

**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**MINUTES**

**BOARD OF REGENTS' MEETING  
AND  
REGENTS' COMMITTEE MEETINGS**

**July 9-10, 1992**

**Office of the Board of Regents**

**220 Morrill Hall**

UNIVERSITY OF MINNESOTA

BOARD OF REGENTS

Minutes of the Board of Regents' Meeting  
and Regents' Committee Meetings

July 9-10, 1992

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**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**July 9, 1992**

A special meeting of the Board of Regents of the University of Minnesota was held on Thursday, July 9, 1992, at 11:00 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Anderson, Craig, Keffeler, Kuderer, A. Page, M. Page, Reagan, Roe, Rosha, Sahlstrom, and Wynia. Regent Neel stated he would not be attending the non public meeting due to a conflict of interest. President Hasselmo presided.

Staff present: Senior Vice Presidents Erickson and Infante; Vice President Anderson; General Counsel Rotenberg; Associate Vice President Perlmutter; Executive Director Muesing; Associate Executive Director Janzen; University Attorneys Donohue and Dunder; Hospital Director Dickler; and Hospital Controller Fearing.

The meeting was called to order and a motion was moved and seconded that the following resolution be approved:

RESOLVED, that on the recommendation of the President and as provided by Minnesota State Statute 144.581 Subd. 5, a non-public meeting of the Board of Regents be held at 10:30 a.m. on Thursday, July 9, 1992, in Room 238, Morrill Hall, for the purpose of discussing (a) specific marketing activity relative to the University of Minnesota Hospital and Clinic and (b) attorney-client privileged matters.

The Board of Regents voted unanimously to approve the resolution.

The meeting adjourned at 11:02 a.m.

  
**BARBARA MUESING**  
Executive Director &  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Audit Committee**

**July 9, 1992**

A meeting of the Audit Committee of the Board of Regents was held on Thursday, July 9, 1992, at 7:35 a.m. in Room 300, Morrill Hall.

Regents present: Regent M. Page, presiding; Regents Craig, Keffeler, and Kuderer.

Staff present: Senior Vice President Erickson; Associate Executive Director Janzen; Assistant Vice President Cram; Director of Audits Patrick Spellacy; and Compliance Officer Gráinne Medearis.

Student Representative present: Brian Swanson.

Others present: Mark Chronister, Miles Everson, and Jon Killmer from the firm of Coopers and Lybrand.

**SENIOR VICE PRESIDENT'S QUARTERLY REPORT**

Senior Vice President Erickson presented the Senior Vice President's Quarterly Report.

The following items of discussion were included in the report:

- An update concerning the progress and status of action that the University has undertaken with regard to the Fiscal Year 1991 Report to Management provided by Coopers & Lybrand, including comments on the implementation of CUFS. It was reported that good progress is continuing to be made with many tasks successfully completed by or prior to established timelines. New challenges continue to surface, however, overall the project is proceeding as anticipated. In answer to a question from Regent Kuderer, it was reported that approximately \$300,000 has been expended for additional services from Coopers & Lybrand on this project.
- Brief comments and emphasis on the importance of the Statement of Management Direction.
- A report on the status of selected department budget deficits noting that plans are in place for repayment of deficits in the Law School, the Humphrey Institute, and the Department of Animal Science. Budgets for the Departments of Men's and Women's Intercollegiate Athletics are not final, and deficit repayment plans will also be included in those budgets. It was noted that some of the repayment plans will take several years to complete and all of the plans will be monitored.

- Additional items noted were: 1) the transfer of the reporting line of the Compliance Officer from the Office of the Senior Vice President for Finance to the Department of Audits; and 2) the development of an Administrative and Financial Policy Manual for the University of Minnesota.

Regent Keffeler indicated a desire to have the Audit Committee review the Administrative and Financial Policy Manual when it is completed, indicating that the nexus of delegation at various levels of administration is of importance to the Regents.

The committee voted unanimously to recommend approval of the Senior Vice President's Quarterly Report.

### **COMPLIANCE OFFICER'S QUARTERLY REPORT**

The committee reviewed a summary of the University's Compliance Officer's Quarterly Report which included only the audit recommendations considered "essential" that were issued between July 1, 1988 and February 29, 1992.

Gráinne Medearis, Policy and Compliance Officer, reviewed details contained in the report, indicating that "essential" compliance is currently 100 percent with 21 recommendations proposed, of which 14 have been completely implemented and seven are partially implemented. In addition, she reported that management letter compliance is currently at 87 percent. In response to a request from the January 1992 meeting, Ms. Medearis presented the following information relating to the pace of compliance for audit reports issued between July 1988 and March 1991:

45 percent expect full compliance within 1 year from original audit date  
30 percent expect full compliance within 2 years  
17 percent expect full compliance within 3 years  
5 percent expect full compliance within 4 years  
1 percent expect full compliance within 5 years and  
2 percent depend on external factors, such as litigation, and the time for compliance cannot be predicted.

The committee thanked Ms. Medearis for providing the information.

The committee voted unanimously to recommend approval of the Compliance Officer's Quarterly Report.

### **DIRECTOR OF AUDITS' QUARTERLY REPORT**

Patrick Spellacy, Director of Audits, presented the Quarterly Report which included audits issued since January 9, 1992; audits in process; next audits scheduled; and changes in the audit schedule. It was noted that due to expanded involvement with implementation of the financial management system, five audits originally scheduled for fiscal year 1992 were eliminated.

Mr. Spellacy then made a presentation on decentralization of financial responsibility and planned decentralization of data entry for financial transactions. He reported that recent audits have revealed some significant concerns regarding noncompliance with University policy regarding decentralization. Mr. Spellacy described a plan for monitoring decentralization

that has been proposed to assure that decentralization will occur in a manner that will minimize the risk associated with financial irregularities and policy noncompliance. Training and communication are key areas addressed in the plan, which also includes a means to measure performance and action plans for correcting noncompliance. In answer to a question, Ms. Kathy Winton, Manager of Training Services, described various training sessions that are conducted for all employees.

Regent Keffeler expressed concern about the respective roles of the finance organization, internal audit and external audit functions being kept separate. Senior Vice President Erickson assured Regent Keffeler that he is sensitive to her concern, indicating that each of the mentioned areas, while working interactively together, is separate and independent of one another.

The committee voted unanimously to recommend approval of the Director of Audits' Quarterly Report.

#### **EXTERNAL AUDITOR'S REPORT**

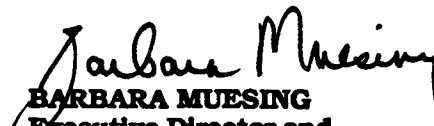
Messrs. Mark Chronister, Miles Everson, and Jon Killmer, from Coopers & Lybrand, presented an update on the status of external audit activities.

Miles Everson reviewed progress on the 1992 Annual Financial Statements, indicating that testing of the first three quarters has commenced relating to investments; physical inventory observations have been completed regarding inventories; and testing of the first three quarters for investment in plant has been delayed due to incomplete fixed asset activity records. In addition, he reported that auditing of software applications is also in progress, with new challenges created because of the implementation of the CUFIS system. Year-end audit procedures that pertain to investments will begin in mid-August, with all other areas beginning September 8.

Mark Chronister briefly reviewed the A-133 audit status for fiscal 1991, indicating that testing of the indirect cost proposal is in its final stages; the report draft, findings, and management's response are currently being reviewed with the planned issuance date for the A-133 set for July 31, 1992.

With regard to the fiscal 1992 A-133 audit, Mr. Chronister reported that student financial aid testing is underway, and research program testing is to begin in August.

The meeting adjourned at 9:05 a.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Physical Planning and Operations Committee**

**July 9, 1992**

A meeting of the Physical Planning and Operations Committee of the Board of Regents was held on Thursday, July 9, 1992, at 2:45 p.m. in Room 300, Morrill Hall.

Regents present: Regent Roe, Chair; Regents Anderson, Craig, Kuderer, Neel, and Wynia.

Staff present: Senior Vice President Erickson; Associate Executive Director Janzen; Associate Vice Presidents Hewitt, Markham, and Paschke; and Assistant Vice President Cram.

Student Representatives present: Corey Mitteness and Brian Swanson.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

The committee voted unanimously to recommend approval of the Senior Vice President's Monthly Report for July 1992. Regent Kuderer requested it be noted for the record that there were no Regents' Policy violations.

Senior Vice President Erickson reported on an issue of concern raised by Regent Roe relating to a policy issue in the process of negotiating external contracts. The particular issue related to a proposal that may come to the committee for selection of an outside vendor to provide concessions food and services at University of Minnesota sports facilities. Associate Vice President Paschke explained the rationale for a proposed change to an outside vendor, indicating that the University would be guaranteed added income and savings each year which would help meet the University's debt service obligations of the bonds for construction of the athletic facilities. The committee engaged in a lengthy discussion. Senior Vice President Erickson also mentioned that the Food Distribution Center was under consideration for an external contract, but it is less advanced than the sport facilities concessions. Regent Roe stated that his basic concern related to the University employees who would possibly be laid off because of the change, indicating that currently a change in vendor does not require Regents' review and discussion before action is requested. He stated that he feels Regents should have ample notification and time for discussion when a change affecting University employees is being considered, and asked that development of a Regents' policy regarding this issue be considered.

**PURCHASE OF GOODS AND SERVICES OVER \$250,000**

The committee voted unanimously to recommend approval of a resolution authorizing the appropriate staff to award pending purchases/contracts over \$250,000 as presented on an amended docket sheet.



### **PROJECT PREVIOUSLY SUBMITTED FOR INFORMATION**

The committee voted unanimously to recommend that the appropriate administrative officers are authorized to proceed with the design and construction of the following project:

- a. Thatcher Hall Demolition, Twin Cities/St. Paul Campus  
Estimated cost of the project: \$343,000  
Funding: Support Services Housing  
Estimated completion date: November 1992

### **PROJECT PRESENTED FOR INFORMATION**

#### **Moos Tower, Biomedical Research Facility - Phase III-A, Twin Cities Campus**

This project consists of general, mechanical, and electrical construction work as required to remodel approximately 3,070 square feet of space. It will include tissue culture room, computer room, light scattering room, mechanical testing/microscope room, prototype room, cold room, central equipment room, and a separate computer room which are independent of the other programmed spaces. Estimated cost of the project was reported to be \$631,000, with funding provided from Medical School indirect cost recovery funds. Estimated completion is July 1993.

### **REAL ESTATE TRANSACTIONS PRESENTED FOR INFORMATION**

#### **Sale by Public Bid of 579-591 Wells Street, St. Paul**

The committee reviewed a proposal to sell, by public bid, the property at 579 and 591 Wells Street in St. Paul. It was reported that the property, consisting of .314 acre of land, a medical clinic, and a parking lot, has been leased to the St. Paul-Ramsey Medical Center Commission since 1978 for the Family Physicians Health Center. The Family Physicians Health Center will be moving to a larger clinic facility and no University use has been identified for this property. It was reported that the results of the bid process would be submitted to the Board for approval of the high bid.

#### **Sale by Public Bid of 6,500 Square Feet of Land at Vacated Colorado Avenue and 24th Avenue East, Duluth**

The committee reviewed a proposal to offer approximately 6,500 square feet of land located approximately at Colorado Avenue and 24th Avenue East on the lower University of Minnesota, Duluth (UMD) campus for sale by public bid. It was reported that the property currently serves as a buffer area at the boundary of the lower UMD campus and a neighbor has expressed an interest in acquiring this land. The results of the bid process will be submitted to the Board for approval of the high bid.

**NEW BUSINESS**

**Sale of 3,320.31 Acres of Salt Spring Lands in St. Louis and Cook Counties and Owre Property in Lake County to the U.S. Forest Service**

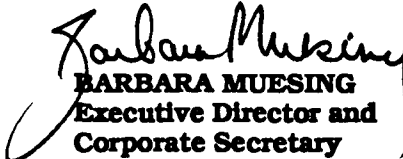
The committee voted unanimously to recommend approval of the following resolution relating to the sale of Salt Spring Lands in St. Louis and Cook Counties and the Owre property in Lake County, as follows:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to execute the necessary documents to sell 3,160.31 acres of University Salt Spring lands in St. Louis and Cook Counties located in or near the Boundary Waters Canoe Area Wilderness (BWCAW) and Superior National Forest and the Owre Property in Lake County, 160 acres, to the U.S. Forest Service for \$680,000.

**OLD BUSINESS**

It was noted that the Alumni Association will be selling bricks from the demolition of Memorial Stadium. Recognition was given to Regent Anderson for requesting the administration to pursue the idea.

The meeting adjourned at 3:45 p.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Finance and Legislative Committee**

**July 9, 1992**

A meeting of the Finance and Legislative Committee of the Board of Regents was held on Thursday, July 9, 1992, at 4:10 p.m. in Room 300, Morrill Hall.

Regents present: Regent Anderson, Chair; Regents Kuderer, M. Page, Rosha, Sahlstrom, and Wynia.

Staff present: Senior Vice President Erickson; Associate Executive Director Janzen; and Associate Vice President Paschke.

Student Representatives present: Courtney Jaren and Rachel Paulose.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

The committee voted unanimously to recommend approval of the Senior Vice President for Finance Monthly Report for July 1992.

**INTERNATIONAL INVESTMENT MANAGEMENT**

The committee voted unanimously to recommend approval of a resolution authorizing that 1) the University's investment guidelines be amended to allow up to 20 percent of the endowment fund to be invested in international equities; and that Arnhold & S. Bleichroeder, Inc. and Scudder, Stevens & Clark be approved as the initial international managers for the endowment fund.

**QUARTERLY MANAGEMENT REPORT**

The committee reviewed the quarterly report on the fiscal status of the current funds of the University as of May 31, 1992. Three schedules were presented:


- a) A Balance Sheet as of May 31, 1992 for all funds, both current and noncurrent. Data for the comparable period last year was included. Year-end adjustments and accruals recorded at June 30, 1991 were not reflected in prior year totals.
- b) A Statement of Changes in Fund Balances for the period ending May 31, 1992. Data for the comparable period last year was unavailable. Data as of June 30, 1991 was provided instead.
- c) Budget Status Reports as of May 31, 1992 for collegiate units and summarized to the vice president and coordinate campus levels.

Regent Anderson requested that the University's external money managers be invited to make presentations to the committee at future meetings. Associate Vice President Paschke responded that he would try to schedule someone for the September meeting.

#### **LEGISLATIVE STRATEGY**

Regent Anderson indicated there was no report on legislative strategy this month.

The meeting adjourned at 4:20 p.m.

  
**BARBARA MUESING**  
Executive Director &  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Faculty, Staff and Student Affairs Committee**

**July 9, 1992**

A meeting of the Faculty, Staff and Student Affairs Committee of the Board of Regents was held on Thursday, July 9, 1992, at 2:45 p.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Sahlstrom, presiding; Regents Keffeler, A. Page, M. Page, Reagan, and Rosha.

Staff present: Chancellor Ianni; Senior Vice President Infante; Vice Presidents Anderson, Hopkins, and Hughes; Executive Director Muesing; Associate Vice Presidents Barbatsis, Brenner, and Carrier; Assistant Vice Presidents Forrester and Grotevant.

Student Representatives present: Joe Errington and Courtney Jaren.

Regent Sahlstrom introduced Joe Errington and Courtney Jaren, the new Student Representatives, to the committee.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

Senior Vice President Infante presented the Senior Vice President's Monthly Report, which was included in the docket materials, to the committee for approval. He noted the appointment of Michael O'Connor as Acting Assistant Vice President for Administrative Information Services & Operations Development, effective June 1, 1992 through November 30, 1992. He discussed proposed changes in status and salary adjustments for a number of administrators, noting that the proposals are the result of reorganization and changes in duties.

Regent Rosha expressed concern regarding increasing the number of senior-level administrators and the related salary increases, particularly in light of the University's efforts to increase quality through downsizing. Dr. Infante indicated that the proposed salary increases are an attempt to address inequities that exist for non-academic personnel. Regent Keffeler noted that the restructuring and reallocation plan has resulted in significant reductions in the overall expenditure for administration. Dr. Infante noted that the total increase for all continuing senior administrators in the Office of the President, the Office of the Senior Vice President for Finance and Operations and his office was slightly below 5 percent.

In response to Student Representative Jaren's concern regarding the increase in duties of some senior administrators, Dr. Infante stated that he is not aware of any unit that is having difficulty operating at the present or projected staffing levels.

Dr. Infante reviewed proposed amendments to Coach James Wacker's Employment Agreement with respect to compensation for personal appearances and placing a \$100,000 cap on the bonus program each year. He noted that Coach Wacker

will contribute 50 percent of his annual bonus to a fund to benefit students, to promote excellence in athletics, and to promote student attendance at University athletic events.

In response to Regent Reagan, University Attorney Donohue stated that Athletic Director Boston will monitor the distribution of the bonus funds. He also indicated that in his opinion, the proposed distribution of bonus funds complies with NCAA rules.

The committee voted unanimously to recommend approval of the Senior Vice President's Monthly Report, including the amendments to Coach Wacker's Employment Agreement.

#### **ADDENDUM TO UNIT 2 COLLECTIVE BARGAINING AGREEMENT**

Assistant Vice President Forrester presented for approval an Addendum Agreement between the University of Minnesota and Local 292 of the International Brotherhood of Electrical Workers/Minnesota Building Trades Council. He noted that the salary settlement is within University guidelines and is consistent with settlements in the market. He recognized the efforts of chief negotiator Rodney Johnson.

The committee voted unanimously to recommend approval of the proposed Addendum Agreement.

#### **REPORT ON STUDENT HEALTH CARE SYSTEM**

Vice President Hughes reviewed the Boynton Health Service Report, and asked the committee to approve the substance of the report. She noted that the report preserves the principles of a universal fee and mandatory insurance for all students. Regent A. Page made a motion to approve the report, and Regent Rosha seconded the motion.

Dr. Hughes stated that the Council of Graduate Students (COGS) and the Graduate and Professional Student Assembly (GAPSA) have developed a Memorandum of Agreement. She noted that the request to consider that document as part of the continuing dialogue on this issue will be honored.

Because of its comprehensive nature, Regent Keffeler suggested that the committee should accept the report, rather than approving it in its entirety.

In response to Student Representative Jaren, Donald Peters, Director of Boynton Health Service, stated that upon approval of the report, the administration would use the Memorandum of Agreement submitted by COGS and GAPSA as a working document for implementation. Ms. Jaren asked that the document become part of the formal report, although not adopted as part of the Boynton Health Service Report, and Dr. Hughes concurred with that request.

Regent Rosha suggested that it would be more appropriate at this time to accept the report, rather than approve it, until such time that there are specific actions to be taken by the Board. As the maker of the motion, Regent A. Page concurred with Regent Rosha's suggestion.

The committee voted unanimously to recommend acceptance of the Boynton Health Service Report. Regent Keffeler abstained from the vote.

## **REGENTS' POLICY ON FACULTY AND STAFF VACATION**

Senior Vice President Infante presented the revised Regents' Faculty and Staff Vacation Policy to the committee for information. The revision provides that the use of up to 22 days of earned vacation may be postponed until the following year under special circumstances.

In response to Regent M. Page, Associate Vice President Carrier stated that the proposed policy requires approval by the department head and dean in order to avoid potential scheduling conflicts.

Following the discussion, Regent Sahlstrom stated that this item will be presented for approval at the September meeting.

## **REPORT ON STUDENT FINANCIAL AID SYSTEM**

Vice President Hughes introduced the discussion regarding the Report on the Student Financial Aid System, noting that the report was requested at the January meeting of the Audit Committee.

Chris Halling, Director of the Office of Student Financial Aid, reported on the status and sources of financial aid for the Twin Cities campus for 1990-91 and 1991-92 projections. He stated that a successful federal audit of the office was completed in February 1992, and discussed establishment of a pilot program to provide students with estimated financial aid awards in advance of production of the actual awards.

Mr. Halling reported that the higher education reauthorization bill was issued on July 8. He noted that the bill includes a proposal to allow 500 schools to participate in a direct lending pilot program, which could take the place of the federal guaranteed student loan programs. He commended Senators Durenberger and Wellstone and University staff for their efforts to insure passage of this bill.

In response to issues raised by Regent Sahlstrom, Mr. Halling stated that each campus has a financial aid office, but some activities are coordinated through the Twin Cities office. He noted that although sufficient grant funds are not available, a financial aid package, including loan funds, can be made available to any student who decides to attend the University. Dr. Hughes noted that a Scholarship Committee is working with the University Foundation to raise the amount of scholarship funds that are available.

Kaye Butler, University Bursar, discussed the development of a new automated Student Accounts Receivable System (STARS) for all campuses. She noted that the system provides an electronic account for each student that permits automated posting of all charges and payments against those charges. There was extensive consultation throughout the University during the development of STARS to insure that the needs of all students were addressed, and Ms. Butler stated that the system has the potential to greatly improve service to students.

Regent Sahlstrom expressed appreciation to Dr. Hughes, Mr. Halling, and Ms. Butler for the report.

## **REPORT ON HUMAN RESOURCES INITIATIVE**


Dr. Infante introduced the discussion regarding consolidation of the University's human resources components, noting that the goal of this initiative is to increase effectiveness, efficiency, and quality. He congratulated Associate Vice President Carrier and Assistant Vice President Forrester for their efforts on this project.

Dr. Carrier reported on the new organization, stating that it is the result of extensive internal and external consultation. She reviewed the goals of the organization and the organizational chart, noting that the structure provides for a close working relationship with each of the coordinate campuses.

Dr. Carrier discussed the function of each area of the new organization, and noted that one exciting component will include programs and initiatives relating to professional development and promotion for all University employees. She reviewed the activities which remain to be done in order to fully implement the consolidation.

Regent Sahlstrom expressed appreciation to Dr. Carrier for her report.

The meeting adjourned at 4:00 p.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary



**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Educational Planning and Policy Committee**

**July 9, 1992**

A meeting of the Educational Planning and Policy Committee of the Board of Regents was held on Thursday, July 9, 1992, at 4:00 p.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Craig, presiding; Regents Keffeler, Neel, A. Page, Reagan, and Roe.

Staff present: Chancellors Ianni and Sargeant; Senior Vice President Infante; Vice President Hopkins; Executive Director Muesing; Associate Vice President Brenner.

Student Representatives present: Darius Casey and Karen Schlangen.

Regent Craig introduced Darius Casey and Karen Schlangen, the new Student Representatives, to the committee.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

Senior Vice President Infante presented the Senior Vice President's Monthly Report, which was included in the docket materials, to the committee for approval. He noted a proposal to change the name of Classical Studies M.A. and Ph.D. programs to Ancient and Medieval Art & Archaeology.

In response to Regent Craig, Dr. Infante stated that the proposed name better reflects the activities of the department. The committee voted unanimously to recommend approval of the proposed name change.

Dr. Infante reported on the Minnesota Transfer Curriculum, the selection of the University's Fellows for the Committee on Institutional Cooperation Leadership Program, and recent actions by the Minnesota Higher Education Coordinating Board. He presented a status report on recent program reviews and accreditation visits and reports. Dr. Infante noted that he is currently considering two reviews in which serious questions were raised, stating that he will report to the Board on the resolution of those issues.

The committee voted unanimously to recommend approval of the Senior Vice President's Monthly Report.

**REVISED CHARTER AND BY-LAWS OF THE  
HUBERT H. HUMPHREY INSTITUTE ADVISORY COMMITTEE**

Senior Vice President Infante presented the proposed revised Charter and By-Laws of the Hubert H. Humphrey Institute Advisory Committee to the committee for approval.

The committee voted unanimously to recommend approval of the revised Charter and By-Laws.

**APPOINTMENT OF HUBERT H. HUMPHREY INSTITUTE  
ADVISORY COMMITTEE MEMBERS**

The committee voted unanimously to recommend approval of the following resolution:

**RESOLVED**, that the Board of Regents appoints members to the Hubert H. Humphrey Institute Advisory Committee as follows:

Reappointed Members: Josie Johnson, Evelyn O'Connor, and Steve Roszell.

New Members: David Cox, William E. Frenzel, Michael O'Keefe, and Hazel Rollins O'Leary.

Regent Craig stated that Dean Schuh of the Humphrey Institute requested that the Board appoint two Regents to three-year terms on the Advisory Committee to replace Regents Anderson and Roe. She noted that those appointments should be made by the Chair of the Board. The committee voted unanimously to defer action on Dean Schuh's request.

**APPOINTMENT OF ROCHESTER CENTER ADVISORY COMMITTEE MEMBERS**

The committee voted unanimously to recommend approval of the following resolution:

**RESOLVED**, that the Board of Regents appoints members to the Rochester Center Advisory Committee as follows:

Reappointed Members: Charles H. Casey, Al Cutala, Al DeBoer, Carol Kamper, John Mulder, Marilyn Stewart, and Don Sudor.

New Members: John Page and Gerald C. Wollner.

**MASTER OF LIBERAL STUDIES, UMD**

Senior Vice President Infante introduced the proposal for a Master of Liberal Studies program at the University of Minnesota, Duluth (UMD). He expressed support for the proposed program, stating that it represents collaboration between the Graduate School, Continuing Education & Extension, and UMD.

Chancellor Ianni reviewed the program proposal. He stated that it is a low-cost program, which will result in a minimal shift of resources from the undergraduate program. He added that the program will be attractive to a wide variety of students, and it will serve an important function in the region.

In response to Regent Reagan, John Red Horse, Dean of the College of Liberal Arts at UMD, discussed the interdisciplinary nature and cost-efficiency of the program. He noted that the principal market for this program will be non-traditional students, and stated that the program will have a positive impact on undergraduate education.

Associate Vice President Brenner and Vice Chancellor Featherman spoke in support of the program proposal. In response to concerns raised by Student Representative Schlangen, Dr. Featherman and Dr. Red Horse indicated that the undergraduate program will not suffer as a result of this program.

Regent Craig expressed appreciation for the presentation, and indicated that the proposal will be presented for approval at the September meeting.

#### **REGENTS' POLICY ON ACADEMIC MISCONDUCT**

Senior Vice President Infante introduced the discussion regarding the proposed Regents' Policy on Academic Misconduct. He expressed his satisfaction with the document, and he commended Associate Vice President Brenner for his efforts.

Dr. Brenner reviewed the proposed policy, stating that it is based on experiences within the University and at other institutions. He noted that when approved, the proposed policy will supersede the November 1989 Interim Policy which was required by the Department of Health & Human Services prior to January 1, 1990, in order to receive funding from that agency.

Dr. Brenner stated that administration of the proposed policy will be the responsibility of the dean of the unit in which the allegation occurred. He noted that the policy includes an administrative procedure requiring clear documentation of claims and sensitivity to the parties involved. If it is determined that there is a case, a recommendation of disciplinary action will be made to the individual, who can either accept the recommendation or request a hearing. In case of a hearing, full due process is guaranteed.

In response to Regent Craig, Dr. Brenner discussed the process for filing a claim of academic misconduct. In response to Student Representative Casey, Dr. Brenner stated that the burden of proof ultimately lies with the Inquiry Investigative Panel, which must build a compelling case in order to proceed.

Dr. Infante indicated that although similar policies at other institutions cover only scientific misconduct, the proposed policy applies to all types of scholarly misconduct.

Regent Roe asked how the proposed policy differs from misconduct procedures for non-academic staff. Dr. Brenner stated that the procedures for building a case of academic misconduct are unique, but the ultimate disciplinary action is consistent for all employees. He noted that the policy is intended to apply to all individuals under the University umbrella who are conducting research and scholarly activity, with the exception of students if it relates to their academic activities.

In response to Regent Craig, Dr. Brenner stated that the proposed policy includes procedures for the administration to build a solid case of academic misconduct, which would provide the foundation any necessary administrative action.

Dr. Infante emphasized that the internal administration of the policy presents a potential risk of conflict of interest claims. However, he stressed the importance of internal responsibility, stating that he does not feel it would be appropriate to go outside the University for administration of the policy.

Following the discussion, Regent Craig indicated that the proposed policy will be presented for approval at the September meeting.

The meeting adjourned at 5:10 p.m.

  
**BARBARA MUESING**  
**Executive Director and**  
**Corporate Secretary**

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Committee of the Whole**

**July 9, 1992**

A meeting of the Committee of the Whole of the Board of Regents was held on Thursday, July 9, 1992, at 9:10 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Kuderer, presiding; Regents Anderson, Craig, Keffeler, Neel, M. Page, Reagan, Roe, Rosha, Sahlstrom, and Wynia.

Staff present: President Hasselmo; Chancellors Ianni, Johnson, Sargeant, and Wilhelmson; Senior Vice Presidents Erickson and Infante; Vice Presidents Allen, Hopkins, and Hughes; General Counsel Rotenberg; Executive Director Muesing; Associate Executive Director Janzen; Associate Vice Presidents Cabral and Perlmutter.

Student Representatives present: Rachel Paulose.

**RECOGNITION**

On behalf of the Board, Regent Kuderer presented Wally Nelson, Superintendent of the Southwest Experiment Station, with a Certificate of Appreciation for his excellent service to the University.

**REPORTS BY THE PRESIDENT'S MINORITY ADVISORY COMMITTEE CHAIRS AND AMERICAN INDIAN ADVISORY COMMITTEE REPRESENTATIVES**

Senior Vice President Infante stated that President Hasselmo established the minority advisory committees to enable the University administration to interact and receive advice from the minority communities on issues related to minority and ethnic groups. He indicated that this is an opportunity for the committees to report on their activities during the past year.

**President's African American Advisory Committee**

Betty Jo Webb, Chair of the President's African American Advisory Committee, reported that the committee has been at work for a year. She discussed committee activities, including participation in search processes, and stated that committee members are grateful to be involved in activities to enhance diversity and excellence at the University. Ms. Webb expressed appreciation to Associate Vice President Cabral for his leadership and support of the committee.

Ms. Webb stated that the committee's overall impression thus far is that there has been a great deal of time spent on process and recommendations. However, the committee is concerned about the results, and she stated that President Hasselmo shares that concern. Ms. Webb indicated that the committee hopes to meet with the

President in the near future to discuss accountability and responsibility for carrying out the recommendations that have been or will be made to the administration.

In summary, Ms. Webb stated that the committee intends to be a viable part of making the University a better place for faculty to teach and students to learn. The committee is committed to that effort under the President's and Board's direction, and looks forward to continued participation.

#### **President's Asian American/Pacific Islander Advisory Committee**

Albert de Leon, Chair of the President's Asian American/Pacific Islander Advisory Committee, introduced Gladys Stone, Tom Oye, and Bill Doi, other members of the committee who were present. He expressed appreciation to President Hasselmo for creating the advisory committees.

Mr. de Leon stated that the committee is concerned about financial aid for minority students, noting that recruitment and retention will be undermined if aid is reduced. He also discussed the need for qualified minority teachers.

In summary, Mr. de Leon indicated that committee members would like to meet regularly with President Hasselmo in their community. In addition, he stated it would be useful for all of the minority advisory committees to meet and discuss common issues.

#### **President's Chicano/Latino/Hispanic American Advisory Committee**

Sandra Vargas, Chair of the President's Chicano/Latino/Hispanic American Advisory Committee, thanked President Hasselmo, Senior Vice President Infante, and Associate Vice President Cabral for communicating with the committee and including it in the search process for the Associate Vice Provost for Minority Affairs position. She stated the committee would like to see more Chicano people in executive-level positions at the University, and encouraged the Board to hire Margaret Montoya as Associate Vice Provost.

Ms. Vargas stated that the committee is concerned about the recruitment, admission, and retention of minority students, and what factors influence those areas. The committee would like the University to provide additional financial aid for minority students, in addition to hiring a bilingual financial aid officer to assist Chicano students.

The committee would like to see an increased number of Chicano faculty and staff. Ms. Vargas stressed the importance of the Department of Chicano Studies and the University's participation in the Midwest Consortium for Latino Research.

In summary, Ms. Vargas stated that the committee looks forward to strengthening the partnership between the University and the Chicano community through participation in decision-making at the University.

#### **University of Minnesota, Twin Cities American Indian Advisory Committee**

Reid Raymond, a member of the Twin Cities American Indian Advisory Committee, thanked the Regents and President Hasselmo for their support. In light of the budget problems facing the University, he expressed concern that the diversity initiative will suffer.

Mr. Raymond stated that the minority groups have worked very hard to make progress, and he thanked all of the members of the minority advisory committees for volunteering their time. If the University is serious about diversity, he indicated that additional resources must be devoted to the effort rather than just maintaining the status quo.

Mr. Raymond expressed appreciation to President Hasselmo for attending the student-sponsored pow wow last spring. He stated that kind of commitment is very impressive, noting that he wishes that it existed throughout the University.

In summary, Mr. Raymond stated that the University has to get tough on racism, and work to find ways to end that type of behavior.

#### **University of Minnesota, Duluth (UMD) American Indian Advisory Committee**

George Himango, a member of the UMD American Indian Advisory Committee, thanked the Board for the opportunity to speak. He noted that American Indian culture has developed because of self-determination, and stated that diversity is the foundation of society. Mr. Himango expressed concerns about addressing racism and preserving flexibility and autonomy for the UMD Learning Resource Center. He stated that cooperation and collaboration has developed with Chancellor Ianni and others at UMD.

Kim King, a member of the UMD American Indian Advisory Committee, voiced concerns regarding the endowed chair in American Indian Education. She indicated that the committee is requesting that a half-time, tenure-track position be established in the College of Education to provide stability and show commitment to American Indian education. Ms. King stated that the Advisory Committee members respect the Board as it respects the committee.

#### **University of Minnesota, Morris (UMM) American Indian Advisory Committee**

Chancellor Johnson reported on steps taken to strengthen UMM's commitment to the Native American community. He stated that two Native Americans have been appointed to tenure-track positions in secondary education and political science. He noted that the tuition waiver policy for all Native American students continues to be affirmed.

In conclusion, Chancellor Johnson stated that two main rooms in the new UMM Student Center carry American Indian names, which serves as a reminder about UMM's origin as an Indian school in the 1880's.

Following the reports, Regent Kuderer expressed the Board's appreciation to all who made presentations. He stated that the reports provide the Regents with useful information.

In response to an issue raised by Regent Roe, there was extensive discussion regarding the possibility of tribal councils contributing some profits from the gaming industry to higher education. Mr. Raymond reported on a proposal for a demonstration project to expand the jurisdiction of the American Indian Learning Resource Center to recruit and assist American Indian students interested in earning graduate and professional degrees. He stated that the tribes will be asked to provide support for the program on a three-year basis, with the understanding that the University would then fund the program. Mr. Raymond also noted that not all Indian people benefit from the new wealth.

Regent Keffeler requested an administrative summary of the financial feasibility of the requests made by the minority advisory committees within the parameters of the proposed Budget Plan prior to approval of that plan, even though many of the items require further development and consideration. Dr. Infante stated that he will review and respond to each of the requests, noting that all of the funding devoted to scholarships and minority programs was protected during the budget process. President Hasselmo noted that continuous contact between the University and the minority communities keeps the administration informed regarding the needs as the budgets are shaped. Regent Kuderer suggested that Regent Keffeler and Dr. Ianni meet to discuss the requested information.

With respect to the request for autonomy of the American Indian Learning Resource Center, Chancellor Ianni reported that he has assured the American Indian representatives that the organizational location of the center will be their decision. Dr. Ianni stated that the endowed professorship in the College of Education yields \$27,000 per year, and a full-time, tenure-track occupant will be hired to fill that position as soon as the college can identify additional funds for that purpose. He noted that half-time, tenure-track appointments are not allowed by the University.

Regent M. Page noted that Dr. Infante interacted with American Indian students and tribal leaders in her area long before there was any wealth on the reservations.

In response to Regent Reagan, Dr. Cabral discussed the federally-funded Indian Upward Bound Program which was recently moved from the Twin Cities to the Duluth area, and noted the University's contributions to the program.

President Hasselmo expressed appreciation to the chairs of the advisory committees for their hard work and constructive leadership because the diversity issue is at the heart the University. He stressed the importance of building that leadership into the on-going planning, budgeting, and decision-making processes of the University. President Hasselmo stated that with the help of this Board, efforts will continue to meet the challenges made by the advisory committees.

Regent Anderson noted that financial aid cannot keep pace with rising tuition, and he suggested that the minority advisory committees should urge the Legislature and Governor Carlson to provide the University with sufficient resources so tuition can be reduced across the board for all students.

Rick Smith, Director of the American Indian Learning Resource Center at UMD, distributed information regarding the 1991 evaluation of the center, and expressed appreciation to Chancellor Ianni for his commitment to diversity at UMD.

#### **REPORT ON MINORITY AFFAIRS**

Senior Vice President Infante introduced the report on activities of the Office of the Associate Vice President for Academic Affairs with special responsibility for minority affairs. He noted that the report addresses issues associated with retention of students and faculty of color. He stated that there has been considerable progress in the area of student enrollment and retention, but there is room for improvement. Dr. Infante indicated that 88 minority faculty were recruited during the past three years, however, it is disturbing that 35 minority faculty left during that same period. There may be environmental reasons for retention problems, and he stated that the University and the minority communities are committed to moving forward in this arena.

Dr. Infante provided a status report on the search for the Associate Vice Provost position. He stated that he made two offers to candidates produced by the search, both



of whom could make a significant contribution to the University. At the present time, neither candidate has accepted the offer.

Dr. Infante reported that the Midwest Higher Education Commission has raised funds that will be devoted to fostering the number of minority students who go to graduate and professional school.

In response to Regent Sahlstrom, Associate Vice President Cabral reported on the organizational structure of the advisory committees. He noted that all resources of the University are available to the committees, including staff support and regular contact with the University administration. Dr. Cabral stated that the committee chairs contact him regularly, and it is a pleasure to work with the groups.

Student Representative Paulose suggested that the University should establish higher goals and timetables with respect to minority retention and graduation rates. Dr. Infante reported that it appears retention and graduation problems are the result of financial and social issues. In spite of the present retention rates, he stated that the University is moving in the right direction. Dr. Cabral discussed efforts to target intervention to help students succeed. Ms. Paulose and Dr. Infante discussed the availability of further information on recruitment and retention of minority faculty.

In response to Regent Rosha, Dr. Cabral stated that generally speaking, the opportunities are equal for all students to transfer to or from the University.

Following the discussion, Regent Kuderer expressed appreciation to Dr. Infante and Dr. Cabral for the report.

The meeting adjourned at 10:50 a.m.

  
**BARBARA MUESING**  
**Executive Director and**  
**Corporate Secretary**

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Committee of the Whole**

**July 10, 1992**

A meeting of the Committee of the Whole of the Board of Regents was held on Friday, July 10, 1992, at 8:30 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Kuderer, presiding; Regents Anderson, Craig, Keffeler, Neel, A. Page, M. Page, Reagan, Roe, Rosha, Sahlstrom, and Wynia.

Staff present: President Hasselmo; Chancellors Johnson, Sargeant, and Wilhelmson; Senior Vice Presidents Erickson and Infante; Vice Presidents Allen, Anderson, Hopkins, and Hughes; General Counsel Rotenberg; Executive Director Muesing; Associate Executive Director Janzen; Associate Vice Presidents Brenner and Perlmutter; Assistant Vice President Tschida.

Student Representative present: Rachel Paulose.

**RECOGNITIONS**

**Student Representative Karen Schlangen**

The Regents recognized Student Representative Karen Schlangen, who won the Society of Mechanical Engineers' National Old Guard Oral Presentation Contest for her design of a mechanism to mount a cellular telephone on a wheelchair.

**Vice President Marvalene Hughes**

On behalf of the Student Representatives, Chair Rachel Paulose presented Vice President Marvalene Hughes with a Certificate of Appreciation for her support and encouragement.

**General Director Robert Dickler**

On behalf of the Board, Regent Kuderer presented Robert Dickler, General Director of the University of Minnesota Hospital & Clinic, with a Certificate of Appreciation for his excellent service to the University.

**SUMMARY OF EXPENDITURES**

The committee voted unanimously to recommend approval of the Summary of Expenditures for the Office of the President, Eastcliff Maintenance, and the Board of Regents' Office for the period July 1, 1991 through May 31, 1992.

## **REPORT OF THE MINNESOTA ALUMNI ASSOCIATION**

Michael Unger, National President of the Minnesota Alumni Association (MAA), reported on MAA activities and accomplishments during the past year. Copies of the current issue of Minnesota magazine were distributed, and he noted that the magazine was awarded a CASE (Council for the Advancement and Support of Education) silver medal for excellence in photography, writing, and general presentation.

Mr. Unger stated that the MAA will work with the Department of University Relations on a program to clean the bricks from Memorial Stadium and make them available to interested individuals at a nominal price. He stated that each Regent will receive a complimentary brick.

Mr. Unger stated that the MAA is working with the University Foundation to raise funds to make the Gateway Center a reality. He reported that efforts to expand active alumni chapters outside the Twin Cities area will continue, and he expressed appreciation to the Regents who participated in this effort. Mr. Unger stated that a comprehensive report outlining accomplishments in this area will be available on August 1, 1992.

Mr. Unger reported that MAA activities this year will focus on building a network to support the University's legislative efforts and enhancing mentor programs throughout the University. In summary, he stressed the importance of gathering the support of all University alumni in the critical years ahead, particularly as efforts continue to convince state government of the need to give priority to public funding of the University.

Regent Sahlstrom commended the MAA for its efforts to revitalize alumni chapters across the country. He noted that the 50th reunion of the Class of 1942 will be held October 15-17, 1992.

Regent Neel expressed support for establishment of an alumni legislative network, enhancement of mentor programs, and the brick program. In addition, he urged the MAA to focus on recruiting students to the University.

Committee members commended Mr. Unger for his excellent service to the University, and he responded that there are many alumni volunteers and an excellent staff, including Executive Director Margaret Carlson.

Regent Roe expressed appreciation to Mr. Unger and Ms. Carlson for their continuing efforts on plans for the Gateway Center.

Following the discussion, Regent Kuderer thanked Mr. Unger for an excellent report. He stated that the MAA is a valuable resource to the University, and noted that he is particularly pleased with the MAA-University Foundation effort to build community and provide a linkage between the University and the state.

## **MINNESOTA SUPERCOMPUTER CENTER**

Regent Kuderer indicated the Supercomputer Center resolution was withdrawn from the agenda. He noted that the Minnesota Supercomputer Center has met the obligations and requirements of the Board's February 1992 resolution, and a contract has been entered into between the Minnesota Supercomputer Center, Inc. and the University.

**STRATEGIC PLANNING -  
UNIVERSITY OF MINNESOTA, CROOKSTON**

Regent Kuderer welcomed all visitors from greater Minnesota, and particularly the Crookston area, and expressed appreciation for their interest in this issue.

President Hasselmo introduced the proposal to revise the mission of the University of Minnesota, Crookston (UMC). He stated that this is an important decision about an important part of the University of Minnesota, and the decision is compatible with efforts to define the future role of the University.

President Hasselmo spoke in support of the proposal for the following reasons:

- In order for the University to have a state-wide perspective in everything it does, it is important to have a geographic presence in all areas.
- UMC has developed a unique profile in the state's higher education system. The proposed expansion is in those areas unique to the campus -- agriculture, natural resources, small business, and hospitality -- which will serve students well.
- UMC has initiated institutional cooperation throughout the region for enriching educational opportunities. A letter from Terrence MacTaggart, Chancellor of the Minnesota State University System, indicates his willingness to enter into further cooperative arrangements in this area of the state.
- UMC provides the University with a major pilot opportunity in telecommunications. That technology will give the University new opportunities in the future for making its resources available on a state-wide basis.

President Hasselmo stated that this is a pilot project to test the feasibility of the University providing these educational opportunities, and to test the extent to which the proposed changes at UMC can make a unique contribution to higher education in the state. He indicated that the proposal is in the best interest of higher education in the state, and recommended it to the Board for consideration.

Regent Sahlstrom moved approval of the following resolution, and the motion was seconded by Regent Anderson:

WHEREAS, the University of Minnesota has a century-long tradition of providing education, research, and service in northwestern Minnesota;

WHEREAS, the University of Minnesota, Crookston has been a focal point for meeting the land-grant mission and for integrating the University into the cultural, political, and economic life of the people of the region;

WHEREAS, the University of Minnesota continues to restructure academic programs within the University to strengthen the institution for the future and to address the need to provide cost-effective, high quality higher education to the State of Minnesota;

WHEREAS, the University of Minnesota seeks to strengthen the access to its education, research, and service programs in northwestern

Minnesota, with a minimum enrollment goal for the campus of 1,150 full-year-equivalent students in five years;

WHEREAS, the University of Minnesota, Crookston programs are designed to serve the needs of Minnesota in areas such as agriculture, natural resources, hospitality, and small business;

WHEREAS, selected baccalaureate programs would augment the role of the University of Minnesota, Crookston as a part of a land-grant university;

WHEREAS, selected baccalaureate programs will accomplish economies through the utilization of already available resources in both programming and space utilization on the Crookston campus and in nearby higher education institutions; and

WHEREAS, the University of Minnesota, Crookston offers unique opportunities for a telecommunications project that would link northwestern Minnesota with the Twin Cities campus, thereby providing an opportunity for the improved utilization of already existing telecommunication resources.

WHEREAS, the current Mission Statement of the University of Minnesota, Crookston limits the role of the institution to providing two-year lower division undergraduate education.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents of the University of Minnesota approves the following revised Mission Statement for the University of Minnesota, Crookston:

The University of Minnesota, Crookston provides teaching, research, and service, including associate degrees and selected baccalaureate degrees, with a focus on applied undergraduate instruction and research in agriculture, business, environmental sciences, human resource development, and appropriate interdisciplinary studies.

The University of Minnesota, Crookston provides a University link to the region for technology transfer and outreach, with emphasis on meeting the needs of a rural populace who require lifelong learning, training, and retraining in order to capture opportunities that maximize their existing resources and strengths.

BE IT FURTHER RESOLVED THAT:

The Board of Regents approves implementation of this revised mission to provide access to selected baccalaureate programs in partnership with other University of Minnesota campuses and in partnership with other institutions through a combination of:

- on-site courses taught by University of Minnesota, Crookston faculty and faculty from cooperating campuses and institutions;
- on-site courses taught through telecommunications links with other campuses and institutions; and

- courses that University of Minnesota students would take on other campuses.

The Board of Regents directs that increased tuition and increased enrollment at the University of Minnesota, Crookston will provide the predominant source of revenue required to finance expanded programs.

The Board of Regents directs the administration of the University of Minnesota to submit the proposed specific majors to the Board of Regents for review and approval, and, in accordance with current practice, to submit any specific new majors approved for the University of Minnesota, Crookston to the Minnesota Higher Education Coordinating Board for review.

The Board of Regents establishes the expectation that the programs offered at the University of Minnesota, Crookston achieve and sustain standards of academic quality and economic efficiency appropriate for a campus of the University of Minnesota.

The Board of Regents directs the administration of the University of Minnesota to recommend to the Board of Regents by October 1992, the goals and benchmarks to be used to evaluate the progress of the University of Minnesota, Crookston with respect to academic and economic standards, and that annual assessments be presented to the Board of Regents thereafter with a comprehensive evaluation to be performed no later than 1997.

That the Board of Regents directs the administration to cooperate and collaborate with all systems of higher education, especially Bemidji State University and Moorhead State University, in the planning and implementation of the new programs for the University of Minnesota, Crookston.

Regent Sahlstrom expressed strong support for the proposed resolution. He discussed the contributions of UMC's unique programs to the state, the importance of the University's presence in northwestern Minnesota, and the tremendous support for the campus from individuals outside the University. Regent Sahlstrom stressed the importance of developing a strong arts and sciences foundation for the program, and stated that he is confident the UMC faculty will meet the requirements of the resolution.

Regents Roe and Neel spoke in support of the proposed resolution. Regent Neel stressed the importance of the University having a presence throughout the state. He also noted the impact of agriculture on the state's economy, and read the following excerpt taken from an article in The Burlington Free Press (June 18, 1992):

"Agriculture has one of the highest multiplier effects of any sector of the economy. The general rule of thumb is that every dollar spent in the agricultural economy turns over five to seven times, creating additional economic activity each time. Sectors of the economy that do not produce goods [that] are sold and resold (such as tourism, restaurants and hotels, state and federal government, etc.) have a much smaller multiplier effect.

Vermont agriculture deserves much of the credit for the success of our tourism and travel industry. . . ."

President Hasselmo concurred with Regent Keffeler's statement that it must be made clear to the public that the revised mission would allow UMC to offer certain programs on a four-year basis that are uniquely appropriate for its capacity and which

address the needs of the state, in addition to continuing to offer associate degrees. Chancellor Sargeant noted that the proposed extension of UMC's mission would address student needs, add value to existing University resources, and allow the campus to better meet the mission of the University.

Regent Keffeler expressed concerns regarding the economic and academic aspects of the proposal and the unmet educational needs of the metropolitan area and southwestern Minnesota. She urged the administration to stimulate more focused and energetic discussion with the other higher education systems to address those issues. If the resolution is approved, President Hasselmo stated that the Board will have an opportunity to discuss the economic and academic components of the proposal in October.

Regent Rosha voiced support for the proposal. He concurred with previous concerns regarding the unmet higher education needs in some parts of the state, and suggested that the administration should be more aggressive in meeting the needs in areas not currently being served by the University.

Regent M. Page expressed support for the proposal, particularly because of UMC's outstanding, long-term reputation for cooperation.

President Hasselmo indicated that during this time of change, decisions have to be made about education in this state. He noted the University's continuing willingness to enter into discussions regarding mission differentiation, but stated that there comes a time when those discussions have to be initiated elsewhere. President Hasselmo stated that he hopes a mechanism can be identified to engage all of the systems in meaningful discussions concerning the broader issues of higher education in the state.

Following the discussion, the committee voted unanimously to recommend approval of the proposed resolution.

#### **1992-93 UNIVERSITY HOSPITAL AND CLINIC BUDGET**

Regent Keffeler moved approval of the 1992-93 University of Minnesota Hospital & Clinic (UMHC) Operating and Capital Budgets, and the motion was seconded by Regent Craig.

Robert Dickler, General Director UMHC, commented briefly on the budget proposals. He distributed a summary of the components of the HealthRight legislation, and discussed its impact on UMHC and the state's health care system.

The committee voted unanimously to recommend approval of the 1992-93 UMHC Operating and Capital Budgets.

Regent Craig moved approval of the following resolution, and the motion was seconded by Regent Roe:

**WHEREAS**, the Board of Regents today has approved the University of Minnesota Hospital & Clinic Operating and Capital Budgets for FY 1992-93, which provides \$7.5 million for acquisition activities.

**NOW, THEREFORE, BE IT RESOLVED**, that the University of Minnesota Hospital & Clinic Board of Governors is authorized to transfer such funds which are budgeted for acquisition activities for FY 1992-93 as it may deem necessary and appropriate to Interstate Medical Center P.A. for purposes of enhancing its geographic scope of service, including acquisition activities.

Mr. Dickler stated that the resolution clarifies that the transfer of funds to Interstate Medical Center P.A. for 1992-93 acquisition activities is feasible within the parameters of the approved UMHC budget.

The committee voted unanimously to recommend approval of the proposed resolution. Regent Neel abstained from the vote.

At the request of Regent Craig, Mr. Dickler made parting comments. He stated that the strategic planning process and the work of the UMHC Governance Review Committee will enable UMHC to respond to dramatic changes in the health care environment and be in a position to make fast decisions to meet external challenges. Mr. Dickler indicated that the challenge for UMHC is to determine how it can function and educate students effectively in the future to assure health care at appropriate levels for all citizens.

On behalf of the Board, Regent Neel stated it has been a pleasure to work with Mr. Dickler and wished him well in his new position with the Association of American Medical Colleges.

#### **1992-93 BUDGET PLAN, INCLUDING TUITION, COMPENSATION AND STUDENT SERVICES FEES**

Regent Keffeler moved approval of the 1992-93 Budget Plan, and the motion was seconded by Regent Neel.

Senior Vice President Infante introduced the discussion regarding the proposed Budget Plan, and stated that it follows the parameters established by the Board. He indicated that the 1992-93 student service fees are included in the plan, and noted that a report containing recommended strategic directions for Boynton Health Service and implications of the fee to be charged to students was accepted by the Faculty, Staff & Student Affairs Committee. A resolution was distributed clarifying the proposed 1992-93 student health services fees for the Twin Cities campus. In response to Regent Kuderer, Vice President Hughes stated that action on the resolution could be taken subsequent to action on the proposed Budget Plan.

Dr. Infante stated that the proposed tuition rates follow the Board's parameters, with the exception of the proposed tuition freeze for the Crookston campus.

Senior Vice President Erickson stated that the administration is recommending that student wage rates be increased on the Twin Cities campus in accord with the civil service pay plan. Student wage rates will be held to current levels on the Crookston, Duluth, and Morris campuses.

Regent Roe expressed concern regarding the proposed tuition increase and the resulting impact on access to the University. He stated that Vice President Humphrey once said that "Being leaders is like being a soldier in the battlefield. There are risks and there are casualties. Otherwise you just survive." He said that risks must be taken if the University is going to make progress on this issue, and stated that he is waiting for the Board to take a leadership position and send a strong message to the Legislature.

Regent Kuderer thanked Regents Anderson and Roe for providing facts on financial aid not keeping pace with tuition increases. He stated that attempts to privatize public education are not his idea of government accepting its responsibility to educate people.



Student Representative Paulose voiced serious concerns regarding the proposed tuition plan, including the 18.7 percent increase for the Morris campus. She stated that since the Board of Regents determines allocation of the state appropriation, the argument that the Legislature sets tuition is not valid. She cited examples of the economic hardships experienced by Student Representatives Karen Schlangen and Tim Wolf, stating that the goal must be to preserve accessible, affordable education for all students.

Regent Anderson congratulated Ms. Paulose on her eloquent remarks, but disagreed with her statement regarding the legislative role in establishing tuition rates.

Regent Roshia expressed concerns regarding the impact of the proposed tuition increases. He concurred with Regent Roe's comments regarding the proposal, stating that he will not support the proposed plan.

Regent A. Page stated that he does not feel voting against the Budget Plan is a solution to the issue of rising tuition. He urged the administration to develop creative answers to the problem. Regent Roe disagreed, stating that he feels his vote against the Budget Plan will send a strong message to the Legislature.

President Hasselmo sympathized with the concerns expressed, noting that the only alternatives to balance the budget are to eliminate additional programs, discontinue implementation of the March 1991 restructuring and reallocation plan, or freeze faculty and staff salaries for an additional year. He agreed that the University must be even more aggressive in presenting the public policy issue regarding the need for the state to invest in its future by providing access to higher education.

If the proposed plan is approved, Regent Reagan suggested sending a letter to Governor Carlson and the Legislature stating that the Board has reluctantly approved the Budget Plan and outlining the resulting financial hardships. Regent Kuderer concurred with the suggestion.

Following the discussion, the committee voted by a majority, with Regents Anderson, Roe, and Roshia voting against the motion, to recommend approval of the following resolution:

WHEREAS, the University of Minnesota is committed to maintaining services of high quality, and

WHEREAS, the University of Minnesota wishes to continue to demonstrate accountability to the citizens of Minnesota, and

WHEREAS, the University of Minnesota is committed to providing educational services of high quality at affordable costs, and

WHEREAS, the University of Minnesota is committed to preserving access through a program of financial aid, and

WHEREAS, the University of Minnesota is committed to treating its employees equitably regardless of funding source, and

WHEREAS, the University of Minnesota recognizes that the core academic programs, physical infrastructure, and general support structure must be preserved, and

WHEREAS, the University of Minnesota is committed to improving program quality through reallocation.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents approve the University of Minnesota budget for 1992-93 in the context of the biennial plan as follows:

The annual revenue plan, including:

- State appropriations as modified by the 1992 session
- Tuition plan as proposed
- Changes to temporary investment distributions as proposed
- Student service fees as proposed

The annual expenditure plan, including:

- Salary plans as proposed
- Targeted program improvements as proposed
- Provision for contingencies
- Program reductions as proposed
- Reallocations as proposed

Regent Anderson moved approval of the following resolution, and Regent Craig seconded the motion:

RESOLVED, the Board of Regents authorizes the administration to implement for the 1992-93 year the following recommendation contained in the report on student health services:

1. All students registered for six or more credits will pay \$60.70.
2. Graduate assistants whose health benefits are paid by the University, and who select Boynton or Family Practice as their primary care site, will be required to pay only that portion of the fee not paid through capitation for primary care. This portion is estimated at \$39.70 for 1992-93. Family Practice will reimburse Boynton \$21.00 per quarter for students who choose it as their primary care site.
3. Medical fellow specialists will pay 50 percent of the fee or \$30.35. This arrangement will be re-evaluated on July 1, 1993.

Regent Rosha raised a number of concerns regarding the proposed resolution, stating that he cannot support it because it treats people who work at the University differently than people who are employed elsewhere. He feels that the only way to resolve this issue is to restore the refund to students who can provide evidence of insurance coverage. Dr. Hughes noted that the ultimate goal is to phase medical fellow specialists out of the fees process because they do not fit into the regular student category.

Regent Kuderer stated that the problems result when there are requests for exceptions to the universal fee. He indicated that a change in the universal fee system would cause budgeting problems for Boynton Health Service.

In response to Regent Neel, Dr. Infante stated that there is a large category of post-M.D. individuals, all of whom are classified as students.

Regent Keffeler stated that it does not appear that this situation can be resolved by consensus. She expressed support for deferring action on the proposed resolution and asking the administration to review the economics of the issue. Regent Craig supported that suggestion. Dr. Infante noted that such a deferral would have a negative impact on certain categories of students.

President Hasselmo stated there is administrative and student support for the University making certain types of health care available to students through a student health service on campus. He indicated that the proposed resolution is the result of extensive consultation and review over the past year, noting that it is supported by students. Regent Rosha requested lists of those involved in the consultation process and those who support the resolution.

Following the discussion, the committee voted by a majority, with Regents Keffeler, M. Page, and Rosha voting against the motion, to recommend approval of the resolution.

### **REGENTS' AGENDA GUIDELINES**

Regent Keffeler, Chair of the Regents' Agenda Guidelines Committee, introduced the proposed agenda guidelines. She noted that the committee also included Regents Reagan, Sahlstrom, and Wynia, and that staff support was provided by Kenneth Janzen and Carol Kraus.

Regent Keffeler stated that this item will be discussed at the Regents' retreat on September 2-3. She and Regent Kuderer urged the Regents to be prepared to discuss the document at that time.

The meeting adjourned at 11:45 a.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**July 10, 1992**

A meeting of the Board of Regents of the University of Minnesota was held on Friday, July 10, 1992, at 11:45 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Anderson, Craig, Keffeler, Kuderer, Neel, A. Page, M. Page, Reagan, Roe, Rosha, Sahlstrom, and Wynia. President Hasselmo presided.

Staff present: Chancellors Sargeant and Wilhelmson; Senior Vice Presidents Erickson and Infante; Vice Presidents Allen, Hopkins, and Hughes; Executive Director Muesing; Associate Executive Director Janzen; and Associate Vice Presidents Fischer and Paschke.

**APPROVAL OF MINUTES**

The Board of Regents voted unanimously to approve the minutes of the following meetings:

Committee of the Whole - June 11, 1992  
Committee of the Whole - June 11, 1992  
Committee of the Whole - June 12, 1992  
Board of Regents - June 12, 1992

**REPORT OF THE PRESIDENT**

President Hasselmo presented his monthly report which pertained to the his recent visit to Spain; reports from the President's Minority Advisory Committees; personnel items; strategic planning; and reflection on the 1991-92 academic year.

In addition, he recognized Chair Kuderer on being featured in the current William Mitchell Law School Alumni magazine.

A copy of the President's Report is on file in the Regents' Office.

**REPORT OF THE CHAIR**

Chair Kuderer reported that there would be no August meeting of the Board of Regents. The Board will be holding a retreat September 2-3, 1992 at St. John's University in Collegeville, Minnesota.

Chair Kuderer presented the final reports on the assessment of the President and the Executive Director of the Board of Regents which were recommended by the Regents' Assessment Committee. Copies of the two reports are filed supplement to the minutes, No. 22,315. Chair Kuderer noted that the

results of this assessment would normally merit an increase in salary for the President, however, the President has indicated that he would not accept any increase in salary for the 1992-93 fiscal year due to the current financial situation at the University. Chair Kuderer reported that the Board will respectfully honor his request.

#### **GIFTS**

Associate Vice President Fischer presented the monthly list of gifts to the University of Minnesota, the University of Minnesota Foundation, the Arboretum Foundation and the Minnesota Medical Foundation as listed in the docket material and on file in the Regents' Office.

The Board of Regents voted unanimously to approve the gifts.

#### **CONTRACTS AND GRANTS/APPLICATIONS AND AWARDS**

Associate Vice President Mark Brenner submitted for approval the contracts and grants/applications and awards as presented in the docket material and on file in the Regents' Office.

The Board of Regents voted unanimously to approve the contracts and grants/applications and awards.

#### **REPORT OF THE COMMITTEE OF THE WHOLE July 9, 1992**

Regent Kuderer, Chair of the committee, reported that the committee received reports from the President's Minority Advisory Committee Chairs and the Campus American Indian Advisory Committees. In addition, a report was given on the activities of the Office of the Associate Vice President for Academic Affairs with special responsibility for minority affairs. He reported that recognition was given to Wally Nelson, Superintendent of the Southwest Experiment Station, for his excellent service to the University.

#### **REPORT OF THE COMMITTEE OF THE WHOLE July 10, 1992**

Regent Kuderer, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of resolution re Summary of Expenditures, as follows:

RESOLVED, that the Summary of Expenditures for the Office of the President, Eastcliff Maintenance, and the Board of Regents' Office for the period July 1, 1991 through May 31, 1992 are hereby approved.

- b) Approval of resolution re Strategic Planning/University of Minnesota, Crookston, as follows:

WHEREAS, the University of Minnesota has a century-long tradition of providing education, research, and service in northwestern Minnesota;

WHEREAS, the University of Minnesota, Crookston has been a focal point for meeting the land-grant mission and for integrating the University into the cultural, political, and economic life of the people of the region;

WHEREAS, the University of Minnesota continues to restructure academic programs within the University to strengthen the institution for the future and to address the need to provide cost-effective, high quality higher education to the State of Minnesota;

WHEREAS, the University of Minnesota seeks to strengthen the access to its education, research, and service programs in northwestern Minnesota, with a minimum enrollment goal for the campus of 1,150 full-year-equivalent students in five years;

WHEREAS, the University of Minnesota, Crookston programs are designed to serve the needs of Minnesota in areas such as agriculture, natural resources, hospitality, and small business;

WHEREAS, selected baccalaureate programs would augment the role of the University of Minnesota, Crookston as a part of a land-grant university;

WHEREAS, selected baccalaureate programs will accomplish economies through the utilization of already available resources in both programming and space utilization on the Crookston campus and in nearby higher education institutions; and

WHEREAS, the University of Minnesota, Crookston offers unique opportunities for a telecommunications project that would link northwestern Minnesota with the Twin Cities campus, thereby providing an opportunity for the improved utilization of already existing telecommunication resources.

WHEREAS, the current Mission Statement of the University of Minnesota, Crookston limits the role of the institution to providing two-year lower division undergraduate education.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents of the University of Minnesota approves the following revised Mission Statement for the University of Minnesota, Crookston:

The University of Minnesota, Crookston provides teaching, research, and service, including associate degrees and selected baccalaureate degrees, with a focus on applied undergraduate instruction and research in agriculture, business, environmental sciences, human resource development, and appropriate interdisciplinary studies.

The University of Minnesota, Crookston provides a University link to the region for technology transfer and outreach, with emphasis on meeting the needs of a rural populace who require lifelong learning, training, and retraining in order to capture opportunities that maximize their existing resources and strengths.

**BE IT FURTHER RESOLVED THAT:**

The Board of Regents approves implementation of this revised mission to provide access to selected baccalaureate programs in partnership with other University of Minnesota campuses and in partnership with other institutions through a combination of:

- on-site courses taught by University of Minnesota, Crookston faculty and faculty from cooperating campuses and institutions;
- on-site courses taught through telecommunications links with other campuses and institutions; and
- courses that University of Minnesota students would take on other campuses.

The Board of Regents directs that increased tuition and increased enrollment at the University of Minnesota, Crookston will provide the predominant source of revenue required to finance expanded programs.

The Board of Regents directs the administration of the University of Minnesota to submit the proposed specific majors to the Board of Regents for review and approval, and, in accordance with current practice, to submit any specific new majors approved for the University of Minnesota, Crookston to the Minnesota Higher Education Coordinating Board for review.

The Board of Regents establishes the expectation that the programs offered at the University of Minnesota, Crookston achieve and sustain standards of academic quality and economic efficiency appropriate for a campus of the University of Minnesota.

The Board of Regents directs the administration of the University of Minnesota to recommend to the Board of Regents by October 1992, the goals and benchmarks to be used to evaluate the progress of the University of Minnesota, Crookston with respect to academic and economic standards, and that annual assessments be presented to the Board of Regents thereafter with a comprehensive evaluation to be performed no later than 1997.

That the Board of Regents directs the administration to cooperate and collaborate with all systems of higher education, especially Bemidji State University and Moorhead State University, in the planning and implementation of the new programs for the University of Minnesota, Crookston.

- c) Approval of the 1992-93 University Hospital and Clinic (UMHC) Operating and Capital Budgets as presented in the docket materials.

The Board of Regents voted unanimously to approve the recommendations of the Committee of the Whole.

Chair Kuderer reported that the committee also voted unanimously, with one abstention, to recommend approval of the following:

- a) Approval of resolution re University of Minnesota Hospital & Clinic funding for acquisition, as follows:

WHEREAS, the Board of Regents today has approved the University of Minnesota Hospital & Clinic Operating and Capital Budgets for FY 1992-93, which provides \$7.5 million for acquisition activities.

NOW, THEREFORE, BE IT RESOLVED, that the University of Minnesota Hospital & Clinic Board of Governors is authorized to transfer such funds which are budgeted for acquisition activities for FY 1992-93 as it may deem necessary and appropriate to Interstate Medical Center P.A. for purposes of enhancing its geographic scope of service, including acquisition activities.

The Board of Regents voted unanimously to approve the recommendation of the Committee of the Whole. Regent Neel abstained from voting.

Chair Kuderer reported that the committee voted by majority to recommend approval of the following :

- a) Approval of resolution re 1992-93 Budget Plan, including Tuition, Compensation and Student Services Fees, as follows:

WHEREAS, the University of Minnesota is committed to maintaining services of high quality, and

WHEREAS, the University of Minnesota wishes to continue to demonstrate accountability to the citizens of Minnesota, and

WHEREAS, the University of Minnesota is committed to providing educational services of high quality at affordable costs, and

WHEREAS, the University of Minnesota is committed to preserving access through a program of financial aid, and

WHEREAS, the University of Minnesota is committed to treating its employees equitably regardless of funding source, and

WHEREAS, the University of Minnesota recognizes that the core academic programs, physical infrastructure, and general support structure must be preserved, and



WHEREAS, the University of Minnesota is committed to improving program quality through reallocation,

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents approve the University of Minnesota budget for 1992-93 in the context of the biennial plan as follows:

The annual revenue plan, including:

- State appropriations as modified by the 1992 session
- Tuition plan as proposed
- Changes to temporary investment distributions as proposed
- Student service fees as proposed

The annual expenditure plan, including:

- Salary plans as proposed
- Targeted program improvements as proposed
- Provision for contingencies
- Program reductions as proposed
- Reallocations as proposed

The Board of Regents voted by majority to approve the recommendation of the Committee of the Whole, with Regents Anderson, Roe, and Rosha voting against the resolution.

Chair Kuderer reported that the committee also voted by majority to recommend approval of the following:

- a) Approval of resolution re Student Health Services Fees recommendation as follows:

RESOLVED, the Board of Regents authorizes the administration to implement for the 1992-93 year the following recommendation contained in the report on student health services:

1. All students registered for six or more credits will pay \$60.70.
2. Graduate assistants whose health benefits are paid by the University, and who select Boynton or Family Practice as their primary care site, will be required to pay only that portion of the fee not paid through capitation for primary care. This portion is estimated at \$39.70 for 1992-93. Family Practice will reimburse Boynton \$21.00 per quarter for students who choose it as their primary care site.
3. Medical fellow specialists will pay 50 percent of the fee or \$30.35. This arrangement will be re-evaluated on July 1, 1993.

The Board of Regents voted by majority to approve the recommendation of the Committee of the Whole, with Regents Keffeler, M. Page, and Rosha voting against the resolution.

Chair Kuderer reported that the committee also received a report from the Minnesota Alumni Association and information pertaining to the proposed Regents' Agenda Guidelines. In addition, several individuals were recognized for service and achievements: Student Representative Karen Schlangen, Vice President Marvalene Hughes, and University of Minnesota Hospital & Clinic Director Robert Dickler. He reported that the proposed resolution relating to the Minnesota Supercomputer Center had been withdrawn from the agenda.

#### **REPORT OF THE FACULTY, STAFF & STUDENT AFFAIRS COMMITTEE**

Regent Sahlstrom, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Monthly Faculty, Staff and Student Affairs Report as listed in the docket material, including amendments to Coach James Wacker's Employment Agreement, and on file in the Regents' Office.
- b) Approval of resolution re 1991-93 Addendum to Unit 2 Collective Bargaining Agreement, as follows:

RESOLVED, that on the recommendation of the Senior Vice President for Finance and Operations, the Addendum Agreement between the University of Minnesota and Local 292 of the International Brotherhood of Electrical Workers/Minnesota Building Trades Council governing specific employees assigned to Unit 2 Trades in the classifications Radio and TV Broadcast Technician and Senior Radio and TV Broadcast Technician, is hereby approved.

Documentation is filed supplement to the minutes, No. 22,316.

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

Chair Sahlstrom reported that the committee also voted unanimously with one abstention to recommend the following:

- a) Acceptance of the Boynton Health Service Report as presented in the docket materials.

The Board of Regents voted unanimously to approve the recommendation of the Faculty, Staff & Student Affairs Committee. Regent Keffeler abstained from the vote.

Chair Sahlstrom reported that the committee also reviewed proposed revisions to the Regents' Policy on Faculty and Staff Vacation and received reports on the Student Financial Aid System and the Human Resources Initiative.

**REPORT OF THE PHYSICAL PLANNING &  
OPERATIONS COMMITTEE**

Regent Roe, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Monthly Physical Planning and Operations Report which included reports pertaining to purchasing, project status, property accounting, and miscellaneous items as presented in the docket material and filed in the Regents' Office.

- b) Approval of resolution re Purchase of Goods and Services over \$250,000 as follows:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate staff are authorized to award pending purchases/contracts over \$250,000 as presented to the committee in the amended docket material and filed in the Regents' Office.

- c) Approval of resolution regarding project previously submitted for information, as follows:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to proceed with the design and construction of the following project:

1. Thatcher Hall Demolition, Twin Cities/St. Paul Campus  
Estimated cost of the project: \$343,000  
Funding: Support Services Housing  
Estimated completion date: November 1992

- d) Approval of resolution regarding sale of Salt Spring Lands and Owre Property as follows:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to execute the necessary documents to sell 3,160.31 acres of University Salt Spring lands in St. Louis and Cook Counties located in or near the Boundary Waters Canoe Area Wilderness (BWCAW) and Superior National Forest and the Owre Property in Lake County, 160 acres, to the U.S. Forest Service for \$680,000.

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

Regent Roe reported that the committee reviewed a proposal for the Phase III expansion in Moos Tower, Biomedical Engineering and reviewed two real estate transactions for information: a) sale by public bid of 579-591 Wells Street, St. Paul; and b) sale by public bid of 6,500 square feet of land at Colorado and 24th Avenue East on the Duluth campus. In addition, Regent Roe reported that the committee engaged in an extended discussion during the Senior Vice President's Monthly Report pertaining to a policy issue on the process of negotiating external contracts.

## **REPORT OF THE FINANCE & LEGISLATIVE COMMITTEE**

Regent Anderson, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Monthly Finance and Legislative Report including accounts receivable, central reserves, debt management, and miscellaneous items as presented in the docket material and filed in the Regents' Office.
- b) Approval of resolution re International Investment Management, as follows:

RESOLVED, that 1) the University's investment guidelines be amended to allow up to 20 percent of the endowment fund to be invested in international equities, and 2) Arnhold & S. Bleichroeder, Inc. and Scudder, Stevens & Clark be approved as the initial international managers for the endowment fund.

Regent Kuderer noted that approval of this resolution will automatically amend Item #6 of the Regents' Policy entitled "Investment Policy Guidelines for Endowment Funds" to allow for up to 20 percent of the endowment portfolio to be invested in a combination of global and international mutual funds.

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

Regent Anderson reported that the committee also reviewed the Quarterly Management Report.

## **REPORT OF THE EDUCATIONAL PLANNING & POLICY COMMITTEE**

Regent Craig, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Monthly Educational Planning and Policy Report as presented to the committee in the docket material.
- b) Approval of resolution re Revised Charter and By-Laws for the Humphrey Institute Advisory Committee, as follows:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Academic Affairs, the Board of Regents approves the revised Charter and By-Laws for the Hubert H. Humphrey Institute Advisory Committee as submitted in the docket material and on file in the Regents' Office.

- c) Approval of resolution re Appointment of Rochester Center Advisory Committee Members, as follows:

RESOLVED, that the following list of committee members, as recommended by the current Rochester Advisory Committee and endorsed by central administration, is hereby approved:

Dr. Charles Casey  
Al Cutala  
Al DeBoer  
Carol Kamper  
John Mulder  
John Page  
Marilyn Stewart  
Don Sudor  
Gerald C. Wollner

The Board of Regents voted unanimously to approve the recommendation of the Educational Planning & Policy Committee.

Regent Craig reported that the committee also voted unanimously to recommend approval of the following:

- a) Approval of resolution re Appointment of Humphrey Institute Advisory Committee Members, as follows:

RESOLVED, that the Board of Regents appoints members to the Humphrey Institute Advisory Committee as follows:

New Members - David Cox, William E. Frenzel, Michael O'Keefe, and Hazel Rollins O'Leary.

Reappointed - Josie Johnson, Evelyn O'Connor, and Steve Roszell.

Regent Craig reported that Dean Schuh of the Humphrey Institute had requested that the Board appoint two Regents to three-year terms on the Advisory Committee to replace Regents Anderson and Roe, noting that the committee deferred action on the request pending a recommendation from the Chair of the Board of Regents.

Chair Kuderer introduced an amendment to the resolution recommending the appointment of Regents Craig and Wynia to fill the three-year terms. The amendment was seconded and approved unanimously. The Board of Regents then voted unanimously to approve the following resolution:

RESOLVED, that the Board of Regents appoints members to the Humphrey Institute Advisory Committee as follows:

New Members - David Cox, William E. Frenzel, Michael O'Keefe, and Hazel Rollins O'Leary

Reappointed - Josie Johnson, Evelyn O'Connor, and Steve Roszell.

Regent Appointments for Three-Year Terms - Regents M. Elizabeth Craig and Ann Wynia.

Chair Craig reported that the committee also reviewed a proposed Master of Liberal Studies degree for the University of Minnesota, Duluth and reviewed a proposed Regents' Policy on Academic Misconduct.

#### **REPORT OF THE AUDIT COMMITTEE**

Regent M. Page, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Quarterly Report as presented to the committee.
- b) Approval of the Compliance Officer's Quarterly Report as presented to the committee in the docket materials.
- c) Approval of the Director of Audits' Quarterly Report as presented to the committee in the docket materials.

The Board of Regents voted unanimously to approve the recommendations of the Audit Committee.

Chair Page reported that the committee also received a report from the external auditor.

#### **NEW BUSINESS**

Regent Anderson called attention to a series of articles in the Minnesota Daily relating to the passing of noted journalist Eric Severeid.

The meeting adjourned at 12:20 p.m.

  
**BARBARA MUESING**  
Executive Director &  
Corporate Secretary

MBA  
M66Z

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**MINUTES**

**BOARD OF REGENTS' MEETING**

**AND**

**REGENTS' COMMITTEE MEETINGS**

**September 10-11, 1992**

**Office of the Board of Regents**

**220 Morrill Hall**

UNIVERSITY OF MINNESOTA

BOARD OF REGENTS

Minutes of the Board of Regents' Meeting  
and Regents' Committee Meetings

September 10-11, 1992

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**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**September 10, 1992**

A meeting of the Board of Regents was held on Thursday, September 10, 1992, at 9:00 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regents Anderson, Craig, Keffeler, Kuderer, Neel, A. Page, M. Page, Reagan, Roe, Rosha, Sahlstrom, and Wynia. President Hasselmo presided.

Staff present: Chancellor Wilhelmson; Senior Vice Presidents Erickson and Infante; Vice Presidents Anderson and Hughes; General Counsel Rotenberg; Executive Director Muesing; Associate Executive Director Janzen; Associate Vice President Perlmutter; Assistant Vice President Vikmanis.

**UNIVERSITY OF MINNESOTA HOSPITAL & CLINIC (UMHC)  
STRATEGIC PLANNING OVERVIEW**

Vice President Anderson led the discussion regarding University of Minnesota Hospital & Clinic (UMHC) strategic planning activities. He stated that these activities are in response to the Board of Regents' January 1992 request to develop a UMHC Strategic Plan, noting that the Strategic Plan will be presented to the Board for review at the October meeting and approval in November.

General Counsel Rotenberg reviewed the legal guidelines for the discussion. He noted that there are limited exceptions to the Minnesota Open Meeting Law, stating that discussions regarding specific marketing activity of a public hospital and contracts entered into pursuant to that activity may be shielded from public disclosure. Therefore, he indicated that the portion of the discussion pertaining to UMHC marketing activity will be closed.

Dr. Anderson reviewed the Mission Statement for the Health Sciences, and discussed the vision of the Health Sciences and the University Hospital & Clinic for 1999.

Dr. David Brown, Dean of the Medical School, discussed the importance of a viable University Hospital to the teaching, research, and service components of the University and the Health Sciences. He reviewed a list of top-ranked university-based research centers which have closely associated hospitals on or near campus, stating that the University of Minnesota competes within this realm. Dr. Brown reviewed a comparison of revenue sources for Medical School expenditures for fiscal year 1987 and 1992, noting that the University of Minnesota Medical School and UMHC expenditures total approximately \$550 million.

Kris Johnson, Chair of the UMHC Board of Governors, discussed the importance of increasing the number of inpatients in order for UMHC to fulfill its teaching and research missions and insure financial viability. Without a strong hospital, she stated that the Medical School and Health Sciences will not be strong and the University will be less able to position itself as a strong research institution. To position itself for the future, the Board of Governors has concluded that the UMHC must be cost competitive; offer superior service to patients, families and referring physicians; provide superior clinical outcomes; demonstrate that the care provided is superior; change external relationships and increase outreach activities to insure access to patients statewide; and align with other providers in formal relationships to insure access to managed care patients.

Greg Hart, General Director of UMHC, reviewed the environmental and market trends that are forcing the UMHC to restructure its clinical enterprise in order to maintain its patient base. In response to an issue raised by Regent Sahlstrom, Mr. Hart stated that the University will provide leadership to help change the direction taking place in the state health care system, including participation in the implementation of the Minnesota Care legislation.

Mr. Hart reported that it appears three major health care systems will dominate the Twin Cities private health care market in the future. As a result, he noted that UMHC's market share declined from 6.4 percent in 1988 to 6.2 percent in 1991, in addition to a decline in its market share of patients referred from outside the metropolitan area. Regent Neel noted that the health care environment in the Twin Cities is the most challenging in the country.

Mr. Hart expressed concern that this trend will continue unless UMHC makes major changes. He reported that three internal initiatives relating to cost reduction, improvements in quality of service, and demonstration of clinical outcomes are underway to strengthen UMHC's competitive position. In addition, he stated that the UMHC's relationships with the community health care system must change in a number of ways.

Mr. Hart reported that the UMHC's prices typically are not competitive, noting that inpatient charges average 20 percent above the market. Dr. Anderson concurred with Regent Neel's comment that this is a national problem with university hospitals, however, he stated that UMHC should be able to improve significantly.

Dr. Anderson noted that there is no single solution to the current situation, and stated that UMHC is on the edge of not being able to fulfill its mission because of an insufficient patient base.

Regent Keffeler stated that it is her understanding that the University produces a good share of practicing physicians and hospital administrators, and she asked how the University is faring in its ability to populate the health care systems with which it collaborates and competes. Dr. Anderson responded that he feels the University can do better in that arena, including focusing on physician graduates' feelings toward the institution. He stated that Minnesota Care is a tremendous reason to concentrate more of UMHC's educational efforts outside the Twin Cities.

President Hasselmo expressed appreciation to the individuals who participated in the presentation.

Regent Kuderer moved to recommend approval of the following resolution, and the motion was seconded by Regent Craig:

RESOLVED, that on the recommendation of the President and as provided by Minnesota State Statute 144.581 Subd. 5, a non-public meeting of the Board of Regents be held at 10:30 a.m. on Thursday, September 10, 1992, in Room 238, Morrill Hall, for the purpose of discussing University of Minnesota Hospital & Clinic marketing activity.

The committee voted unanimously to recommend approval of the resolution.

The meeting adjourned at 10:10 a.m.

  
**BARBARA MUESING**  
**Executive Director and**  
**Corporate Secretary**

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Physical Planning and Operations Committee**

**September 10, 1992**

A meeting of the Physical Planning and Operations Committee of the Board of Regents was held on Thursday, September 10, 1992, at 4:20 p.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Roe, Chair; Regents Anderson, Craig, Kuderer, Neel, and Wynia.

Staff present: Chancellor Sargeant; Senior Vice President Erickson; Associate Executive Director Janzen; Associate Vice Presidents Barbatsis, Hewitt, Markham, and Paschke; and Assistant Vice President Cram.

Student Representatives present: David Dahlgren and Brian Swanson.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

The committee voted unanimously to recommend approval of the Senior Vice President's Monthly Report for September 1992.

**PURCHASE OF GOODS AND SERVICES OVER \$250,000**

The committee voted unanimously to recommend approval of a resolution authorizing the appropriate staff to award pending purchases/contracts over \$250,000 as presented in the docket materials.

In response to a question regarding a proposed contract for Creative Foods, Inc. to provide concessions services for University of Minnesota sports facilities, Mr. Paschke explained that the financial savings of using the proposed vendor will amount to approximately \$50,000 per year. It was noted that the contract being entered into with Creative Foods will be a five-year contract effective June 30, 1993 with an option for renegotiation at the end of five years. Mr. Paschke explained that the original five-year time period was negotiated so that the concessionaire will have time to recover its initial capital investment.

Regent Wynia asked about the Booster Clubs and groups that had worked at these concessions in the past. It was reported that, if the contract is approved, those groups would be notified of the change, and the new company would decide if those groups would be utilized.

**PURCHASE OF GOODS AND SERVICES OVER \$250,000**

The committee reviewed a proposal for outsourcing of University of Minnesota food distribution to dormitories, the University Hospitals Nutrition Department, and cash operations (cafeterias) for the Twin Cities campuses.

Charles Lawrence, Assistant Vice President for Food and Housing Services, presented background information indicating that Food Stores has

been in operation since the mid-1950's, operating as a warehouse operation to receive, store, and deliver food and related items to the University Hospital, cash units (cafeterias), and residence halls. Operation costs were covered through a mark up on items sold to the three customers and at any given time up to 25 vendors are selling products to Food Stores on a "bid" basis. During spring 1992, the idea of going to a single vendor was investigated and the results of that investigation indicated that the University could save up to 9.4% annually by making the change. In addition to the food cost savings, benefits would also include reductions of delivery vehicles on campus, storage space needed at each unit, and University funds tied up in inventory. In response to a question, Assistant Vice President Lawrence reported that six full-time University employees will be affected by the change.

Several committee members expressed concern about the small businesses that would be affected by the change. In response, Assistant Vice President Lawrence stated that in some cases, the small companies would still be able to bid for supplying their goods to the University through the new vendor. In addition, Assistant Vice President Cram noted that there are other areas where the University supports small businesses, indicating that the University of Minnesota has a small-business program where it proactively seeks business from small and minority-owned businesses. During the past fiscal year, the University achieved 175 percent of its goal in this area.

It was noted that this item will be on the agenda in October for action.

#### **PROJECTS PREVIOUSLY SUBMITTED FOR INFORMATION**

The committee voted unanimously to recommend that the appropriate administrative officers are authorized to proceed with the design and construction of the following projects:

- a. Moos Tower - 5th Floor  
Biomedical Engineering, Phase III-A, Minneapolis Campus  
Estimated cost of the project: \$631,000  
Funding: Medical School Indirect Cost Recovery Funds and Central Reserves  
Estimated completion date: August 1993
- b. Coffman Memorial Union, Alterations to 5th Floor, Twin Cities Campus  
Estimated cost of the project: \$169,000  
Funding: President's Office and Alumni Association  
Estimated completion date: Phase I - October 1992; Phase II - March 1993

#### **REAL ESTATE TRANSACTION PREVIOUSLY SUBMITTED FOR INFORMATION**

The committee voted unanimously to recommend approval of the following resolution relating to a real estate transaction previously reviewed:

- a. RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to sell 43.38 acres in Government Lot 1 to Frank and Dolores Lundin for the sum of \$6,200 and 25.40 acres in Government Lot 11 to Roland Wivoda for the sum of \$8,550.

## **PROJECTS PRESENTED FOR INFORMATION**

### **Jackson Hall Floors 2 & 3 Biomedical Engineering Phase III-B Nuclear Magnetic Resonance Spectrometer Facility Twin Cities Campus**

This project will involve remodeling of approximately 2,600 square feet of space in Jackson Hall to house three magnets for the Nuclear Magnetic Resonance (NMR) Facility. The remodeled space will include a NMR Spectrometer Room, Computer Work Station Room, Drafting Room, Head Researcher's Office and Assistant Researcher's Office. Estimated cost of the project was reported to be \$454,262, with funding to be provided from a program accommodation remodeling fund, the Medical School, and the Office of the Vice President for Health Sciences. Estimated completion is June 1993.

### **Phillips-Wangensteen Laboratory Remodeling Room 6-1-- Diabetes Twin Cities Campus**

This project consists of general, mechanical, and electrical work required to convert existing office space in the Phillips-Wangensteen Building into research laboratory space for Patient Culture Screening. The work will include new flooring, partitions, doors, painting, vinyl base, ceilings, laboratory casework, and furniture. Estimated cost of the project was reported to be 380,000, with funding provided from the School of Medicine and Program Accommodation Remodeling Funds. Estimated completion is April 1993.

### **Boynton Health Service Addition and Remodeling - Phase I Twin Cities Campus**

This project provides for the construction of a four-floor, 6,800 square feet addition to the north side of the existing Boynton Health Service. Also included in the project is internal remodeling to Boynton Health Service to provide for the relocation of the pharmacy, registration, patient accounting, cashier, insurance functions, and handicapped accessibility.

Through the use of visual aids, Linda McCracken-Hunt, Director of Project Development, provided the committee with background information and details of the project.

Dr. Donald Peters, Director of Boynton Health Service, was also present and responded to several questions posed by Student Representative Swanson.

Estimated cost of the project was reported to be \$2.1 million, with funding to be provided from Boynton Health Service. Estimated completion is March 1994. Action on the item will be requested at the October meeting.

### **Washington Avenue Replacement Ramp Twin Cities Campus**

Director Linda McCracken-Hunt reported that this project provides for the replacement of the existing Washington Avenue Parking Ramp, the adjacent metered parking spaces and the C-4 Contract Lot. The ramp will consist of 262,400 gross square feet (gsf) consisting of 663 net replacement parking spaces, elevators and stairs, including parking for handicapped vans not currently available at this location. Offices for Parking Services, Transit Services and the Police Department will be moved to this site. A pedestrian tunnel connection across Washington Avenue will also be provided which will allow for the light

rail transit if that project were to become a reality. In addition, Ms. McCracken-Hunt reported that provisions are being made for possible skyway connections to the Electrical Engineering/Computer Science Building, the hotel and the future Earth Sciences project.

Regent Anderson asked how much of an increase in parking fees it would take to build the skyway system. Senior Vice President Erickson responded that he could provide that information as well as information on the issues involved in constructing a skyway system.

In response to a question from Regent Craig, it was reported that a temporary parking lot will be provided to accommodate cars that are displaced during construction.

It was reported that the estimated cost of the project will be \$10.2 million, with funding to be provided from an internal loan to be repaid by Parking Services. Estimated completion is November 1993.

**REAL ESTATE TRANSACTION PRESENTED FOR INFORMATION**

**Construction of Building by Itasca Community College  
at the North Central Experiment Station**

The committee reviewed a proposed resolution that would authorize the construction of a 500 square foot building by Itasca Community College on land leased from the University at the North Central Experiment Station in Grand Rapids, Minnesota. It was reported that, upon approval of the resolution, the current lease for the Itasca Community College campus would be amended to include the 1,600 square foot site located north of the currently-leased land and an easement for an electrical line to serve the building. Legislative concurrence for this project involving construction of a building on University land would be requested. The building would be owned by the State of Minnesota, Minnesota State Board for Community Colleges, Itasca Community College, which would be responsible for all construction and on-going operations and maintenance costs. It was noted that the superintendent of the North Central Experiment Station has recommended that this building project be approved.

The meeting adjourned at 5:30 p.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary



**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Finance and Legislative Committee**

**September 10, 1992**

A meeting of the Finance and Legislative Committee of the Board of Regents was held on Thursday, September 10, 1992, at 3:15 p.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Anderson, Chair; Regents Kuderer, M. Page, Roshka, Sahlstrom, and Wynia.

Staff present: Senior Vice President Erickson; Associate Executive Director Janzen; Associate Vice President Paschke; Assistant Director of State Relations Peterson.

Student Representatives present: David Dahlgren and Rachel Paulose.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

The committee voted unanimously to recommend approval of the Senior Vice President for Finance Monthly Report for September 1992.

As part of the report, Senior Vice President Erickson reported that the search for the Associate Vice President for Budget and Finance is in final stages with interviewing of candidates to begin soon.

He then called on Associate Vice President Paschke who reported that the University is considering a fundamental shift to primarily index fund strategies for the management of the U.S. equity portion of the University's endowment. Mr. Paschke explained the rationale for the shift, noting that research to date indicates that the University may be able to achieve greater results at lower cost through index fund strategies. He stated that he will inform the committee if this shift will be made after further analysis has been completed.

Regent Kuderer asked a question regarding the report on Central Reserves contained in the Monthly Report. He indicated that a significant decrease is projected in the balance of the Central Reserves by June 30, 1993 and asked what the commitments on Central Reserves represent. Senior Vice President Erickson responded that the commitments were detailed in the budget presented in July, adding that some of the items represent contingencies that may or may not be used.

**INVESTMENT MANAGER REPORT**

The committee reviewed the investment performance strategies and outlook of Piper Capital Management for the University's fixed income investments and the University of Minnesota Foundation.

Associate Vice President Paschke introduced Mr. Worth Bruntjen and Ms. Marijo Goldstein, of Piper Capital Management, who presented the information and responded to questions from the committee. Mr. Paschke stated that Piper Capital Management manages approximately \$25 million in fixed income assets for the University and its performance for the University has been superb. For the past fiscal year, the University's portfolio was up by 25 percent, adding about \$3 million over a three-year period.

Mr. Bruntjen reviewed the approach and management style used by Piper Capital Management, indicating the key points used in building the University's fixed income investment portfolio.

Ms. Goldstein presented the portfolio characteristics, identifying differences with other indices used for comparison.

Chair Anderson thanked Mr. Bruntjen and Ms. Goldstein for their outstanding presentation.


### **LEGISLATIVE STRATEGY**

Donna Peterson, Director of State Relations, presented an update on legislative activity. She reported that she has been visiting legislators throughout the summer and fall and will continue to do so. Topics of her conversations have related to the impact of recent cuts made at the University; University employees supported by state tax dollars versus employees supported by private funds; the public/private partnership; the steam plant decision; and changes at the University of Minnesota, Crookston.

She reported that a plan of action is being prepared to develop a grassroots campaign for carrying the University's message to the legislature. However, most legislators are presently concerned with the November election and she expects a better reception to University issues following the election.

It was noted that the next legislative session begins on January 5, 1993.

The meeting adjourned at 4:05 p.m.

  
**BARBARA MUESING**  
Executive Director &  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Faculty, Staff and Student Affairs Committee**

**September 10, 1992**

A meeting of the Faculty, Staff and Student Affairs Committee of the Board of Regents was held on Thursday, September 10, 1992, at 4:20 p.m. in Room 300, Morrill Hall.

Regents present: Regent Sahlstrom, presiding; Regents Keffeler, M. Page, and Reagan.

Staff present: Chancellor Johnson; Senior Vice President Infante; Vice President Hopkins; Executive Director Muesing; Associate Vice President Carrier.

Student Representatives present: Joe Errington and Corey Mitteness.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

Senior Vice President Infante presented the Senior Vice President's Monthly Report, which was included in the docket materials, to the committee for approval.

Regent Keffeler moved to recommend approval of the Senior Vice President's Monthly Report, and the motion was seconded by Regent Reagan.

Dr. Infante noted the appointment of Thomas Duff as Acting Dean of the School of Business and Economics, Duluth campus, effective August 1, 1992. He distributed a supplement regarding the appointment of James Stephenson as Head Coach of the Women's Gymnastics Team, effective September 1, 1992.

Dr. Infante clarified an item contained in the report, noting that President Hasselmo has approved a request from the Carlson School of Management to adjust the 1992-93 non-resident tuition increase for the MBA Program from 21 percent to 14 percent.

Dr. Infante noted the appointment of Dr. Beth Elaine Allen to the Curtis L. Carlson Chair in Economics and the appointment of Dr. James A. Stimson to the Arlene Carlson Chair in Political Science. He also reported on the Human Resources consolidation and an October 29, 1992 statewide teleconference on combating racism and bigotry on college campuses. Dr. Infante discussed the efforts of the Twin Cities Campus Committee on Smoke-Free Indoor Air, stating that current plans are for the policy to become effective in the fall of 1993.

The committee voted unanimously to recommend approval of the Senior Vice President's Monthly Report, including the supplement.

### **REGENTS' POLICY ON FACULTY AND STAFF VACATION**

Regent Keffeler moved to recommend adoption of the revised Regents' Faculty and Staff Vacation Policy, and Regent Reagan seconded the motion.

The committee voted unanimously to recommend adoption of the revised Regents' Policy on Faculty and Staff Vacation.

### **REGENTS' POLICY ON ACCESS TO STUDENT RECORDS**

Regent Keffeler moved to recommend adoption of the revised Regents' Policy on Access to Student Records, and the motion was seconded by Regent Reagan.

Vice President Hughes reviewed the proposed policy revisions, noting that students will be able to utilize electronic mail and the definition of "Directory Information" contained in the policy will be expanded. She indicated that both revisions will significantly improve the quality of service to students, and students will be able to choose whether or not to use the services.

The committee voted unanimously to recommend adoption of the revised Regents' Policy on Access to Student Records.

### **QUARTERLY REPORT ON ACADEMIC PERSONNEL ACTIONS**

Vice President Infante presented the quarterly report on regular faculty and academic professional/administrative personnel actions effective since July 1, 1992.

Associate Vice President Carrier indicated that the annual report on academic personnel items will be presented at the November meeting. In response to an issue raised by Regent Sahlstrom, Dr. Carrier stated that although she is not yet satisfied with the results, she is satisfied with the reporting mechanism that has been developed to monitor the University's progress.

Regent Sahlstrom expressed appreciation to Dr. Carrier for her report.

The meeting adjourned at 4:35 p.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Educational Planning and Policy Committee**

**September 10, 1992**

A meeting of the Educational Planning and Policy Committee of the Board of Regents was held on Thursday, September 10, 1992, at 3:05 p.m. in Room 300, Morrill Hall.

Regents present: Regent Craig, presiding; Regents Keffeler, Neel, Reagan, and Roe.

Staff present: Chancellors Ianni and Johnson; Senior Vice President Infante; Vice Presidents Allen, Hopkins, Hughes, and Petersen; Executive Director Muesing; Associate Vice Presidents Brenner and Carrier.

Student Representatives present: Darius Casey and Karen Schlangen.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

Senior Vice President Infante reviewed the Senior Vice President's Monthly Report, which was included in the docket materials. He presented the following item to the committee for approval:

- Ph.D./Master of Arts/Master of Science Minor in Medieval Studies, Twin Cities Campus

Regent Reagan moved to recommend approval of the new minor, and the motion was seconded by Regent Neel. The committee voted unanimously to recommend approval of the proposed program.

Dr. Infante discussed the following items, which were included in the report:

- Selection of Minnesota as the permanent home for the Midwestern Higher Education Commission (MHEC), which will be located in the FMC Building on the West Bank
- Development of common procedures for transfer appeals for all colleges on the Twin Cities campus
- Appointment of the University Workload Task Force, chaired by Professor Carl Adams, to develop institution-wide principles on faculty workload
- Continuation of quality improvement plans

- Activities of the University of Minnesota Outreach Council, chaired by Vice President Allen
- Report on accreditation and program reviews from Arts, Sciences and Engineering and Graduate School programs
- Higher Education Coordinating Board (HECB) items -- program approvals and discontinuation of the state's participation in the Western Interstate Commission for Higher Education (WICHE)

Regent Craig noted the extensive participation of faculty and staff in University committee activities.

Regent Neel moved to recommend approval of the Vice President's Monthly Report, and Regent Keffeler seconded the motion. The committee voted unanimously to recommend approval of the Senior Vice President's Monthly Report.

#### **APPOINTMENT OF HORMEL FOUNDATION TRUSTEE**

Regent Keffeler moved to recommend approval of the appointment of Dr. Harald H. Schmid to the Hormel Foundation Board of Trustees, and Regent Neel seconded the motion. The committee voted unanimously to recommend approval of the following resolution:

RESOLVED, that on the recommendation of the Vice President for Research and Dean of the Graduate School, Dr. Harald H. Schmid is appointed to the Hormel Foundation Board of Trustees for a one-year term, effective September 15, 1992.

Senior Vice President Infante and Vice President Petersen reported on the current financial difficulties of The Hormel Institute. The Institute Director has been asked to develop a five-year strategic plan by November 1, 1992, which will be reviewed by outside consultants. Dr. Infante stated that the Board of Regents will be kept informed regarding this matter.

#### **MASTER OF LIBERAL STUDIES, UMD**

Regent Keffeler moved to recommend approval of the proposed Master of Liberal Studies program at the University of Minnesota, Duluth (UMD), and Regent Neel seconded the motion.

The committee voted unanimously to recommend approval of the program proposal.

#### **REGENTS' POLICY ON ACADEMIC MISCONDUCT**

Regent Keffeler moved to recommend adoption of the Regents' Policy on Academic Misconduct, and the motion was seconded by Regent Neel.

Associate Vice President Brenner stated that the proposed policy strengthens current practices and procedures for addressing issues of academic misconduct, it is fair to complainants and respondents, and it will allow cases to be resolved in a timely manner. In addition, he noted that a proactive process of instruction and leadership will be in place within the University community to avoid such situations initially.

Regent Keffeler asked the administration to provide a comparison of the proposed policy with those of other major institutions regarding critical areas, such as treatment of whistle blowers, conflict of interest, and public disclosure of the nature of the action. She wants to understand how the procedures followed in the cases currently receiving attention would differ under the proposed policy. Regent Keffeler indicated that she would consider adoption of the proposed policy temporary and conditional, pending receipt of the comparative analysis.

Regent Neel concurred with the request for comparative information. He stated that the message must be clear that the University expects integrity in all areas, including scientific research and patient care.

Student Representative Karen Schlangen raised a concern regarding possible conflict of interest as a result of granting the dean of the unit in which the case originated responsibility for administration of the proposed policy. Dr. Brenner stated that the rationale is that the dean would have the greatest expertise in the field, noting that the Senior Vice President for Academic Affairs has the authority to become involved if it appears there is a potential conflict of interest.

Dr. Infante and Dr. Brenner briefly addressed the issues raised during the discussion. In response to a request by Regent Keffeler, they stated that it would be a problem to delay adoption of the proposed policy pending review of the comparative data. Dr. Infante indicated that the comparative data will be provided at the October meeting.

In response to Student Representative Darius Casey, Dr. Infante stated that once adopted, the policy can be amended.

Following the discussion, the committee voted unanimously to recommend adoption of the Regents' Policy on Academic Misconduct.

Committee members expressed appreciation to Dr. Brenner for his work on developing the policy.

#### **M.A. AND Ph.D. IN RHETORIC AND SCIENTIFIC AND TECHNICAL COMMUNICATION**

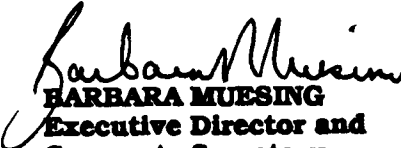
Senior Vice President Infante reviewed a proposal for an M.A. and Ph.D. in Rhetoric and Scientific and Technical Communication. He stated that the program requires a minimal reallocation of resources. Dr. Infante noted that graduate students from the program will teach upper level composition, which will have an impact on undergraduate instruction, particularly for Institute of Technology students. Vice President Petersen stated that the proposal is the result of extensive consultation and negotiations between various units, noting that the program will meet an unmet need and be an appropriate use of faculty resources.

In response to an issue raised by Regent Keffeler, Billie Wahlstrom, Head of the Department of Rhetoric, stated that the department previously hired graduate students who had exhausted their fellowships in other disciplines. She indicated that the department has begun the process of replacing those students with students who are majoring in Rhetoric.

Student Representative Karen Schlangen indicated that she hopes the proposed program will resolve the complaint that University engineering and science graduates do not have technical communication skills.

Following the discussion, Regent Craig stated that this item will be presented for approval at the October meeting.

The meeting adjourned at 4:05 p.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary



**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Committee of the Whole**

**September 10, 1992**

A meeting of the Committee of the Whole of the Board of Regents was held on Thursday, September 10, 1992, at 2:15 p.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Kuderer, presiding; Regents Anderson, Craig, Keffeler, Neel, M. Page, Reagan, Roe, Rosha, Sahlstrom, and Wynia.

Staff present: President Hasselmo; Chancellor Wilhelmson; Senior Vice Presidents Erickson and Infante; Vice Presidents Anderson, Hopkins, Hughes, and Petersen; General Counsel Rotenberg; Executive Director Muesing; Associate Executive Director Janzen; Associate Vice Presidents Perlmutter and Potami; Assistant Vice President Tschida.

Student Representative present: Rachel Paulose.

**STATUS REPORT ON THE ANTI-LYMPHOCYTE GLOBULIN (ALG) PROGRAM**

Regent Kuderer stated that the discussion regarding the Anti-Lymphocyte Globulin (ALG) Program was scheduled in response to recent publicity. Vice President Anderson asked Dr. John Najarian, Chair of the Department of Surgery, to discuss the adequacy of the policies and reporting procedures that are in place and the Federal Drug Administration (FDA) investigation of the use of ALG.

Dr. Najarian commented on the development and use of ALG, which began in the late 1960's. As a result of unsuccessful efforts to have the drug produced outside the University, it has been produced internally and is currently used in approximately 150 transplant centers nationwide. He noted that two or three deaths have resulted from improper administration of ALG, and the University was tardy in reporting that information to the FDA.

Dr. Najarian stated that the University filed a petition with the FDA in 1971 to investigate ALG as a new drug. Tests to demonstrate ALG's safety, efficacy, and potency began in the early 1970's, and an application to obtain final FDA approval was submitted in 1988. The FDA required the University to build a separate facility devoted to ALG production. Dr. Najarian indicated that construction of the facility was financed by the ALG program, and the University is still waiting for final approval by the FDA. The facility employs approximately 70 regular employees and 30 part-time student employees.

Dr. Anderson stated that Dr. Najarian addressed the key issues. He indicated that this is a complicated situation, and stressed the importance of finding an external company to produce ALG.

Regents Keffeler and Neel raised concerns regarding oversight and record keeping. Dr. Najarian indicated that the University has appropriate oversight and that

he accepted responsibility for past record keeping problems. The transplant program recently received a \$6 million grant from the National Institutes of Health as a result of the work of the University's transplant team, and Dr. Najarian noted that ALG is an important part of that work.

Regent Craig stated it is unfortunate that there has been negative publicity concerning a product that deserves accolades. Regent Anderson stated that the University should be proud about the production of ALG, and he congratulated Dr. Najarian for his work.

In response to Regent Wynia's concerns, Dr. Najarian discussed the financial aspects of ALG. He reported that construction of the ALG facility did not begin until sufficient funds had been accumulated, noting that construction took several years at an approximate cost of \$13.5 million.

In response to an issue raised by Regent Reagan regarding staffing needs, Dr. Najarian stated that the infrastructure supporting these activities was insufficient in the past. He noted that computer equipment was recently purchased and the intent is to hire a staff person to work solely on FDA issues. In addition, President Hasselmo stated that there has been considerable progress and investment in the Office of Research and Technology Transfer Administration, and he noted that the Regents' Policy on Academic Misconduct will be presented for adoption this month at the Educational Planning & Policy Committee meeting.

Following the discussion, Regent Kuderer expressed appreciation to Dr. Najarian for his report.

The meeting adjourned at 3:00 p.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Committee of the Whole**

**September 11, 1992**

A meeting of the Committee of the Whole of the Board of Regents was held on Friday, September 11, 1992, at 8:30 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Kuderer, Chair; Regents Anderson, Craig, Keffeler, Neel, A. Page, M. Page, Reagan, Roe, Rosha, Sahlstrom, and Wynia.

Staff present: President Hasselmo; Chancellors Ianni, Johnson, Sargeant, and Wilhelmson; Senior Vice Presidents Erickson and Infante; Vice Presidents Allen, Hopkins, Hughes, and Peterson; General Counsel Rotenberg; Executive Director Muesing; Associate Executive Director Janzen.

Student Representative present: Rachel Paulose.

**RECOGNITIONS**

**Truman Scholarship Recipients**

The committee recognized Christine VeLure and Anne Bodley for being selected as finalists to receive Truman Scholarships. Chair Kuderer reported Ms. VeLure and Ms. Bodley were 2 of 54 finalists that were selected from 1,230 nominated for these scholarships and that criteria for receiving these scholarships include academic excellence and community service.

**Civil Service Committee Members**

President Hasselmo recognized Anne Caton, Karen Prince, Barbara Weiler, and Jean Goldsberry, Chair of the Civil Service Committee, for their distinguished service on the committee.

Ms. Goldsberry briefly addressed the committee, and introduced Pam Wilson, the new Chair of the Civil Service Committee. Ms. Wilson introduced the following new members of the Civil Service Committee:

Sylvia Brown, Executive Assistant  
Office of the Vice President for Student Affairs

Carol Siegel, Program Associate  
Professional Development and Conference Services Department

Larry Etkin, Editor  
Minnesota Extension Service and Minnesota Agricultural Experiment  
Stations

Margaret Von Hellwig,  
Rodney Briggs Library  
University of Minnesota, Morris

Kenneth White, Senior Staff Member  
Office of Equal Opportunity and Affirmative Action  
Ex Officio Member of Civil Service Committee

On behalf of the Board, Regent Kuderer expressed appreciation to the members of the Civil Service Committee for their work.

#### **Minnesota Alumni Association Presentation**

Margaret Carlson, Executive Director of the Minnesota Alumni Association presented members of the Board with a commemorative brick from the demolition of Memorial Stadium. Ms. Carlson briefly addressed the committee indicating that to date 2,100 bricks have been sold toward the goal of 3,500 bricks; sale of the bricks will continue through the last football game on November 21; and net proceeds from the sale will go for scholarships. Recognition was given to Jeff Sturkey, Director of Special Events for University Relations; Teresa Scalzo, Associate Editor for Minnesota Magazine, Minnesota Alumni Association; and Ron Johnson, Director of Marketing and Membership for the Minnesota Alumni Association for their work in helping to make the program successful.

#### **REGENTS' POLICY ON BOARD OPERATION/AGENDA GUIDELINES**

Regent Keffeler presented the proposed Regents' Policy on Board Operation/Agenda Guidelines for adoption. She briefly reviewed changes proposed since review of the policy at the Board retreat, indicating that most of the changes were made to clarify original intent.

The committee voted unanimously to recommend adoption of the Regents' Policy on Board Operation/Agenda Guidelines.

#### **FY 94-FY98 ENROLLMENT POLICY**

Associate Vice President Peter Zetterberg led a discussion relating to a proposed University of Minnesota enrollment plan for the period FY94-FY98. Dr. Zetterberg reviewed information contained in the report from the Enrollment Management Committee which included a review of enrollment trends and patterns over the past six years, principles setting forth enrollment management strategy, and a recommendation that enrollment be kept at approximately current levels for the next five years. It was reported that University Administration supports the committee's recommendation.

A resolution was reviewed that proposed the following enrollment plan for FY94-FY98:

1. The University will maintain undergraduate enrollment at the approximate projected FY93 level of 31,800 full year equivalent (FYE) students;
2. The University will maintain graduate and professional/graduate professional enrollments at the approximate projected FY93 levels of 7,250 and 6,850 FYE students respectively; and

3. The University will establish recruitment, admissions, and retention strategies at the Undergraduate, graduate, and professional/graduate professional levels that will provide the headcount enrollments necessary to maintain these FYE enrollments.

Dr. Zetterberg explained that the objectives of the proposed plan are to stabilize FYE enrollment at current levels in order to preserve existing funding per student levels, as well as stabilize tuition revenue at anticipated levels. In addition, the proposed enrollment targets are designed to meet two objectives regarding the balance among the undergraduate classes and the ratio of new high school (NHS) students to new advanced standing (NAS) students on the Twin Cities campus. They will 1) restore the ratio of NHS to NAS students to approximately 2/1; and 2) restore the balance among the classes, so that by FY98 there will again be more freshmen than seniors on the Twin Cities campus.

The committee engaged in an extended discussion. Student Representative Paulose asked if there were safeguards for retaining minority students. Senior Vice President Infante responded that one of the guiding principles of the proposed policy is that the University's enrollment goals must be responsive to diversity goals and objectives, particularly the objective that 10 percent of the University's students should be students from minority groups. In addition, achieving diversity goals is a part of a new major initiative to centralize admissions and make it more effective.

Regent Keffeler asked how the plan will affect recruitment of resident and non-resident students and whether or not the profile of students will change. Associate Vice President Zetterberg stated that he would expect a more aggressive recruitment of students from within the state, with higher ability students targeted. He stated that he does not anticipate that the profile of students will change significantly under the plan.

In answer to a question, President Hasselmo indicated that cooperation among all of the higher education systems in the state will be key to serving the students in the future.

In answer to a question regarding recruitment of high ability students, Dr. Wayne Sigler, newly-appointed Director of Admissions, was introduced and asked to respond. Dr. Sigler stated that the best technique for recruiting is to emphasize your product - the academic reputation of the school, along with honor and scholarship opportunities. Personal contacts and the role of alumni also play an important part for recruitment.

Regent Anderson expressed concern about those students that will be unable to attend the University because of limited enrollment. He asked if students are made aware of other educational opportunities when they receive rejection letters. Dr. Sigler responded that this is a major principle included in the new admissions processing plan and that efforts will be made to provide students with information on options available to them. Regent Anderson asked if he could receive a copy of a typical rejection letter when the new processing plan is put into place.

The committee then discussed the criteria for making admissions decisions, the importance of appropriate preparation in high school, and the means of reviewing applicants who fall short of the University's admissions requirements. It was also noted that units within the University have different levels of admissions criteria that are appropriate to their mission.

President Hasselmo concluded by stating that it is easy to become technical when talking about admissions, however, he wanted to stress that the University of Minnesota adheres to the fundamental principle of providing quality education to any student who wants help in meeting their educational goals. Only the requirements of producing quality education will prevent the University from that objective.

The item will be on the agenda for action in October.

### **LEGISLATIVE REQUEST**

President Hasselmo presented an initial draft of the Biennial Budget Request for fiscal year 1994-95, indicating that this draft represents the first of two stages of preparation for the Biennial Request. He stated that the Governor and the Department of Finance had asked the University to submit this draft outline with the Governor's Office proposing to review and respond to the draft during the second half of September.

President Hasselmo reported that the proposed plan contains an outline of the current base, a projected inflationary increase, and special initiatives that are beneficial to the state. These initiatives include the environment, public health and outreach, distance learning, and infrastructure. He also reported that the proposed plan does not recommend a specific solution to a stand-still budget. However, the plan does provide the implications of a stand-still budget in a table that illustrated 1) different percentages to meet inflationary increases; 2) different percentages of a potential tuition increase; and 3) the cutback necessary given certain assumptions concerning inflationary increases and tuition.

Regent Kuderer reported that members of the Board had reviewed and discussed the plan at their retreat September 2 and 3 and unless there were questions about the particular language or the direction contained in the draft, the administration can assume that this draft is proceeding in the right manner.

Regent Rosha asked what approach the other higher education systems have taken. President Hasselmo stated that while the approaches of the various systems are still in the development stage, there have been discussions with the other systems about the possibility of approaching some of the issues on a joint basis.

Student Representative Paulose distributed the results of a study completed by two professors from the Bureau of Sociological Research at the University of Colorado, Boulder. Included in this study was a section pertaining to the independence of Minnesota students and the uniqueness of their need for financial aid. Ms. Paulose stated that the Student Representatives found this study very interesting and feel that this should be brought to the attention of the legislature. Senior Vice President Infante responded that he had commissioned this study and has found this data very helpful in presenting information to the legislature.

## **UPDATE ON UMW**

Chancellor Wilhelmson and Vice President Allen presented an overview on the closure of the University of Minnesota, Waseca campus which included issues associated with the students, staff, equipment, and the campus.

Chancellor Wilhelmson addressed the committee sharing her personal perspectives on the final year of operation for the Waseca campus. She reported that the year was unique and challenging, interwoven with emotions of anger, sadness, and loss. However, the faculty, staff, and administration worked hard during the year to educate and provide services for the students. In turn, she commended the students for their enthusiasm, adaptability and commitment to the Waseca campus during the last year.

Chancellor Wilhelmson reported that during the past year there were two basic purposes to fulfill: 1) to operate the campus effectively by providing academic programs, services, and student activities; and 2) to provide transition for the faculty, staff, equipment, records, archival, and historical material. She feels both purposes were fulfilled in the best manner possible. She reported that the year proved to be better than expected due to a number of factors:

1. President Hasselmo set the foundation for closure by announcing that the closing of the campus was to be done in as humane a way as possible.
2. Financial resources were made available.
3. Students were very supportive.
4. Additional financial aid was provided.
5. A Student Transition & Assistance Center and a Faculty and Staff Transition Center were added.
6. Central Administration was very responsive.

Lastly, Chancellor Wilhelmson commended her administrative team for their work and support during the last year. Those individuals recognized were: Tom Yuzer, Director of Institutional Advancement; Kathryn Hanna, Vice Chancellor for Academic Affairs; Mike Rollefson, Director of Business Affairs; and Lowell Rasmussen, Director of Plant & Support Services.

Vice President Allen commended Chancellor Wilhelmson, the administration, faculty, staff, and students at the University of Minnesota, Waseca for their efforts during this trying time.

He further reported that it is anticipated that the moving of equipment, library holdings, etc. will continue through the end of October. At that time, he will provide a final report on the closing of the campus. He reported briefly on the status of faculty and the process of transferring equipment and then called on Senior Vice President Erickson who provided an update on the facility at Waseca.

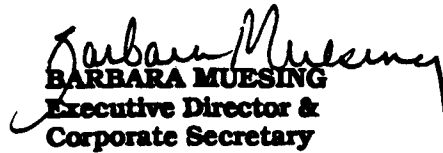
Senior Vice President Erickson reiterated the comments of Vice President Allen, commending Chancellor Wilhelmson and her staff on their remarkable work during the past year. In terms of the status of the facility, he reported that the administration has been working with the city of Waseca on

transfer of the property noting that, for the benefit of the city and state of Minnesota, the reuse of the facility as soon as possible has been encouraged.

Chancellor Wilhelmson concluded the with a final statement and a presentation of the University of Minnesota, Waseca flag to the Board of Regents.

Chair Kuderer presented Chancellor Wilhelmson with a certificate from the Board of Regents expressing deep appreciation for her outstanding contributions to the University.

The meeting adjourned at 11:10 a.m.

  
**BARBARA MUESING**  
**Executive Director &**  
**Corporate Secretary**



**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**September 11, 1992**

A meeting of the Board of Regents of the University of Minnesota was held on Friday, September 11, 1992, at 11:25 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Anderson, Craig, Keffeler, Kuderer, Neel, A. Page, M. Page, Reagan, Roe, Sahlstrom, and Wynia. President Hasselmo presided.

Staff present: Chancellors Sargeant and Wilhelmson; Senior Vice Presidents Erickson and Infante; Vice Presidents Allen and Petersen; Executive Director Muesing; Associate Executive Director Janzen; and Associate Vice President Fischer.

**APPROVAL OF MINUTES**

The Board of Regents voted unanimously to approve the minutes of the following meetings:

Board of Regents' Meeting - July 9, 1992  
Audit Committee - July 9, 1992  
Physical Planning & Operations Committee - July 9, 1992  
Finance & Legislative Committee - July 9, 1992  
Faculty, Staff & Student Affairs Committee - July 9, 1992  
Educational Planning & Policy Committee - July 9, 1992  
Committee of the Whole - July 9, 1992  
Committee of the Whole - July 10, 1992  
Board of Regents - July 11, 1992

**REPORT OF THE PRESIDENT**

President Hasselmo presented his monthly report which pertained to the Mentoring Minnesota's Youth Program; the General Biology Program; the UMD Medical School; Planning and the State of the University; developing strategies for planning; the Biennial Budget Request; strategic planning in the Health Sciences; and recognition of Chancellor Nan Wilhelmson.

A copy of the President's Report is on file in the Regents' Office.

**REPORT OF THE CHAIR**

Chair Kuderer reported that members of the Board of Regents participated in a retreat September 2-3 at St. John's University. The retreat provided an opportunity for informal discussion of the President's vision, strategic planning issues, financial scenarios and legislative strategy. The second day of the retreat the Board met for lunch with the presidents and central

officers from St. John's University and the College of St. Benedict to discuss issues of mutual interest. He thanked President Hasselmo and Senior Vice Presidents Erickson and Infante for their participation at the retreat.

Chair Kuderer announced that he has appointed a Board of Governors Nominating Committee. Regent Craig will chair the committee with Regents M. Page and Sahlstrom to also serve. Kris Johnson, Chair of the Board of Governors and Vice President Anderson will participate as ex officio members. Suggestions for nominees are welcome and should be directed to any committee member. A slate will come for review in November and action will be taken at the December meeting.

He further reported that the Board will hold an open forum on Thursday, November 12, at the Humphrey Institute. Anyone who wishes to speak on any topic may do so by contacting the Regents' Office. Speakers will be limited to five minutes each.

Chair Kuderer distributed a letter written on behalf of the Board to Governor Carlson expressing serious concern about the financial situation at the University of Minnesota, particularly issues relating to tuition and reductions in appropriations. He urged members of the Board to share the letter with any interested parties, particularly any other members of the legislature that might benefit from the information contained in the letter.

#### **GIFTS**

Associate Vice President Fischer presented the monthly list of gifts to the University of Minnesota, the University of Minnesota Foundation, the Arboretum Foundation and the Minnesota Medical Foundation as listed in the docket material and on file in the Regents' Office. In addition, Mr. Fischer reviewed results of 1991-92 private gift support for the University of Minnesota, indicating that through the help and commitment of many individuals, it was an excellent year.

Chair Kuderer asked for approval of the gifts and introduced the following resolution in response to the private gift support from 1991-92:

To recognize the excellent results in private gift support for the benefit of the University of Minnesota in the academic year 1991-92,

The Board of Regents of the University of Minnesota hereby recognizes the excellent level of private gifts received for the benefit of the University in the 1991-92 academic year.

To the extensive network of donors and volunteers, we offer our heartfelt appreciation for helping the University of Minnesota create, maintain, and expand a margin of excellence among its students, faculty, and programs.

To all members of the University community who helped secure these gifts and commitments for future gifts--to central administration, chancellors, deans, directors, and faculty; and to the collegiate development officers and the central development staffs at the Minnesota Medical Foundation and the University of Minnesota Foundation--we extend a hearty "Well Done" and our profound sense of appreciation.

The Board of Regents voted unanimously to approve the gifts and resolution as presented.

#### **CONTRACTS AND GRANTS/APPLICATIONS AND AWARDS**

Vice President Petersen submitted for approval the contracts and grants/applications and awards as presented in the docket material and on file in the Regents' Office.

The Board of Regents voted unanimously to approve the contracts and grants/applications and awards.

#### **REPORT OF THE COMMITTEE OF THE WHOLE September 10, 1992**

Regent Kuderer, Chair of the committee, reported that the committee received a status report on the University of Minnesota's Anti-Lymphocyte Globulin (ALG) Program.

#### **REPORT OF THE COMMITTEE OF THE WHOLE September 11, 1992**

Regent Kuderer, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of resolution and Regents' Policy on Board Operation and Agenda Guidelines, as follows:

RESOLVED, that on the recommendation of the Agenda Guidelines Committee, the Board of Regents adopts the policy "Board Operation and Agenda Guidelines" as distributed at this Committee of the Whole meeting.

#### **BOARD OF REGENTS**

##### **Board Operation and Agenda Guidelines**

##### **Section I: The Authority and Role of the Board of Regents**

The Board of Regents is charged by the Minnesota Territorial Laws of 1851, Chapter 3, with the "power and....duty to enact laws for the government of the University." This authority is primarily exercised through the selection, support, and assessment of the President of the University; the adoption of fundamental policies and plans; the delegation of specified authority to the President and, through the President, to other officers of the University; and the oversight of the institution's operation to ensure its welfare and adherence to fundamental policies and plans.

The Board of Regents delegates authority for specific actions, but it retains ultimate responsibility, imposed by Charter, for governance of the University. A further delineation of the authority and responsibility of the Board is contained in the Regents' Policy titled "Board Responsibilities and Individual Regent Responsibilities."

## **Section II: Operation of the Board of Regents**

- A. Public Accountability --** The Board of Regents is a public entity, created to govern the University of the state of Minnesota under the provisions, obligations, and autonomy afforded through the Minnesota Territorial Laws and perpetuated by the Minnesota State Constitution.

The University of Minnesota is a public resource, responsible by Charter for a special role in serving the higher education needs of the citizenry, participating in the economic vitality and quality of life of the state, and positioning the state to contribute to issues of national and global significance.

The Board of Regents, through its regular review of policies and procedures, strives continuously to achieve the highest standard of accountability. To this end, the Board maintains an active relationship with the Minnesota State Legislature and the people of Minnesota. The meetings of the Board are conducted according to the spirit and intent of the Minnesota Open Meeting Law; the documents, minutes, and recordings related to the public deliberations of the Board are available to the citizenry; and open forums are held to provide opportunities for individuals and groups to convey their views directly to the Board on matters of interest.

- B. The Partnership of the Board of Regents and the University President --** There is no more significant set of Board actions than the selection and assessment of the University President. The President's accomplishments, goals, objectives, and work plan are reviewed annually, and a report of the assessment review is publicly presented at a meeting of the Board of Regents.

The Board of Regents is responsible for setting the policy of the University, while the President is responsible for recommending and executing policy through management. Therefore, it is critical to have an effective partnership between the Board and the President--a relationship characterized by active, complete, timely, open, and direct communication, sustained by mutuality and trust. The importance of clear lines of communication is emphasized in the formal delegation of authority policies contained in the REGENTS' POLICY BOOK and in this policy of "Board Operation and Agenda Guidelines."

The Board of Regents, through the President, extends communication links with the University community. The Board meets regularly with key organizations of faculty, staff, students, and alumni.

**C. Organization of Business**

1. **Meetings --** The Annual Meeting of the Board of Regents is held on the second Friday in June each year, unless otherwise determined by the Board of Regents (BYLAWS, Article IV, Section A). Regular meetings are held in accordance with a schedule approved at the Annual Meeting, usually on the second Friday and preceding Thursday of each month except August. Docket material for meetings is distributed to Regents one week prior to meeting dates, and is publicly available following distribution.
2. **Committee Structure --** The Board of Regents conducts its business through committees. Most actions that come to the Board are first considered and approved by one of the Board's standing committees. The committees are: Committee of the Whole; Educational Planning and Policy; Faculty, Staff, and Student Affairs; Facilities; Financial Operations and Legislative; and Audit (meets quarterly). Guidelines pertaining to the scope and function of the standing committees are found in Section IV of this policy.

Article VI of the Board of Regents' BYLAWS states that the Chair of the Board shall name, describe the mission, and recommend to the Board the number and the names of standing committees of the Board. Revising this policy on "Board Operation and Agenda Guidelines" is the suggested mechanism for the Chair to use to recommend future changes in committee structure.

3. **Responsibility of Board Officers for Meetings and Agendas --** The Chair of the Board is responsible for setting the agenda of the meetings of the Board and its committees, in consultation with the President and the Vice Chair and with the assistance of the Executive Director. The Chair of the Board presides over the meetings of the Committee of the Whole.

The President of the University presides over the meetings of the Board. The President is responsible for the substance of the recommendations that come to the Board in the agenda and docket.

The Vice Chair presides in the absence of the Chair and is responsible for participating with the Chair and the President in setting the agenda of the Board and its committees.

The Executive Director is responsible for maintaining the official records of the meetings of the Board and its committees, for managing the

monthly agenda and docket process, for advising the President regarding the standards and protocols of the Board meetings, for maintaining the official calendar, and generally for ensuring that logistical support is provided to allow the Board proceedings to be conducted in an open, timely, and accountable manner.

4. **Responsibilities of Committee Chairs --** The committee chairs preside over the meetings of their respective committees, ensuring the orderly, open, and timely conduct of committee business. The President (or designee) consults with committee chairs prior to committee meetings regarding background issues for the committee agendas.
5. **Regents' Calendar --** The Regents' Calendar is a continually adjusted, annual schedule of major actions and reports to be considered in the committees of the Board. The Regents' Calendar and all dates and timelines cited under this policy are subject to change.
6. **Agenda Development --** Article V, Section D, and Article VII, Section D, of the Regents' BYLAWS indicate that the President or the Chair of the Board has the authority to approve items of business for meetings of the Regents. In accord with the BYLAWS and the responsibilities of Board officers noted above, the procedure for agenda development includes the production of a tentative agenda based on the Regents' Calendar and items carried over from previous meetings. The primary focus of regular meetings of the Board is on matters of policy and governance.

The tentative agenda is first distributed for comment to central officers and Regents' committee chairs and then brought to a meeting of the President, Board officers, and the Executive Director of the Board to set the working agenda. Individuals or groups wanting to bring an item to the Board should address a written request to the Executive Director, who reviews the request with the Board officers. Any Regent wanting to bring an item to the agenda may make a request to the Board officers or may move to have the matter considered, in accordance with parliamentary procedure, during any meeting of the Board or its committees.

7. **Meeting Procedures --** Consistent with the Board of Regents' BYLAWS (Article V), ROBERT'S RULES OF ORDER are the rules of procedure for all meetings of the Board to the extent that they are not inconsistent with the law, the BYLAWS, or any special rule of the Board of Regents, including this

Regents' Policy on "Board Operation and Agenda Guidelines." Following ROBERT'S RULES, the Chair calls for a motion to be on the table before there is discussion at the meeting in which action is to take place. A motion is not needed to present or discuss reports that do not require action by the Regents. The Chair relies on ROBERT'S RULES as a guide to ensure an orderly process and fair opportunity for all Regents to participate in the discussion. The University General Counsel (or designee) serves as Parliamentarian.

Requests for action, or matters involving significant policy or financial impact, are submitted for review one month and for action the following month. When proposals are presented for review, all supporting material, including the proposed resolution, should be available in advance of the meeting, preferably in the docket. Routine items that meet the procedure and criteria of existing Regents' policy may be presented for concurrent review and action (e.g., purchasing contracts and personnel actions). The Board Chair may decide that special circumstances warrant that an item be placed on the agenda for concurrent review and action.

A formal "direction to staff," expressed as a motion, is the preferred way to convey a request for information or follow-up. The formal motion clarifies the intention of the Board.

Reports submitted to the Board that do not require action are officially noted by the Chair in the form of a statement to "receive and file."

At the discretion of the Chair of the Board, consistent with Section II. C. 6. above, "consent agenda" items may be included as a part of the agenda of any committee. Items so identified may be voted on without discussion. The monthly reports of the Senior Vice Presidents submitted to the standing committees provide a vehicle for establishing a "consent agenda," and are acted on as action items without previous review. The Chair or any member of the Board may request discussion or separate action on any report or "consent agenda" item.

8. **Docket Materials** -- The docket is the set of recommendations, supporting documents, and reports prepared for each item on an agenda of the Board and its committees. A docket sheet for each agenda item includes a statement related to the policy and financial impact of the item. The Regents' Office staff can offer assistance with the development of the docket sheet, and written and oral presentations.

### **Section III: Fundamental Planning Documents**

The ACADEMIC PLAN and the BUDGET are the two key plans, approved by the Board of Regents, through which the institution is governed.

#### **A. The Academic Plan**

The University ACADEMIC PLAN sets forth the major goals, objectives, and timelines for the on-going pursuit of the education, research, and service mission of the University. The plan is broad and far-reaching, with a time horizon of three to five years and a scope covering all campuses and programs of the University. The ACADEMIC PLAN is the major vehicle through which the University differentiates its role among the systems of higher education within the state of Minnesota, and through which the direction and priorities of the institution are articulated. The ACADEMIC PLAN is updated annually and recommended by the President to the Board for review/approval, preferably in May/June of each year. The ACADEMIC PLAN sets the framework for the University Budget.

#### **B. The Budget**

The University BUDGET is a two-part plan, setting forth the operating and capital requirements and authorizations for financing the activities of the University. The BUDGET includes all funds, (revenues and expenditures), all campuses, and all programs of the University. It incorporates historical background, projections, and performance measures. The operating budget is an annual plan; the capital budget has a six-year time horizon, updated annually. Both the operating and capital budgets are recommended to the Board by the President for review/approval, preferably in June/July, after approval of the ACADEMIC PLAN. The operating budget is organized by campus and college, summarized, and presented by vice presidential unit. Budget principles and parameters are customarily brought to the Board one month prior to the presentation of the BUDGET.

The annual budget for the University of Minnesota Hospital and Clinic is recommended to the Regents through the University of Minnesota Hospital and Clinic Board of Governors. It is a part of the University Budget, and is presented at the same time, with interdependence noted as appropriate.

On approval, the ACADEMIC PLAN and BUDGET provide the framework for Board oversight of institutional effectiveness and compliance. The President's annual report of goals, objectives and work plan, reviewed each year as part of the Presidential assessment process, reflect the key components of the institution's ACADEMIC PLAN and BUDGET.



## **Section IV: Committee Guidelines**

### **Committee of the Whole**

The Committee of the Whole meets during each set of monthly meetings of the Board of Regents, on a time schedule designed to accommodate the nature and number of items to be considered. The agenda items for the Committee of the Whole have the most fundamental importance and broad policy implications for the University.

The following items regularly come to the Board of Regents through the Committee of the Whole:

- The fundamental planning documents, the ACADEMIC PLAN and the BUDGET (operating and capital), come to the Committee of the Whole. Descriptions and timelines are noted in the previous section of this policy.
- The President's annual assessment report is brought to the Committee of the Whole as a supplement to planning documents.
- Legislative funding requests, including biennial and capital requests, are brought to the Committee of the Whole on a timeline consistent with deadlines for submission set by the state. The requests are in accord with the University's fundamental planning documents.
- The annual report of asset and debt management is a presentation of investment and debt performance, measured against comparable industry standards, and provided to the Committee of the Whole, normally in October.
- The annual financial report is a presentation, scheduled at the end of the calendar year, of the audited financial statements of the University, along with a narrative discussion of trends that measure progress in achieving University goals.
- The summary of expenditures for the Office of the President and the Board of Regents' Office is presented quarterly in November, February, May, and July.
- Other reports that come to the Committee include, but are not limited to, the University of Minnesota Hospital and Clinic Board of Governors, the Faculty Consultative Committee, the Minnesota Alumni Association, and the Athletic Directors. The Board Chair may "receive and file" these reports or request their formal presentation when the agenda is set. Any member of the Board may request that a report be brought forward for discussion.
- Other items and reports are placed on the agenda by the Chair of the Board or the President, as provided in the BYLAWS.

### **Educational Planning and Policy Committee**

- The Monthly Report of the Senior Vice President for Academic Affairs includes specific recommendations for new programs and program name changes, final program approval following review by the Minnesota Higher Education Coordinating Board, notification of significant issues and resulting actions raised by external accreditation agencies, and status reports on current issues of concern to the committee.
- The annual proposal for the addition or discontinuance of academic programs is presented for approval to the committee each fall, following Board approval of the University's ACADEMIC PLAN and BUDGET. Policy and budget implications are critical components of this annual proposal. Once approved, the specific proposals for new programs are reported in the Senior Vice President's Report.
- Reports on strategic plans of collegiate units come to the committee on a rotation schedule provided by the Senior Vice President for Academic Affairs. These presentations focus on ties to ACADEMIC PLAN, program directions, personnel policy issues, financial policy issues, areas of concern, and notable achievements.
- Appointments to boards and advisory committees that require approval of the Board of Regents come to the committee on a time schedule consistent with the Regents' Appointment Policy.
- Other items are placed on the agenda by the Chair of the Board or the President, or their designees, as provided in the BYLAWS.

### **Faculty, Staff and Student Affairs Committee**

- The Monthly Report of the Senior Vice President for Academic Affairs includes status reports on administrative searches and appointments, status reports on current issues of concern to the committee, and personnel items requiring committee action. These personnel items are initial appointments, special appointments, or leaves for the following categories and must have Board approval before they become effective:
  1. Chancellors
  2. Vice Presidents and General Counsel
  3. Deans
  4. Division I Athletic Directors
  5. Division I Head Coaches in Men's Football, Basketball, Hockey (Twin Cities), Hockey (Duluth); and Women's Volleyball, Basketball, Gymnastics, Softball (Twin Cities)\*

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\* Adoption of this policy will result in a change of wording in the policy "Delegation of Authority: Academic Personnel Matters" to make the appointments that require Regents' approval consistent.

No arrangements negotiated with individuals in the foregoing categories will be binding upon the University prior to Board approval.

- Quarterly summaries of academic personnel actions are presented each February, May, September and an annual report is presented in November. The summary information includes hiring, attrition, leaves, consulting, promotion and tenure, and information about progress toward diversity goals.
- Personnel items of special public interest or potential conflict, as provided in the Regents' Policy titled "Delegation of Authority: Academic Personnel Matters" come to the committee.
- Changes in the University Senate Constitution, Academic Professional and Administrative Staff Policies, and Civil Service Rules come to the committee as recommended by the Administration.
- The Regents approve all negotiated labor agreements. Negotiating parameters are reviewed with the Chair of the Board before and during the negotiating process.
- Other items are placed on the agenda by the Chair of the Board or the President, or their designees, as provided in the BYLAWS.

#### **Facilities Committee**

- The Monthly Report of the Senior Vice President for Finance and Operations includes status reports on administrative searches, facilities status reports, and miscellaneous facilities management reports.
- Quarterly project status and budget overview reports on the Capital Improvement Plan are presented to the committee each January, April, July, and October. The Capital Improvement Plan is reviewed and approved by the Committee of the Whole, as noted in the Guidelines for that committee.
- Amendments to the Capital Improvement Plan require Regents' approval and are submitted to the Facilities Committee.
- The committee approves schematic plans for all projects over \$1 million, all legislatively-funded capital projects, and other significant projects noted during the annual review of the Capital Improvement Plan.
- The committee approves any financial variances in excess of 10 percent of the total project cost listed in the approved Capital Improvement Plan or \$250,000, whichever is less.
- The committee approves real estate transactions as follows:

1. All leases for more than three years are approved;
  2. Purchases and sales of property come for first review before negotiations are started, and for action when a transaction is proposed.
- Other items are placed on the agenda by the Chair of the Board or the President, or their designees, as provided in the BYLAWS.

**Note:** These Facilities Committee guidelines replace the Board of Regents' Policy on Physical Planning and Operations Committee Agenda Guidelines (July 8, 1988 and March 10, 1989).

#### **Financial Operations and Legislative Committee**

- The Monthly Report of the Senior Vice President for Finance and Operations includes reports on accounts receivable, central reserves, debt management, and status of administrative searches.
- Quarterly reports come to the committee as follows:
  1. Asset and Debt Management  
(December, March, June with the annual report presented to the Committee of the Whole in October)
  2. Regents' Purchasing Policy Violations  
(March, June, September, December)
  3. Purchasing Report  
(March, June, September, December)
  4. Management Report including:  
All-funds Balance Sheet  
Statement of Changes in Fund Balance  
Budget Status by Campus, College, and Vice Presidential Unit (February, May, July, November)
- Changes to the Central Reserves Plan approved in the University Budget and exceptions to the Competitive Bid Policy are recommended to the committee when necessary.
- Contracts for Goods and Services over \$250,000 are approved by the Board monthly.
- Monthly reports on legislative issues come to the committee while the Legislature is in session, and as useful or requested during the remainder of the year.
- Other items are placed on the agenda by the Chair of the Board or the President, or their designees, as provided in the BYLAWS.

#### **Audit Committee**

- The Audit Committee meets four times a year in January, April, July, and November.

- The Quarterly Report of the Senior Vice President for Finance and Operations includes responses to previous requests regarding audit issues, reports on College and University Financial System (CUFS) management, and reports of other matters relevant to University audit functions.
- The Director of Audits presents a quarterly report of the work of the internal audit department. The committee also reviews and approves the annual audit plans of the Director of the Internal Audit Department.
- The Compliance Officer presents a quarterly report of compliance with the reports and recommendations of the Internal Audit Department.
- The Audit Committee recommends to the Board of Regents the independent public accountants who perform the annual audit of the University. The independent public accountants attend the quarterly meetings of the committee and advise the committee and the Board with respect to financial accounting and audit issues.
- The external auditors' annual audit of the University's financial statements is presented to the committee each November.
- The external auditors' "Report to Management" (management letter) is presented to the committee in January.

**Section V: Changes in this policy**

This policy will be reviewed every three years as part of the regular review cycle in place for review of all Regents' policies. As noted in Section II, The Chair of the Board may offer revisions for Board consideration at any time.

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

Chair Kuderer reported that the committee also reviewed a proposed Enrollment Plan; reviewed an initial draft of the 1994-95 Legislative Request; and received an update on the closing of the Waseca campus. In addition, recognition was given to Truman Scholarship recipients and Civil Service Committee members. The Board was also presented with a gift from the Minnesota Alumni Association.

**REPORT OF THE FACULTY, STAFF &  
STUDENT AFFAIRS COMMITTEE**

Regent Sahlstrom, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Monthly Faculty, Staff and Student Affairs Report as listed in the docket material, including the supplement.

- b) Adoption of the resolution and revised Regents' Faculty and Staff Vacation Policy, as follows:

RESOLVED, that on the recommendation of the Senior Vice President for Academic Affairs and Provost, the proposed changes in the Regents' Faculty and Staff Vacation Policy are hereby adopted.

## FACULTY AND STAFF

### Vacation Policy

**Eligibility:** Academic employees must hold full-time (100%) twelve-month (A) appointment.\* There is an initial requirement of six months' employment before vacation may be taken. Unused vacation days may not be paid out with termination of service until the employee has worked a full eleven months. Academic appointments less than 100% worked time or less than twelve months in duration, do not accrue paid vacation. For those academic employees governed by the University Education Association (UEA), refer to the appropriate section of the current UEA agreement.

**Accrual:** Vacation is earned at the rate of one day following each completed semi-monthly pay period of service for a total of 22 days per year. There is no accrual for the twelfth month of service whether it is taken as vacation or worked. Vacation accrual continues during paid leaves of absence, e.g., faculty single-quarter leave, sabbatical furlough, professional & administrative professional development leave, and parental leaves (accrued vacation days may be used to extend parental leave). Vacation is not earned on unpaid leaves of absence or on disability leaves under the regents' policy. Vacation is not accumulative beyond one year's total accrual of 22 days, and it may not be paid in lieu of being taken. Unused vacation days are lost when the month in which the days were earned is older than one year. Under special circumstances, up to 22 days of earned vacation may be postponed into the following year. The number of deferred vacation days must be agreed to by the academic employee, the department head, and the dean or, in cases where there is no dean, the appropriate vice president. A signed agreement, including the rationale for deferral, must be attached to the employee's vacation record at the time of approval. The deferred vacation days must be utilized within the following year, otherwise they are forfeited. In no instance of continuing University employment, such as a different position within the University, may extra pay be granted for unused vacation.

**Termination of service:** Unused vacation days, up to a maximum of one year's accumulation of 22 days, may be paid when the individual ends University employment providing the employee has worked 100% time for eleven months. The vacation pay

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\* A-base appointments are eleven month appointments paid over twelve months. When A-base appointments are converted to the nine-month academic year, the salary is set at 9/11ths of the A-base. Because it is often inconvenient for the employee and the department to take a one month leave (22 days) at one time, the following vacation policy has been established.

should be identified on the Personnel Action Form (PAF) showing termination of appointment and the last day worked. Vacation may not be used to extend the period of appointment beyond the last day of work. A vacation record must be appended to the PAF documenting vacation days earned and taken. If non-University funding sources prevent vacation payout, the employee should be given the opportunity to use vacation time within the funding period, providing the eleven months' initial eligibility requirement is met.

**University Employees Assuming New Positions:** When an academic employee assumes a new academic position in a different department and has unused vacation days, there are two options: (1) unused vacation days may be taken before starting the new position, or (2) before starting the new position, arrangements may be made with the receiving department to use the vacation time prior to its expiration. In the second option, the new department will be reimbursed for unused vacation days at the rate of pay at which days were accrued. Vacation days will expire if not used within one year of the month in which they were accrued. There will be no waiting period if vacation is accrued in the new position.

When a **civil service employee** assumes an academic position, the civil service vacation days are handled according to civil service policy. If civil service vacation days are banked, a copy of the civil service vacation record and last rate of pay should be sent to the new department.

**Vacation records:** Vacation is to be scheduled at the mutual convenience of the department and the employee. The employee must submit a written request for specific days to the academic administrator for review and approval. Approved requests should be maintained in the employee's personnel file in the department to assure accurate recording. Academic vacation records are available from the Storehouse, Business Administration form number 1154, Stock Number GS92190.

- c) Adoption of the resolution and revised Regents' Policy on Access to Student Records, as follows:

RESOLVED, that on the recommendation of the Vice President for Student Affairs, the proposed changes in the Regents' Policy on Access to Student Records are hereby adopted.

## **STUDENT AFFAIRS**

### **Access to Student Records**

Students enrolled in the University are required to give certain information in order that the University may make reasonable judgments about them, provide services, and give informed advice regarding courses to be followed. Such personal data and information may become part of the student education record. Students may make the justifiable assumption that the University, as custodian of these data will preserve their private nature. By requiring or requesting such information, the

University gives assurance that the information will be protected against improper disclosure.

The University observes the following principles:

1. Appropriate University officials are held directly responsible and accountable for the careful protection of student education records against possible misuse.
2. Within the University, student education records will be used only for appropriate research, educational, and University administrative functions. Access to those records is allowed only to those members of the University community whose designated responsibilities reasonably require access or to persons whom the student has given written permission for access.
3. University officials responsible for the use of student records require that there be no communication of such records outside of the University except under proper authorization, or as provided elsewhere in this policy statement.
4. The University maintains a Directory of Student Education Records that a) lists the types and locations of records, b) designates the officials responsible for the records, c) states the administrative procedures governing student access to student education records on each campus of the University, and d) defines the conditions under which individuals other than the student may have a legitimate educational, administrative or research interest in such records.
5. The University provides the student with the right to access, inspect and obtain copies of all information in student education records except: a) financial information submitted by parents; and b) confidential letters and recommendations collected under established policies of confidentiality or to which the student has waived in writing the right of inspection and review.
6. The University gives students the right to request amendment of the contents of student education records, to have a hearing if the result of the request for amendment is unsatisfactory and to include a statement for inclusion in the record if the decision resulting from the hearing is unacceptable to the student.
7. The University notifies students annually of their privacy rights, their right to file complaints concerning alleged failures of the University to comply with their privacy rights, and the location of the University Directory of Student Education Records, where copies of the University policy and procedures on access to student records may be obtained.
8. The University maintains a record of external requests for information from student education records other



than directory information, and of the disposition of the requests.

The student education records of the University vary in their nature and location. Steps taken to protect against improper disclosure are designed for the circumstance.

## STUDENT EDUCATION RECORDS

### Directory Information

The student's name, address, electronic (E-mail) address, telephone number, dates of enrollment and enrollment status (full-time, part-time, not enrolled, withdrawn and date of withdrawal), major, adviser, college and class, academic awards and honors received, and in the event of the student's graduation, the degree received, are matters of public record or directory information. Therefore, University officials and departments may provide this information in answer to inquiries without requiring authorization from the student. However, students may prohibit disclosure of directory information during the term of their enrollment.

### Other Student Education Records

Student education records other than directory information include, but are not limited to, transcripts, test scores, college advising records, disciplinary files, financial aid information, housing records and records of educational services that are provided to students. Such records are not disclosed to anyone except:

- a. the student, and others on written authorization by the student;
- b. persons within the University who have a legitimate interest in the information for educational, administrative, or research purposes;
- c. other educational institutions in which the student seeks to enroll; provided the disclosure is limited to official copies of student transcripts or test scores from the appropriate University office;
- d. other organizations conducting educational research studies; provided the studies are conducted in a manner which will not permit identification of students, and the information will be destroyed when no longer needed for the purpose for which the study was conducted;
- e. persons in compliance with a court order or lawfully issued subpoena; provided that a reasonable attempt is made to notify the student in advance of compliance thereof;

- f. appropriate persons in connection with an emergency if the information is necessary to protect the health or safety of the student or other individuals;
- g. accrediting organizations and state or federal education authorities when the information is needed for auditing, evaluating or enforcing legal requirements of educational programs; provided the accrediting organizations and authorities protect the data in a manner which will not permit the personal identification of students, and personally identifiable information is destroyed when no longer needed;
- h. appropriate persons or agencies in connection with a student's application for or receipt of financial aid to determine eligibility, amount or conditions of financial aid.
- i. Parents of a dependent student as defined under the Internal Revenue Code.

#### OTHER RECORDS

The University maintains other records which contain information about students.

Information in medical or psychological counseling records, including results of examinations by University physicians, psychiatrists, and psychologists, is afforded greater protection. The University obtains such information with a commitment as to its highly private nature. Such records should not be disclosed, except (a) under direct written authorization by the student, or (b) pursuant to a court order signed by a judge; or (c) as otherwise required by law.

University police, employment, and hospital records contain information about students, but are not student education records, and are not covered by this policy. University offices responsible for such records maintain and observe information release policies that protect the subjects of such records against improper disclosure and are consistent with applicable laws.

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

Chair Sahlstrom reported that the committee also reviewed the Quarterly Report on Academic Personnel Actions.

#### **REPORT OF THE PHYSICAL PLANNING & OPERATIONS COMMITTEE**

Regent Roe, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Monthly Physical Planning and Operations Report which included reports pertaining to purchasing, project status, property accounting, and

miscellaneous items as presented in the docket material and filed in the Regents' Office.

- b) Approval of resolution re Purchase of Goods and Services over \$250,000 as follows:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate staff are authorized to award pending purchases/contracts over \$250,000 as presented to the committee in the docket material and filed in the Regents' Office.

- c) Approval of resolution regarding projects previously submitted for information, as follows:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to proceed with the design and construction of the following projects:

- a. Moos Tower - 5th Floor  
Biomedical Engineering, Phase III-A, Minneapolis Campus  
Estimated cost of the project: \$631,000  
Funding: Medical School Indirect Cost Recovery Funds and Central Reserves  
Estimated completion date: August 1993
- b. Coffman Memorial Union, Alterations to 5th Floor, Twin Cities Campus  
Estimated cost of the project: \$169,000  
Funding: President's Office and Alumni Association  
Estimated completion date: Phase I - October 1992; Phase II - March 1993

- d) Approval of resolution regarding a real estate transaction previously approved:

- a. RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to sell 43.38 acres in Government Lot 1 to Frank and Dolores Lundin for the sum of \$6,200 and 25.40 acres in Government Lot 11 to Roland Wivoda for the sum of \$8,550.

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

Regent Roe reported that the committee reviewed several projects for information which included remodeling of the second and third floors of Jackson Hall (Biomedical Engineering Phase III-B for the Nuclear Magnetic Resonance Spectrometer Facility; remodeling of the Phillips-Wangensteen Laboratory; Boynton Health Service Addition and Remodeling; and replacement of the Washington Avenue Parking Ramp. All of the projects are located on the Twin Cities campus. In addition, the committee reviewed one real estate item for information relating to construction of a building by Itasca Community College at the North Central Experiment Station.

### **REPORT OF THE FINANCE & LEGISLATIVE COMMITTEE**

Regent Anderson, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following action:

- a) Approval of the Senior Vice President's Monthly Finance and Legislative Report including accounts receivable, central reserves, debt management, and miscellaneous items as presented in the docket material and filed in the Regents' Office.

The Board of Regents voted unanimously to approve the recommendation of the Finance & Legislative Committee.

Regent Anderson reported that the committee also received an Investment Manager Report presented by representatives from Piper Capital Management and received a legislative update.

### **REPORT OF THE EDUCATIONAL PLANNING & POLICY COMMITTEE**

Regent Craig, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Monthly Educational Planning and Policy Report as presented to the committee in the docket material and including the following item:
  - Approval of a Ph.D./Master of Arts/Master of Science Minor in Medieval Studies, Twin Cities campus
- b) Approval of resolution re Appointment of Hormel Foundation Trustee, as follows:

RESOLVED, that on the recommendation of the Vice President for Research and Dean of the Graduate School, Dr. Harald H. Schmid is appointed to the Hormel Foundation Board of Trustees for a one-year term, effective September 15, 1992.

- c) Approval of resolution re Master of Liberal Studies, UMD, as follows:

RESOLVED, that the proposal for a Master of Liberal Studies (M.L.S.) degree at the University of Minnesota, Duluth (UMD), is hereby approved.

The Board of Regents voted unanimously to approve the recommendations of the Educational Planning and Policy Committee.

Chair Craig reported that the committee also voted unanimously to recommend approval of the Regents' Policy on Academic Misconduct and moved its approval. The motion was seconded.

Regent Wynia asked for clarification in the policy relating to disciplinary actions and salary reduction. She asked if an individual is asked to pay back a month's pay, does it constitute salary reduction. Senior Vice

President Infante responded that "salary reduction", as it is referred to in the policy, would mean a permanent salary reduction, not a one time action.

Regent Wynia expressed concern about how questions of misconduct have been handled in the past. She stated that she hoped with the passage of this policy, a strong signal will be given to employees of the University of Minnesota that the Board of Regents is seriously concerned about violations of this policy.

Regent Keffeler expressed concern about the media's interpretation of the proposed policy, noting that the article in the morning paper indicated the proposed policy will dilute the protection for the "whistleblower" and will dilute the definition of the standards of misconduct. She indicated her own impression was that the new policy is an improvement over past practice, but she wanted reassurance on that question. In particular, Regent Keffeler wanted comment on the areas of protection for the "whistleblower", conflict of interest, disclosure and the definition of misconduct.

Senior Vice President Infante responded by describing the procedures in the new policy which strengthened the areas of concern raised by Regent Keffeler.

Regent Keffeler agreed that the new policy appears to be forward looking, and noted that she awaits the comparative information requested by the committee which will provide demonstrative data as well as this testimonial assurance.

The Board of Regents then voted unanimously to approve the resolution and Regents' Policy on Academic Misconduct that follows:

**RESOLVED**, that on the recommendation of the Senior Vice President for Academic Affairs and Provost, the Regents' Policy on Academic Misconduct is hereby adopted.

## **FACULTY AND STAFF**

### **Policies and Procedures for Dealing with Academic Misconduct**

#### **INTRODUCTION**

Academic misconduct (defined below) undermines the scholarly enterprise in ways that go far beyond the waste of public or private funds. Although these are rare events relative to the large body of scholarly literature, violations inevitably appear in scholarly publications. As a leading research university, the University of Minnesota has a major responsibility not only to provide an environment that demands integrity but also to establish and enforce policies and procedures that deal effectively and judiciously with allegations or evidence of academic misconduct.

The University of Minnesota expects the utmost professionalism from its employees at all times and in all circumstances. University employees may not engage in actions that constitute misconduct in research or other scholarly activity.

In dealing with this problem it is important to avoid creating an atmosphere that might discourage openness and creativity. Exemplary and innovative science, scholarship, and artistic endeavors cannot flourish in an atmosphere of heavy regulation. Moreover, it is

particularly important to distinguish academic misconduct from honest error and the ambiguities of interpretation that are inherent in the scientific and scholarly process, but are normally corrected by further research.

Once an allegation of academic misconduct has been made, the procedures that should be pursued to resolve the allegation are detailed below in the following stages: (1) an inquiry to determine whether the allegation or related issues warrant further investigation, (2) when warranted, an investigation to collect and thoroughly examine evidence, (3) a finding and appropriate personnel action, (4) a hearing by procedures beyond this policy to be initiated by the respondent that will result in a formal finding, and result in (5) appropriate disposition of the matter.

#### **APPLICATION**

The policy and procedures set forth herein shall apply to all research, scholarly and artistic activities of all University employees and others who are involved in such activities<sup>1</sup> under the aegis of the University as part of their employment responsibilities. This policy and procedures shall not apply to consulting by University employees with entities outside the University carried out according to other applicable University policies (Disclosure of Conflict of Interest) except where considered appropriate under the circumstances of the alleged misconduct. Copies of the University of Minnesota Policies and Procedures for Dealing with Academic Misconduct shall be disseminated widely.

Due to the difficulties of investigating old claims and the unfairness to the respondent, allegations of misconduct that occurred seven or more years prior to the submission of the allegation will not be investigated unless the circumstances indicate that the alleged conduct was not discoverable earlier.

#### **DEFINITIONS**

**Academic Misconduct**<sup>2</sup> for the purpose of this policy shall mean the fabrication or falsification of data, research procedures, or data analysis; plagiarism; or other fraudulent actions in proposing, conducting, reporting, or reviewing research or other scholarly activity.

**Retaliation** shall mean any damaging action against a person who reports or provides information about suspected or alleged misconduct. Individuals alleged to have retaliated against others involved in an academic misconduct case shall be subject to the appropriate

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<sup>1</sup> In those instances in which it is not clear whether this policy should apply to an individual, the Scientific and Scholarly Activity Panel (described below) will adjudicate the question.

<sup>2</sup> Intent has been deliberately omitted as part of this definition, but should be considered if any disciplinary action is recommended. Scholastic dishonesty, as differentiated from academic misconduct defined by this policy, by a student in the performance of academic work is a violation of the Student Conduct Code. Complaints of alleged scholastic dishonesty are resolved in accordance with established collegiate and Student Conduct Code policies and procedures.

disciplinary actions according to the policies or applicable collective bargaining agreements for the respective University employee groups.

**Complainant(s)** shall mean the individual(s) who submits an allegation of academic misconduct.

**Respondent(s)** shall mean the individual(s) against whom the allegation(s) has been submitted.

**Senior Administrator** shall mean the dean or other individual identified by the academic vice president, vice provost, or vice chancellor of the line unit of the respondent and approved by the Senior Vice President of Academic Affairs. The Senior Administrator has the responsibility of directing the case from the inquiry process through disposition of the case. **Inquiry/Investigative Panel**, also referred to as the **Panel**, shall mean the group of individuals appointed by the Senior Administrator and given the charge to determine whether the allegation(s) is frivolous or to identify sufficient information to warrant an investigation. (See Inquiry - Process Section for further details.) If an investigation is warranted, the same panel shall be given the additional charge by the Senior Administrator to further seek and analyze all relevant information regarding the allegation, and then determine whether sufficient evidence exists to report that academic misconduct occurred. The report of the Panel is the basis of any disciplinary action assigned by the Senior Administrator. (See Investigation - Process Section for further details).

**Sponsor** shall mean any external entity, including, but not limited to, a company, agencies of the U.S. federal and state governments, foundations, industry associations, and others, that supports the scholarly work upon which the allegation is based.

**Science and Scholarly Advisory Board (SSAB)** shall mean a committee representing the various scientific and scholarly disciplines at the University. The SSAB shall have the following responsibilities: (1) provide advice on the implementation of this policy, (2) assist the steering of potential allegations, (3) advise the Senior Administrator on potential members of the Inquiry/Investigation Panel, and (4) advise the Senior Administrator on the appropriate disciplinary actions when misconduct has been found. Members will be nominated for staggered three-year terms. The Twin Cities campus, Crookston campus, Morris campus and the Duluth Medical School shall have a single committee with nine members. Its members will be nominated by the Regents Professors and appointed by the Senior Vice President for Academic Affairs. The Duluth campus (excluding the Medical School) will have a five-member committee, with its members nominated by the Duluth Campus Assembly and appointed by the Academic Vice Chancellor of the Duluth campus. Resolution of issues regarding advice on implementation of this policy shall be by the nine-member SSAB representing all units except the Duluth campus and that board shall be augmented with two members from the Duluth campus SSAB. Each SSAB will elect annually a chair.

## **PROCESS FOR HANDLING ALLEGATIONS OF ACADEMIC MISCONDUCT**

### **SUBMISSION OF AN ALLEGATION**

The University has the responsibility to pursue an allegation of academic misconduct and shall carry out this responsibility fully to resolve questions regarding the integrity of the scholarly activity. In an inquiry and any investigation that may follow, the individuals involved in considering the case shall focus on the substance of the issues and shall be vigilant to prevent any personal conflicts between colleagues from obscuring the facts.

Prior to submitting a complaint, a potential complainant is encouraged to meet privately with any member(s) of the SSAB or an academic administrator (dean or other academic officer) from the unit in which the alleged misconduct occurred. All parties involved shall be informed that all issues related to the complaint (allegation) must be kept private at this stage. The purpose of this meeting is to provide advice to the complainant. The meeting shall help distinguish whether the case is one of academic misconduct or one to be resolved by other deliberative or mediation procedures, or by other specialized committees, such as the Student Conduct Code, the Human Subjects Committee or the Animal Care Committee, or by labor agreements between the Regents and any employee group.

Within 10 working days of having sought advice from either the dean, academic officer, or SSAB member, the complainant must inform the individual(s) consulted of whether an allegation will be filed. If the complainant wishes to file an allegation, he/she shall submit a written allegation to the Senior Vice President for Academic Affairs. Until an allegation is filed, there shall be no inquiry or investigative activity regarding concerns expressed by the complainant.

The member(s) of the SSAB or academic administrator who meets with a complainant has the responsibility of submitting the allegation if the complainant chooses not to make a formal allegation and the SSAB member or academic administrator believes there is sufficient cause and evidence to warrant an inquiry. In such a case, there is no complainant for the purposes of these procedures. Instead, a three-member subcommittee of SSAB or the academic administrator (the party the complainant consulted) shall draft a written report (allegation) to be submitted to the Senior Vice President for Academic Affairs.

The Senior Vice President for Academic Affairs shall refer the case to the academic vice president, vice provost, or vice chancellor of the unit in which the alleged misconduct occurred. The academic vice president, vice provost, or vice chancellor shall refer the allegation to the dean of the unit in which the case originated. The dean shall be assigned to serve as the Senior Administrator and shall be responsible for pursuing all allegations to resolution. This includes directing an inquiry and, if necessary, an investigation of academic misconduct. If the dean has a conflict of interest with a case, the case shall be referred to a dean from another unit or another individual, who shall serve as the Senior Administrator.

From the time the allegation is received, all activity related to the case shall be carefully documented. All individuals who are contacted shall be assured that, as much as possible, the privacy of their comments will



be maintained. In turn, all individuals involved with the case are expected to sustain the privacy of the case. The Senior Administrator shall promptly attempt to locate and secure the originals of all relevant research data if it is ascertained that such data will be part of the case. Supervised access to the data shall be available to the Inquiry/Investigative Panel and the respondent. The Senior Administrator also shall chart the elements of the case as it is understood at that time.

Even if the respondent leaves the University before the case is resolved, the Senior Administrator on behalf of the University, when possible, shall continue the examination of the allegation and reach a conclusion. Further, the University shall cooperate with the process of another institution to resolve such questions to the extent permissible under the Minnesota Government Data Practices Act or any applicable federal law.

### **CONFLICTS OF INTEREST**

Possible conflicts that must be avoided in the appointment of the Senior Administrator and members of the Inquiry/Investigative Panel include the following: a) co-authoring a book, paper, or grant proposal with any of the individuals directly involved with the misconduct case (complainant or respondent); b) professional or personal relationship with any of these individuals (e.g., current or former students or mentor, direct supervisory or subordinate relationship, direct collaborator within the past seven years, close friendship); c) professional differences of opinion with any of the involved individuals that might reasonably be expected to affect objectivity in considering the case; d) financial ties to the involved individuals; or e) other reasons that might affect the ability of the individuals to make fair and impartial judgments.

### **INQUIRY**

#### **A. Purpose**

Whenever an allegation or a complaint involving the possibility of academic misconduct is made, the Senior Administrator shall initiate an inquiry, which is the first step of the review process. In the inquiry stage, factual information is gathered and expeditiously reviewed to determine if an investigation of the charge is warranted.

An inquiry is not a formal hearing or an in-depth analysis of the allegation; it is designed to separate allegations deserving further investigation from frivolous, unjustified, or clearly mistaken allegations. As soon as sufficient information is obtained that indicates an investigation is warranted, the inquiry process shall terminate, and a report shall be submitted to the Senior Administrator. It is the responsibility of the Senior Administrator to ensure that the inquiry is conducted in a fair and just manner.

#### **B. Process**

The Senior Administrator shall meet with the complainant to review details of the allegation and describe the process that shall be followed to resolve the allegation. The Senior Administrator shall explain that while every attempt will be made to maintain anonymity through the inquiry phases of the process, the respondent shall learn the complainant's identity during the investigative process, and the

complainant may have to face the respondent during a subsequent hearing if the case proceeds that far.

The Senior Administrator shall meet with the respondent to present the details of the allegation (a written statement of the allegation shall also be provided along with a copy of this policy) and the evidence<sup>3</sup> upon which the allegation is based, explain the process to be followed, and obtain the respondent's preliminary explanation of the allegation. The Senior Administrator shall inform the respondent of the obligation to provide all the evidence relevant to allegation. In order to avoid claims of alteration of the data, the Senior Administrator shall attempt to secure all original pertinent documents (for example, data books and manuscripts) at the time the respondent is notified of the allegation. The Senior Administrator shall also inform the respondent that unreasonable refusal to provide relevant material or other uncooperative behavior may result in an immediate recommendation that an investigation is justified. The Senior Administrator also shall tell the respondent that he/she shall have the opportunity to be interviewed by the Inquiry/Investigative Panel and to provide any documentation or names of individuals who might help clear the claim against the respondent.

After the Senior Administrator has met with both the complainant and respondent, he/she then shall decide within 10 working days whether to personally handle the inquiry or refer the case to an Inquiry/Investigative Panel. Alternatively, the Senior Administrator may make a determination that the allegation is frivolous, or that it is more appropriate to refer it to another deliberative resolution system (Grievance, Student Conduct Code, Human Subjects, Animal Care). If the Senior Administrator determines on the basis of a preliminary investigation that there is no substance to the allegation, he/she shall submit a written report that explains the basis for closing the case to the academic vice president, vice provost, or vice chancellor of the unit in which the allegation is based. If the academic vice president, vice provost, or vice chancellor approves closing a case, the Senior Administrator shall notify both the complainant and the respondent of the decision.

If the Senior Administrator wishes to have the case examined by an Inquiry/Investigative panel, then individuals who have the appropriate scientific, scholarly, or artistic expertise on the issues in question shall be selected. Members of the Inquiry/Investigative Panel may be chosen from within or outside of the University. They shall have no direct involvement in the academic activity under inquiry, be impartial, and have no interests that would conflict with the interests of the University in securing a fair and thorough inquiry. The Senior Administrator shall obtain nominations from the SSAB on suitable members to serve on the Inquiry/Investigative Panel and shall obtain approval from the academic vice president, vice provost, or vice chancellor of the unit before the final Inquiry/Investigative Panel is appointed. While normally the Panel shall be composed of all faculty members, at least one member of the Panel should be from the same employment category as the respondent [faculty (94xx), graduate students and professional trainees (95xx), P & A (96xx, 93xx, 97xx), or civil service]. The Panel shall

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<sup>3</sup> A summary of the evidence shall be provided if the allegation is based on extensive documentation; however, the respondent shall have supervised access to review all of the evidence held by the Senior Administrator.

have an odd number of members, preferably three. The Senior Administrator shall identify one member as chair. The Senior Administrator shall inform both the complainant and respondent of the proposed composition of the Panel and give each of them five working days to notify the SSAB if any of the Panel members might have a potential serious conflict of interest. The SSAB shall arbitrate all claims of conflict of interest.

The Senior Administrator shall provide the Panel with an explicit charge for the inquiry activity. The University's Office of General Counsel shall advise the chair of the panel on the appropriate protocol and practices that should be followed.

Whether a case can be reviewed effectively without the involvement of a complainant depends upon the nature of the allegation and the evidence available. Cases that depend specifically upon the observations or statements of a complainant cannot proceed without the open involvement of that individual. Cases that can rely on documentary evidence may permit a complainant to remain anonymous. While it may be desirable to keep the identity of a complainant private during an inquiry, such privacy cannot necessarily be guaranteed under the Minnesota Government Data Practices Act.

The Senior Administrator shall assume responsibility for disseminating information to the appropriate individuals. Notification shall be made in writing, and copies shall be filed in the office of the Senior Administrator. The safety and security of all documents must be assured. All individuals involved with the case shall be reminded that they are responsible for keeping all aspects of the case private.

The Senior Administrator shall inform all individuals involved in the case that the original data produced as part of research at the University belong to the University and the sponsor, if applicable. Therefore the data must be accessible upon request of the Senior Administrator. If the Senior Administrator chooses to secure the original data, the individual who provided the data shall be provided with copies on request.

The Panel shall examine the appropriate material to determine whether there is evidence that academic misconduct has occurred. All faculty, staff, and students are obligated to cooperate with the Panel by supplying requested documents and information. The following types of information relevant to the allegations raised by the case shall be submitted to the Panel upon request: a) research notes, papers and notebooks, logs, source documents, computer printouts, and machine-readable materials; b) a list of all current and former collaborators and co-workers; c) a list of published abstracts, papers, and books; and copies of abstracts, papers, and books pending publication; d) a list of reports and grant applications submitted to outside foundations and funding agencies and copies of such reports and applications; and e) other pertinent scientific or scholarly data the Panel deems necessary. The Panel may also take written or oral evidence in considering the case. Transcripts of taped interviews shall be prepared and submitted to the interviewed person(s) and the Panel for comment or revision.

Due to the sensitive nature of an allegation of academic misconduct, each case shall be resolved expeditiously. Reasonable deadlines shall be established for each case to facilitate the process. An inquiry (conducted by either the Senior Administrator or the Panel) shall be completed as

quickly as possible and not more than 25 calendar days after its initiation unless circumstances clearly warrant a longer period of time. If, when the Panel convenes, it anticipates that the established deadlines cannot be met, a report, citing the reasons for the delay and progress to date, shall be submitted for the record to the Senior Administrator, and the respondent and other involved individuals shall be informed.

#### C. Findings of the Inquiry Activity

Upon completion of the inquiry a written report shall be produced that states what evidence was reviewed, summarizes relevant interviews, and includes the conclusion of the inquiry. The report shall be sufficiently detailed regarding the reasons for determining that an investigation is not warranted, if such is the case. The Panel's written report then shall be referred to the Senior Administrator and the respondent. If the report recommends that an investigation be conducted, it may propose subject matter to be included in the investigation. The respondent has 10 working days to review the report and submit written comments to the Senior Administrator. Summaries of all interviews and data examined by the Panel shall be made available for the respondent to review.

If the Senior Administrator obtains information at any stage of the inquiry that reasonably indicates the occurrence of possible criminal violations, the Senior Administrator shall notify an appropriate office of the sponsoring federal agency and the appropriate law enforcement officials within 24 hours.

#### D. Senior Administrator's Determination Based on the Inquiry Report

Upon receiving the Inquiry Panel's recommendation and the respondent's statement, the Senior Administrator shall determine within 10 working days whether the case shall be closed or an investigation initiated. The Senior Administrator shall notify the complainant and respondent as to whether the complainant's allegations shall be subject to further investigation. The Senior Administrator shall maintain the records of an inquiry in a secure manner for at least three years.

If the Senior Administrator decides not to conduct an investigation, no further formal action shall be taken other than informing all parties involved. The procedures shall preserve privacy consistent with law for all parties to these procedures. If privacy is breached, the Senior Administrator shall take reasonable steps to minimize the damage to reputations that may result from inaccurate reports. Allegations that have not been brought in good faith may lead to appropriate disciplinary actions according to the University policies<sup>4</sup> or applicable collective bargaining agreements for the respective employee groups. Complainants shall be made aware from the outset that their privacy shall not be maintained if a complaint is maliciously motivated and false.

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<sup>4</sup> Tenure Code, the Academic Professional and Administrative Staff Policy and Procedures, the Civil Service Rules.

## **INVESTIGATION**

### **A. Purpose**

An investigation shall be initiated only after the Senior Administrator issues a finding that an investigation is warranted. The purpose of the investigation is to explore further the allegation(s) and assemble all the evidence that supports or refutes the allegation. The investigation shall focus on allegations of academic misconduct as defined above and shall examine the factual materials of the case. The investigation shall look carefully at the substance of the charges and shall examine all relevant evidence. The Inquiry/Investigative Panel's charge is to generate a report that compiles all the information it considers and its conclusion regarding whether there is sufficient evidence to support the allegation of misconduct.

This report is the basis of any subsequent hearing. During an investigation, additional information may emerge that justifies broadening the scope of the investigation beyond the initial allegations. The respondent shall be informed if new and different allegations are discovered during the course of the investigation.

### **B. Structure**

The investigation shall be carried out by the Panel described above as a continuance of its work. If the inquiry was completed without a Panel then one should be appointed as described above (Inquiry - Structure). If additional expertise for the Panel is deemed desirable, the Senior Administrator shall request additional nominations from the SSAB. If the Panel is augmented, it still shall have an odd number of members. The Senior Administrator shall identify one member as chair. The respondent and complainant shall be informed of the proposed new members for the Panel and each given five working days to notify the SSAB of potential serious conflicts of interest any of the Panel members might have. The SSAB has the authority to arbitrate any questions regarding conflicts of interest.

### **C. Process**

The Senior Administrator shall provide a charge to the Panel within 10 days of the notification that an investigation is warranted. An investigational process shall be established for each investigation, and the complainant and respondent shall be notified when the investigation phase of this procedure commences. The respondent may seek the assistance of an advisor (legal counsel or another individual) at this point, if he or she has not already done so. All parties involved shall cooperate with the proceedings in providing information relating to the case. All necessary information shall be provided to the respondent in a timely manner to facilitate the preparation of a response. The respondent shall have the opportunity to address the charges and evidence in detail at the inception and close of the Panel's activities during the investigative phase of this procedure.

The University reserves the right to take interim administrative actions to protect the health and safety of research subjects and patients, and/or the interests of students and colleagues. Such actions may range from slight restrictions to reassignment of the activities of the respondent. In extreme circumstances, the respondent may be suspended temporarily.

Any actions shall be in accordance with the procedures specified in the University Regulations Concerning Faculty Tenure, the contract between the Regents and unionized groups, any other labor agreements, or other applicable employee policies. Interim administrative actions shall be taken in full awareness of how they might affect the respondent and the ongoing research projects of the University.

If the sponsoring agency of the academic activity requires notification of suspected academic misconduct, that agency shall be notified as soon as the decision has been made to undertake an investigation. Significant developments during the investigation, as well as the final determination of the case shall be reported to the sponsor when required. If at any stage during the investigation there is a reasonable indication of possible criminal violations, the Senior Administrator shall notify the appropriate office of the sponsoring agency and the appropriate law enforcement officials within 24 hours. The Senior Administrator also shall notify the sponsoring agency during the investigation if emergency conditions exist as defined under federal regulations.

All interviews conducted during this investigative phase by the Panel shall be tape recorded. A transcript first shall be approved by the Panel and then shall be submitted to the interviewed person(s) for comment or revision.

If the respondent wishes to have an advisor present during his/her interview with the Panel, notice of the advisor's participation shall be submitted to the Panel at least 48 hours prior to the interview. The respondent shall have the opportunity to provide evidence, request expert witnesses, identify witnesses directly involved in the case, and be directly interviewed.

The investigation shall be conducted as expeditiously as possible and generally shall be completed within 120 days. However, the nature of some cases may render that schedule difficult to meet. If the Panel determines that the deadline cannot be met, it shall request an extension, which the Senior Administrator shall grant or deny. If necessary, the Senior Administrator shall submit a report to the sponsoring agency regarding this action.

#### D. Findings of the Investigation

When the Panel reaches a conclusion regarding the case, a preliminary report, which reviews all the information considered and the Panel's conclusion, shall be transmitted to the respondent. The report shall detail the explicit evidence that supports or refutes each allegation included in the Panel's charge. The report shall then specify the Panel's conclusion as to whether any of the proven allegations represent academic misconduct. The respondent shall be allowed 10 working days to prepare written comments, which the Panel shall consider before the report is finalized. The completed report along with the respondent's comments on the preliminary report then shall be submitted to the Senior Administrator. When there is more than one respondent, each shall receive all parts of the report that are pertinent to his/her role.

If either a finding of no misconduct is reported by the Panel or the Senior Administrator does not accept the findings of the Panel, the process shall be considered completed, with no disciplinary action taken by the

University. New evidence may be an appropriate basis to initiate a new inquiry/investigation.

#### **FINDING AND PROPOSED RESOLUTION**

Upon receipt of the Panel's report, the Senior Administrator shall review the report and determine whether to accept all or part of the Panel's recommendations. There are two possible findings:

1. that academic misconduct was committed;
2. that no academic misconduct was found.

For those cases in which the Senior Administrator accepts a finding of misconduct, he/she shall determine the disciplinary action within 15 days of receiving the report. The Senior Administrator may consult with a subcommittee of the SSAB in arriving at a decision. This decision must also be made with the concurrence of the appropriate dean of the respondent's unit if the Senior Administrator is not the respondent's dean, the academic vice president, vice provost, or vice chancellor. The Senior Administrator shall notify the respondent in writing of his/her determinations on the case and the reasons for them. The respondent, who may be accompanied by his/her advisor, shall meet with the Senior Administrator and the appropriate academic vice president, vice provost, or vice chancellor to discuss the disciplinary action.

The University may choose disciplinary action as warranted by the circumstances of each case. Subject to the Tenure Code or appropriate labor agreements, examples may include:

- Oral reprimand with no permanent record
- Letter of reprimand that becomes part of the respondent's permanent record
- Special monitoring of future work
- Removal from particular project
- Probation
- Suspension
- Salary reduction
- Rank reduction
- Termination of employment

The respondent may accept the disciplinary action or request a hearing as specified for his/her employment classification.<sup>5</sup>

If the Senior Administrator determines that no academic misconduct was found, then the discussion with the respondent shall focus on how the respondent's record shall be cleared. This shall include removing all material related to this case from the respondent's personnel files.<sup>6</sup> The complainant and other concerned parties shall be informed by the Senior Administrator of the disposition of the investigation to the

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<sup>5</sup> When the respondent files a grievance pertaining to the case, the University shall bear the burden of proof for all issues related to the allegation(s) of misconduct. The respondent shall bear the burden of proof for any claims against the process followed.

<sup>6</sup> The respondent shall be informed by the Senior Administrator of the source of all correspondence regarding the case so that records developed for this case may be tracked and removed.

extent permitted under the Minnesota Government Data Practices Act. The Senior Administrator also shall discuss with the respondent the appropriateness and desirability of notifying other individuals or agencies about the outcome of the investigation. All records related to this case shall be maintained privately and securely under the supervision of the Senior Administrator for at least three years. All parties involved in the case shall be reminded that except as required by federal and state law, all information about the case cannot be released outside the institution unless and until: 1) the allegations results in a finding of misconduct, 2) final discipline is imposed and 3) all avenues of appeal (if pursued) have been exhausted.

If the allegations of academic misconduct are found to be maliciously motivated, appropriate disciplinary actions shall be taken against those responsible. If the allegations, however incorrect, are found to have been made in good faith, no disciplinary measures shall be taken.

The sponsoring agency initially informed of the investigation shall be notified promptly of the outcome of the investigative and any subsequent hearing. The Senior Administrator shall retain the records of the investigation. Even when no culpable misconduct was found but serious erroneous information was published, the Senior Administrator shall consider means to correct the published record affected by the alleged misconduct.

Records of the investigation and possible hearing shall include all documentation reviewed by the Investigative Panel, summaries of witness interviews, and the findings of the panel.

#### **Retaliation**

When a complaint has been brought in good faith, even if mistakenly, the University shall seek to protect the complainant against retaliation. Individuals who provide information to assist in resolving of an inquiry or investigation also shall be protected by these same guidelines. individuals engaging in acts of retaliation shall be disciplined according to the appropriate University policies or applicable collective bargaining agreements.

#### **Minnesota Government Data Practices Act**

References are made throughout this policy to the Minnesota Government Data Practices Act. This act governs access to and release of all data collected, created, received, maintained or disseminated by public entities, including the University of Minnesota. The University will adhere to the requirements of the Minnesota Government Data Practices Act with respect to all actions taken and all information generated in the course of an academic misconduct inquiry and/or investigation under this policy.

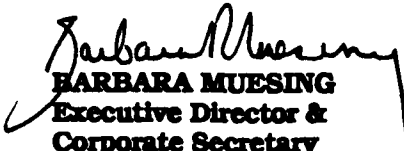
Regent Craig reported that the committee also reviewed one item for information relating to a proposal for Master of Arts and Doctorate degrees in Rhetoric and Scientific and Technical Communication.



**REPORT OF THE AUDIT COMMITTEE**

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

The meeting adjourned at 12:20 p.m.

  
**BARBARA MUESING**  
Executive Director &  
Corporate Secretary

MBA  
M661

**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS**

**MINUTES**

**BOARD OF REGENTS' MEETING  
AND  
REGENTS' COMMITTEE MEETINGS**

**October 8-9, 1992**

**Office of the Board of Regents  
220 Morrill Hall**

## UNIVERSITY OF MINNESOTA

## BOARD OF REGENTS

Minutes of the Board of Regents' Meeting  
and Regents' Committee Meetings

October 8-9, 1992

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**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**October 8, 1992**

A special meeting of the Board of Regents of the University of Minnesota was held on Thursday, October 8, 1992, at 11:00 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Craig, Keffeler, Kuderer, Neel, A. Page, M. Page, Reagan, Roe, Rosha, Sahlstrom, and Wynia. President Hasselmo presided.

Staff present: Senior Vice Presidents Erickson and Infante; General Counsel Rotenberg; Executive Director Muesing; Associate Executive Director Janzen; University Attorney Donohue; and Associate to the President O'Brien.

The meeting was called to order and a motion was moved and seconded that the following resolution be approved:

**RESOLVED**, that on the recommendation of the President and as provided by Minnesota State Statute 471.705 Subd. 1d, a non-public meeting of the Board of Regents be held at 11:00 a.m. on Thursday, October 8, 1992, in Room 238, Morrill Hall, for the purpose of discussing attorney-client privileged matters.

The Board of Regents voted unanimously to approve the resolution.

The meeting adjourned at 11:02 a.m.

  
**BARBARA MUESING**  
Executive Director &  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Facilities Committee**

**October 8, 1992**

A meeting of the Facilities Committee of the Board of Regents was held on Thursday, October 8, 1992, at 2:00 p.m. in Room 300, Morrill Hall.

Regents present: Regent Roe, Chair; Regents Craig, Kuderer, Neel, and Wynia.

Staff present: Chancellors Ianni and Sargeant; Senior Vice President Erickson; Associate Executive Director Janzen; Associate Vice Presidents Hewitt, Markham, and Paschke.

Student Representatives present: Corey Mitteness and Brian Swanson.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

Senior Vice President Erickson presented the Senior Vice President's Monthly Report for October 1992. A motion was moved and seconded to recommend approval of the report.

**Eastcliff Window Project**

As part of the Senior Vice President's Report, Assistant Vice President Charles Lawrence presented an update on replacement of windows at Eastcliff. He reported that the Marvin Window Company has offered to provide the windows at a cost of approximately \$45,000. He indicated that approximately \$65,000 is needed to provide for installation, and \$10,000 for non-construction costs. He noted that the market value of the windows alone is approximately \$120,000. Mr. Lawrence reported that even though a donation has been offered by The Marvin Window Company, this project will be going out on bid in order to meet purchasing requirements. The bids would be structured to show a gross price to the University, request a charitable contribution and indicate the net price to the University. The bid would be awarded on the net price. Funding for the windows would come from Eastcliff Operating Funds and Repair and Replacement Funds from the Office of the Senior Vice President for Finance.

Senior Vice President Erickson indicated that in approving the bidding, the committee was also giving authorization to proceed if bids come in within a reasonable range of the \$120,000.

It was noted this process is in accord with the recommendations of the Eastcliff Technical Committee.

Regent Kuderer stated that Eastcliff is a valuable resource of the University and this expenditure is entirely appropriate. He added that the University owes a debt of gratitude to The Marvin Window Company for its generous contribution.

The committee voted unanimously to recommend approval of the Senior Vice President's Monthly Report for October 1992.

By approving the Senior Vice President's Report, the committee voted to recommend the Eastcliff Window Project as presented.

#### **PURCHASE OF GOODS AND SERVICES OVER \$250,000**

The committee considered for action a proposed contract with Kraft American to supply and distribute food products on the Twin Cities campus. The contract would be effective from September 1992 to September 1995, with a possible contract extension up to 1998, at an estimated \$4.2 million. Senior Vice President Erickson reported that the item had been discussed at the last Facilities Committee meeting, indicating that Assistant Vice President Lawrence was present to answer any additional questions.

Regent Roe stated that he was concerned with the way this item was handled, indicating that the food vendors and the University Food Stores employees did not have an opportunity to speak to the committee. He expressed concern for those individuals that may be out of a job and for the small vendors that may lose the University's business.

Regent Kuderer moved to recommend approval of the item and Regent Neel seconded the motion. Further discussion ensued. Regent Kuderer stated that he is sympathetic to the employees and vendors that may be affected by the change, however, he feels the savings gained will be beneficial to the students.

In answer to questions raised by Regent Craig, Senior Vice President Erickson explained that the University cannot secure the type of pricing needed with the high volume running through the University's Distribution Center using a number of vendors. He added that the state of Minnesota and Minneapolis Public Schools have switched to a single vendor.

Regent Wynia stated that she has had concerns about this change, but that it is hard to justify a decision to keep the present vendors if that will ultimately cost the consumers at the University \$1 million over the biennium.

Regent Neel stated that this may just be the beginning of many difficult decisions that will have to be made if the financial environment does not improve.

After further discussion, the committee voted by a majority of 4 to 1 to recommend approval of the motion, with Regent Roe voting against the motion.

#### **PROJECTS PREVIOUSLY SUBMITTED FOR INFORMATION**

The committee voted unanimously to recommend that the appropriate administrative officers are authorized to proceed with the design and construction of the following projects:

- a. Jackson Hall - Nuclear Magnetic Resonance Facility  
Biomedical Engineering, Phase III - B  
Twin Cities Campus  
Estimated cost of the project: \$454,262  
Funding: Program Accommodation Remodeling; Medical School  
Indirect Cost Recovery Funds; and Office of the Vice President for  
Health Sciences  
Estimated completion date: July 1993



- b. **Phillips-Wangensteen Laboratory Remodeling**  
**Room 6-100 - Diabetes**  
**Twin Cities Campus**  
**Estimated cost of the project: \$380,000**  
**Funding: School of Medicine, Dean's Commitment; School of Medicine, Private Practice; and Program Accommodation Remodeling Funds**  
**Estimated completion date: April 1993**

The committee also reviewed for action the following project:

- a. **Washington Avenue Replacement Ramp**  
**Twin Cities Campus**  
**Estimated cost of the project: \$10,200,000**  
**Funding: Project Development Fund Source - Internal Loan repaid by Parking Services**  
**Estimated completion date: November 1993**

Director Linda McCracken-Hunt presented additional information requested at the September meeting relating to additional costs to provide skyway connections from the Harvard Street Ramp to the Radisson Hotel Metrodome and the Electrical Engineering/Computer Science Building. Through the use of visual aids, Ms. McCracken-Hunt reviewed two possible schemes, north and south route options, indicating that the cost to construct each would be approximately \$2.6 million and \$2.8 million, respectively.

Associate Vice President Paschke provided further information, indicating that he has had discussions with the hotel management and at this point, there is no interest in assuming all or a significant portion of the cost. In addition, the hotel was refinanced three years ago, and still owes parking revenues and rents to the University. Mr. Paschke reported that, given that information and the lack of other funding for the proposed skyway connections, the administration is recommending the Washington Avenue Replacement Ramp Project as originally proposed in the docket materials. It was noted that the structural improvements necessary to add the skyway system in the future are included in the original proposal.

Discussion ensued. Regent Kuderer asked what it would cost per car per day to amortize the skyway connections. Regent Roe noted that Regent Anderson had asked for possible skyway connections to the athletic facilities. Ms. McCracken-Hunt responded that, as of now, there is no plan for connecting the athletic facilities to a skyway system because of the difficulties that would be involved with security. Regent Roe indicated that he would like to see plans for possible skyways to connect to the athletic facilities in the future.

Regent Wynia stated that she would be interested in receiving a map showing existing tunnels, skyways or connections between buildings and facilities on the Twin Cities campus along with an analysis of traffic on campus. In addition, she would like to have a more comprehensive discussion on this issue. Senior Vice President Erickson responded that the Master Planning Committee will be addressing these issues.

After further discussion, the committee voted unanimously to recommend approval of the proposed project as originally presented to the committee with the understanding that the project include structural provisions that will accommodate future skyway and concourse connections which may include a third floor addition.

Regent Roe reported for the record that Regent Anderson indicated that he would have preferred to have a plan which included skyway connections to the athletic facilities before he would have voted for the project.

It was noted that the agenda item pertaining to the Boynton Health Service Addition on the Twin Cities campus was withdrawn.

#### **REAL ESTATE TRANSACTION PREVIOUSLY SUBMITTED FOR INFORMATION**

The committee voted unanimously to recommend approval of the following resolution relating to a real estate transaction previously reviewed:

**RESOLVED**, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to approve a request from Itasca Community College, whose campus is located on 24.637 acres at the North Central Experiment Station, Grand Rapids, to construct a 500 square foot building on a 1,600 square foot building site for housing a telescope for observing sessions.

#### **PROJECTS PRESENTED FOR INFORMATION**

##### **Campus Center/Scope Increase Duluth Campus**

The committee reviewed a proposal to increase the scope of the Campus Center Project on the Duluth campus. It was reported that because of the central location of the project on campus, there is opportunity to repair adjacent roofs and walls in need of maintenance. Repairs would be easier and more economical if they could be completed at the same time as this project. The estimated increase to the project if the repairs were included is \$522,400, with the total project totaling \$11,487,400. Funding for the increase would be provided by the University of Minnesota, Duluth Auxiliary Services, Improvement Reserves and Physical Plant Funds, along with Continuing Education Funds. Estimated completion is September 1994.

Associate Vice President Markham reported that this project was previously approved and that this request is an increase in the scope of the project to include repairs that would be more economical if they could be included at this time. She asked if the committee could take action on the item at this time.

The committee voted unanimously to recommend approval of the scope increase.

**Agricultural Utilization Research Institute  
Crookston Campus**

Director Linda McCracken-Hunt reviewed a proposed project to construct new space between the original Owen Hall Building and the Owen Annex on the University of Minnesota, Crookston campus. Completion of the project will provide a visual entrance and identity for the Agricultural Utilization Research Institute and will be linked to the campus by a pedestrian circulation system. Estimated cost of the project was reported to be \$590,000, with funding provided from a 1990 Legislative appropriation. Estimated completion is December 1993.

**REAL ESTATE TRANSACTIONS PRESENTED FOR INFORMATION**

**Ten-Year Lease Extension for Ramsey County Historical Society's Gibbs Farm  
Falcon Heights, St. Paul**

Associate Vice President Hewitt reviewed a proposed resolution to execute a ten-year extension of the lease with the Ramsey County Historical Society, providing for its continued use of approximately six acres of University land located at the northwest corner of the intersection of Larpenteur and Cleveland Avenues, in Falcon Heights, for its Gibbs Farm. Rent would continue at \$1.00 per year during the extended period. It was reported that the current lease has been in existence since 1974 and will expire December 31, 1993. The Ramsey County Historical Society owns 1.19 acres of land immediately adjacent to the six acres covered by the lease, and the University and the Society currently share the use of the parking lot located on the Society's leased property.

Priscilla Farnham, Executive Director of the Ramsey County Historical Society, was present at the meeting and spoke briefly about interactions between the Society and the University.

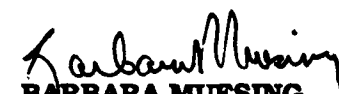
**Five-Year Lease Extension for Agricultural Utilization Research Institute  
Crookston Campus**

The committee reviewed a proposal to execute a five-year extension of the lease with the Agricultural Utilization Research Institute (AURI) for its use of space in Owen Hall at the Crookston campus. It was reported that the AURI has leased space in Owen Hall since July 1990 and in conjunction with the proposed lease extension, AURI Remodeling - Phase II will be completed. It was further reported that the rent paid by AURI is adjusted annually to reflect Consumer Price Index increases.

**FACILITIES MANAGEMENT QUARTERLY REPORT  
INCLUDING STATUS REPORT ON LEGISLATIVE AUDITOR'S  
RECOMMENDATIONS**

This item was delayed due to time constraints.

The meeting adjourned at 3:50 p.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Financial Operations & Legislative Committee**

**October 8, 1992**

A meeting of the Financial Operations & Legislative Committee of the Board of Regents was held on Thursday, October 8, 1992, at 4:00 p.m. in Room 300, Morrill Hall.

Regents present: Regent Wynia, Acting Chair; Regents Kuderer, M. Page, and Rosha.

Staff present: Senior Vice President Erickson; Associate Executive Director Janzen; Associate Vice Presidents Markham, Paschke, Perlmutter, and Pfitzenreuter; Assistant Vice President Cram; and Director of State Relations Peterson.

Student Representatives present: Courtney Jaren and Rachel Paulose.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

Senior Vice President Erickson presented the Senior Vice President's Monthly Report for October 1992. A motion was moved and seconded to recommend approval of the report.

As part of his report, Senior Vice President Erickson introduced the new Associate Vice President for Finance and Budget, Richard Pfitzenreuter. Chair Wynia welcomed Mr. Pfitzenreuter to the University.

Senior Vice President Erickson provided a short update on the implementation of the College and University Financial System (CUFS), indicating that there have been some problems with year-end closing, but that this is not uncommon with the implementation of a new system. In answer to concerns expressed by Regent Kuderer, Mr. Erickson reported that the system is not fully implemented, it is not yet in the production mode, and there are still developmental issues to be addressed.

Regent Kuderer also expressed concern about the level of Central Reserves. He noted that budgeted income for 1992-93 is estimated to be \$19.6 million and asked about the source of that income. Roger Paschke, Director of Asset Management, reported that most of the income for central reserves comes from the University's arbitrage program and from interest earned from the Central Reserves fund. In answer to a further question regarding the Central Reserve balance in the subsequent year, Senior Vice President Erickson reported that the projected balance of \$23.8 million as of June 30, 1993 reflects all commitments that have been made on Central Reserves for the fiscal year. Any new commitments for the following year on Central Reserves will be reflected during the next budgeting process.

The committee voted unanimously to recommend approval of the Senior Vice President's Monthly Report for October 1992.

#### **PURCHASE OF GOODS/SERVICES OVER \$250,000**

The committee voted unanimously to recommend approval of a resolution authorizing the appropriate staff to award pending purchases/contracts over \$250,000 as presented in the docket materials.

Proposed contracts included in the materials included the following:

- Control Data Systems, Inc. for \$257,762 for CDSI computer hardware and software to accommodate expansion of campus E-Mail system.
- St. Paul Red Cross for used red blood cells at an estimated \$600,000 annually from September 1, 1992 to August 3, 1993 for use by the Minnesota Anti-Lymphocyte Globulin (MALG) Program
- Twin Cities Janitorial for an estimated \$275,000 for recycling containers to be delivered as called for September 1992 to September 1993.

Individuals were present at the meeting to respond to questions pertaining to the proposed contracts.

#### **LEGISLATIVE STRATEGY**

Donna Peterson, Director of State Relations, presented a brief update on legislative activity. She reported that similar to the September report, legislators are still focusing concern on the up-coming election. She stated that issues raised during recent discussions with legislators have pertained to plans for the University of Minnesota, Crookston, the steam plant decision, and the impact of cuts which were made during the last legislative session. In answer to a question, Ms. Peterson indicated that most questions concerning the steam plant relate to the environmental impact of using coal and the reasoning behind the decision. She added that a number of legislators have committed to touring the site and plant after the election. The administration is making every effort to ensure that legislators have all of the facts and history on the process and the rationale for the decision.

She reported that a campaign is in the process of being developed which will involve the University community and alumni to promote the University's story to the legislature. Strategy for this campaign will be reviewed for the committee.

#### **OLD BUSINESS**

Associate Vice President Paschke provided an update on the issue of indexation of the University's endowment fund investments in U. S. stocks, a continuation of discussion at the Committee of the Whole. He reported that the Administration is preparing to invest a greater portion of the University's endowment fund in an equity index strategy for U.S. stocks. This action should result in a more broadly diversified and lower risk portfolio. It will also cause a

reduction in the amount of assets invested by the University's active U.S. equity managers. It was noted, however, that there will continue to be substantial involvement with active managers, and that these changes do not reflect on the relative competency of any individual manager.

Senior Vice President Erickson reported that this is a significant change and asked that the Chair Wynia report to the Board that it is the intention of Administration to move more heavily toward indexation. Chair Wynia indicated that she would do so.

The meeting adjourned at 4:45 p.m.

  
**BARBARA MUESING**  
Executive Director &  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Faculty, Staff and Student Affairs Committee**

**October 8, 1992**

A meeting of the Faculty, Staff and Student Affairs Committee of the Board of Regents was held on Thursday, October 8, 1992, at 2:15 p.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Sahlstrom, presiding; Regents Keffeler, A. Page, M. Page, Reagan, and Rosha.

Staff present: Senior Vice President Infante; Vice President Hughes; Executive Director Muesing; Associate Vice President Forrester.

Student Representatives present: Joe Errington and Courtney Jaren.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

Senior Vice President Infante presented the Senior Vice President's Monthly Report, which was included in the docket materials, to the committee for approval. He noted the appointment of Josie Johnson as Associate Vice President for Academic Affairs and Associate Provost, with special responsibility for minority affairs.

Regent Rosha moved to recommend approval of the Senior Vice President's Monthly Report, and the motion was seconded by Regent A. Page.

Dr. Infante reported on the progress of the Faculty Workload Task Force. In addition, he noted that a conference on "University-Industry Research: Practical Approaches to Balancing Public and Private Trusts" will be held on November 19, 1992, at the Humphrey Center.

The committee voted unanimously to recommend approval of the Senior Vice President's Monthly Report.

**COLLECTIVE BARGAINING AGREEMENT WITH GRAPHIC ARTS  
INTERNATIONAL UNION, LOCAL 1M**

Regent Keffeler moved to recommend approval of the proposed collective bargaining agreement between the University and Graphic Arts International Union, Local 1M, and Regent Reagan seconded the motion.

The committee voted unanimously to recommend approval of the following resolution:

WHEREAS, negotiations between the Graphic Arts International Union, Local 1M and the University of Minnesota began in March of 1992 and concluded with a settlement in September of 1992; and

WHEREAS, the union membership ratified the proposed collective bargaining agreement on September 14, 1992; and

WHEREAS, approval by the Board of Regents is required before the contract can be implemented;

NOW, THEREFORE, BE IT RESOLVED, that the proposed collective bargaining agreement between the Graphic Arts International Union, Local 1M and the University of Minnesota is hereby approved.


#### **CIVIL SERVICE RULE CHANGES**

Vice President Infante presented the proposed Civil Service rule changes to the committee for review. He noted that a summary of the proposed changes was included in the docket, stating that changes were made for clarification or to reflect what happens in practice, existing policy, or a change in law.

John Erickson, Associate Director of Human Resources, introduced Karen Prince, Chair of the Civil Service Rules Committee, and reported that review of the rules has taken place during the past three years. He stated that the administration and Civil Service Committee agree on the proposed changes.

Regent Sahlstrom stated that this item will be presented to the committee for approval at the November meeting.

The meeting adjourned at 2:35 p.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary



**UNIVERSITY OF MINNESOTA**  
**BOARD OF REGENTS**  
**Educational Planning and Policy Committee**

**October 8, 1992**

A meeting of the Educational Planning and Policy Committee of the Board of Regents was held on Thursday, October 8, 1992, at 4:00 p.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Craig, presiding; Regents Keffeler, Neel, A. Page, Reagan, and Roe.

Staff present: Senior Vice President Infante; Vice Presidents Hopkins and Petersen; Executive Director Muesing; Associate Vice President Brenner.

Student Representatives present: Darius Casey and Karen Schlangen.

**SENIOR VICE PRESIDENT'S MONTHLY REPORT**

Senior Vice President Infante reviewed the Senior Vice President's Monthly Report, which was included in the docket materials.

Dr. Infante noted the following item, which was included in the report:

- Resolution relating to the indefinite loan by the University of the Sagamore Nugget to the Croft Mine Historical Park

Regent Craig suggested that the resolution should specify that a plaque must be provided indicating that the Sagamore Nugget was a gift to the University of Minnesota and that it remains University property while on indefinite loan to the Croft Mine Historical Park.

Regent Keffeler moved to recommend approval of the Vice President's Monthly Report, including amendment of the resolution regarding the Sagamore Nugget as suggested by Regent Craig, and Regent Roe seconded the motion.

Dr. Infante also reported on the following items:

- Reaccreditation of the Department of Computer Engineering, the Department of Industrial Engineering, the Department of Chemical Engineering, and the Department of Computer Science at the University of Minnesota, Duluth
- Approval of program proposals by the Minnesota Higher Education Coordinating Board (MHECB) on September 17, 1992

Dr. Infante noted that HECB is currently involved in discussions that might result in a moratorium on approval of new programs, which could have an impact on program

proposals for the University of Minnesota, Crookston. In response to Regent Craig, Dr. Infante discussed the process followed by HECB in evaluating program proposals.

The committee voted unanimously to recommend approval of the Senior Vice President's Monthly Report.

#### **M.A. AND Ph.D. IN RHETORIC AND SCIENTIFIC AND TECHNICAL COMMUNICATION**

Senior Vice President Infante presented a proposal for an M.A. and Ph.D. in Rhetoric and Scientific and Technical Communication to the committee for approval. He noted the new format of the program proposal, which is consistent with the Regents' Policy on Agenda Guidelines.

Regent Keffeler moved to recommend approval of the proposed program, and Regent A. Page seconded the motion.

In response to an issue raised by Regent Keffeler, Dr. Infante clarified that the proposed program will be financed through tuition revenues resulting from the expected increase in the number of students.

The committee voted unanimously to recommend approval of the proposed program.

#### **REGENTS' POLICY ON ACADEMIC MISCONDUCT/ FOLLOW-UP COMPARATIVE ANALYSIS**

Senior Vice President Infante led the discussion regarding a comparative analysis of the Regents' Policy on Academic Misconduct in response to questions raised by committee members at the September meeting. As a result of that analysis, he stated that the University's policy is as strong or stronger than those of other institutions to which it was compared, with the following exceptions:

- The policy does not specifically state that abuse of confidentiality is a ground for academic misconduct. However, this is implied in the definition of misconduct included in the policy.
- The policy does not define as academic misconduct the failure to report observed fraud.
- The policy does not mandate, although it makes possible, extra-University membership to the inquiry committee, nor does it impose legal training on any members of the inquiry committee.

Dr. Infante noted that some other institutions' policies are simpler, briefer, and more abstract. However, because of the great diversity and independence of units within the University, he stated it is important that the policy includes specific procedures and imposes a level of uniformity.

Associate Vice President Brenner stated that the comparative analysis was a useful study. Although the new policy is more effective than the interim policy, he indicated that the policy can be improved. Following further review of the policy and consultation within the University governance structure, he stated that revisions will be presented to the Board within a year. Dr. Brenner noted that Vice President Petersen will appoint a committee to review the issues of academic integrity and conflict of

interest, evaluate policies of other institutions, and then develop a policy for the University.

Regent Keffeler stated that the comparative analysis was very helpful. However, she raised a concern about taking a year to revise the policy in the three areas identified, and she asked the administration to expedite the process. Dr. Brenner concurred with Regent Keffeler's concern, but indicated that the Faculty Consultative Committee has asked to be involved in the process of any revision to the policy. In response to Regent Keffeler, Dr. Brenner stated that he feels a request from the committee to the governance structure to expedite review of these specific areas and report back in 30 days would be viewed positively.

Vice President Petersen expressed concern about revising the Policy on Academic Misconduct at a time when there are other issues to review. As an alternative, she suggested a broader review, including the issue of conflict of interest, before the policy is amended. In response to Dr. Petersen's concerns, Regent Keffeler stated that consideration of these issues must expedited because the University is in need of clear and explicit policies as soon as possible, and a year is too long. Regent A. Page concurred with Regent Keffeler's concerns, stating that it is intolerable to wait a year for revision of the policy. Following the discussion, Dr. Infante stated that the administration will expedite the process.

The meeting adjourned at 4:35 p.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Committee of the Whole**

**October 8, 1992**

A meeting of the Committee of the Whole of the Board of Regents was held on Thursday, October 8, 1992, at 9:00 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Keffeler, presiding; Regents Craig, Neel, A. Page, M. Page, Reagan, Roe, Rosha, Sahlstrom, and Wynia.

Staff present: President Hasselmo; Chancellors Johnson and Sargeant; Senior Vice Presidents Erickson and Infante; Vice Presidents Allen, Hopkins, Hughes, and Petersen; Executive Director Muesing; Associate Executive Director Janzen; Associate Vice President Paschke.

Student Representative present: Rachel Paulose.

Regent Keffeler noted that Chair Kuderer could not attend the meeting because of a conflict.

**UNIVERSITY OF MINNESOTA, CROOKSTON STATUS REPORT**

President Hasselmo introduced the discussion regarding the status of the planning process and key strategies for UMC 2002, noting that the baccalaureate program proposals and benchmarks will be presented to the Board at the November meeting. He stated that the goal is to insure that the University makes a state-wide contribution to higher education in a cost-effective manner, through the use of collaborative relationships and telecommunications.

Chancellor Sargeant summarized the planning efforts related to UMC 2002, stating that it will be an exemplary polytechnic institution with a focus on applied career-oriented baccalaureate programs. He noted that plans include restructuring and collaboration in light of limited financial resources, and the following key strategies will guide academic and support services:

- Focus on customers
- Deliver quality products and services
- Seek out and establish collaborative partnerships
- Incorporate technology into every activity
- Be accountable for delivering outcomes sought by customers

Chancellor Sargeant stated that UMC 2002 fits within the University's land grant mission, and adds value to the students and the state. At the 1992 Annual Meeting of the Minnesota Alumni Association Garrison Keillor said, "It is basic to Minnesota culture that everyone should have a chance at the best education", and Chancellor Sargeant stated that a quality polytechnic education at the University of Minnesota, Crookston (UMC) provides that educational opportunity.

Regent Craig commended Chancellor Sargeant for an excellent presentation, and stated that his enthusiasm and leadership guarantee success. In response to Regent Craig, Chancellor Sargeant discussed the program review process, stating that the baccalaureate programs would begin in Fall 1993 and the first class would graduate in 1995. In addition, he stated that possible collaboration with Concordia College is being explored.

Regent Neel congratulated Chancellor Sargeant on the proposed plan, and particularly the focus on outcomes assessment. With respect to collaboration, he stated that he would like to see a firm proposal developed for a video telecommunication system to link all of the campuses and within the Twin Cities campus. President Hasselmo indicated that the telecommunication issue is addressed in the University's Biennial Request, and will be thoroughly discussed during the planning process. He noted the effectiveness of the UNITE system which connects the Twin Cities campus and the Rochester Center.

Following the discussion, Regent Keffeler expressed appreciation to Chancellor Sargeant for his report. She noted that the Board looks forward to reviewing the program proposals and benchmarks at the November meeting.

### **INSTITUTIONAL STRATEGIC PLANNING**

President Hasselmo led the discussion regarding institutional strategic planning. He reported that the planning process is proceeding under the leadership of Senior Vice President Infante, noting that steps will be taken to engage all campuses in the planning process.

Dr. Infante reviewed the methodology for the planning process. He stated that it will be part of the continuing activities of the University, and efforts will be made to increase the level of communication to bring about consensus on the planning goals. Dr. Infante indicated that the process will focus on synergy among teaching, research, and outreach within the University and with other institutions in the state, region, and nation. He emphasized that although this is a difficult period for higher education, he believes that the State of Minnesota is an environment in which change and significant improvement are possible.

Dr. Infante reviewed the key points that will be addressed in the planning process, and indicated that reorganization is necessary to achieve financial stability and insure effective use of the University's limited resources. He discussed how the University competes and collaborates, stating that the University has to demonstrate how its customers will benefit from competition for available resources, and that international, national, regional, and statewide collaboration is essential.

Dr. Infante discussed issues related to the University's infrastructure, noting that serious problems have developed over a long period of time. He stressed the importance of faculty and staff, and stated that the University has to invest additional resources in the people within the University to insure that they are capable of bringing about future changes.

Senior Vice President Erickson stated that the resource shortage and the current changes in higher education provide the University with a unique opportunity to conduct a meaningful planning process. There is historical support for higher education in Minnesota, and he noted the critical link between higher education and the economy and future of the state.

In response to Regent Sahlstrom, Dr. Infante stated that he senses a willingness on the part of the faculty to make the changes that are necessary to improve the

University. Regent Sahlstrom indicated that he is sensitive to improving undergraduate instruction, and stressed the importance of developing proper assessment of teaching. Dr. Infante stated that performance measurements will be an integral part of the planning and budgeting process.

Regent Keffeler asked if the Board's involvement in the planning process will be limited to review and approval of the capital plan and operating budget, or if there are critical planning milestones the administration will bring before the Board. Dr. Infante stated that the Board will be involved in critical decisions as part of the academic and budget plans, in addition to status reports on general directions of the planning process.

President Hasselmo stated that part of the strategic planning process will focus on understanding and clarifying the values on which the University is based. He emphasized that he sees no change in the underlying values of the institution, but the way those values are represented and implemented are different in certain respects than they were in the past. In addition, Dr. Hasselmo indicated that interactions with the other higher education systems must continue to insure that the University's role within the state is understood.

President Hasselmo discussed the impact of the state's investment in the University, and indicated that state resources are leveraged to acquire income of many other types. He noted that understanding how the University is financed is fundamental to comprehending implications of tuition and the University's dependence on other sources for funding. He asked the Board for suggestions on engaging the broad community in discussions regarding the kind of institution the University can be and regarding financing strategies.

Regent Neel stated for the record that he does not think any other university in the country has developed a more comprehensive strategic plan. He suggested that milestones in the planning process should be articulated, so the people of the state have that information.

Regent Roe noted that a recent national study indicated that the search for research dollars is at the expense of other activities, and he asked how the land grant mission of the University is being redefined. Dr. Infante responded that he feels the values are the same, but the means and circumstances have changed and new ways must be found for the entire higher education system in the state to fulfill those values.

President Hasselmo stated that he feels the land grant mission represents access to the teaching, research, and service activities of the University, and synergism among those three activities. However, given the current nature of higher education in the state, he stated it is clear that the issue of defining the University's responsibilities must be addressed.

With respect to redefining the land grant mission, Regent M. Page stated it is important to understand that there are many different concepts of the mission.

#### **ANNUAL REPORT ON ASSET AND DEBT MANAGEMENT**

Senior Vice President Erickson led the discussion regarding the Annual Report on Asset and Debt Management. He introduced Associate Vice President Paschke and Dr. Timothy Nantell, Professor in the Carlson School of Management and chair of a committee which was established to provide oversight in the area of asset and debt management.

Mr. Paschke recognized the members of his staff, including Sheila Warness, Colleen Davy, Kerry Gaffney, Barbara Holl, Kathy Hall, Linda Sibben, and Pam Lahrs, for their invaluable contributions. He presented the Annual Report on Asset and Debt Management to the committee, and distributed the 1992 Investment Report which summarizes the University's investment program and results.

Mr. Paschke stated that the current value of funds as of June 30, 1992 was \$899.9 million. He reviewed allocation of assets by geographic region and the world equity markets, stating that the University is moving more into international equity. He reviewed asset allocation by manager, and noted that the central reserve pool is managed internally. Mr. Paschke discussed the allocation of assets, as of June 30, 1992, from the consolidated endowment fund, long-term reserves, and short-term reserves as compared with investment objectives.

Mr. Paschke reviewed a chart illustrating the annual growth of the University's consolidated endowment fund versus inflation since June 1975, stating that significant results have been achieved. He reviewed compounded annual returns for stocks, bonds, money market funds, and the consolidated endowment fund, and indicated that it has been difficult to keep pace with the S&P because of high returns in the stock market in recent years.

Mr. Paschke reviewed equity manager performance as of June 30, 1992, stating that the returns have generally been below returns on the S&P. He indicated that the indexing approach has been reviewed. He stated that he is pleased with compounded annual returns for long-term reserves as of June 30, 1992. Mr. Paschke discussed the fixed income manager performance and the average annual yield on short-term reserves, which funds are managed internally. He also reviewed the expenses associated with asset management activities.

Mr. Paschke reviewed a summary of the University's arbitrage program. He noted that the program has provided a net return of \$52.3 million since its inception in 1980, and is a major source of funding for central reserves.

Mr. Paschke reported that the University's bonded debt as of June 30, 1992 totals \$317.4 million. He indicated that the University's high percentage of variable rate debt has been a benefit to the University in the current market. He noted savings of approximately \$37.7 million in debt service since 1985.

Professor Nantell reported on the activities of the oversight committee, including review of the arbitrage program, debt structure, the impact of the steam plant proposal on the University's debt rating, international diversification, and indexing. As a way to manage risk, he noted that the committee is in favor of moving more funds into indexing management rather than active management.

The committee anticipates a productive year, and Dr. Nantell stated he will contact the Regents about other specific issues that the committee should address. Regent Keffeler noted that is the kind of insight and counsel the Board had in mind when the committee was formed because the stakes are high and it is important to be as diligent as possible in getting returns.

In response to issues raised by Regents Reagan and Roe, Mr. Paschke discussed the indexing approach. Mr. Erickson noted that it is a difficult issue, which will require policy decisions that will have a significant impact in the future.

Regent Neel commended Mr. Paschke on his presentation and congratulated him for doing a great job. In response to Regent Neel, Mr. Paschke stated that indexing will result in reduced management fees, but there will be an increase in fees related to international investments. He noted that University's percentage of international

investments is substantial, and stated that the performance results illustrate the reasons a sizable portion is invested in international bonds.

Following the discussion, Regent Keffeler suggested that this issue should be discussed further at a future meeting.

The meeting adjourned at 10:55 a.m.

  
**BARBARA MUESING**  
**Executive Director and**  
**Corporate Secretary**



**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**Committee of the Whole**

**October 9, 1992**

A meeting of the Committee of the Whole of the Board of Regents was held on Friday, October 9, 1992, at 8:30 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Regent Kuderer, presiding; Regents Craig, Keffeler, A. Page, M. Page, Reagan, Roe, Rosha, Sahlstrom, and Wynia. Regents Anderson and Neel participated in the meeting via telephone.

Staff present: President Hasselmo; Chancellors Ianni, Johnson, and Sargeant; Senior Vice Presidents Erickson and Infante; Vice Presidents Allen, Anderson, Hopkins, Hughes, and Petersen; General Counsel Rotenberg; Executive Director Muesing; Associate Executive Director Janzen; Associate Vice Presidents Barbatsis and Perlmutter; Assistant Vice President Tschida.

Student Representative present: Rachel Paulose.

The committee voted unanimously to allow Regents Anderson and Neel to participate in the meeting via telephone.

**RECOGNITIONS**

**Professor Larry L. McKay**

The committee recognized Dr. Larry L. McKay, Professor and holder of the Kraft General Foods Chair in Food Science in the Department of Food Science and Nutrition, for being named as the 1992 recipient of The Alexander von Humboldt Award.

**Student-Athletes**

The committee recognized a number of student-athletes for their achievements in athletic competition and in the classroom.

Chris Voelz, Director of Women's Intercollegiate Athletics, introduced coaches and student-athletes representing the Cross Country/Track & Field, Softball, and Swimming & Diving Teams.

Dr. McKinley Boston, Director of Men's Intercollegiate Athletics, introduced coaches and student-athletes representing the Baseball, Tennis, Gymnastics, Hockey, Swimming & Diving, Golf, Football, Cross Country/Track & Field, and Wrestling Teams.

## **REPORT ON INTERCOLLEGIATE ATHLETICS GENDER EQUITY PLAN**

President Hasselmo introduced the discussion regarding the University's plans for pursuing gender equity in intercollegiate athletics on the Twin Cities campus. He stated that the primary goal is to achieve a level of participation that is 60 percent male and 40 percent female by 1997, which is consistent with the conference-wide gender equity goal adopted by the Big Ten Council of Presidents. In an effort to achieve its goal, President Hasselmo noted that the Big Ten is pursuing national legislation through the National Collegiate Athletic Association (NCAA) and taking steps towards cost containment.

President Hasselmo noted that the University has made substantial progress to strengthen funding and participation opportunities for female student-athletes. He believes the gender equity plan moves the University in the right direction, but it does not represent the end point of full equity. President Hasselmo stated that the University is committed to this effort, and indicated that the administration will present progress reports to the Board.

Senior Vice President Infante addressed major issues related to implementation of the gender equity plan, including funding problems. He discussed plans to reduce expenditures and increase revenues, including the possibility of implementing a student fee surcharge. Dr. Infante stated that the strategy the administration is recommending projects the addition of approximately 43 female participants and the reduction of approximately 63 male participants. The strategy would be implemented over the next five years through the addition of women's soccer at the varsity level and expansion of team rosters in existing women's sports. In addition, he noted plans to place a cap on team rosters in existing men's sports, which will be pursued in conjunction with the NCAA and Big Ten.

Chris Voelz, Director of Women's Intercollegiate Athletics, commented on the gender equity plan and stated that she is encouraged by discussions to resolve issues related to gender equity, including developing a definition of gender equity. She noted that it is important to recognize that athletics nationwide would be in financial difficulty with or without gender equity, stating that the University must identify how much money it can afford to spend on athletics and then decide to spend it equitably. As decisions become more difficult, Ms. Voelz stated that she hopes the University community will work together to achieve the goal.

McKinley Boston, Director of Men's Intercollegiate Athletics, reported that he has discussed gender equity and Title IX issues with student-athlete and coach advisory councils. The discussions have resulted in support of the principle of equal opportunity for women athletes by the coaches and athletes. However, he noted there is strong opposition to the possible elimination of men's sports to create those opportunities. Dr. Boston stated that while he is committed to the University's efforts, he is concerned about the use of quotas to address present effects of past discrimination.

Dr. Boston indicated that there has been internal debate regarding elimination of walk-on opportunities, and stated that he supports an increase in walk-on opportunities for women. He expressed support for national and conference legislation aimed at reducing squad size or limiting opportunities in lieu of eliminating sports as a means of reaching the goal, stating that he hopes the University will not have to make unilateral decisions which would result in the University being at a competitive disadvantage with its national counterparts.

Student Representative Rachel Paulose expressed support for the principle of gender equity, and raised several questions regarding funding for the plan. Dr. Infante discussed the funding alternatives that will be explored in order for the University to reach its goal. President Hasselmo stated that the administration plans to try a series

of strategies to find a funding solution that will provide equitable opportunities without infringing on student fees or academic budgets. He indicated that the NCAA convention in January will assist in determining whether or not the national strategy will work.

Regent Kuderer stated he is pleased the University is working on a plan, noting that this discussion was scheduled as a result of a resolution approved by the Board of Regents in April 1992, and he suggested scheduling a progress report in 1993.

In response to Regent A. Page, Ms. Voelz stated that while she believes the 60-40 goal is a progressive step to move the University beyond the current ratio, it does not conform to the definition of gender equity or Title IX. Ms. Voelz responded further that the timetable for meeting the goal by June 1997 is reasonable given the complexity of the issues, as long as there is also an increase in quality.

Regent A. Page noted that Title IX was passed 20 years ago, and expressed concern about taking five more years to implement the gender equity plan. He is also troubled by the perception that 60-40 is full participation, stating that his daughter and her peers should not be denied equal opportunity and access. He stated that the time has come, and the University must act in a more urgent and timely manner.

Regent Keffeler supported Regent Page's comments, and expressed appreciation to him for his leadership. She explained why she feels the principles contained in the report are faulty and internally inconsistent, and raised the issue of whether a plan to achieve 60-40 in five years is the right objective.

President Hasselmo responded that it may be necessary to revise the principles to achieve the goal. Dr. Hasselmo stated that it is only because of the University's compelling financial circumstances that he can accept the proposed timetable. He indicated that updates on implementation of the strategies will be provided as part of the annual budgeting process, and suggested scheduling a report following the NCAA convention in January. He stated that 60-40 is not a quota or an endpoint, but rather an interim target for solving the problems related to gender equity and embodied in the principles.

Regent A. Page noted that Dr. Boston indicated the perception is that gender equity is another vehicle to impact the number of male athletes of color, but he stated that there are women athletes of color who are being denied opportunity and they need those opportunities as much as the men do. He expressed the hope that the process can move forward expeditiously and that the administration can find creative solutions to the problems.

Regent Kuderer noted for the record that the report on the intercollegiate athletics gender equity plan was received by the Regents and will be filed.

Regent A. Page made a motion to approve the following resolution, and the motion was seconded by Regent Craig:

**RESOLVED**, that a progress report on the intercollegiate athletics gender equity plan will be presented at the February 1993 meeting of the Board of Regents following the National Collegiate Athletic Association (NCAA) convention.

The committee voted unanimously to recommend approval of the resolution.

**MINNESOTA SUPERCOMPUTER CENTER, INC.**

Regent Keffeler moved approval of the following resolution, and the motion was seconded by Regent Craig:

WHEREAS, the Office of the Legislative Auditor of the State of Minnesota has issued a report on the University of Minnesota supercomputing services; and

WHEREAS, the Administration of the University has responded to the results of this audit with a commitment by the President to appoint, in the immediate future, a senior faculty member to the Board of Directors of the Minnesota Supercomputer Center, Inc.; by the establishment of a more appropriate peer review process for the allocation of access to supercomputing resources by November 10, 1992, and by immediate publication of the allocation percentages of these resources for the various research groups; and by the undertaking of an external review of the supercomputing activities of the University of Minnesota under the direction of the Vice President for Research; and

WHEREAS, the Board of Directors of the Minnesota Supercomputer Center, Inc. has authorized the release of summary financial information of that corporation, consisting of total revenues and expenses, net income or loss, total assets and liabilities, and breakout of shareholder equity;

NOW BE IT THEREFORE RESOLVED, that the Board of Regents of the University of Minnesota endorses the actions of the President and the administration; and that the Chair of the Board of Regents is authorized to appoint an individual to a presently vacant position on the Board of Directors of the Minnesota Supercomputer Center, Inc.; and

BE IT FURTHER RESOLVED, that University of Minnesota representatives on the Board of Directors of the Minnesota Supercomputer Center, Inc. convey to that Board the request of the Board of Regents that maximal disclosures of the activities of this public-private partnership of the University of Minnesota, consistent with reasonable business practices balanced by protection of competitive information, is expected of that corporation.

Regent Kuderer noted that the proposed resolution authorizes him, as Chair of the Board of Regents, to appoint an individual to a vacant position on the Board of Directors of the Minnesota Supercomputer Center, Inc. The auditor suggested that a Regent should be appointed to fill that position, and Regent Kuderer asked the committee to consider that recommendation. Following a brief discussion, it was the consensus of the committee that a Regent should not be appointed to serve on the Board of Directors.

Regent Rosha suggested that the method of appointing members to the Board of Directors should be more structured, and Regent Kuderer noted that appointments to the Board are covered in the corporation's By-Laws.

The committee voted unanimously to recommend approval of the resolution.

## **APPOINTMENT OF UNIVERSITY OF MINNESOTA FOUNDATION TRUSTEE**

President Hasselmo presented the following resolution to the committee for approval:

**RESOLVED**, that Stephen R. Pflaum is reappointed to the University of Minnesota Foundation Board of Trustees for a three-year term.

The committee voted unanimously to recommend approval of the resolution.

## **FY 94-FY98 ENROLLMENT PLAN**

Regent Sahlstrom moved approval of the following resolution related to the FY94-FY98 enrollment plan, and the motion was seconded by Regent Craig:

**WHEREAS**, the University seeks to preserve funding per student at no less than current levels; and

**WHEREAS**, the University seeks to provide appropriate facilities and support for its instructional programs at all levels; and

**WHEREAS**, the University seeks to maintain an appropriate balance among its undergraduate, graduate, and professional/graduate professional programs;

**NOW, THEREFORE, BE IT RESOLVED** by the Board of Regents of the University of Minnesota that the Board endorses the enrollment management principles set forth in the report of the Enrollment Management Committee of August 25, 1992, and adopts the following enrollment plan for the period FY94-FY98:

1. The University will maintain undergraduate enrollment at the approximate projected FY93 level of 31,600 FYE students.
2. The University will maintain graduate and professional/graduate professional enrollments at the approximate projected FY93 levels of 7,250 and 6,850 FYE students, respectively.
3. The University will establish recruitment, admissions, and retention strategies at the undergraduate, graduate, and professional/graduate professional levels that will provide the headcount enrollments necessary to maintain these FYE enrollments.

President Hasselmo reported that the enrollment plan approved in 1987 expires this year, and the proposed plan is for the next five years. He indicated that enrollment levels will be addressed as part of the strategic planning process in terms of programmatic components. President Hasselmo stated that he views the proposed plan as a working hypothesis for the next five years and submitted it to the Board in that spirit, with the understanding that there will be an opportunity in the future for more specific discussions regarding enrollment levels in specific units.

The committee voted unanimously to recommend approval of the resolution relating to the FY94-FY98 enrollment plan.

**INTERACTIONS WITH EXTERNAL ENTITIES AND  
PRIVATE/PUBLIC PARTNERSHIPS**

Regent Roe moved approval of the following resolution relating to University of Minnesota interactions with external entities and private/public partnerships, and the motion was seconded by Regent Keffeler:

WHEREAS, the University of Minnesota as a Land Grant Research University has entered, in the discharge of its mission, into a variety of relationships with government, private sector, and educational agencies; and

WHEREAS, the faculty and staff of the University of Minnesota, in the discharge of their educational, research, and service activities, are involved in a multitude of interactions with federal, state, and local government, the private sector, and educational agencies; and

WHEREAS, the interactions of individual faculty and staff members and of the University as an institution with external agencies are regulated by University policies established for this purpose; and

WHEREAS, such interactions are an integral part of the discharge of the Land Grant and Research missions of the University of Minnesota; and

WHEREAS, such interactions are increasing in complexity and in importance to the mission of the University of Minnesota; and

WHEREAS, policies regulating the interaction of individual faculty and staff members with external agencies are under ongoing review by the President and his administration; and

WHEREAS, there is a strongly held need, demonstrated by the establishment of the Office of the Vice President for Research, that these policies be carefully implemented with the appropriate administrative oversight and fiscal management that the importance and complexity of these external interactions demand:

NOW BE IT THEREFORE RESOLVED, that the Board of Regents of the University of Minnesota endorses the ongoing re-examination of these policies by the President and his administration, and endorses increased administrative oversight and management of interactions between the University and external entities; and

BE IT FURTHER RESOLVED, that the President establish a Task Force on Public-Private Partnerships to study this important area of interaction between the University and the private sector to recommend principles to guide the University in this area; that this Task Force include members from outside the University; and that the President report to the Board the progress of the considerations of this Task Force at the February 1993 meeting of the Board of Regents.

President Hasselmo indicated that concerns have been raised about public/private partnerships that have developed in the past, noting that those relationships are important to the operation of the University and there will be further development in the future. He stated that a Task Force on Public-Private Partnerships, including members from the external community, will be appointed to assess the issues involved, establish

principles for developing processes for these relationships, and build broader understanding and credibility for the importance of these relationships.

The committee voted unanimously to recommend approval of the resolution.

### **LEGISLATIVE REQUEST**

Regent Sahlstrom moved approval of the following resolution relating to the 1993-95 Legislative Request, and the motion was seconded by Regent Keffeler:

WHEREAS, the University seeks to serve Minnesota's future by maintaining and enhancing its position among the leading land-grant research universities in the country; and

WHEREAS, the University is committed to improving the quality of its undergraduate, graduate, and professional programs and instruction; and

WHEREAS, the University is committed to serving the state and stimulating the state's economy through its outreach, research, and technology transfer; and

WHEREAS, there are key opportunities to expand the University's services to the state in the areas of water research, distance learning, and children, youth, and families;

NOW, THEREFORE, BE IT RESOLVED, the Board of Regents of the University of Minnesota authorizes the administration to seek an increase of \$68.394 million over the adjusted base in state appropriations for the biennium 1993-94/1994-95 for inflation, infrastructure, and special initiatives.

President Hasselmo stated that the proposed legislative request is modest, it addresses inflationary increases, infrastructure, and special initiatives, and it raises issues that are critically important to the state and the University.

Senior Vice President Infante indicated that the proposed legislative request is the same as the document reviewed at the September meeting, with the exception that three initiatives are now included. They are 1) children, youth, and families; 2) water research/Lake Superior; and 3) distance learning.

The committee voted unanimously to recommend approval of the resolution.

### **UNIVERSITY OF MINNESOTA HOSPITAL & CLINIC STRATEGIC PLAN**

Vice President Anderson led the discussion regarding the University of Minnesota Hospital & Clinic (UMHC) Strategic Plan, noting that it was approved unanimously by the UMHC Board of Governors.

Dr. Anderson, Greg Hart, General Director of UMHC, and B. Kristine Johnson, Chair of the UMHC Board of Governors, addressed the following issues that had been raised previously by members of the Board of Regents and Board of Governors:

- use of public funds for private ventures

- flexibility of the proposed plan to be responsive to a changing health care environment
- risks associated with private alignment, including the need for extensive consultation
- impact of the presidential election on UMHC, including the possibility of a national health care program
- types of relationships that might be developed in the future, including affiliations, joint ventures, holding companies, acquisitions, and mergers, and the University's leadership role in the development process
- initiative to improve relationships with University students, graduates and referring physicians

Regent Sahlstrom stated that the issue of student loyalty is not unique to the health sciences, and he stressed the importance of improving relationships with students throughout the institution. He invited everyone to attend the Class of 1942 Symposium on Thursday and Friday, October 15-16.

Regent Craig stated that the proposed UMHC Strategic Plan is a good outline, noting that there are many details to be developed. She hopes that UMHC's commitment can be communicated to the health care community. Dr. Anderson stated that in order to achieve the goals set forth in the Strategic Plan, it will be necessary to change the culture of the institution. Ms. Johnson noted that the Board of Governors discussed implementation of the Strategic Plan, stating that their Board will identify specific objectives that it will monitor over the next several years to insure that the vision outlined in the plan is translated into action.

Regent Kuderer urged the UMHC administration to develop a strategy for placing more primary care physicians in greater Minnesota, noting the success of the program at the University of Minnesota, Duluth Medical School. UMHC must focus on the needs of greater Minnesota to gather support for the University across the state.

President Hasselmo reported that the Medical School was recently recognized nationally as a research-oriented school that produces large numbers of primary care physicians. He thanked Dr. Anderson, Mr. Hart, and Ms. Johnson for their efforts, stating that the development plan intends to solve the problems facing UMHC.

Regent A. Page expressed appreciation for the sense of urgency to address UMHC's problems that is apparent in the Strategic Plan.

Regent M. Page suggested that the issue of changing institutional culture be placed on the agenda for a future Regents' retreat. President Hasselmo stated that historically, cultural lag has led to resolution and he is hopeful that the current cultural lag will lead to urgent evolution.

Regent Wynia expressed appreciation to everyone who worked on the Strategic Plan for recognizing that major changes are needed in the health sciences culture and reward structure. She anticipates approval of the resolution in November, which will signal the full backing of the Board of Regents for UMHC to make the difficult decisions that are necessary to implement the plan.

Regent Kuderer concurred, stating that the Board will support the changes being advocated by Vice President Anderson. He noted that a resolution regarding the UMHC Strategic Plan, including internal initiatives and the initiation and development of



affiliation strategies, will be presented to the Board of Regents for approval at the November meeting.

### **HOSPITAL GOVERNANCE COMMITTEE RECOMMENDATIONS**

Regent Keffeler, Chair of the Hospital Governance Committee, led the discussion regarding the committee's recommendations. She noted that committee members are Vice President Anderson, Michael Dougherty, Vice Chair of the UMHC Board, B. Kristine Johnson, Chair of the UMHC Board, Associate Vice President Perlmutter, and Regent Darrin Rosha. Staff support was provided by General Counsel Mark Rotenberg and Hospital Counsel Keith Dunder.

Regent Keffeler reviewed the substance of the committee's recommendations. She reported that the committee sought to reserve to the Board of Regents authority in the areas of budget, strategic planning, and oversight. The committee recommends that responsibility be delegated to the UMHC Board of Governors for proactive leadership, aggressive and streamlined governance, and administrative procedures to create more agility in the marketplace. In addition, the committee also sought to clarify responsibilities of the Board of Governors with respect to the UMHC General Director.

Ms. Johnson indicated that the UMHC Board reviewed the report at a recent retreat and their Board unanimously approved a resolution in support of the proposed changes.

Regent Kuderer noted that the committee was to develop a policy to delegate as much authority as possible to the UMHC Board of Governors, while reserving appropriate oversight to the Board of Regents. He stated that the committee has accomplished its mission.

Regent M. Page noted the importance of nominations to the Board of Governors in light of the committee's recommendations. Regent Keffeler noted that the committee recommends that the Board of Governors review and report to the Board of Regents by June 1, 1993, on the following issues: 1) composition (size and geographic distribution) of the Board of Governors; 2) Board internal organization and committee structure; 3) possible further revision of the Board of Governors' Bylaws; and 4) possible means of achieving greater autonomy for UMHC in regard to setting pay and benefit levels for UMHC employees, consistent with state law and existing union contracts.

General Counsel Rotenberg reviewed proposed changes in the relationship between the General Director, the UMHC Board of Governors, and the Vice President for Health Sciences. He noted that the committee and Vice President Anderson believe that the proposed structure will enhance overall accountability of the Director to the Board of Governors, as well accountability of the UMHC General Director within the administrative structure of the University of Minnesota. Mr. Rotenberg indicated that he has reviewed the proposed language of the policy and finds it acceptable.

Following the discussion, Regent Kuderer indicated that the recommendations of the Hospital Governance Committee will be presented for approval at the November meeting.

The meeting adjourned at 11:10 a.m.

  
**BARBARA MUESING**  
Executive Director and  
Corporate Secretary

**UNIVERSITY OF MINNESOTA**

**BOARD OF REGENTS**

**October 9, 1992**

A meeting of the Board of Regents of the University of Minnesota was held on Friday, October 9, 1992, at 11:25 a.m. in the Regents' Room, 238 Morrill Hall.

Regents present: Craig, Keffeler, Kuderer, A. Page, M. Page, Reagan, Roe, Sahlstrom, and Wynia. Regents Anderson and Neel participated in the meeting via telephone. President Hasselmo presided.

Staff present: Senior Vice Presidents Erickson and Infante; Vice Presidents Allen, Anderson, Hopkins, and Petersen; Executive Director Muesing; Associate Executive Director Janzen; and Associate Vice Presidents Fischer and Paschke.

**APPROVAL OF MINUTES**

The Board of Regents voted unanimously to approve the minutes of the following meetings:

Board of Regents' Meeting - September 10, 1992  
Physical Planning & Operations Committee - September 10, 1992  
Finance & Legislative Committee - September 10, 1992  
Faculty, Staff & Student Affairs Committee - September 10, 1992  
Educational Planning & Policy Committee - September 10, 1992  
Committee of the Whole - September 10, 1992  
Committee of the Whole - September 11, 1992  
Board of Regents - September 11, 1992

**REPORT OF THE PRESIDENT**

President Hasselmo presented his monthly report which pertained to the Alexander von Humboldt Foundation Award; the Presidents Club Annual dinner; information relating to the University of Cyprus; campus welcoming events; the development of smoke-free campus policies; personnel matters; and comments about the President's 1992 State of the University address.

A copy of the President's Report is on file in the Regents' Office.

**REPORT OF THE CHAIR**

Chair Kuderer reported that there will be an open forum held on Thursday, November 12, 9:30 a.m., in Cowles Auditorium at the Humphrey Center. Individuals are invited to participate and speak on any subject for five minutes.

Chair Kuderer further stated that he would like to publicly announce that he will not be a candidate for reelection to the Board of Regents. He further stated that he has truly enjoyed his work with this Board and the University Administration. He requested that the Executive Director of the Board notify the Regents' Candidate Advisory Council of his decision.

### **GIFTS**

Associate Vice President Fischer presented the monthly list of gifts to the University of Minnesota, the University of Minnesota Foundation, the Arboretum Foundation and the Minnesota Medical Foundation as listed in the docket material and on file in the Regents' Office.

The Board of Regents voted unanimously to approve the gifts as presented.

### **CONTRACTS AND GRANTS/APPLICATIONS AND AWARDS**

Vice President Petersen submitted for approval the contracts and grants/applications and awards as presented in the docket material and on file in the Regents' Office.

The Board of Regents voted unanimously to approve the contracts and grants/applications and awards.

### **REPORT OF THE COMMITTEE OF THE WHOLE October 8, 1992**

Regent Kuderer, Chair of the committee, reported that the committee received a status report on planning for the University of Minnesota, Crookston campus; participated in a discussion relating to Institutional Strategic Planning; and reviewed the Annual Report on Asset and Debt Management.

### **REPORT OF THE COMMITTEE OF THE WHOLE October 9, 1992**

Regent Kuderer, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of resolution re Report on Intercollegiate Athletics Gender Equity Plan, as follows:

RESOLVED, that a progress report on the intercollegiate athletics gender equity plan will be presented at the February 1993 meeting of the Board of Regents following the National Collegiate Athletic Association (NCAA) convention.

- b) Approval of resolution re Minnesota Supercomputer Center, Inc., as follows:

WHEREAS, the Office of the Legislative Auditor of the State of Minnesota has issued a report on the University of Minnesota supercomputing services; and

WHEREAS, the Administration of the University has responded to the results of this audit with a commitment by the President to appoint, in the immediate future, a senior faculty member to the Board of Directors of the Minnesota Supercomputer Center, Inc.; by the establishment of a more appropriate peer review process for the allocation of access to supercomputing resources by November 10, 1992, and by immediate publication of the allocation percentages of these resources for the various research groups; and by the undertaking of an external review of the supercomputing activities of the University of Minnesota under the direction of the Vice President for Research; and

WHEREAS, the Board of Directors of the Minnesota Supercomputer Center, Inc. has authorized the release of summary financial information of that corporation, consisting of total revenues and expenses, net income or loss, total assets and liabilities, and breakout of shareholder equity;

NOW BE IT THEREFORE RESOLVED that the Board of Regents of the University of Minnesota endorses the actions of the President and the administration; and that the Chair of the Board of Regents is authorized to appoint an individual to a presently vacant position on the Board of Directors of the Minnesota Supercomputer Center, Inc.; and

BE IT FURTHER RESOLVED that University of Minnesota representatives on the Board of Directors of the Minnesota Supercomputer Center, Inc. convey to that Board the request of the Board of Regents that maximal disclosures of the activities of this public-private partnership of the University of Minnesota, consistent with reasonable business practices balanced by protection of competitive information, is expected of that corporation.

- c) Approval of resolution re Appointment of University Foundation Trustee, as follows:

RESOLVED, that Stephen R. Pflaum is reappointed to the University of Minnesota Foundation Board of Trustees for a three-year term.

- d) Approval of resolution re FY94-FY98 Enrollment Plan, as follows:

WHEREAS, the University seeks to preserve funding per student at no less than current levels; and

WHEREAS, the University seeks to provide appropriate facilities and support for its instructional programs at all levels; and

WHEREAS, the University seeks to maintain an appropriate balance among its undergraduate, graduate, and professional/graduate professional programs;

NOW, THEREFORE, BE IT RESOLVED by the Board of Regents of the University of Minnesota that the Board endorses the enrollment management principles set forth in the report of the Enrollment Management Committee of August 25, 1992, and adopts the following enrollment plan for the period FY94-FY98:

1. The University will maintain undergraduate enrollment at the approximate projected FY93 level of 31,600 FYE students.
  2. The University will maintain graduate and professional/graduate professional enrollments at the approximate projected FY93 levels of 7,250 and 6,850 FYE students, respectively.
  3. The University will establish recruitment, admissions, and retention strategies at the undergraduate, graduate, and professional/graduate professional levels that will provide the headcount enrollments necessary to maintain these FYE enrollments.
- e) Approval of resolution re Interactions with External Entities and Private/Public Partnerships, as follows:

WHEREAS, the University of Minnesota as a Land Grant Research University has entered, in the discharge of its mission, into a variety of relationships with government, private sector, and educational agencies; and

WHEREAS, the faculty and staff of the University of Minnesota, in the discharge of their educational, research, and service activities, are involved in a multitude of interactions with federal, state, and local government, the private sector, and educational agencies; and

WHEREAS, the interactions of individual faculty and staff members and of the University as an institution with external agencies are regulated by University policies established for this purpose; and

WHEREAS, such interactions are an integral part of the discharge of the Land Grant and Research missions of the University of Minnesota; and

WHEREAS, such interactions are increasing in complexity and in importance to the mission of the University of Minnesota; and

WHEREAS, policies regulating the interaction of individual faculty and staff members with external agencies are under ongoing review by the President and his administration; and

WHEREAS, there is a strongly held need, demonstrated by the establishment of the Office of the Vice President for Research, that these policies be carefully implemented with the appropriate administrative oversight and fiscal management that the

importance and complexity of these external interactions demand:

**NOW BE IT THEREFORE RESOLVED** that the Board of Regents of the University of Minnesota endorses the ongoing re-examination of these policies by the President and his administration, and endorses increased administrative oversight and management of interactions between the University and external entities; and

**BE IT FURTHER RESOLVED** that the President establish a Task Force on Public-Private Partnerships to study this important area of interaction between the University and the private sector to recommend principles to guide the University in this area; that this Task Force include members from outside the University; and that the President report to the Board the progress of the considerations of this Task Force at the February 1993 meeting of the Board of Regents.

f) Approval of resolution re Legislative Request, as follows:

**WHEREAS**, the University seeks to serve Minnesota's future by maintaining and enhancing its position among the leading land-grant research universities in the country; and

**WHEREAS**, the University is committed to improving the quality of its undergraduate, graduate, and professional programs and instruction; and

**WHEREAS**, the University is committed to serving the state and stimulating the state's economy through its outreach, research, and technology transfer; and

**WHEREAS**, there are key opportunities to expand the University's services to the state in the areas of water research, distance learning, and children, youth, and families;

**NOW, THEREFORE, BE IT RESOLVED**, the Board of Regents of the University of Minnesota authorizes the administration to seek an increase of \$68.394 million over the adjusted base in state appropriations for the biennium 1993-94/1994-95 for inflation, infrastructure, and special initiatives.

The Board of Regents voted unanimously to approve the recommendations of the Committee of the Whole.

Chair Kuderer reported that the committee also reviewed the University of Minnesota Hospital & Clinic Strategic Plan and reviewed recommendations of the Hospital Governance Committee. In addition, Chair Kuderer reported that the committee recognized Professor Larry L. McKay for being named the 1992 recipient of The Alexander von Humboldt Award and recognized a number of student-athletes for their athletic and academic achievements.

**REPORT OF THE FACULTY, STAFF &  
STUDENT AFFAIRS COMMITTEE**

Regent Sahlstrom, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Monthly Faculty, Staff and Student Affairs Report as listed in the docket material.
- b) Approval of resolution re Collective Bargaining Agreement with Graphic Arts International Union, Local 1M, as follows:

WHEREAS, negotiations between the Graphic Arts International Union, Local 1M and the University of Minnesota began in March of 1992 and concluded with a settlement in September of 1992; and

WHEREAS, the union membership ratified the proposed collective bargaining agreement on September 14, 1992; and

WHEREAS, approval by the Board of Regents is required before the contract can be implemented;

NOW, THEREFORE, BE IT RESOLVED, that the proposed collective bargaining agreement between the Graphic Arts International Union, Local 1M and the University of Minnesota is hereby approved.

Documentation is filed supplement to the minutes, No. 22,317.

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

Chair Sahlstrom reported that the committee also reviewed proposed Civil Service Rule changes.

**REPORT OF THE FACILITIES COMMITTEE**

Regent Roe, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Monthly Facilities Report which included reports pertaining to purchasing, project status, property accounting, and miscellaneous items as presented in the docket material and filed in the Regents' Office.
  - 1. The Eastcliff Window Project was included in the Senior Vice President's Report and approved as part of the report.
- b) Approval of resolution regarding projects previously submitted for information, as follows:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to proceed with the design and construction of the following projects:

1. Jackson Hall - Nuclear Magnetic Resonance Facility  
Biomedical Engineering, Phase III - B  
Twin Cities Campus  
Estimated cost of the project: \$454,262  
Funding: Program Accommodation Remodeling; Medical  
School Indirect Cost Recovery Funds; and Office of the  
Vice President for Health Sciences  
Estimated completion date: July 1993
2. Phillips-Wangensteen Laboratory Remodeling  
Room 6-100 - Diabetes  
Twin Cities Campus  
Estimated cost of the project: \$380,000  
Funding: School of Medicine, Dean's Commitment;  
School of Medicine, Private Practice; and Program  
Accommodation Remodeling Funds  
Estimated completion date: April 1993
3. Washington Avenue Replacement Ramp  
Twin Cities Campus

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to proceed with the design and construction of the Washington Avenue Parking Ramp Replacement Project, with an estimated total project cost of \$10.2 million funded from an internal loan to be repaid from Parking Services revenues. The estimated completion date is November 1993.

BE IT FURTHER RESOLVED, that the project includes structural provisions that will accommodate future skyway and concourse connections described below:

- Skyway connection across Harvard Street linking the hotel.
- Skyway and concourse north or south around the ramp linking to the ramp's southwest corner vertical connection to the Washington Avenue/Health Sciences tunnel, including the addition of a third floor on top of the proposed two floors of office space.
- Skyway connection across Union Street linking the Electrical Engineering/Computer Sciences Building.
- Skyway connection to the north linking to the proposed Earth Sciences and Materials Engineering Building.

(The construction of the skyways and concourses described above are not a part of the project being approved.)



- c) Approval of resolution regarding a real estate transaction previously approved:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to approve a request from Itasca Community College, whose campus is located on 24.637 acres at the North Central Experiment Station, Grand Rapids, to construct a 500 square foot building on a 1,600 square foot building site for housing a telescope for observing sessions.

- d) Approval of resolution re Campus Center, Scope Increase, Duluth Campus, as follows:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate administrative officers are authorized to proceed with the design and construction of the Campus Center Project on the Duluth Campus including additional roof and brick wall repair and replacement work increasing the estimated total project cost by \$522,400 to \$11,487,400. The project is funded from capital appropriations (\$10,390,000), Duluth Auxiliary Services and Plant Services funds (\$1,027,000), and Duluth Continuing Education Funds (\$70,400). The estimated completion date is September 1994.

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

Regent Roe reported that the committee voted by majority to recommend the following action:

- a) Approval of resolution re Purchase of Goods/Services over \$250,000, as follows:

RESOLVED, that on recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate staff are authorized to award pending purchase/contracts over \$250,000 as presented in the docket materials and on file in the Regents' Office.

Regent Roe reported that there was one item contained in this resolution which would award a contract to Kraft American to supply and distribute food products on the Twin Cities campus from September 1992 to September 1995, with contract extensions possible up to 1998, at an estimated \$4.2 million. Regent Roe stated that he had voted against this resolution in the committee meeting, reiterating his concerns regarding process and the fact that an open hearing had not been held. He also repeated his concern for the employees that might be losing their jobs and the vendors that would be losing business with the University.

Discussion ensued with comments directed both for and against the proposed contract. The Board of Regents then voted by a majority to approve the resolution with Regents Roe and Sahlstrom voting against the action.

Regent Roe reported that the committee also reviewed several projects for information which included a remodeling project for the Agricultural Utilization Research Institute on the Crookston campus; a lease extension for the Ramsey County Historical Society's Gibbs Farm located on the St. Paul campus; and a lease extension for the Agricultural Utilization Research Institute on the Crookston campus.

Chair Roe further reported that action on the agenda item pertaining to the Boynton Health Service Addition project on the Twin Cities campus and the Facilities Management Quarterly Report were postponed.

#### **REPORT OF THE FINANCIAL OPERATIONS & LEGISLATIVE COMMITTEE**

Regent Wynia, Acting Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

- a) Approval of the Senior Vice President's Monthly Financial Operations and Legislative Report including accounts receivable, central reserves, debt management, and miscellaneous items as presented in the docket material and filed in the Regents' Office.
- b) Approval of resolution re Purchase of Goods and Services over \$250,000 as follows:

RESOLVED, that on the recommendation of the President and the Senior Vice President for Finance and Operations, the appropriate staff are authorized to award pending purchases/contracts over \$250,000 as presented to the committee in the docket material and filed in the Regents' Office.

In answer to a question posed by Regent Craig regarding the proposed contract with the St. Paul Red Cross for purchase of used red blood cells for use by the MALG Program, Chair Wynia reported that representatives from the MALG Program were present at the meeting to respond to questions. She reported that it is the intent of individuals working in the MALG Program to continue the manufacture of MALG, anticipating that the FDA will permit the University to again sell the product by the end of November or December. It was noted that there is a demand for the product and the shelf life of MALG is two years.

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

Regent Wynia reported that the committee also received a legislative update and an update on the issue of indexation of the University's endowment fund investments in U. S. stocks.

#### **REPORT OF THE EDUCATIONAL PLANNING & POLICY COMMITTEE**

Regent Craig, Chair of the committee, reported that the committee voted unanimously to recommend approval of the following actions:

a) **Approval of the Senior Vice President's Monthly Educational Planning and Policy Report as presented to the committee in the docket material.**

1) **Approval of resolution included in the Senior Vice President's Monthly Report re Loan by the University of the Sagamore Nugget to the Croft Mine Historical Park, as follows:**

**WHEREAS, the Board of Regents has received a request from the Croft Mine Historical Park Joint Powers Board for the return of the Sagamore Nugget, either permanently or on a loan basis, with said request indicating that no retrieval or transportation costs will be borne by the University of Minnesota; and**

**WHEREAS, the University of Minnesota was initially given this gift because an appropriate place in the region was not available for displaying the Nugget; and**

**WHEREAS, an appropriate place within the region now exists in the Croft Mine Historical Park;**

**NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents wishes to place the Sagamore Nugget on indefinite loan to the Croft Mine Historical Park;**

**BE IT FURTHER RESOLVED, that the Board of Regents requests of the Croft Mine Historical Park Joint Powers Board, that appropriate signage be provided indicating that the Sagamore Nugget was a gift to the University of Minnesota, that it remains property of the University, and that it is on indefinite loan to the Croft Mine Historical Park;**

**BE IT FURTHER RESOLVED, that the Dean of the Institute of Technology of the University of Minnesota initiate discussion with the Croft Mine Board to ensure that the faculty and students of the Institute's Chemical Engineering and Materials Science Department, and other departments having interest, be provided opportunity to continue to benefit from educational activities that have been associated with the Nugget; and**

**BE IT FURTHER RESOLVED, that the Administration of the University of Minnesota's Twin Cities campus will seek to provide an aesthetic alternative for the physical space now occupied by the Nugget.**

b) **Approval of resolution re M.A. and Ph.D. in Rhetoric and Scientific and Technical Communication, as follows:**

**RESOLVED, that the proposal for the M.A. and Ph.D. Program in Rhetoric and Scientific and Technical Communication, as presented for first review at the September 1992 meeting of the Board of Regents, is hereby approved.**

The Board of Regents voted unanimously to approve the recommendations of the Educational Planning and Policy Committee.

Regent Craig reported that the committee also reviewed a comparative analysis prepared in response to questions raised during the September Board meeting relative to the Regents' Policy on Academic Misconduct.

#### **REPORT OF THE AUDIT COMMITTEE**

Regent M. Page, Chair of the committee, reported that the committee did not meet this month, however, in light of serious issues and concerns recently brought to the Board of Regents as a result of audits and investigations conducted by the University Auditor, she would like to move the following resolution for consideration and approval:

WHEREAS, it is the responsibility of the Board of Regents to safeguard the mission of the University of Minnesota; and

WHEREAS, serious issues and concerns recently have been brought to the Board of Regents as a result of audits and investigations conducted by the University Auditor; and

WHEREAS, the University Auditor, the University General Counsel, and other University administrators are aggressively pursuing the full documentation of the events and actions of all parties involved;

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents reaffirms its support for diligent, thorough, aggressive, and affirmative investigations of those matters currently under examination; and

BE IT FURTHER RESOLVED, that the Board of Regents strongly supports the administration's proactive and corrective actions to ensure compliance with Regental and administrative policies by all University programs, departments, faculty, and staff to safeguard the mission of the University, and to maintain accountability to the public; and

BE IT FURTHER RESOLVED, that such proactive and corrective actions include appropriate management oversight of all University programs and departments.

The motion was seconded and the Board of Regents voted unanimously to approve the resolution.

The meeting adjourned at 12:20 p.m.

  
**BARBARA MUESING**  
Executive Director &  
Corporate Secretary