to increase operational excellence.

In response to questions from the committee, Brown explained that vendor options were few, as the University's current system is highly customized and requires a variety of services. She added that in addition to fit-gap reports, University functional user groups have reviewed processes to assist in determining areas where efficiencies can be improved.

In response to questions from several Regents, Volna clarified that committing University staff full-time to assist with this upgrade requires temporary back filling of those positions. The options are to hire full-time staff or hire staff through a vendor, both being viable solutions.

A motion was made and seconded and the committee voted unanimously to recommend approval of the Resolution Related to Enterprise Systems Upgrade Project.

CONSENT REPORT

Vice President Pfutzenreuter presented the Consent Report, as detailed in the docket and on file in the Board Office, which included:

General Contingency

An expenditure of \$285,763 for the Eastcliff Roof Replacement Project.

Purchase of Goods and Services \$1,000,000 and Over

- To BlueCross and BlueShield of Minnesota for an estimated \$17,466,500 for a partially self-funded Student Health Benefit Plan (SHBP) for Twin Cities, Duluth, Crookston, Morris and Rochester students for Boynton Health Services. The program has adequate reserves to meet all obligations for the next two years of partially self-funding and provide the same level of coverage to students for the upcoming year. The cost of the plan is borne entirely by students purchasing the plan. Vendor was selected through a competitive process.
- To CedarCrestone, an Oracle Platinum Partner, along with its subcontractor, CIBER, Inc., for up to an estimated \$29,400,000 to assist with the upgrade of enterprise-wide PeopleSoft systems for the period July 15, 2012, through December 31, 2014, for the University of Minnesota. University O&M resources, provided through the Enterprise Assessment, will fund this project. Vendor was selected through a competitive process.

- To Dodge of Burnsville, Saxon Fleet Services, and Thane Hawkins Polar Chevrolet Inc., for an estimated \$12,500,000 for vehicles for the central motor pool as needed for Fleet Services, a division of Parking & Transportation. The initial period of the contract is for August 1, 2012, through July 31, 2015, with an option to renew the contract for one additional two-year term. The initial contract estimate would be \$7,500,000 and the renewal term estimate would total \$5,000,000. Rented or leased vehicles in the central motor pool are funded by charging departments a monthly or daily fee. Any vehicle purchased on behalf of a department is funded by the department at the time of purchase. Vendors were selected through a competitive process.
- To SHPS for the estimated amount of \$1,300,000 for administration of health care and dependent care flexible spending accounts for the six-year period of January 1, 2013, through December 31, 2018, through the University of Minnesota Office of Human Resources Employee Benefits. The administrative fees are funded on an annual basis through the fringe pool. Vendor was selected through a competitive process.

A motion was made and seconded and the committee voted unanimously to recommend approval of the Consent Report.

The meeting adjourned at 11:58 a.m.



BRIAN R. STEEVES
Acting Executive Director
and Corporate Secretary

UNIVERSITY OF MINNESOTA

BOARD OF REGENTS

Facilities Committee

July 11, 2012

A meeting of the Facilities Committee of the Board of Regents was held on Wednesday, July 11, 2012 at 12:30 p.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: Dean Johnson, presiding; Clyde Allen, Laura Brod, John Frobenius, David Larson, and Venora Hung.

Staff present: Vice President Richard Pfutzenreuter; Associate Vice President Michael Berthelsen; and Acting Executive Director Brian Steeves.

Student Representative present: Cody Mikl.

CAPITAL BUDGET AMENDMENT

A. Eastcliff Roof Replacement, Twin Cities Campus

A motion was made and seconded to recommend approval of the following action:

On the recommendation of the Eastcliff Technical Advisory Committee, the FY 2013 Capital Budget is amended to include the following project:

Eastcliff Roof Replacement, Twin Cities Campus

Scope of Project: This project will replace the deteriorating cedar shingle roofing on the main house and adjacent carriage house as well as make repairs to metal flashings, gutters and downspouts. The project will also include necessary repair of associated masonry chimneys, wood trim and electric heat tape.

Master Plan: No impact to the Campus Master Plan

Cost Estimate: \$285,763

Capital Funding: University of Minnesota Central Reserves

Vice President Pfutzenreuter introduced Associate Vice President Berthelsen, Rick Johnson, Director of Project Management, and Lyndell King, Director, Weisman Art Museum and chair, Eastcliff Technical Advisory Committee.

Berthelsen elaborated on the urgent need to replace the Eastcliff roof and adjacent carriage house roof. He explained that the cedar shingle roof is deteriorating rapidly due to failure of the galvanized staples used to affix the shingles to the roof. He described how the use of a chemical fire retardant may have caused the staples to fail, which has left the roof vulnerable to damage during harsh weather conditions. Johnson noted that the University is unable to seek legal recourse from the contractor who installed the roof.

In response to questions from Regent Brod, Johnson explained that the Best Value Method, which considers both the amount of the bid and the ability of the contractor to complete the project, would be used in selecting the contractor due to the historic nature of the building.

In response to a question about the use of private funds, King explained that money raised by Friends of Eastcliff is not intended to fund large capital projects.

The committee voted unanimously to recommend approval of the Capital Budget Amendment for the Eastcliff Roof Replacement, Twin Cities Campus.

The meeting adjourned at 12:50 p.m.



BRIAN R. STEEVES
Acting Executive Director
and Corporate Secretary

UNIVERSITY OF MINNESOTA

BOARD OF REGENTS

Faculty, Staff & Student Affairs Committee

July 11, 2012

A meeting of the Faculty, Staff & Student Affairs Committee of the Board of Regents was held on Wednesday, July 11, 2012 at 12:30 p.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Patricia Simmons, presiding; Richard Beeson, Linda Cohen, Thomas Devine, David McMillan, and Maureen Ramirez.

Staff present: President Eric Kaler; Chancellor Fred Wood; Senior Vice President & Provost Karen Hanson; Senior Vice President Robert Jones; Vice Presidents Kathryn Brown and Aaron Friedman; and Acting Executive Director Brian Steeves.

Student Representative present: Meghan Mason.

BOARD OF REGENTS POLICY: PRIVATE PRACTICE PLAN: SCHOOL OF DENTISTRY

Regent Simmons invited Vice President Friedman, Judith Buchanan, Interim Dean, School of Dentistry, and Keith Dunder, Academic Health Center Counsel, to present the proposed new version of Board of Regents Policy: *Private Practice Plan: School of Dentistry*, as detailed in the docket.

Friedman explained that the policy is the same version brought before the committee for review on June 7, 2012.

A motion was made and seconded and the committee voted unanimously to recommend adoption of the new version of Board of Regents Policy: *Private Practice Plan: School of Dentistry*.

COLLECTIVE BARGAINING AGREEMENT WITH MINNESOTA PUBLIC EMPLOYEE ASSOCIATION, INC. (MNPEA) (POLICE OFFICERS, UNIT 1)

Vice President Brown invited Patti Dion, Director of Employee Relations, to present information on the Collective Bargaining Agreement with Minnesota Public Employee Association, Inc. (MNPEA) (Police Officers, Unit 1), as detailed in the docket materials.

Dion explained that this unit is composed of police officers and sergeants. This contract will provide the terms and conditions of employment for employees between the date of signing and December 31, 2013. During FY 2013, the contract provides no base salary adjustments, but step increases will resume as provided in the contract.

During FY 2014, the contract provides no base salary adjustments and step increases will continue as provided in the contract. Total recurring costs from FY 2013-14 include progression steps in the amount of \$140,026.

A motion was made and seconded and the committee voted unanimously to recommend approval of the Collective Bargaining Agreement with Minnesota Public Employee Association, Inc. (MNPEA) (Police Officers, Unit 1).

COLLECTIVE BARGAINING AGREEMENT WITH MINNESOTA STATE BUILDING AND CONSTRUCTION TRADES COUNCIL (PELRA UNIT 2)

Vice President Brown invited Patti Dion, Director of Employee Relations, to present information on the Collective Bargaining Agreement with Minnesota State Building and Construction Trades Council (PELRA Unit 2), as detailed in the docket materials.

Dion explained that this unit is composed of crafts and trade employees represented by 19 different locals, with classifications including pipefitter, electrician, carpenter and plumber. This contract will provide the terms and conditions of employment for employees between the date of signing and June 30, 2015. Some employees covered by this agreement will receive wage and fringe adjustments on May 1, 2013, and some will not. The University has committed to paying the prevailing wage rates (market rate) as negotiated between the locals and the General Contractor Association in the metropolitan area. At the present time, the expected adjustment of wages and fringes on May 1, 2013 is approximately 2 percent.

In 2014 and 2015 the University has agreed to a wage reopener, as neither party is able to accurately predict respective economic positions at this time.

A motion was made and seconded and the committee voted unanimously to recommend approval of the Collective Bargaining Agreement with Minnesota State Building and Construction Trades Council (PELRA Unit 2).

CONSENT REPORT

Vice President Brown presented for action the Consent Report, which included the following items:

- Appointment of Vice President for University Services; and
- Conferral of tenure for faculty members who have been hired at the University of Minnesota.

Brown invited President Kaler to provide a brief summary of Pamela A. Wheelock's appointment as Vice President for University Services. Kaler described the vice president position; Wheelock's background and qualifications; comparable market data; Wheelock's employment agreement and indicated that Wheelock's appointment is effective August 15, 2012.

Brown reported the conferral of tenure to Marlene Zuk, professor with tenure in the Department of Ecology, Evolution & Behavior in the College of Biological Sciences; and Alejandro Baer, associate professor with tenure in the Department of Sociology in the College of Liberal Arts.

A motion was made and seconded and the committee voted unanimously to recommend approval of the Consent Report.

The meeting adjourned at 12:54 p.m.

A handwritten signature in black ink that reads "Brian R. Steeves". The signature is written in a cursive, flowing style.

BRIAN R. STEEVES
Acting Executive Director and
Corporate Secretary

UNIVERSITY OF MINNESOTA

BOARD OF REGENTS

July 11, 2012

A meeting of the Board of Regents of the University of Minnesota was held on Wednesday, July 11, 2012 at 1:15 p.m. in the Boardroom, 600 McNamara Alumni Center.

Regents present: Linda Cohen, presiding; Clyde Allen, Richard Beeson, Laura Brod, Thomas Devine, John Frobenius, Venora Hung, Dean Johnson, David Larson, David McMillan, Maureen Ramirez, and Patricia Simmons.

Staff present: President Eric Kaler; Chancellor Fred Wood; Senior Vice President and Provost Karen Hanson; Senior Vice President Robert Jones; Vice President Kathryn Brown; and Acting Executive Director Brian Steeves.

INTRODUCTIONS

Chancellor, University of Minnesota Crookston

President Kaler introduced Fred E. Wood as Chancellor, University of Minnesota Crookston, to the University community. Wood began his appointment on July 2, 2012.

Athletic Director, Twin Cities Campus

President Kaler introduced Norwood Teague as Athletic Director, Twin Cities Campus, to the University community. Teague began his appointment on June 18, 2012.

Faculty Consultative Committee Chair

President Kaler introduced Sally Gregory Kohlstedt, professor in the Department of Earth Sciences and director of the History of Science, Technology, and Medicine Program, as the 2012-13 Chair of the Faculty Consultative Committee.

**Academic Professionals & Administrators Consultative
Committee Chair**

President Kaler introduced Ann Hagen, assistant program director, Minnesota Craniofacial Research Training Program, as 2012-13 Chair of the Academic Professionals and Administrators Consultative Committee.

Civil Service Consultative Committee Chair

President Kaler introduced Amy Olson, associate administrator, College of Pharmacy, as 2012-13 Chair of the Civil Service Consultative Committee Chair.

APPROVAL OF MINUTES

A motion was made and seconded, and the Board of Regents voted unanimously to approve the minutes of the following meetings:

Audit Committee – June 7, 2012
Facilities Committee – June 7, 2012
Faculty, Staff & Student Affairs Committee – June 7, 2012
Educational Planning & Policy Committee – June 7, 2012
Finance & Operations Committee – June 7, 2012
Board of Regents Work Session – June 7, 2012
Board of Regents Meeting – June 8, 2012
Special Committee on Executive Compensation and Administrative
Transitional Leaves – May 25, 2012
Presidential Performance Review Committee – May 29, 2012
University of Minnesota Medical Center Fairview Board of Trustees
Nominating Committee – June 7, 2012

REPORT OF THE PRESIDENT

President Kaler shared that the incoming class of 2016 will consist of approximately 5500 students, selected from more than 38,000 applications. Sixty-two percent are from Minnesota and the average ACT score of the incoming class is the highest ever in the history of the University of Minnesota.

Kaler reviewed key initiatives he has been engaged in, including the Itasca Project Higher Education Task Force and closing the achievement gap. He will continue to work closely on a more focused and strategic approach to closing the achievement gap with the provost, senior leaders, deans and faculty.

The President noted upcoming events on his schedule, including a meeting with legislators in Rochester, an August meeting with Duluth legislators, State Fair activities, and New Student Convocation on August 30th.

Kaler announced the restoration of the Regents Scholarship subsidy to 100 percent for any University employee seeking a first college degree. The Regents Scholarship benefit was previously scaled back in response to budget constraints.

A copy of the Report of the President is on file in the Board Office.

REPORT OF THE CHAIR

Chair Cohen commended President Kaler on an extraordinary first year and stated that due to his superior performance, the Board would like to give him a salary increase, showing their support for his work and confidence in his leadership. Chair Cohen indicated that upon being informed of her intention to bring this up in the Board Meeting, President Kaler requested to make a brief comment, and invited him to do so.

Kaler stated that he appreciates the confidence the Board has in him but his principal concern is student access to the University of Minnesota. He asked that his salary not be increased and that those dollars be put toward a general scholarship fund for undergraduate students.

Cohen expressed appreciation to President Kaler for this gesture in support of students at the University. She stated that the increase she had been planning to recommend was 3 percent of President Kaler's 2012-13 base salary.

A motion was made and seconded and the Board of Regents voted unanimously to approve that an amount equal to 3 percent of President Kaler's 2012-13 base salary be directed to the general scholarship fund to support University of Minnesota undergraduate students during the 2012-13 academic year.

Cohen noted several recent University events that involved Regents. She indicated that the Board is having its annual retreat in Owatonna July 11-13, 2012. The next regular meeting of the Board of Regents will take place on September 13-14, 2012 on the Twin Cities Campus.

ELECTION OF SECRETARY & APPOINTMENT OF EXECUTIVE DIRECTOR

Chair Cohen explained that the dual role of Executive Director of the Board of Regents and Corporate Secretary of the University of Minnesota is a unique leadership position of significant importance to the Board. Since the position was initially created in 1972, it has evolved to become a key advisor to each Board member, as well as to Board leadership, and also an advocate for good governance practices.

Cohen indicated that she has extended an offer to Brian Steeves to assume the position of Executive Director & Corporate Secretary on a permanent basis. She expressed that Steeves has demonstrated his value over the past six months while serving as Acting Executive Director and Corporate Secretary, encountering challenging issues while maintaining day-to-day operations of the Board Office.

Regent Johnson expressed support and added that Steeves is skilled at anticipating and communicating with the Board.

A motion was made and seconded and the Board of Regents voted unanimously to approve the following resolution:

RESOLVED, that Brian R. Steeves is hereby elected to fill the unexpired term of the office of Secretary and appointed as Executive Director of the Regents of the University of Minnesota, effective July 11, 2012.

RECEIVE AND FILE REPORTS

Chair Cohen noted the receipt and filing of the Board of Regents Policy Report.

CONSENT REPORT

Chair Cohen presented the Consent Report, as described in the docket materials, including:

- Summary of Gifts through May 31, 2012;

- Educational Planning & Policy Committee Consent Report, including:
 - **Request for Approval of New Academic Programs**
 - College of Education and Human Development (Twin Cities Campus)—Create graduate minor in Integrative Leadership
 - Humphrey School of Public Affairs (Twin Cities Campus)—Create postbaccalaureate certificate in Executive Leadership
 - **Request for Approval of Changed Academic Programs**
 - College of Education and Human Development (Twin Cities Campus)—Create Science, Technology, Engineering, and Mathematics Education subplan within the Ph.D. degree in Curriculum and Instruction
 - Law School (Twin Cities Campus)—Create Intellectual Property and Technology subplan within the J.D. and LL.M. degrees
 - Carlson School of Management (Twin Cities Campus)—Deliver the M.B.A. degree in India
 - College of Liberal Arts (Twin Cities Campus)—Change name of the B.A. degree from Geology to Earth Sciences
 - **Request for Approval of Discontinued Academic Programs**
 - College of Food, Agricultural and Natural Resource Sciences (Twin Cities campus)—Discontinue the Master of Paper Science and Engineering (M.P.S.E.) degree
 - Crookston Campus—Discontinue the B.S. degree and minor in Organizational Psychology
 - Crookston Campus—Discontinue the B.S. degree and minor in Hotel, Restaurant, and Tourism Management
 - Crookston Campus—Discontinue the B.S. degree in Agricultural Education

A motion was made and seconded, and the Board of Regents voted unanimously to approve the Consent Report.

BOARD OF REGENTS POLICY: *INSTITUTIONAL CONFLICT OF INTEREST*

Chair Cohen invited Amy Phenix, Chief of Staff, to present for action proposed amendments to Board of Regents Policy: *Institutional Conflict of Interest*, as detailed in the docket materials. Phenix reported that minor procedural amendments are proposed

in accordance with revisions to the administrative policy on *Managing Potential Institutional Conflict of Interest*. The proposed amendments provide greater clarification on the definition of institutional conflict of interest and remove the specific date requirement of when University officials must file a financial disclosure statement.

A motion was made and seconded, and the Board of Regents voted unanimously to adopt amendments to Board of Regents Policy: *Institutional Conflict of Interest*, as follows:

Institutional Conflict of Interest

SECTION I. SCOPE.

This policy governs institutional conflict of interest at the University of Minnesota (University) and applies to members of the Board of Regents (Board), University officials, department/unit heads, and other individuals as required by administrative policies and procedures.

SECTION II. DEFINITIONS.

Subd. 1. Institutional Conflict of Interest. *Institutional conflict of interest* shall mean a situation in which the University's research, teaching, or outreach mission activities, or its institutional reputation may be compromised or appear to be compromised because of an external financial or business relationship held at the institutional level that may bring financial gain to the institution, any of its units, or the individuals covered by this policy.

Subd. 2. University Official. *University official* shall mean persons holding the following positions, including those holding these positions in a temporary capacity:

- (a) chancellors and vice chancellors;
- (b) deans, associate deans, and assistant deans;
- (c) division I athletic director;
- (d) general counsel;
- (e) president and president's chief of staff;
- (f) provosts, vice provosts, associate vice provosts, and assistant vice provosts; and
- (g) senior vice presidents, vice presidents, associate vice presidents, and assistant vice presidents.

SECTION III. GUIDING PRINCIPLES.

The following principles shall guide the University in addressing institutional conflict of interest:

- (a) Because it is critical to the mission and reputation of the University to maintain the public's trust, University research, teaching, outreach, and other activities must not be compromised or perceived as biased by financial and business considerations.

(b) Because of its numerous and complex relationships with public and private entities, the University must be aware of any relationships involving financial gain that may compromise or appear to compromise its integrity.

(c) The University shall establish and maintain an oversight process to manage, reduce, or eliminate institutional conflict of interest.

SECTION IV. RESERVATION OF AUTHORITY.

The Board reserves authority to review and approve plans for managing, reducing, or eliminating institutional conflict of interest involving:

- (a) external relationships with an unusually significant financial impact that present a potential conflict;
- (b) potential conflicts involving the president;
- (c) potential conflicts that raise serious policy issues or have a significant public impact on the mission and reputation of the University; or
- (d) potential conflicts arising in matters that otherwise require Board review and action under Board of Regents Policy: *Reservation and Delegation of Authority*.

In these instances of conflict of interest, the president shall consult with the Board.

SECTION V. ASSURANCE, DELEGATION OF AUTHORITY, AND REPORTING.

The president or delegate shall:

- (a) implement an oversight process and administrative policies and procedures to address institutional conflict of interest and to identify situations in which institutional conflict of interest may arise;
- (b) recommend and implement plans to manage, reduce, or eliminate institutional conflict of interest;
- (c) develop and present conflict of interest plans to the Board for review and action as required under Section IV;
- (d) ensure that individuals covered by this policy who act on behalf of the institution adhere to these policies and procedures, follow applicable conflict management plans, and do not engage in activities in which there is an actual conflict of interest; and
- (e) report to the Board annually all institutional conflict of interest matters that do not meet the thresholds identified in Section IV.

SECTION VI. DISCLOSURES.

Subd. 1. Regents. Regents shall file a financial disclosure statement annually and report conflicts of interest as required by Board of Regents Policy: *Code of Ethics*.

Subd. 2. University Officials. University officials shall, upon appointment and annually, file a financial disclosure statement with the president or delegate, disclosing significant economic interests and how those interests may relate to their institutional responsibilities. Such

disclosure shall be made in addition to any reporting requirement for individual conflicts of interest.

Subd. 3. Department/Unit Heads. Annually and under circumstances described in administrative policy, department/unit heads shall disclose relevant financial and business interests by filing a *Report of External Professional Activities*.

Subd. 4. Other Individuals. The president or delegate may designate other individuals who shall file a financial disclosure statement.

SUPERSEDES: FINANCIAL DISCLOSURE FOR SENIOR UNIVERSITY OFFICIALS, DATED NOVEMBER 10, 1995.

BOARD OF REGENTS POLICY: *EMPLOYEE COMPENSATION AND RECOGNITION*

Chair Cohen welcomed Vice President Brown to join Amy Phenix, Chief of Staff in presenting proposed amendments to Board of Regents Policy: *Employee Compensation and Recognition*, as detailed in the docket.

Chair Cohen explained that the proposed amendments are recommendations of the Special Committee on Executive Compensation and Administrative Transitional Leaves. She noted that while the University will continue to honor existing contracts, the amended policy would be in effect moving forward. Cohen emphasized that the proposed amendments will create more transparency and clarity in this process.

Brown provided an overview of the policy provisions:

- Definition of senior leader, consistent with appointments that require Board approval in Board of Regents Policy: *Reservation and Delegation of Authority*;
- Principles to guide the University's senior leader total compensation strategy;
- Board approval of all senior leaders appointments, including supporting materials;
- Delegated authority to the president for setting senior leader compensation after approval of initial appointment;
- Clarification of separation provisions for senior leaders, depending on whether they return to the faculty;
- Board Chair and Vice Chair approval of any exceptions to University policy;
- Board approval of total cost and funding source for presidential transitions; and
- Annual comprehensive report on senior leadership compensation.

Regent Beeson expressed support for the amendments and recommended that the Board conduct a review of the policy in 2013.

In response to a question from Regent Brod, Cohen clarified that the Chair and Vice Chair will share information on exceptions to University policy with the full Board.

A motion was made and seconded, and the Board of Regents voted unanimously to adopt amendments to Board of Regents Policy: *Employee Compensation and Recognition*, as follows:

Employee Compensation and Recognition

SECTION I. SCOPE.

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

SECTION II. DEFINITIONS.

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

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

SECTION III. GUIDING PRINCIPLES.

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

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

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

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

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

SECTION IV. IMPLEMENTATION.

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

laws and (b) be consistent with applicable administrative policies, rules, and collective bargaining agreements.

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

Subd. 3. Senior Leadership. The senior leadership are those positions identified in Board of Regents Policy: *Reservation and Delegation of Authority*. The University's total compensation strategy for the senior leadership group shall be competitive, market-driven, performance-based, equitable, and transparent.

(a) Appointment. In accordance with Board of Regents Policy: *Reservation and Delegation of Authority*, all initial appointments of senior leadership positions shall be presented to the Board for approval with appropriate supporting materials.

(b) Delegation of Authority. The president or delegate shall be responsible for setting compensation for senior leaders after the approval of the initial appointment.

(c) Separation. The president may approve: (1) severance for senior leaders in an amount not to exceed six months salary; or (2) sabbatical leaves for senior leaders who are eligible to return to the faculty in accordance with Board policies and University administrative policies and procedures.

(d) Exceptions. The president shall submit to the Board Chair and Vice Chair for approval in writing any significant change from the terms of the initial appointment or any waiver of a University policy requirement.

(e) Administrative Procedures. The president or delegate shall maintain administrative policies and procedures to effectively implement this policy.

Subd. 4. Presidential Transition. When the president transitions from the Office of the President to another University position, the University shall provide appropriate compensation, office space, and such other support to assure a successful transition. The plan for any such transition including total cost and funding source shall be submitted to the Board for approval.

SECTION V. MONITORING AND REPORTING.

The president or delegate shall:

(a) monitor the effectiveness of compensation and recognition programs; and

(b) report annually to the Board of Regents on compensation and recognition programs for all employees, including an annual comprehensive report on compensation provided to senior leaders.

BOARD OF REGENTS POLICY: *EMPLOYEE DEVELOPMENT, EDUCATION, AND TRAINING*

Vice President Brown and Amy Phenix, Chief of Staff, presented proposed amendments to Board of Regents Policy: *Employee Development, Education, and Training*, as detailed in the docket.

Brown explained that the amendments to the policy eliminate administrative transitional leaves in Sections II and IV. This was a recommendation of the Special Committee on Executive Compensation and Administrative Transitional Leaves.

A motion was made and seconded, and the Board of Regents voted unanimously to adopt amendments to Board of Regents Policy: *Employee Development, Education, and Training*, as follows:

Employee Development, Education, and Training

SECTION I. SCOPE.

This policy governs the professional development, education, and training of eligible employees of the University of Minnesota (University).

SECTION II. DEFINITIONS.

Subd. 1. Eligible Employees. *Eligible employees* shall mean:

(a) Faculty Development Leaves - Faculty members holding a regular (tenured or tenure-track) or a contract faculty appointment;

(b) Professional Development Leaves for Academic Professional and Administrative (P&A) Employees - P&A employees whose primary employment at the University is classified within the 93xx, 96xx, or 97xx series;

(c) University-Provided and Other Education, Training, and Development Opportunities - Individuals in the faculty, P&A, civil service, and union-represented staff employee groups.

Subd. 2. Benefits. *Benefits* shall mean medical, dental, life, and disability coverage and employee retirement plans.

Subd. 3. Salary. *Salary* shall mean the regular University salary of a faculty or P&A employee at the time a leave is initiated.

SECTION III. GUIDING PRINCIPLES.

The following principles shall guide the University's employee development, education, and training programs:

(a) In support of a culture of excellence, the University is committed to providing its employees opportunities to participate in professional development, education, and training activities, consistent with managing the responsibilities and needs of the unit.

(b) The University and its employees share responsibility for continued learning and development appropriate to work duties and for the pursuit of individual, unit, and institutional success.

(c) The University is committed to providing a regular program of relevant, accessible, and affordable opportunities for employees to develop knowledge, skills, and abilities to support position competencies, management responsibilities, and leadership roles.

(d) The University seeks to maintain development leave programs comparable to peer institutions.

SECTION IV. PROFESSIONAL DEVELOPMENT LEAVES.

Subd. 1. Faculty Development Leaves. Faculty development leaves provide time away from the workplace to enhance the knowledge, teaching, and research productivity of eligible employees.

(a) The following faculty development leaves are offered under this policy:

- (1) Single Semester Leave - A one-semester leave at full salary and full benefits.
- (2) Sabbatical Leave - A leave of up to one year at one-half salary and full benefits.

Subd. 2. Professional Development Leaves for P&A Employees. Professional development leaves for P&A employees provide time away from the workplace to develop or enhance the knowledge, skills, and performance of eligible employees.

(a) The following professional development leaves are offered under this policy:

- (1) Mini-Leave - A development leave of up to six weeks at full salary and full benefits.
- (2) Short-Term Leave - A development leave of seven to 20 consecutive weeks at one-half salary to full salary and full benefits, with salary to be determined by the unit.
- (3) Extended Leave - A development leave of 21 to 48 consecutive weeks at one-half salary and full benefits.

SECTION V. UNIVERSITY-OFFERED EDUCATION, TRAINING, AND DEVELOPMENT OPPORTUNITIES.

Subd. 1. Training and Development. The University shall provide eligible employees with an ongoing program of training and development opportunities to address existing and projected competency needs, improve job performance, and enhance management and leadership talents.

Subd. 2. Tuition Benefits. The University shall offer eligible employees access to University credit-bearing educational opportunities at a reduced tuition cost through the Regents Scholarship Program.

SECTION VI. OTHER EDUCATION, TRAINING, AND DEVELOPMENT OPPORTUNITIES.

Time away from the workplace with pay may be granted to eligible employees to attend professional meetings or education, training, or professional development offerings outside the University.

SECTION VII. IMPLEMENTATION.

Employee eligibility for and participation in education, training, and professional development opportunities is administered according to applicable administrative policies, rules, and contracts.

SUPERSEDES: ADMINISTRATIVE TRANSITIONAL LEAVES DATED JANUARY 12, 1990; FACULTY DEVELOPMENT LEAVES DATED JUNE 7, 2001; PROFESSIONAL AND ADMINISTRATIVE STAFF DEVELOPMENT LEAVES DATED OCTOBER 11, 1985; AND REGENTS' SCHOLARSHIP PROGRAM DATED APRIL 15, 1966.

RESOLUTION RELATED TO ALCOHOLIC BEVERAGE SALES AT TCF BANK STADIUM, MARIUCCI ARENA, AND WILLIAMS ARENA

Chair Cohen invited Amy Phenix, Chief of Staff, and William Donohue, Deputy General Counsel, to present information on the proposed resolution related to alcoholic beverage sales at TCF Bank Stadium, Mariucci Arena, and Williams Arena, as detailed in the docket and associated materials distributed at the meeting and on file in the Board Office.

Phenix explained that, in accordance with new legislation, the proposed resolution rescinds a 2009 resolution prohibiting the sale or service of alcoholic beverages in TCF Bank Stadium, Mariucci Arena, and Williams Arena during intercollegiate athletic events. Furthermore, the proposed resolution directs that the sale and service of beer or beer and wine be permitted at TCF Bank Stadium during intercollegiate football games in the premium seating areas and at designated locations convenient to the general public. The proposed resolution also authorizes the reapplication for liquor licenses for Mariucci Arena and Williams Arena and directs the administration to designate the specific venues within the arenas where beer or beer and wine may be sold.

A cross-functional team examined key issues and assisted with determining the site and service guiding principles:

- Provide a safe fan-friendly atmosphere;
- Respect donor commitments;
- Control the environment (policy/security);
- Consistent with legislative intent;
- Ability to serve estimated 5,000-7,000 customers per game; and
- Proximity to food service, restrooms, and student section.

Phenix reviewed the recommended site, proposed implementation plan and next steps, and the proposed resolution.

Kaler noted that this is a pilot program and an ongoing process that will be assessed after each game. He stressed that the University is committed to promoting a healthy environment and controlling the sale of alcoholic beverages on campus.

Regent Larson expressed support for the sale of alcoholic beverages and disagreement with the involvement of the legislature in the decision making process. Regent Johnson noted that enforcement is a key factor. Regent Brod added that the proposed resolution is responsible, common sense, and creates a balance between the two opposing opinions on this issue. Regent Hung indicated that she does not agree with the legislature encroaching on Board oversight on this issue.

A motion was made and seconded, and the Board of Regents voted 10-1 to approve the Resolution Related to Alcoholic Beverage Sales at TCF Bank Stadium, Mariucci Arena and Williams Arena, as follows. Regent Hung voted no.

WHEREAS, the University of Minnesota ("University") has important policy and educational interests in controlling the consumption, use, and sale of alcoholic beverages on its campuses; and

WHEREAS, Board of Regents policy prohibits the sale of alcoholic beverages on University property except when authorized by license, approved by the Board of Regents, and sold and served in accordance with applicable law; and

WHEREAS, the consumption of alcoholic beverages for social and celebratory purposes on University property is permitted only when authorized by the President or delegate in accordance with administrative policy; and

WHEREAS, newly enacted state legislation authorizes the Board of Regents to hold liquor licenses for events at Northrop Auditorium, TCF Bank Stadium, and at no more than seven other locations within the boundaries of the University; and

WHEREAS, that legislation eliminates the condition of the University's license that the sale of alcoholic beverages in TCF Bank Stadium be in at least one third of the general seating of the stadium, and instead now requires that the sale of alcoholic beverages be at a location in the stadium that is convenient to the general public attending an intercollegiate football game at the stadium; and

WHEREAS, on June 24, 2009 the Board of Regents passed a resolution prohibiting the sale or service of alcoholic beverages in TCF Bank Stadium, Williams Arena and Mariucci Arena during intercollegiate athletic events (the "2009 Alcohol Resolution");

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents hereby rescinds the 2009 Alcohol Resolution; and

BE IT FURTHER RESOLVED, that the Board of Regents, exercising its constitutional authority to govern and manage University property and facilities, and consistent with Board of Regents Policy: *Alcoholic Beverages on Campus*, directs that the sale and service of beer or beer and wine be permitted at TCF Bank Stadium during

intercollegiate football games in the premium seating areas of TCF Bank Stadium, and, in addition, directs the administration designate a location or locations in TCF Bank Stadium that is convenient to the general public attending an intercollegiate football game at TCF Bank Stadium. On-sale sales of beer or beer and wine to the general public must be available at the location or locations convenient to the general public through half-time of an intercollegiate football game at TCF Bank Stadium. During events other than intercollegiate football games, alcoholic beverages may be sold and served in accordance with the University's state-granted license; and

BE IT FURTHER RESOLVED, that the Board of Regents authorizes the reapplication for liquor licenses at Mariucci Arena and Williams Arena and directs that the sale and service of beer or beer and wine be permitted at Williams Arena and Mariucci Arena in specifically designated venues within the Arenas to be determined by the administration during intercollegiate athletic events. During events other than intercollegiate athletic events, alcoholic beverages may be sold and served in accordance with the University's state-granted licenses.

ITASCA PROJECT HIGHER EDUCATION TASK FORCE – PARTNERSHIPS FOR PROSPERITY

President Kaler invited Greg Page, Chairman and CEO, Cargill, to discuss the Itasca Project Higher Education Task Force strategies for higher education, as detailed in the docket and associated materials distributed at the meeting an on file in the Board Office.

Page indicated that the objective is to identify strategies for higher education that will drive economic growth and prosperity in Minnesota.

The task force noted forces requiring dramatic and urgent changes from the system:

- The state needs to identify ways to educate students more efficiently. Pressures on state budgets drove a 20% reduction of higher education funding per student on average nationally, and a 35% reduction in Minnesota from 2000 to 2010;
- This has caused dramatic increases in tuition and large debt loads. In fact, average debt loads for Minnesota graduates are among the highest in the nation;
- Completion is a significant concern—with only half of those who start higher education earning a degree;
- It is estimated that by 2018, 70% of Minnesota jobs will require post secondary education; and
- Countries around the world are placing great emphasis on higher education, surpassing the U.S. in post-secondary educational attainment among 25-34 year olds by up to 40%.

Page explained that the task force concluded that Minnesota's historical strengths in higher education give it an advantage, yet there is an urgent need to take strategic action and make investments to create a next level of excellence in Minnesota higher education.

The group identified a four-part strategic vision to:

- Align academic offerings with workforce needs;
- Foster an ecosystem of research and innovation;
- Form new collaborations across higher education to optimize system-wide intellectual assets and efficiency; and
- Graduate more students.

Next steps include forming workgroups to implement these strategies and launching a steering committee (to replace the task force), as well as an effort to encourage business support, legislative interest and media coverage.

Cohen thanked Page on behalf of the Board and indicated this topic will be helpful for discussions at the Board of Regents annual retreat.

REPORT OF THE FACULTY, STAFF & STUDENT AFFAIRS COMMITTEE

Regent Beeson, Vice Chair of the committee, reported that the committee voted unanimously to recommend:

- a) Approval of the Consent Report for the Faculty, Staff & Student Affairs Committee as presented to the committee and described in the July 11, 2012 committee minutes.
- b) Adoption of amendments to Board of Regents Policy: *Private Practice Plan - University of Minnesota School of Dentistry*, as follows:

Private Practice Plan - University of Minnesota School of Dentistry

SECTION I. SCOPE.

This policy governs the private practice of dentistry by the faculty of the University of Minnesota (University) School of Dentistry. Consulting activities that do not constitute the practice of dentistry, as determined by the president or delegate, shall be governed by Board of Regents Policy: *Outside Consulting, Service Activities, and Other Work*.

SECTION II. DEFINITIONS.

Subd. 1. Academic Health Center or AHC. *Academic Health Center* (AHC) shall mean the University of Minnesota Academic Health Center.

Subd. 2. School of Dentistry. *School of Dentistry* shall mean the University of Minnesota School of Dentistry.

Subd. 3. Delegate. *Delegate* shall mean the person designated by the president to carry out this private practice plan.

SECTION III. PRIVATE PRACTICE STANDARDS.

Subd. 1. **Contribute to Mission.** The private practice of dentistry shall be conducted so as to contribute significantly to achieving the mission of the School of Dentistry in teaching, research, and clinical care.

Subd. 2. **Promote Reputation.** The private practice of dentistry shall be conducted so as to promote the reputation of the School of Dentistry.

Subd. 3. **Use of Assets.** Where University assets are used in connection with the private practice of dentistry, such assets shall be used in support of the mission of the School of Dentistry and pursuant to appropriate rules and controls established by the president or delegate.

Subd. 4. **Faculty Compensation.** Faculty compensation shall reflect relative contributions to all the School of Dentistry functions of teaching, research, administration, and clinical care. Compensation limitations shall take into account generally recognized standards for academic medical centers, local market conditions, the value of University faculty appointments and their benefits, and other relevant factors.

Subd. 5. **Compliance With Other Law and Policy.** School of Dentistry faculty members must comply with applicable law; University, AHC, and School of Dentistry policies; and recognized professional standards.

SECTION IV. ADMINISTRATION.

Subd. 1. **Responsibility.** The president or delegate shall be responsible for assuring, consistent with contractual obligations and limitations, compliance with this policy.

Subd. 2. **Governance of Academic Issues.** The University shall continue to govern academic issues.

Subd. 3. **Board of Regents Policies.** School of Dentistry faculty members remain subject to current and future Board of Regents policies.

SECTION V. IMPLEMENTATION.

Subd. 1. **Operating Procedures.** The president or delegate shall establish operating procedures for the implementation of this policy and for assuring that appropriate controls, including audits, are in place.

Subd. 2. **Consistency With Policy.** All contracts, agreements, and operating procedures of the School of Dentistry relating to the private practice of dentistry shall be consistent with this policy and shall be subject to review by the president or delegate for compliance.

SUPERSEDES: PRIVATE PRACTICE PLAN: SCHOOL OF DENTISTRY DATED NOVEMBER 10 1993;
AMENDED DECEMBER 13 2002

- c) Approval of a Resolution Related to the Proposed Labor Agreement with Minnesota Public Employees Association, Inc., (MNPEA) (Police Officers Unit 1), as follows:

WHEREAS, the parties have met and negotiated over the course of the past several months and have reached agreement regarding terms and conditions of employment regarding the employees of this bargaining unit; and

WHEREAS, Minnesota Public Employees Association, Inc. (MNPEA) have ratified acceptance of this agreement; and

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

NOW, THEREFORE, BE IT RESOLVED that on the recommendation of the President, the Board of Regents approves this labor agreement as outlined in the docket for July 11, 2012.

- d) Approval of a Resolution Related to the Proposed Labor Agreement with Minnesota State Building and Construction Trades Council (PELRA Unit 2), as follows:

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

WHEREAS, The Minnesota State Building and Construction Trades Council has ratified acceptance of this agreement; and

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

NOW, THEREFORE, BE IT RESOLVED that on the recommendation of the President, the Board of Regents approves this labor agreement as outlined in the docket for July 11, 2012.

The Board of Regents voted unanimously to approve the recommendations of the Faculty, Staff & Student Affairs Committee.

REPORT OF THE FINANCE & OPERATIONS COMMITTEE

Regent Frobenius, Chair of the committee, reported that the committee voted unanimously to recommend:

- a) Approval of the Consent Report for the Finance & Operations Committee as presented to the committee and described in the July 11, 2012 committee minutes.
- b) Approval of a Resolution Related to Enterprise Systems Upgrade Project, as follows:

WHEREAS, the purpose of the Enterprise Systems Upgrade Project is to continue to contribute to the University's goal of establishing itself as a leading higher education institution by providing best in class enterprise business systems; and

WHEREAS, vendor support for the University's current enterprise application software officially ends in December 2012 and can be extended to at least December 2014; and

WHEREAS, the Enterprise Systems Upgrade Project will include replacement of the University's current student and human resource systems, require significant system integration activities between enterprise systems, and upgrades to the existing enterprise financial system; and

WHEREAS, the objective of the Enterprise Systems Upgrade Project is to improve overall administrative business processes, utilizing the latest PeopleSoft application architecture, re-evaluating previous implementation decisions with a focus on reducing the number of unsupported modifications, and to add value through increased system functionality and user friendliness; and

WHEREAS, the University recently completed a project planning phase to help scope the implementation phase and to provide high level documentation outlining opportunities for business process redesign.

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents hereby approves a multi-year enterprise upgrade project budget in an amount not to exceed \$83,500,000 through June 30, 2016 and directs the administration to provide, not less than annually, an update and status report to the Finance & Operations Committee of the Board of Regents. The report must include: 1) an analysis of budget to actual expenditures, 2) progress and milestones toward accomplishing improvements in overall administrative business processes and associated expenses and 3) accomplishments to date to provide increased functionality to end-users.

The Board of Regents voted unanimously to approve the recommendations of the Finance & Operations Committee.

REPORT OF THE AUDIT COMMITTEE

Regent Beeson, Chair of the committee, reported that the committee did not meet this month.

REPORT OF THE EDUCATIONAL PLANNING & POLICY COMMITTEE

Regent Ramirez, Chair of the committee, reported that the committee did not meet this month.

REPORT OF THE FACILITIES COMMITTEE

Regent Johnson, Chair of the committee, reported that the committee voted unanimously to recommend:

- a) Approval of an amendment to the 2013 Capital Budget by:
 - 1. \$285,763 to increase funding for the Eastcliff roof replacement, Twin Cities campus.

The Board of Regents voted unanimously to approve the recommendation of the Facilities Committee.

REPORT OF THE LITIGATION REVIEW COMMITTEE

Regent Hung, Chair of the committee, reported that the committee did not meet this month.

The meeting adjourned at 2:49 p.m.



BRIAN R. STEEVES
Executive Director
and Corporate Secretary