

UNIVERSITY OF MINNESOTA

BOARD OF REGENTS

Friday, February 9, 2007

9:00 - 11:30 a.m.

600 McNamara Alumni Center, Boardroom

Board Members

Anthony Baraga, Chair
Patricia Simmons, Vice Chair
Clyde Allen
Peter Bell
Frank Berman
Dallas Bohnsack
John Frobenius
Steven Hunter
David Larson
Cynthia Leshner
David Metzen
Lakeesha Ransom

AGENDA

1. Introduction of Vice President for University Relations - R. Bruininks (p. 2)
2. Recognition of Rhodes Scholar - R. Bruininks (p. 3)
3. Approval of Minutes - Action - A. Baraga
4. Report of the President - R. Bruininks
5. Report of the Chair - A. Baraga
6. Receive and File Reports (pp. 4-23)
 - A. Annual Capital Financing & Debt Management Report
7. Report of the All-University Honors Committee - Action - R. Bruininks (p. 24)
8. Gifts - Review/Action - G. Fischer (pp. 25-45)
9. Board of Regents Policy Report - A. Baraga (pp. 46-54)
10. Report of the Faculty Consultative Committee - C. Chomsky (pp. 55-57)
11. Board of Regents Policy: *Associated Organizations* - Review - M. Rotenberg (pp. 58-68)
12. Future of Northrop Auditorium - K. O'Brien/S. Rosenstone (pp. 69-103)
13. Report of the Finance & Operations Committee - C. Allen
14. Report of the Educational Planning & Policy Committee - P. Bell
15. Report of the Facilities Committee - D. Metzen
16. Report of the Audit Committee - J. Frobenius
17. Report of the Faculty, Staff & Student Affairs Committee - D. Bohnsack
18. Report of the Litigation Review Committee - F. Berman
19. Old Business
20. New Business
21. Adjournment



**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

Board of Regents

February 9, 2007

Agenda Item: Introduction: Vice President for University Relations

review review/action action discussion

Presenters: President Robert H. Bruininks

Purpose:

policy background/context oversight strategic positioning

To introduce Karen Himle, newly appointed Vice President for University Relations, to the Board of Regents and University of Minnesota community.

Outline of Key Points/Policy Issues:

Background Information:

Karen Himle came to the University of Minnesota from Children's Hospitals and Clinics, where she served as executive vice president and president of the hospital's foundation. Prior to Children's Hospitals and Clinics, Ms. Himle was affiliated with the St. Paul Companies for more than 17 years. She hosted TPT's Almanac Midweek from 1990 to 1994. Her record of community leadership includes serving as the first woman president of the Minneapolis Club, a member of the state Commission on Judicial Selection and a variety of boards, including the St. Paul Area Chamber of Commerce, the Minnesota Chamber of Commerce, the Minnesota Orchestral Association, the Minnesota Opera, the Humphrey Institute of Public Affairs and the Citizens League.

The Vice President for University Relations is responsible for fostering strong, positive relationships between the university and its many diverse constituencies; increasing understanding of the university's many contributions to the state; and developing active support for the university among its broad base of stakeholders.



**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

Board of Regents

February 9, 2007

Agenda Item: Recognition of Rhodes Scholar

review review/action action discussion

Presenters: President Robert Bruininks

Purpose:

To recognize Katie Lee as a recipient of a 2007 Rhodes Scholarship.

Outline of Key Points/Policy Issues:

Katie Lee is a senior who will graduate with degrees in biochemistry and chemistry at the University of Minnesota this spring. The Rhodes Scholarship will enable Ms. Lee to study at Oxford University, where she intends to pursue a doctorate in biochemistry. Her primary interest is cancer research, and her long-term goal is to become a physician scientist.

Background Information:

The Rhodes Scholarships, the oldest international fellowships, were initiated after the death of Cecil Rhodes in 1902, and bring outstanding students from many countries around the world to the University of Oxford. Applicants are chosen on the basis of the criteria set down in the will of Cecil Rhodes, including high academic achievement, integrity of character, a spirit of unselfishness, respect for others, potential for leadership, and physical vigor. These basic characteristics are directed at fulfilling Mr. Rhodes's hopes that the Rhodes Scholars would make an effective and positive contribution throughout the world. As he wrote, Rhodes Scholars should "esteem the performance of public duties as their highest aim."

The value of the Rhodes Scholarship varies depending on the academic field, the degree (B.A., master's, doctoral), and the Oxford college chosen. The Rhodes Trust pays all college and university fees, provides a stipend to cover necessary expenses while in residence in Oxford as well as during vacations and transportation to and from England. The total value averages approximately \$45,000 per year.



**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

Board of Regents

February 9, 2007

Agenda Item: Receive and File Reports

review review/action action discussion

Presenters: Regent Anthony Baraga

Purpose:

policy background/context oversight strategic positioning

Outline of Key Points/Policy Issues:

Background Information:

There is one item for receipt and filing:

A. Annual Capital Financing and Debt Management Report

CAPITAL FINANCING AND
DEBT MANAGEMENT REPORT
FY2006



University of Minnesota
Board of Regents Meeting
February 9, 2007

Outline of Presentation

- University's Capital Structure
- Market Update
- Credit Rating
- Key Financial Indicators
- Peer Group Analysis

Issuance of Debt

Guiding Principles

- **Core Debt**
 - Preserve core long term debt ratings at Aa/AA category and short term core debt rating of A /P 1
 - Ensure access to variable and fixed rate bonds
 - Minimize borrowing costs at acceptable levels of risk over life of the issue

- **Special Purpose Debt**
 - Receive an investment grade credit rating
 - Ensure acceptable cost of capital
 - Identify a revenue stream to support debt service
 - Consider unique marketing timing or opportunities

Long-Term Debt *As of June 30, 2006*

	Interest rate	Due at various dates through	Beginning balance	Additions	Reductions	Ending balance	Current portion
General obligation bonds							
Series 2004A	4.86%	2010	\$ 21,991		\$ 3,184	\$ 18,807	\$ 3,474
Series 2003A	4.39%	2031	69,950		1,450	68,500	1,500
Series 2001C	4.40%	2008	150,050		5,300	144,750	57,900
Series 2001B	4.33%	2007	2,645		325	2,320	2,320
Series 2001A	3.08%	2007	10,085		2,375	7,710	7,710
Series 1999A	4.16%	2009	166,400		9,450	156,950	52,317
Series 1996A	4.50%--5.75%	2006	165,630		165,630	-	-
Commercial paper notes, Series A	3.15%--3.65%	2007		\$ 159,100		159,100	159,100
Obligations to the State of Minnesota pursuant to infrastructure development bonds							
	4.00%--6.90%	2025	67,716	1,103	5,611	63,208	5,449
Auxiliary revenue bonds	3.00%	2013	8,405		905	7,500	955
Capital leases and other	1.72%--8.00%	2014	4,079	1,801	1,778	4,102	1,238
Total			\$ 666,951	\$ 162,004	\$ 196,008	\$ 632,947	\$ 291,963

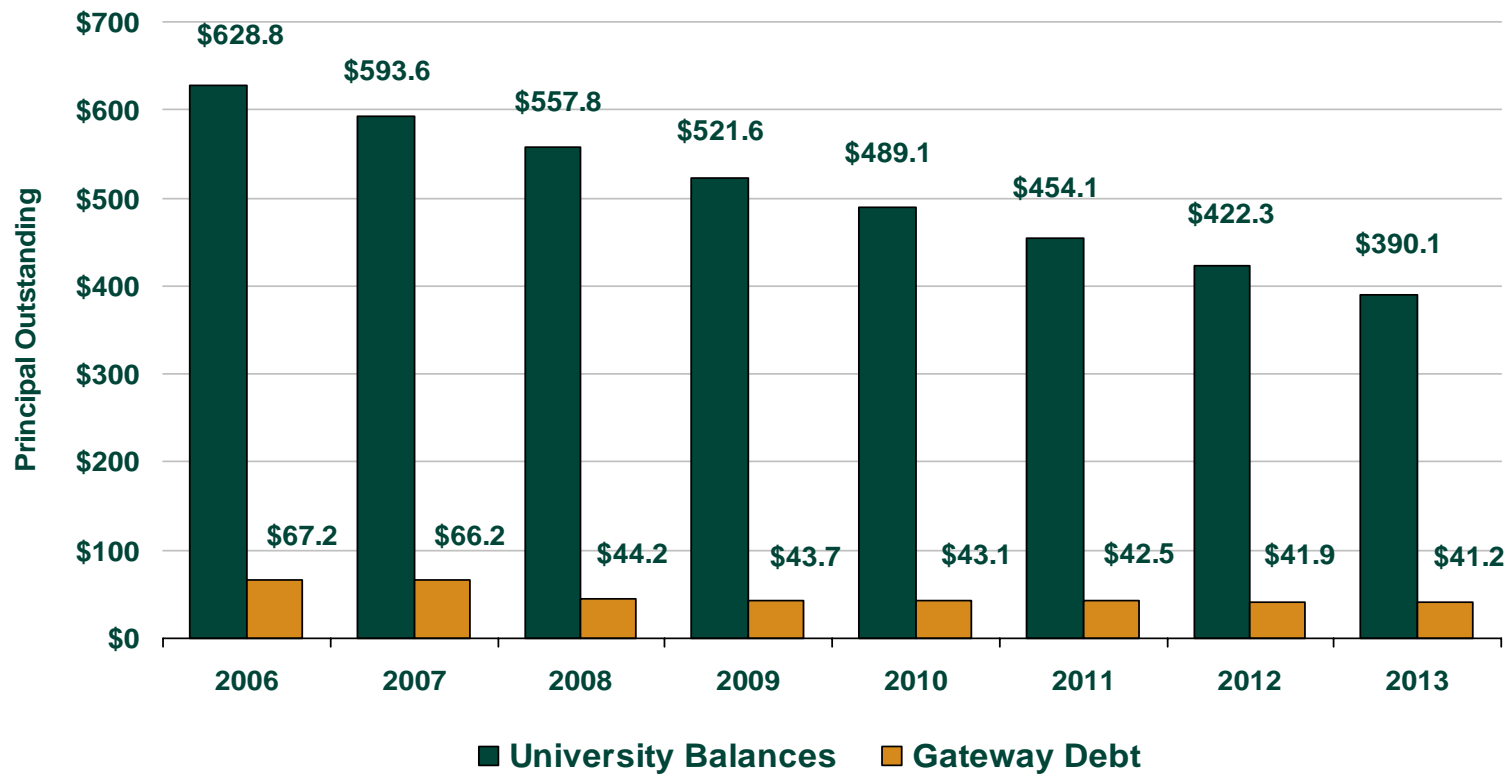
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Bonds Payable Analysis *As of June 30, 2006*

Total Outstanding	\$628.8 million
Fixed Rate / Variable Rate	98% / 2%
- University Issued	90%
- State Issued	10%
Weighted Average Fixed Rate	4.32%
Weighted Average Variable Rate	3.47%
Weighted Average University Issued	4.29%
State Issued Fixed Debt	5.04%
Total Weighted Average University Debt	4.37%
Average Life of Debt	9.5 years

Current Amortization Structure

Current University Balance Plus Gateway Debt



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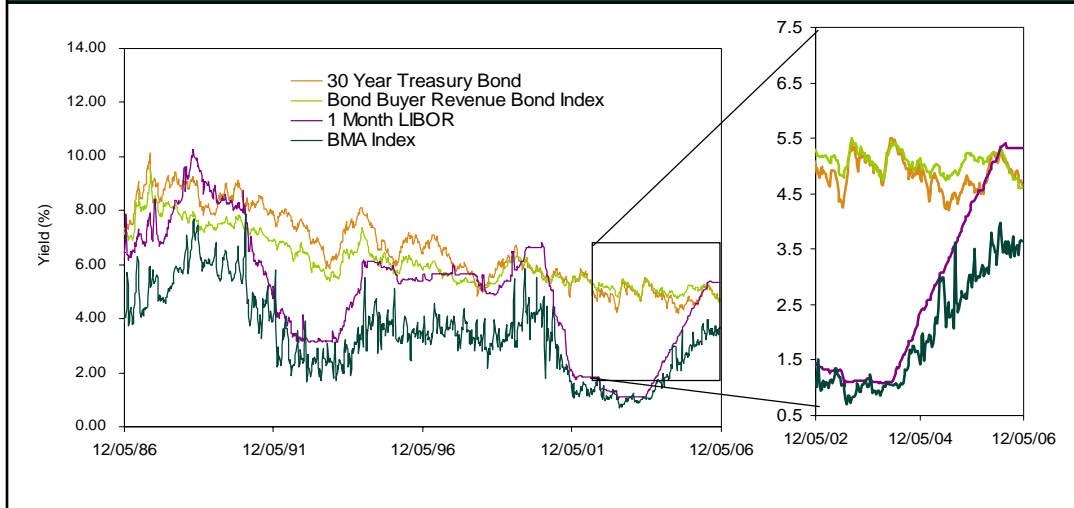
Projected Long-Term Debt *As of June 30, 2007*

	(in Millions)
Balance at June 30, 2006	\$633.9
Scheduled payments	(35.2)
Issuance of Special Purpose Revenue Bonds	137.3 *
Issuance of authorized Commercial Paper	<u>61.0</u>
Projected balance at June 30, 2007	\$797.0

*Amount will be excluded for debt capacity calculations

With the Fed's Pause and a Slowing Economy, Long-Term Rates Have Dropped Again to Historic Lows.

Historic Taxable and Tax-Exempt Interest Rates: 1986 to Present



Funding Levels for University of Minnesota Special Purpose Revenue Bonds Series 2006 ("Aa2/AA+")

	Bonds ⁽¹⁾	BMA Swap ⁽²⁾	67% of LIBOR Swap ⁽²⁾
1-Year	3.47%	3.71%	3.65%
3-Year	3.49%	3.55%	3.44%
5-Year	3.51%	3.60%	3.42%
7-Year	3.54%	3.69%	3.45%
10-Year	3.66%	3.81%	3.50%
15-Year	4.16%	3.96%	3.56%
20-Year	4.37%	4.04%	3.59%
25-Year	4.51%	4.08%	3.59%
30-Year	4.53%	4.12%	3.59%

⁽¹⁾ Yield to maturity; includes 10-year call option at 100% of par.
⁽²⁾ Includes 15 basis points for remarketing and liquidity fees.

Historical Information

30-Year Treasury
Revenue Bond Index
1-Month LIBOR
BMA Index

Low Point
4.17% (6/13/03)
4.55% (11/30/06)
1.00% (6/25/03)
0.70% (7/10/03)

Average Since 1986
6.67%
6.24%
5.13%
3.51%

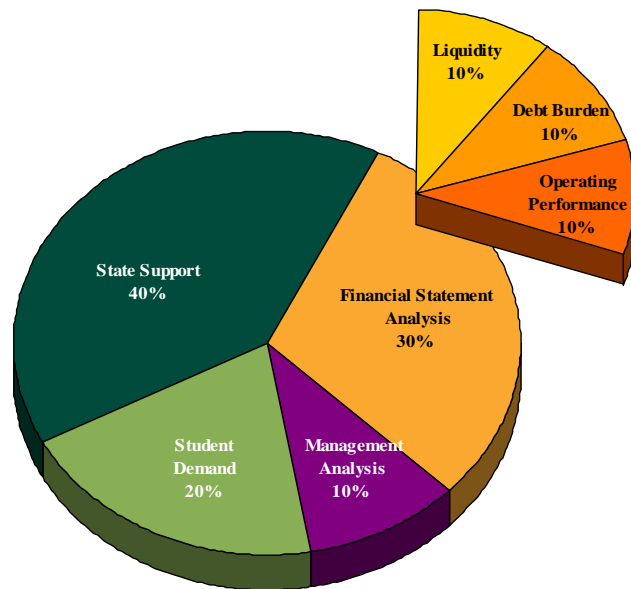
Current Rates (12/5/06)
4.57%
4.55%
5.35%
3.48%

BMA Averages	
Current	3.48%
1-Year	3.40%
5-Year	1.88%
10-Year	2.67%
15-Year	2.80%
25-Year	3.86%

The 10-Year Treasury Bond is currently yielding 4.44%

Source: Lehman Brothers

Credit Rating and Debt Capacity Determinants



Student Demand- Strong "Aa"

- Solid student market position

Financial Statement Analysis- Strong "Aa"

- Strength of General Obligation pledge
- Superior financial resources—especially Total Resources per student
- Debt per student in line with peers
- Debt service as a percentage of budget is moderate

State Support- State of Minnesota "Aa1/AAA"

- History of strong appropriations, but budget pressures continue

Management Analysis- Strong "Aa"

- Analyst's assessment of University management strength
- Research position and strategy

An analysis of student demand, market position and financial indicators places the University of Minnesota solidly in the strong "Aa" category. Debt capacity and credit ratings are not a function of ratios alone, but are highly dependent on other factors such as debt strategy, essentiality of debt, future fundraising, revenue producing capability and debt structure.

Source: Lehman Brothers

Letter Ratings to Designate University Credit Quality

Moody's Investors Service Rating	Financial Security Evaluation	Standard and Poor's Rating
Aaa	Exceptional	AAA
Aa1, Aa2 , Aa3	Excellent	AA+, AA , AA-
A1, A2, A3	Good	A+, A, A-
Baa1, Baa2, Baa3	Adequate	BBB+, BBB, BBB-
Ba1, Ba2, Ba3	Moderate	BB+, BB, BB-
B1, B2, B3	Weak	B+, B, B-
Caa to C	Default	CCC to D

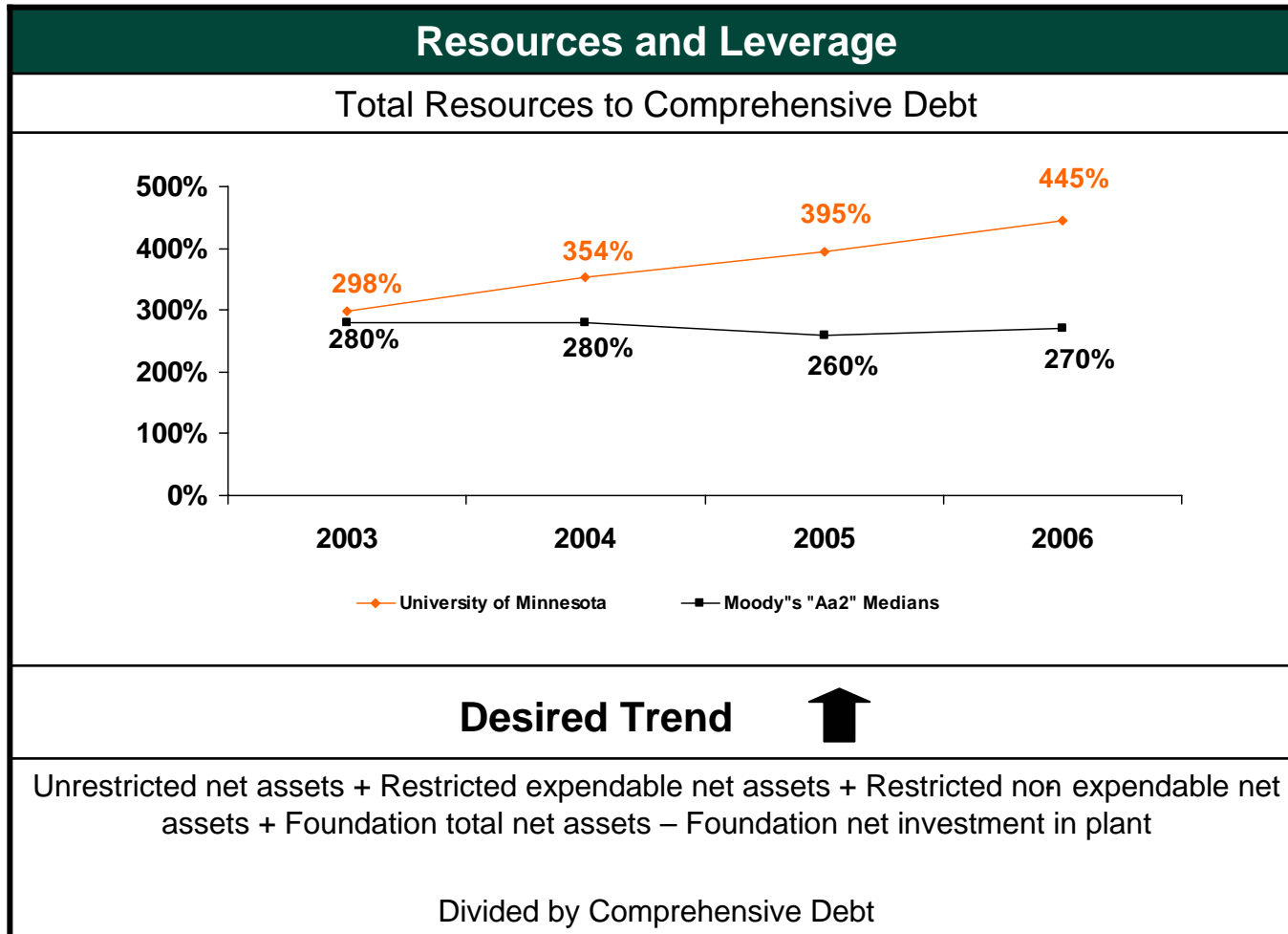
The University of Minnesota is currently rated Aa2 by Moody's, and AA by Standard and Poor's.

Credit Ratings

Reports Issued November 2006

Moody's Investors Service	Standard and Poor's
Core Debt – Aa2 and Aa2/VMIG1 with positive outlook	Core Debt – AA and A-1+ with stable outlook
Special Purpose Debt – Aa2 with stable outlook	Special Purpose Debt – AA+ with stable outlook
Interest Rate Derivatives – Risks acceptable for the University's rating level	Interest Rate Derivatives – Debt Derivative Profile (DDP) of '2.0', indicating the portfolio represents low risk

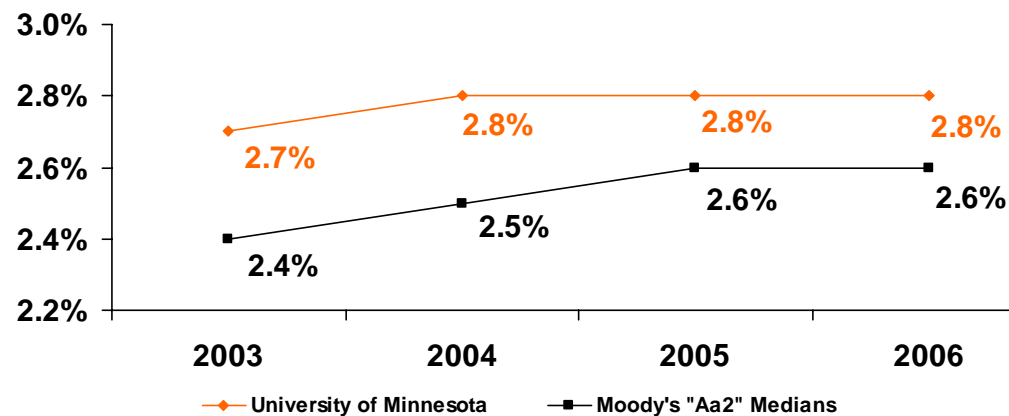
University of Minnesota: Analysis of Key Credit Ratios



University of Minnesota: Analysis of Key Credit Ratios

Resources and Leverage

Debt Service to Operations



Desired Trend



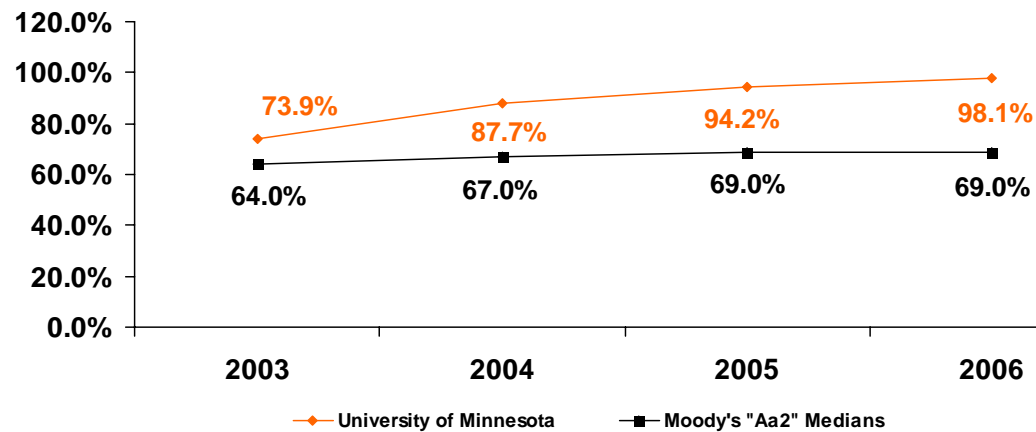
Actual Annual Debt Service

Divided by Total Operating Expenses

University of Minnesota: Analysis of Key Credit Ratios

Liquidity and Operating Cushion

Expendable Resources to Operations



Desired Trend

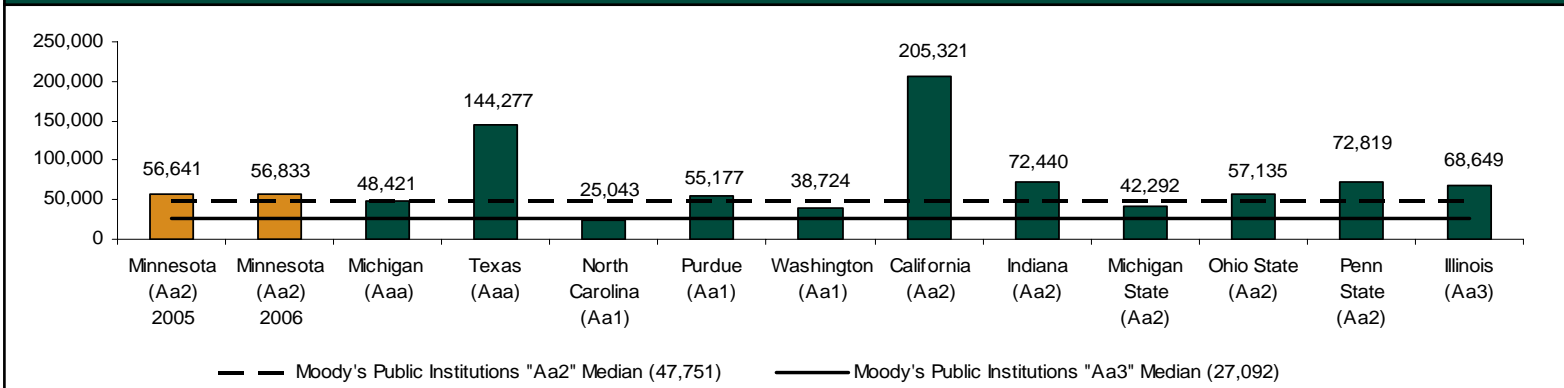


Unrestricted net assets + Restricted expendable net assets + Foundation unrestricted temporarily restricted net assets – Foundation net investment in plant

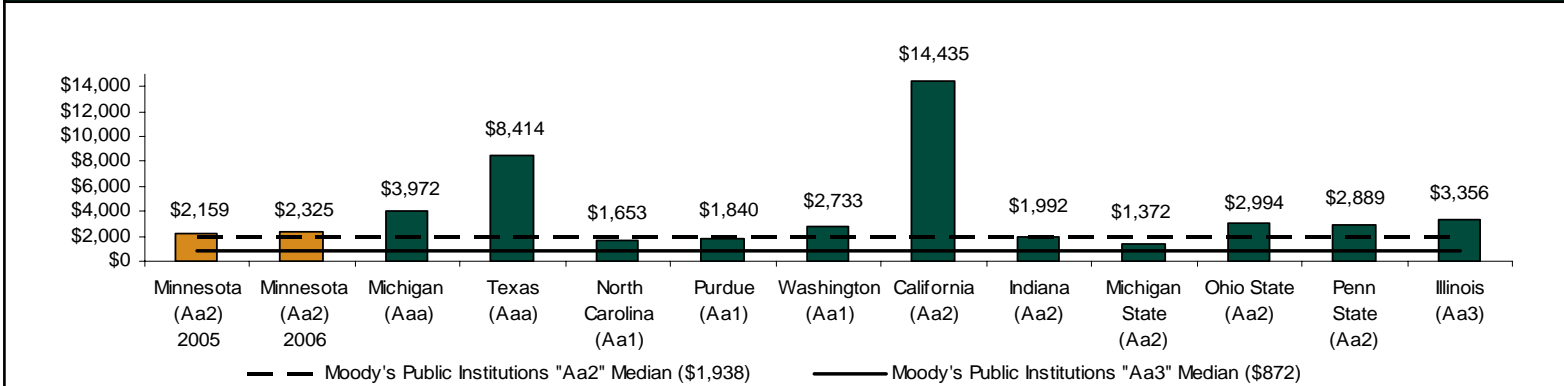
Divided by Total Operating Expenses

University of Minnesota Peer Group Analysis

Enrollment



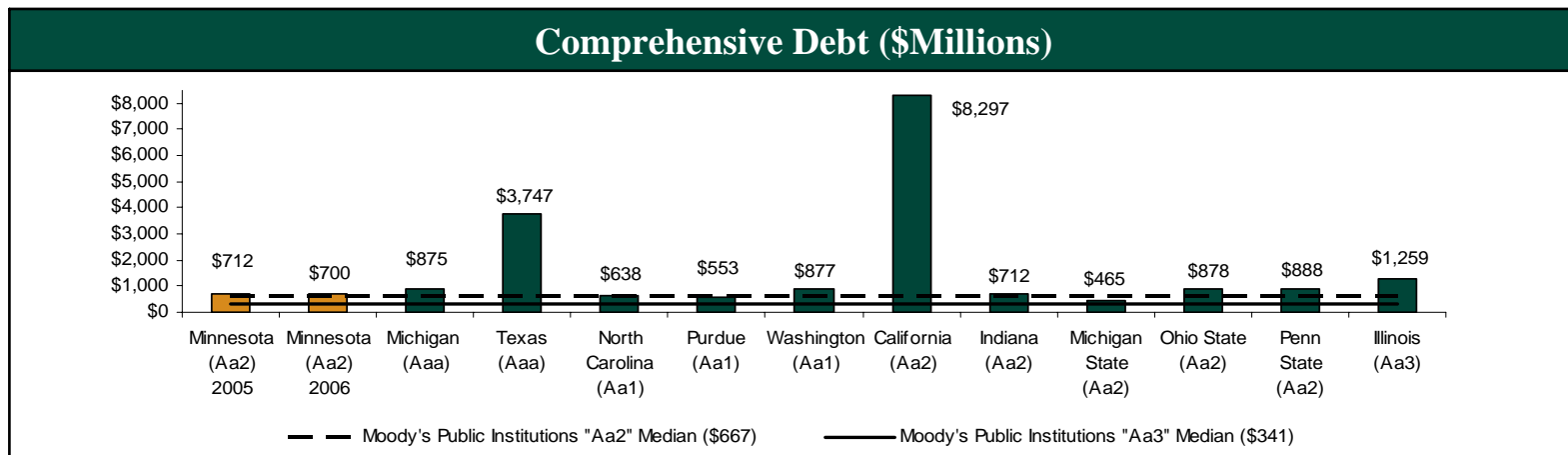
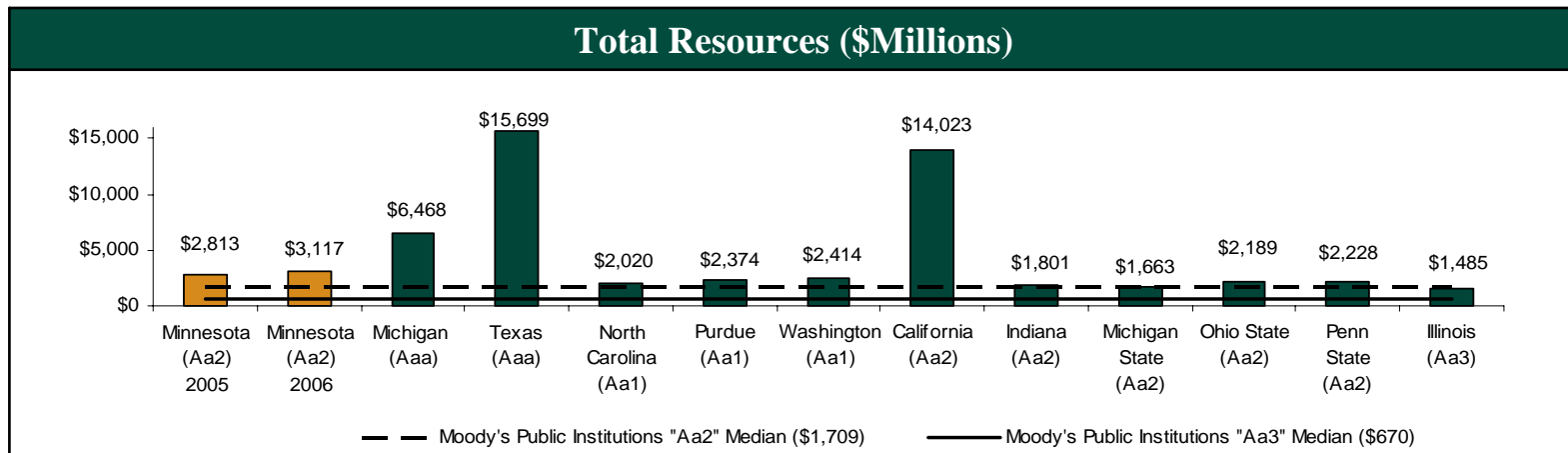
Operating Budget (\$Millions)



Note: Fiscal 2005 data for peers

Source: Lehman Brothers and Moody's Investors Service

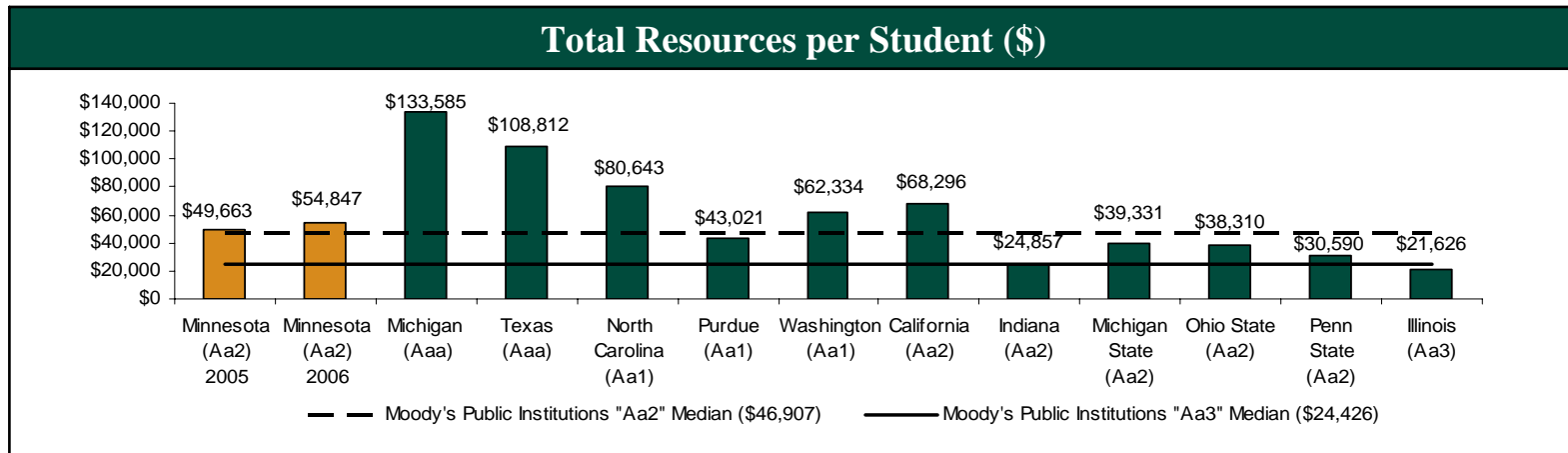
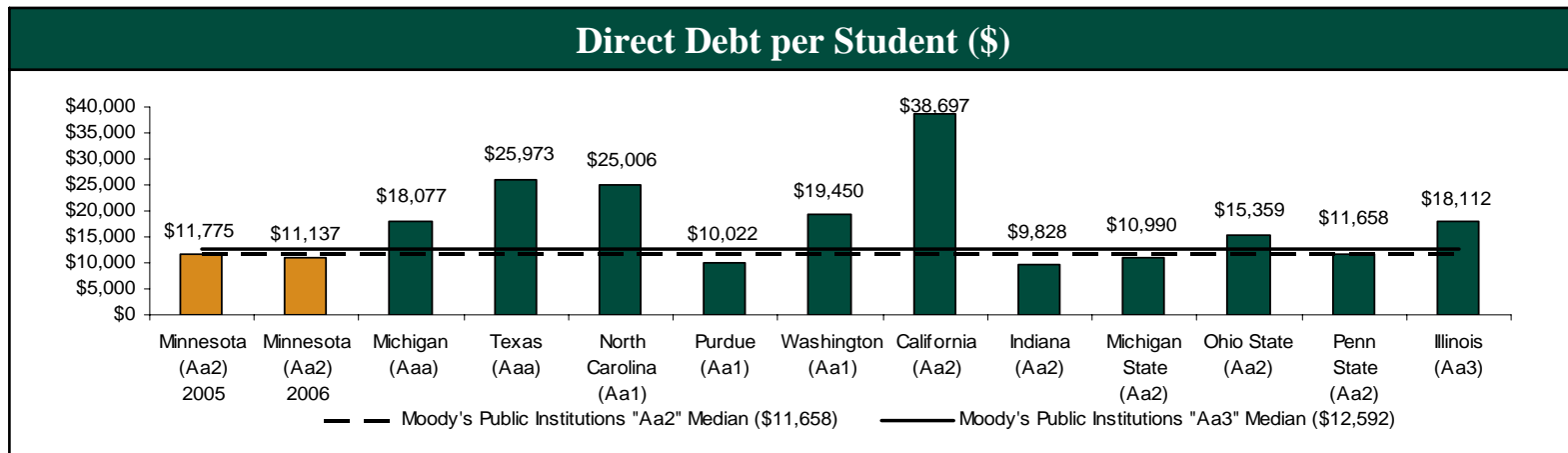
University of Minnesota Peer Group Analysis



Note: Fiscal 2005 data for peers

Source: Lehman Brothers and Moody's Investors Service

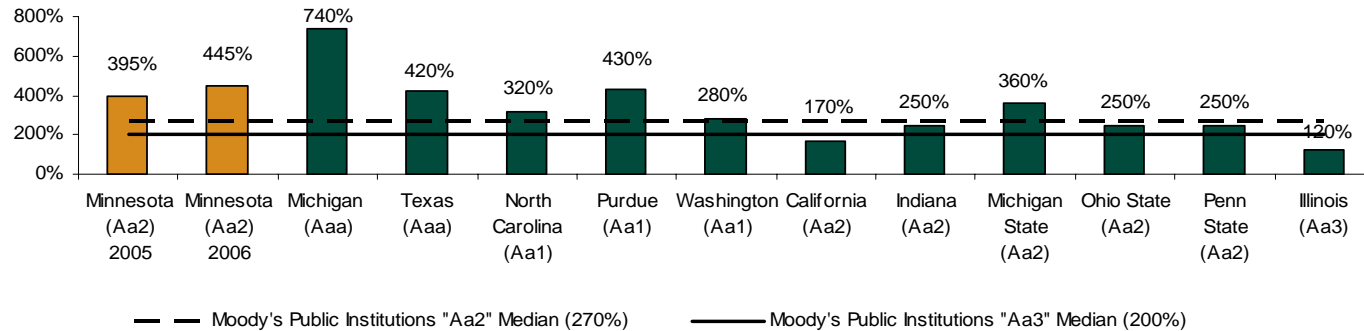
University of Minnesota Peer Group Analysis



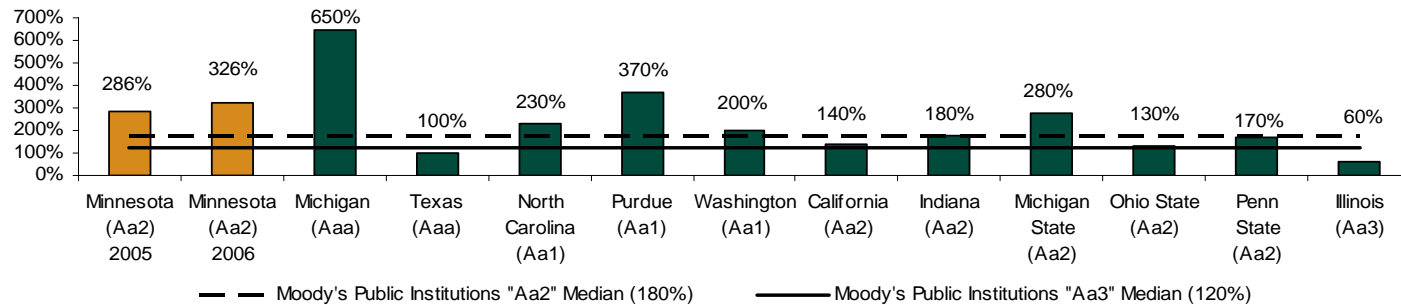
Note: Fiscal 2005 data for peers
 Source: Lehman Brothers and Moody's Investors Service

University of Minnesota Peer Group Analysis

Total Resources to Comprehensive Debt (%)



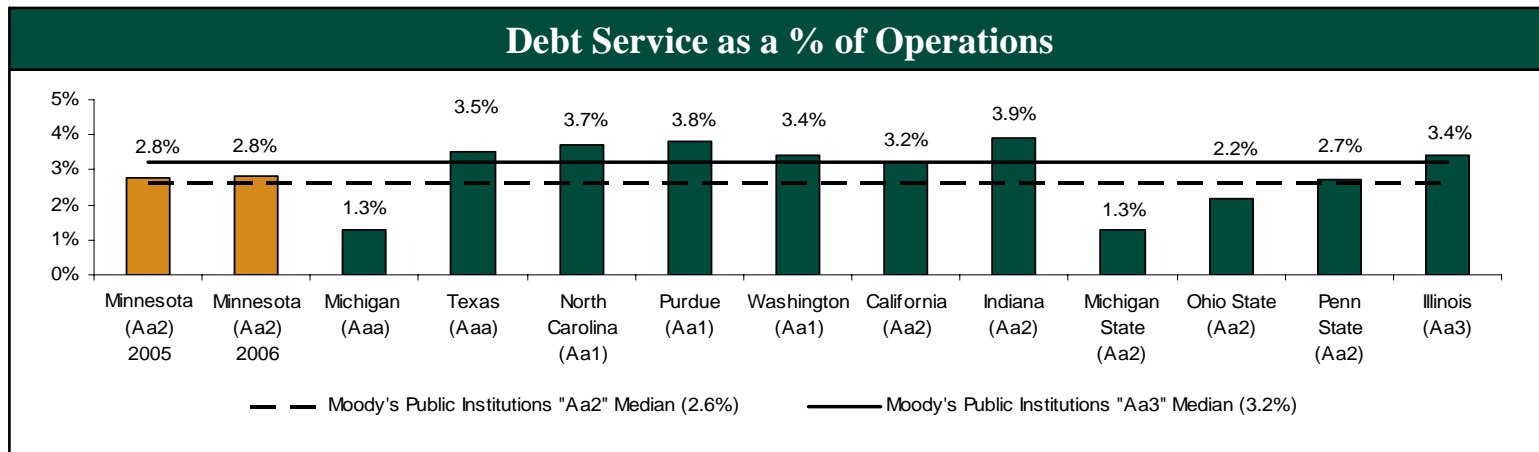
Expendable Resources to Comprehensive Debt (%)



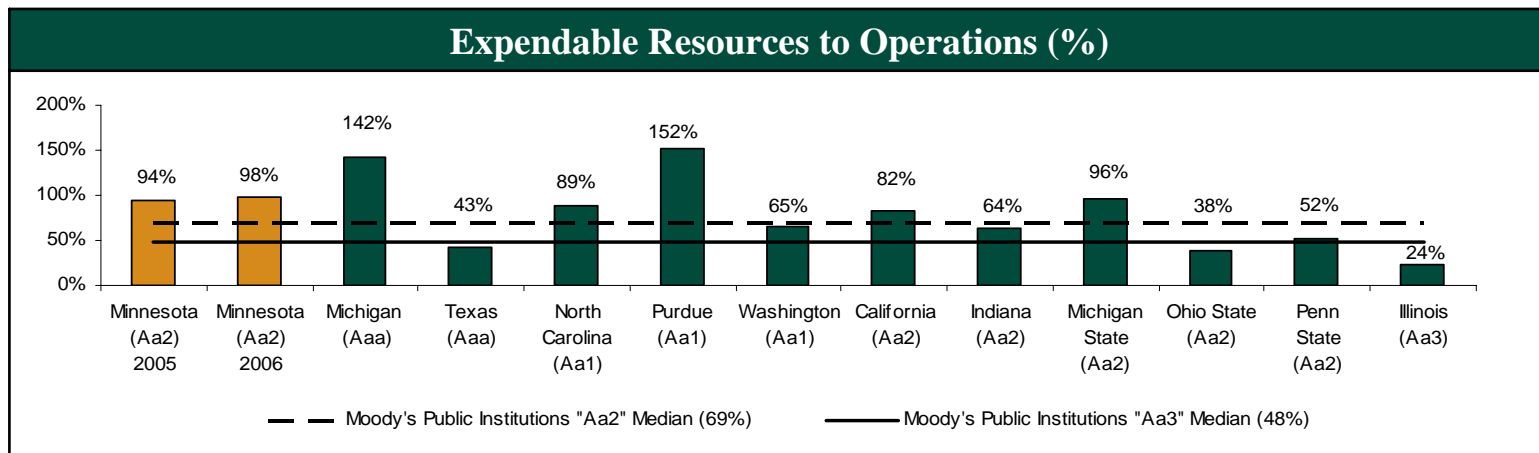
Note: Fiscal 2005 data for peers

Source: Lehman Brothers and Moody's Investors Service

University of Minnesota Peer Group Analysis



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Note: Fiscal 2005 data for peers

Source: Lehman Brothers and Moody's Investors Service



**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

Board of Regents

February 9, 2007

Agenda Item: Report of the All-University Honors Committee

review review/action action discussion

Presenters: President Robert H. Bruininks

Purpose:

policy background/context oversight strategic positioning

To adopt the recommendation endorsed by President Robert H. Bruininks and the All-University Honors Committee.

Outline of Key Points/Policy Issues:

Background Information:

The recommendation was forwarded in a letter dated January 29, 2007, from President Robert H. Bruininks to members of the Board of Regents.

President's Recommendation for Action:

The President recommends that the Board of Regents adopt the report of the All-University Honors Committee.



**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

Board of Regents

February 9, 2007

Agenda Item: Gifts

review review/action action discussion

Presenters: Associate Vice President Gerald Fischer

Purpose:

policy background/context oversight strategic positioning

Outline of Key Points/Policy Issues:

Background Information:

President's Recommendation for Action:

The President recommends that the Summary Report of Gifts to the University of Minnesota through December 31, 2006 are hereby approved.

**MEETING OF THE BOARD OF REGENTS
GIFTS TO BENEFIT THE UNIVERSITY OF MINNESOTA
SUMMARY REPORT***

February 9, 2007 Regents Meeting

	<u>November</u>		<u>Year-to-Date</u>	
	<u>2006</u>	<u>2005</u>	<u>07/01/06 11/30/06</u>	<u>07/01/05 11/30/05</u>
U of M Gift Receiving	\$ 3,451	\$ 182,132	\$ 191,695	\$ 404,172
4-H Foundation	51,075	33,686	1,150,356	189,409
Arboretum Foundation	230,831	302,895	1,071,204	1,090,227
MN Medical Foundation	1,571,764	2,869,421	16,009,074	22,065,036
University of Minnesota Foundation	<u>5,078,520</u>	<u>7,026,091</u>	<u>52,618,878</u>	<u>40,319,417</u>
Total Gift Activity	<u><u>\$ 6,935,641</u></u>	<u><u>\$ 10,414,225</u></u>	<u><u>\$ 71,041,207</u></u>	<u><u>\$ 64,068,261</u></u>

*Detail on gifts of \$5,000 and over is attached.

Pledges are recorded when they are received. To avoid double reporting, any receipts which are payments on pledges are excluded from the report amount.

Gifts to benefit the University of Minnesota

Gifts received in November 2006

<u>Donor</u>	<u>Rec'd by</u>	<u>Gift/Pledge</u>	<u>Purpose of gift</u>
<u>\$250,000 - \$500,000</u>			
Vincent J. Paciotti	MMF	Gift	MMF Scholarships
Anonymous	UMF	Gift	University of Minnesota, Duluth
<u>\$100,000 - \$250,000</u>			
Eileen M. Vinnes Kalow	UMF	Pledge	School of Nursing
Curtis A. Sampson	UMF	Gift	Department of Intercollegiate Athletics, Unrestricted
Marvin L. and LaVerne I. Colness	UMF	Gift	University of Minnesota, Duluth
Richard A. King	MMF	Pledge	Medicine
Curtis L. Carlson Family Foundation	UMF	Pledge	Humphrey Institute of Public Affairs
Ann G. Salovich	UMF	Gift	Scholarships
Allan L. Apter	UMF	Gift	University of Minnesota, Duluth
<u>\$50,000 - \$100,000</u>			
Rodney L. Cooperman	MMF	Gift	Medicine
Holiday Stationstores Incorporated	MMF	Gift	AHC Cancer Center
Bernt O. Goulson	MMF	Gift	Medical School Administration
Cynthia Rosenblatt Ross	UMF	Pledge	Weisman Art Museum
Lions Multiple District 5M Hearing Foundation Incorporated	MMF	Gift	Otolaryngology
Robertet Flavors Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Francis Meyer	MMF	Gift	Diabetes Institute for Immunology and Transplantation
Helen S. Henton Trust	UMF	Gift	Unrestricted
Target Corporation	UMF	Gift	Carlson School of Management, College of Liberal Arts, College of Pharmacy
Raymond J. Tarleton	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Edina Realty Wayzata/Lake Minnetonka	MMF	Pledge	AHC Cancer Center
Donna L. Adams	MMF	Gift	AHC Cancer Center
Anonymous	MMF	Gift	Medicine
Anonymous	MMF	Gift	Neurosurgery

\$25,000 - \$50,000

3M Foundation Incorporated	UMF/UM	Pledge	Various Colleges
Eunice L. Dwan Irrevocable Trust	MMF	Gift	Diabetes Institute for Immunology and Transplantation
Paul E. Joncas Estate	UMF	Gift	Unrestricted
Rose S. Ling	UMF	Gift	Institute of Technology
Cy H. and Frances Carpenter	UMF	Gift	University of Minnesota, Crookston
General Mills Incorporated	UMF	Gift	Various Colleges
The Toro Company	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
The Scrooby Foundation	UMF/UM	Gift	Minnesota Landscape Arboretum, Raptor Center
Charles W. Farnham III	UMF	Pledge	Department of Intercollegiate Athletics
Andrea Hricko Hjelm	UMF	Pledge	Department of Intercollegiate Athletics
Mr. and Mrs. George W. Taylor Foundation	UMF	Gift	Institute of Technology
Phyllis B. Branin	UMF	Gift	Institute of Technology
Athersys Incorporated	MMF	Gift	Medicine
The Whitney Arcee Foundation	MMF	Gift	Neurology
Thomson West	UMF	Gift	Office of International Programs
William Ficenko	UMF	Gift	Department of Intercollegiate Athletics
Red Wing Area-University of Minnesota Alumni	UMF	Gift	Scholarships
Peter T. Beniares	UMF	Pledge	Department of Intercollegiate Athletics
Paul D. and Vicky L. Siders	UMF	Gift	University of Minnesota, Duluth
Merck and Company Incorporated	UMF	Gift	College of Pharmacy
Mary Sue Comfort	UMF	Gift	College of Liberal Arts
Katherine T. Price Estate	UMF	Gift	College of Education and Human Development
Francis G. Hamilton	MMF	Gift	AHC Cancer Center
Eastman Kodak Company	UMF	Gift	Institute of Technology
Dr. John R. Cornell	UMF	Pledge	School of Dentistry
Dr. Douglas L. and Anna Mae E. Lambert	UMF	Pledge	School of Dentistry
David E. Feinberg Family Fund-St. Paul Foundation	UMF	Gift	Institute of Technology
Anonymous	MMF	Gift	Diabetes Institute for Immunology and Transplantation
3M Company	MMF	Gift	Dermatology

\$10,000 - \$25,000

Dr. Robert J. and Joanne R. Keck	UMF	Gift	School of Dentistry
Marguerite Henry Family Trust	UMF	Gift	College of Education and Human Development
John A. Billman	UMF	Gift	Department of Intercollegiate Athletics
Eli Lilly and Company	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Gerald Denney	MMF	Gift	Surgery
Whitney MacMillan 1969 Trust	UMF	Gift	College of Pharmacy
Susan Mary Shuman Okie Estate	UMF	Gift	Academic Health Center
Samuel D. Heins	UMF	Gift	College of Liberal Arts

\$10,000 - \$25,000

Perkins Charitable Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
P. and D. Kahn Philanthropic Fund-Jewish Community Fund	UMF	Gift	Institute of Technology
Margaret H. & James E. Kelley Foundation Incorporated	MMF	Gift	Psychiatry
GeneFlow Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
G. Anne LaBree	MMF	Gift	MMF Scholarships
Excel Bank Minnesota Foundation	MMF	Gift	Integrative Biology and Physiology
DIVA Minnesota	MMF	Gift	Pediatrics
Anonymous	UMF	Gift	College of Liberal Arts
Medtronic Incorporated	UMF/MMF	Gift	College of Food, Agricultural and Natural Resource Sciences, Medicine
Lucille J. Hoiland	MMF	Gift	MMF Scholarships
Susan M. Cargill	UM	Gift	Minnesota Landscape Arboretum
Renewable Fuels Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Insecticide Resistance Action Committee	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
David B. Gold Foundation	UM	Gift	Minnesota Landscape Arboretum
Alice and Fred Wall Family Foundation	MMF	Gift	AHC Cancer Center
BASF Corporation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Popham Haik Schnobrich and Kaufman LTD	UMF	Gift	Law School
Dr. Jacqueline S. Mithun	UMF	Gift	College of Education and Human Development
Donald M. Weesner Foundation	UMF	Gift	Bell Museum of Natural History
IBM International Foundation	UMF/UM	Pledge	Various Colleges
Community Health Charities Minnesota	MMF	Gift	AHC Cancer Center
Russell V. Michaletz	UMF	Pledge	Carlson School of Management
Pixelplus Semiconductor Incorporated	UMF	Gift	Institute of Technology
Lucille Aberle Estate	UMF	Gift	Unrestricted
Dr. Robert D. DeMaster	UMF	Pledge	Institute of Technology
Dr. Ioannis G. Koutlas	UMF	Pledge	School of Dentistry
Xcel Energy Foundation	UMF/UM	Gift/Pledge	Various Colleges
Mille Lacs County 4-H Federation	UMF	Gift	4H Foundation
Rosa Malcka Miller	UMF	Gift	College of Continuing Education
H. B. Fuller Company	UMF	Gift	Institute of Technology
Robert F. Crosby	UMF	Gift	Department of Intercollegiate Athletics
The Boeing Company	UMF	Gift/Pledge	Various Colleges
Rita L. and Thomas T. Bennett	UMF	Gift	School of Dentistry
Robert A. and Esther Helvig	UMF	Gift	Unrestricted
Wright County 4-H Club Federation	UMF	Gift	4H Foundation
The Sharon and Joel Labovitz Foundation	UMF	Gift	University of Minnesota, Duluth
St. Jude Medical Incorporated	MMF	Gift	Medicine
Robert L. Veninga	MMF	Gift	SPH Dean's Office

\$10,000 - \$25,000

Pearlstein Family Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Olga Zoltai	UMF	Gift	Unrestricted
Mary Kopponen	UMF	Gift	University of Minnesota, Duluth
Mabel Jackman Estate	UMF	Gift	Unrestricted
Lucy Rosenberry Jones Charitable Trust	UMF	Pledge	Libraries
Kumagai Family Fund-Minneapolis Foundation	UMF	Gift	Department of Intercollegiate Athletics
Kristen C. Siebecker	MMF	Gift	Diabetes Institute for Immunology and Transplantation
John S. Najarian	MMF	Gift	Surgery
John E. Ptak	MMF	Gift	Physical Therapy Program (PM&R)
Homa Amir-Fazli Estate	UMF	Gift	College of Design
Fuji Photo Film Company Ltd	UMF	Gift	Institute of Technology
Fort Dodge Animal Health	UMF	Gift	College of Veterinary Medicine
Fairview Health Services	UMF	Gift	Academic Health Center
Dr. John P. Driscoll	UMF	Pledge	Libraries
Dr. Carl R. and Marjorie M. Jessen	UMF	Gift	College of Veterinary Medicine
Donn P. Barber	UMF	Gift	Carlson School of Management
Bill & Katherine Fox Foundation	MMF	Gift	AHC Cancer Center
Abbott Laboratories	MMF	Gift	Medicine, SPH Epidemiology and Community Health

\$5,000 - \$10,000

Student Section of Faculty Women's Club	UMF	Gift	Scholarships
Emily E. Kernkamp	UMF	Gift	College of Education and Human Development
Paparella Family Foundation	MMF	Gift	International Hearing Foundation
Alice Warren Gaarden Fund-Minneapolis Foundation	UMF	Gift	Institute of Technology
The Procter and Gamble Fund	UMF	Gift/Pledge	Various Colleges
General Mills Foundation	UMF/UM	Gift/Pledge	Various Colleges
Margaret E. and David D. Lucas	UMF	Gift	Unrestricted, College of Liberal Arts
Wilderness Research Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Duluth News-Tribune	UMF	Gift	University of Minnesota, Duluth
The Caravan Trust	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Genentech Incorporated	MMF	Gift	Pediatrics
Minneapolis Jewish Federation	MMF	Gift	Sr Vice President Academic Health Center
ADC Foundation	UMF	Gift	Institute of Technology
Henry B. and Terry M. Roberts	UMF	Gift	University of Minnesota, Duluth
Dr. Cheryl L. Zimmerman	UMF	Gift	College of Pharmacy
David and Carol Cole	UM	Gift	Minnesota Landscape Arboretum
Ministry of Culture	UMF	Gift	College of Liberal Arts
Isabel C. Iverson Estate	UMF	Gift	College of Design

\$5,000 - \$10,000

National Cattlemen's Beef Association	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Minnesota Agriculture in the Classroom	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
McVay Foundation	UMF/UM	Gift	College of Continuing Education, Minnesota Landscape Arboretum
Josie M. Malloy	MMF	Gift	Pediatrics
Dr. William R. and LaDonna M. Laney	UMF	Gift	Department of Intercollegiate Athletics
Best Buy Purchasing LLC	UMF	Gift	Carlson School of Management, Humphrey Institute of Public Affairs
Thrivent Financial for Lutherans Foundation	UMF	Gift/Pledge	Various Colleges
Ronald H. Johnson	MMF	Gift	Surgery
Bailey Nurseries Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Heart Reserach First Grant	UMF	Gift	Institute of Technology
Beverly H. Goodman	MMF	Gift	MMF Scholarships
Dwight A. Peterson	UMF	Gift	Carlson School of Management
Richard A. and Peggy Lidstad	UMF	Gift	Carlson School of Management
Dr. Blaine T. and Denise Clausnitzer	UMF	Gift	School of Dentistry
David E. Pace and Valerie Halverson Pace	UMF	Gift	4H Foundation, University of Minnesota, Rochester, Eastcliff Legacy Fund
George L. Wilcox	MMF	Gift	Neuroscience
Pioneer Hi-Bred International Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Woodstock Dental Associates Ltd	UMF	Gift	School of Dentistry
Wells Fargo Bank NA	UMF	Gift	University of Minnesota, Duluth
Waymouth Farms Incorporated	MMF	Gift	Neurology
Waycrosse Incorporated	MMF	Gift	MMF Programs
Von Blon Family Charitable Trust	UMF	Gift	Weisman Art Museum
Timothy W. Olsen	MMF	Gift	Ophthalmology
The Saint Paul Foundation	MMF	Gift	Radiology
The Buuck Family Foundation	UM	Gift	Minnesota Landscape Arboretum
Smikis Foundation	UMF	Gift	Law School
Russell and Carol McNaughton Fund-St. Paul Foundation	UMF	Gift	Institute of Technology
Rural Advantage	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Robert P. Sands	UMF	Gift	College of Liberal Arts
Olmsted County 4-H Blue Ribbon Livestock Sale Incorporated	UMF	Gift	4H Foundation
Mt. Olive Pickle Company Incorporated	MMF	Gift	Neurology
Mrs. Gerry's Kitchen	MMF	Gift	Neurology
Mary Lee L. Dayton	UM	Gift	Minnesota Landscape Arboretum
Martin Olav Sabo for Congress	UMF	Gift	Humphrey Institute of Public Affairs
Lindquist and Vennum PLLP	UMF	Gift	Law School
Langers Juice	MMF	Gift	Neurology
Land O' Lakes Incorporated	UMF	Gift	Carlson School of Management
Karen and Raymond Ames	UMF	Gift	Department of Intercollegiate Athletics

\$5,000 - \$10,000

June Lees	UMF	Gift	4H Foundation
Jay and Rose Phillips Family Foundation	UMF	Gift	Weisman Art Museum
Gilmore Restad Estate	UMF	Gift	University of Minnesota, Crookston
Four 51 Incorporated	UMF	Pledge	Office of International Programs
Eloise M. Jaeger	UMF	Gift	Department of Intercollegiate Athletics
Dr. Victor R. Kvikstad	UMF	Pledge	School of Dentistry
Dr. Paul A. Roggow	UMF	Pledge	School of Dentistry
Dr. Mao-Min Chen	UMF	Gift	Institute of Technology
Dr. L. Thomas and Margaret G. Aldrich	UMF	Gift	Institute of Technology
Dr. George G. Gorbatenko	UMF	Gift	College of Design
Dr. Elvin F. Heiberg	UMF	Gift	School of Dentistry
Dorothy Lynch	MMF	Gift	Neurology
Deutsche Bank Americas Foundation	UMF	Pledge	College of Liberal Arts
Department of Medicine	MMF	Gift	Medicine
David Winton Bell Foundation	UMF	Gift	Bell Museum of Natural History
Crystal Farms	MMF	Gift	Neurology
Crown Holdings Incorporated	UMF	Gift	Institute of Technology
ConAgra Foods Incorporated	UMF	Gift	Carlson School of Management
Chorzempa Family Foundation	MMF	Gift	AHC Cancer Center
Ben Miller Foundation	MMF	Gift	Neurosurgery
B. John Lindahl Jr. and Sarah Lindahl	UM	Gift	Minnesota Landscape Arboretum
Agrium US Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences

**MEETING OF THE BOARD OF REGENTS
GIFTS TO BENEFIT THE UNIVERSITY OF MINNESOTA
SUMMARY REPORT***

February 9, 2007 Regents Meeting

	<u>December</u>		<u>Year-to-Date</u>	
	<u>2006</u>	<u>2005</u>	<u>07/01/06 12/31/06</u>	<u>07/01/05 12/31/05</u>
U of M Gift Receiving	\$ 305,042	\$ 77,300	\$ 496,737	\$ 481,472
4-H Foundation	53,640	457,058	1,203,996	646,467
Arboretum Foundation	2,045,576	1,172,522	3,116,780	2,262,749
MN Medical Foundation	14,208,074	7,862,060	30,217,148	29,927,096
University of Minnesota Foundation	<u>35,890,038</u>	<u>15,274,848</u>	<u>88,508,916</u>	<u>55,594,265</u>
Total Gift Activity	<u>\$ 52,502,370</u>	<u>\$ 24,843,788</u>	<u>\$ 123,543,577</u>	<u>\$ 88,912,049</u>

*Detail on gifts of \$5,000 and over is attached.

Pledges are recorded when they are received. To avoid double reporting, any receipts which are payments on pledges are excluded from the report amount.

Gifts to benefit the University of Minnesota

Gifts received in December 2006

<u>Donor</u>	<u>Rec'd by</u>	<u>Gift/Pledge</u>	<u>Purpose of gift</u>
<u>\$1 Million and Over</u>			
Charles J. Biederman Estate	UM	Gift	Weisman Art Museum
Target Corporation	UMF	Gift/Pledge	Department of Intercollegiate Athletics, Weisman Art Museum, Carlson School of Management
Anonymous	MMF	Gift	Family Medicine and Community Health
Anonymous	MMF	Gift	Family Medicine and Community Health
Anonymous	MMF	Gift	Academic Health Center
Kenneth H. and Betty J. Dahlberg	UM	Pledge	Minnesota Landscape Arboretum
Mark A. and Deborah Kravik	UMF	Pledge	Department of Intercollegiate Athletics
The Bentson Foundation	UMF	Pledge	Department of Intercollegiate Athletics
William R. Dircks	UMF	Pledge	Department of Intercollegiate Athletics
<u>\$500,000 - \$1,000,000</u>			
Richard M. Fink	UMF	Gift	College of Liberal Arts
Hormel Foundation	UMF	Gift	Graduate School
Syvilla M. Turbis	MMF	Gift	Diabetes Institute for Immunology and Transplantation, AHC Cancer Center
Minnesota Community Foundation	MMF	Gift	Scholarships, Academic Health Center, Obstetrics, Gynecology and Women's Health
Anonymous	MMF	Gift	Pediatrics
Ralph W. Bachman Estate	UMF	Gift	Scholarships
<u>\$250,000 - \$500,000</u>			
Delta Dental Plan of Minnesota	UMF	Pledge	School of Dentistry
Olga B. Hart	MMF	Gift	AHC Cancer Center
Anonymous	MMF	Gift	AHC Cancer Center
Barbara L. Forster	MMF	Pledge	AHC Cancer Center
Dennis W. Anderson	MMF	Gift	Medicine
Marian F. Moose	MMF	Gift	AHC Cancer Center
Martin V. Chorzempa	MMF	Pledge	AHC Cancer Center
<u>\$100,000 - \$250,000</u>			
Jane N. Mooty Foundation Trust	UMF	Gift/Pledge	Carlson School of Management, Unrestricted
John W. Mooty Foundation Trust	UMF	Gift/Pledge	Carlson School of Management, Unrestricted
Michael D. Capstick	UMF	Pledge	Department of Intercollegiate Athletics
David M. and Janis Larson	UMF	Gift	College of Liberal Arts, Department of Intercollegiate Athletics
James G. Schindler	MMF	Gift	Neurology

\$100,000 - \$250,000

Karlis Kaufmanis Estate	UMF	Gift	Institute of Technology
The William Randolph Hearst Foundation	MMF	Gift	School of Public Health
William R. Kennedy	MMF	Gift	Neurology
The McKnight Foundation	UMF	Gift	College of Design, College of Food, Agricultural and Natural Resource Sciences
General Mills Foundation	UMF/UM/MMF	Gift/Pledge	Various Colleges
Curtis L. Carlson Family Foundation	UMF	Gift/Pledge	Carlson School of Management, Weisman Art Museum
Robert O. Delaney Jr. and Jill Delaney	UMF	Gift	Department of Intercollegiate Athletics, College of Liberal Arts
St. Paul Travelers Foundation	UMF	Gift	Weisman Art Museum, College of Liberal Arts, Institute of Technology
Margaret Harvey Schering Trust for Cancer Research	MMF	Gift	AHC Cancer Center
Alpha M. Gustafson Estate	UMF	Gift	College of Education and Human Development
The Piper Family Fund-Minneapolis Foundation	UMF	Gift	College of Veterinary Medicine
Research to Prevent Blindness	MMF	Gift	Ophthalmology
Dennis L. Maki	UMF	Gift	University of Minnesota, Duluth
Ramon B. Gustilo	MMF	Gift	Orthopaedic Surgery
Canterbury Park Minnesota Fund-Minnesota Community Foundation	UMF	Pledge	College of Veterinary Medicine
Dr. Harald H. Schmid	UMF	Gift	Unrestricted
Harold L. and Phyllis B. Conrad	UMF	Gift	Institute of Technology
Kellogg's	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Smikis Foundation	UMF	Pledge	Bell Museum of Natural History
Warren J. Warwick	MMF	Gift	Unrestricted
Whitney Elizabeth MacMillan Foundation	MMF	Gift	Pediatrics

\$50,000 - \$100,000

Randy and Carol Cote	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences, Department of Intercollegiate Athletics, Unrestricted
Franz Halberg	MMF	Gift	Laboratory Medicine and Pathology
Anonymous	UMF	Gift	College of Education and Human Development
Harold J. Swift Estate	UMF	Gift	School of Dentistry
Johanna Larsen Eide	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Dr. Clifford Phibbs Jr. and Patricia Phibbs	UMF	Pledge	Department of Intercollegiate Athletics
Joyce Mertz-Gilmore Foundation	UMF	Gift	College of Liberal Arts
Supervalu Pharmacies Incorporated	UMF	Pledge	College of Pharmacy
The Regis Foundation for Breast Cancer Research	MMF	Pledge	AHC Cancer Center

\$50,000 - \$100,000

Drs. David A. and Minette E. Ponnick	UM	Gift	Libraries
Barbara J. Merrill	UMF	Gift	College of Veterinary Medicine
3M Company	UMF/UM	Gift/Pledge	Various Colleges
Annexstad Family Foundation	UMF	Gift	Scholarships
Dr. Wayland E. Noland	UMF	Gift	Institute of Technology
Virginia Wimmer Trust	UMF	Gift	College of Liberal Arts
The Minneapolis Foundation	MMF	Gift	Scholarships, Surgery, Therapeutic Radiology
The Timao Group Incorporated	UMF	Gift	Institute of Technology
Stephen H. Mahle	MMF	Gift	AHC Cancer Center
Dr. Steven J. and Kathleen NedreLOW	UMF	Gift/Pledge	School of Dentistry
Anonymous	MMF	Gift	School of Public Health
Donald L. Erickson	MMF	Gift	Medical School Administration
Dr. Robert and Virginia Etem	UMF	Gift	School of Dentistry
Dr. William G. Gamble	UMF	Gift	Unrestricted
Dr. William H. and Mary E. Holleman	UMF	Gift	Raptor Center
Eastman Chemical Company	UMF	Gift	Institute of Technology
Glenn C. Nelson	UMF	Gift	University of Minnesota, Duluth
Imation Corporation	UMF	Gift	Institute of Technology
Jay V. and Cynthia A. Ihlenfeld	UMF	Pledge	Weisman Art Museum
Mankoff Family Foundation	UMF	Pledge	Law School
Norman Goldetsky	UMF	Gift	Unrestricted
R. James and Teddy Gesell	UMF	Pledge	College of Liberal Arts
Roby C. Thompson	MMF	Gift	Unrestricted, AHC Cancer Center
Rohm and Haas Company	UMF	Gift	Institute of Technology
Xcel Energy	UMF	Gift	Institute of Technology

\$25,000 - \$50,000

Betty and Marvin Borman	UMF	Gift	College of Liberal Arts, Department of Intercollegiate Athletics
Roger O. Pilon	UMF	Gift	Institute of Technology, University of Minnesota, Duluth
Hannah K. Dowell	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Jeffrey D. Field	UM	Gift	University of Minnesota, Crookston
The Balcony Club	UMF	Gift	Department of Intercollegiate Athletics
Minnesota Landscape Arboretum Auxiliary	UM	Gift	Minnesota Landscape Arboretum
Anonymous	MMF	Gift	Surgery
Minnesota Turf and Grounds Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Virginia M. Leagre Estate	UMF	Gift	Unrestricted
ExxonMobil Foundation	UMF	Pledge	Various Colleges
Richard W. Clarke	UMF	Gift	College of Education and Human Development
The Helena Foundation	UMF	Gift	Institute of Technology

\$25,000 - \$50,000

Marguerite A. and Russell Cowles II	UM	Gift	Weisman Art Museum
Dai Nippon Printing Company Ltd	UMF	Gift	Institute of Technology
James and Chriss Renier Fund-Minneapolis Foundation	UMF	Gift	College of Veterinary Medicine
Oswald Family Foundation	UMF	Gift	College of Education and Human Development, Center for Spirituality and Healing
R. C. Lilly Foundation	UMF/UM	Gift	Various Colleges
Robert E. and Gail Buuck	UMF	Gift	Disability Services
Fred R. Friswold	UMF	Gift	Department of Intercollegiate Athletics
Margaret H. and James E. Kelley Foundation Incorporated	UMF	Gift	School of Nursing, Minnesota Landscape Arboretum
Dr. Dominick J. Argento	UMF	Gift	College of Liberal Arts
Herbert E. Wright	UMF	Gift	Institute of Technology
Honeywell International Incorporated	UMF	Gift	Institute of Technology
Joseph D. Lykken	UMF	Gift	College of Liberal Arts
William and Nancy Zats	UM	Gift	University of Minnesota, Crookston
Dr. Frank D. Werner	UMF	Gift	Institute of Technology
Drs. James Butcher and Carolyn Williams	UMF	Gift	College of Liberal Arts
Information Storage Industry Consortium	UMF	Gift	Institute of Technology
Minnesota Corn Growers Association	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Anonymous	UM	Gift	Weisman Art Museum
Donaldson Company Incorporated	UMF	Gift	Institute of Technology
LAMP Associates	MMF	Gift	Laboratory Medicine and Pathology
Meadowood Foundation	UMF	Gift	Raptor Center, College of Continuing Education
Dr. Lyndel I. and Blaine L. King	UMF	Gift/Pledge	Weisman Art Museum
WEM Foundation	UMF/UM	Gift	Minnesota Landscape Arboretum, Humphrey Institute of Public Affairs
Anonymous	UMF	Gift	College of Education and Human Development
Ardis H. Nier	UMF	Gift	Institute of Technology
Nancy S. MacKenzie	UMF	Gift	Weisman Art Museum
Clifford W. Hoffman	UMF	Pledge	Carlson School of Management
Altria Group Incorporated	UMF	Gift	College of Education and Human Development
Robert B. Henton Residuary Trust	UMF	Gift	Unrestricted
Theo G. Stavrou	UMF	Gift	College of Liberal Arts
Barbara A. and Russell Andrews	UMF	Gift	College of Design
Jack Zipes	UM	Gift	Libraries
Win J. Neuger	MMF	Gift	Center for Biomedical Ethics
C. Paul and Irene Venables Foundation	MMF	Gift	AHC Cancer Center
Daniel J. Starks	MMF	Gift	Medicine
Donald L. Garafalo	MMF	Gift	Medicine

\$25,000 - \$50,000

Dr. Jennifer D. Cloke	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Dr. Newman M. Bortnick	UMF	Gift	Institute of Technology
Dr. Rebecca Urbanski and Scott Junkert	UMF	Pledge	College of Veterinary Medicine
E. Joe and Myrna H. Shaw Jr.	UMF	Pledge	College of Liberal Arts, Gateway Gift Fund
Flink Family Fund-Fidelity Charitable Gift Fund	UMF	Gift	Institute of Technology
Gary M. Tushie	UMF	Gift	College of Design
Jacob J. Barnett	UMF	Gift	College of Liberal Arts
Marilyn T. Bryant	UMF	Gift	College of Liberal Arts
Paul R. Bohjanen	MMF	Gift	Microbiology
Rene W. Pelletier	MMF	Gift	Scholarships
Robert G. and Margaret Bredeson	UMF	Gift	Institute of Technology
Rolf Muehlenhaus	UMF	Pledge	College of Liberal Arts
Stryker Orthopaedics	MMF	Gift	Orthopaedic Surgery
The Buuck Family Foundation	UMF	Gift	Disability Services
The Greenwall Foundation	MMF	Gift	Center for Biomedical Ethics
The Saint Paul Foundation	MMF	Gift	Urologic Surgery
W. Michael Newell	UMF	Pledge	Carlson School of Management

\$10,000 - \$25,000

Ellen P. Marsden	UMF	Gift	University of Minnesota, Duluth
Fosten A. and Beverly A. Boyle	UMF	Gift	Department of Intercollegiate Athletics
Allele Incorporated	UMF	Gift	Institute of Technology
Janice Burgstahler	UMF	Gift	University of Minnesota, Duluth
Estate of Jevne H. Pennock	MMF	Gift	Medical School Administration
The Pfizer Foundation	UMF	Pledge	Various Colleges
Deloitte Foundation	UMF	Pledge	Carlson School of Management, Law School
Zinpro Corporation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Alfred W. Erickson Foundation	MMF	Gift	AHC Cancer Center
Alice M. O'Brien Foundation	MMF	Gift	Diabetes Institute for Immunology and Transplantation
Baxter International Foundation	UMF	Pledge	College of Liberal Arts
Bernice Barbour Foundation Incorporated	UMF	Gift	College of Veterinary Medicine
Dr. C. Sherman Hoyt	UMF	Gift	Unrestricted
Edward A. and Karayn R. Cunningham	UMF	Gift	Department of Intercollegiate Athletics
General Mills Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Philip J. Knight	MMF	Gift	Radiology, Surgery
Samuel Heins and Stacey Mills Heins	UMF	Gift	Law School
Teddy and Laura Wong	UMF	Gift	Unrestricted
The Hawley Family Foundation	UMF	Gift	Raptor Center
Dale R. and Nancy E. Olseth	UMF	Gift	Carlson School of Management

\$10,000 - \$25,000

Ruth B. Peterson Estate	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Marjorie S. Phillips Charitable Fund-Stablish Foundation	UMF	Gift	Bell Museum of Natural History
3M Foundation Incorporated	UMF/UM	Gift/Pledge	Various Colleges
IBM International Foundation	UMF	Pledge	Various Colleges
Boston Scientific Corporation	UMF	Gift	Institute of Technology
Associates of the James Ford Bell Library	UMF	Gift	Libraries
Haggerty Family Foundation	UM	Gift	Minnesota Landscape Arboretum
Hinman Family Foundation	UMF	Gift	Carlson School of Management
Jay and Randy Fishman Fund-St. Paul Travelers Foundation	UMF	Gift	Carlson School of Management
Joanne C. Hagen	UMF	Gift	University of Minnesota, Duluth
Mitsubishi Chemical Corporation	UMF	Gift	Institute of Technology
Stanley Smith Horticultural Trust	UM	Gift	Minnesota Landscape Arboretum
The Orvis-Perkins Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
P. Jay Kiedrowski Sr.	UMF	Gift	Humphrey Institute of Public Affairs
Eugene A. and Susan L. Scarberry	UM	Gift	University of Minnesota, Crookston
Jean C. Schlemmer	UMF	Gift	College of Liberal Arts, Department of Intercollegiate Athletics, Eastcliff Legacy Fund
Anonymous	MMF	Gift	Unrestricted
Susan M. Duncan	UMF	Gift	College of Education and Human Development
Anne Sevee	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Eastwood Bank	UMF	Gift	Unrestricted
James L. and Joyce Talen	UMF	Gift	University of Minnesota, Rochester
Mark D. Albrecht	UMF	Pledge	Carlson School of Management
VA Medical Center	MMF	Gift	Unrestricted
Albert and Anne Mansfield Foundation	UMF	Gift	Law School
National Childhood Cancer Foundation	UMF	Gift	Unrestricted
Tonya Puckett Trust of Advisor Charitable Gift Fund	UMF	Gift	Scholarships
Benjamin F. Nelson Estate	UMF	Gift	Academic Health Center
Frederick O. Hutchinson Estate	UMF	Gift	Humphrey Institute of Public Affairs
The Medtronic Foundation	UMF	Pledge	Various Colleges
Lucius L. and Rhonda N. Fowler	UM	Gift	Minnesota Landscape Arboretum
VanSloun Foundation	UM	Gift	Minnesota Landscape Arboretum
James and Leanna Rogers	UMF/UM	Gift	College of Veterinary Medicine, Minnesota Landscape Arboretum
Bruce N. and Barbara J. Telander	UMF	Gift	Department of Intercollegiate Athletics
Dr. Haakon L. and Carol J. Andreasen	UMF	Gift	University of Minnesota, Duluth
Ernest H. Peacock	MMF	Gift	AHC Cancer Center
Benjamin B. Calmenson	MMF	Gift	Pediatrics

\$10,000 - \$25,000

Judge Gerald W. and Eleanor W. Heaney	UMF	Gift	University of Minnesota, Duluth
Audrey P. Kirby	MMF	Gift	Surgery
Dr. Richard V. Huston and Glenda K. Taylor	UMF	Gift	College of Veterinary Medicine, Unrestricted
Steven W. Johnston	UMF	Gift	Carlson School of Management, College of Food, Agricultural and Natural Resource Sciences
Mary D. Keating	UM	Gift	Minnesota Landscape Arboretum
Gene F. French	MMF	Gift	Neurosurgery
Dr. Jo-Ida C. Hansen	UMF	Gift	College of Liberal Arts, Department of Intercollegiate Athletics
Adam J. Krasnoff	UMF	Pledge	Carlson School of Management
Agriliance LLC	UMF	Gift/Pledge	College of Food, Agricultural and Natural Resource Sciences, College of Continuing Education
Alfred Harrison	MMF	Gift	Pediatrics
Andrew Dickinson Estate	UMF	Gift	College of Liberal Arts
Anonymous	UMF	Gift	Scholarships
Arthur J. Matas	MMF	Pledge	Surgery
Avery Dennison Corporation	UMF	Gift	Institute of Technology
C. Angus and Margaret V. B. Wurtele	UMF	Gift	Weisman Art Museum, Minnesota Landscape Arboretum
Carrie and Tom Cusac	UM	Gift	Minnesota Landscape Arboretum
Catherine L. Agee	MMF	Gift	Unrestricted
Charles H. Christensen	UMF	Gift	College of Liberal Arts
Charlotte H. and Gordon H. Hansen	UMF	Gift	College of Liberal Arts
Christopher M. Goodman	UMF	Pledge	University of Minnesota, Duluth
Claire K. Hekman Trust	UMF	Gift	College of Liberal Arts
David L. Dunn	MMF	Pledge	Surgery
David L. Goblirsch	UMF	Gift	College of Liberal Arts
Dr. Amy Jean Knorr	UMF	Gift	College of Education and Human Development
Dr. Andrew R. and Nancy I. McFarland	UMF	Gift	Institute of Technology
Dr. Donald F. Mowbray	UMF	Gift	University of Minnesota, Duluth
Dr. Hans I. and Kathy Jorgensen	UMF	Gift	College of Veterinary Medicine
Dr. James L. Walton	UMF	Gift	School of Dentistry
Dr. Loyle D. Raymond	UMF	Pledge	School of Dentistry
Dr. Ray V. Rose	UMF	Gift	Unrestricted
Ecolab Incorporated	UMF	Gift	Carlson School of Management
Ellen D. and Sheldon S. Sturgis	UMF	Gift	Bell Museum of Natural History
Fidelity Charitable Gift Fund	MMF	Gift	Scholarships
Genzyme Corporation	MMF	Gift	Pediatrics
Gerald A. Schwalbach	UMF	Gift	Department of Intercollegiate Athletics
Hewitt Associates	UMF	Pledge	College of Liberal Arts
Jane A. Starr	MMF	Gift	AHC Cancer Center
Jonathan F. Eisele	UMF	Pledge	Carlson School of Management
Julie Ferguson Decker and Michael Decker	UMF	Gift	College of Liberal Arts
KAHR Foundation	UM	Gift	Minnesota Landscape Arboretum

\$10,000 - \$25,000

Litterman Family Foundation	UMF	Gift	College of Liberal Arts
Lorraine P. Jamar	MMF	Gift	Obstetrics, Gynecology and Women's Health
Louise W. Otten	UMF	Gift	College of Veterinary Medicine
Margaret Rivers Fund	MMF	Gift	AHC Cancer Center
Matthew A. Lykken	UMF	Gift	College of Liberal Arts
Michael A. West	MMF	Pledge	Surgery
Minnesota 4-H Adult Volunteers Association	UMF	Gift	4H Foundation
Nancy L. Ascher	MMF	Pledge	Surgery
Paul R. Beltz	UMF	Gift	Carlson School of Management
Roderick A. Barke	MMF	Pledge	Surgery
Roger and Nancy McCabe Foundation	UM/MMF	Gift	Minnesota Landscape Arboretum, AHC Cancer Center
Rondi C. Erickson and Guilford S. Lewis	UMF	Gift	College of Liberal Arts, University of Minnesota, Duluth
Scott L. Nyberg	MMF	Pledge	Surgery
Sheldon C. Siegel	MMF	Gift	Pediatrics
Squam Lake Foundation	MMF	Gift	Ophthalmology
TCMK Foundation	UMF	Gift	College of Veterinary Medicine
The Luther Family Foundation	MMF	Gift	Neurology
Warren G. Christianson	MMF	Gift	Diabetes Institute for Immunology and Transplantation
Weck Charitable Lead Trust	MMF	Gift	Medical School Administration
Willey H. Mitchell Family Foundation	UMF	Gift	University of Minnesota, Duluth

\$5,000 - \$10,000

Rodney L. Beltz	UMF	Gift	Unrestricted
Bailey Nurseries Incorporated	UM	Gift	Minnesota Landscape Arboretum
Anonymous	UMF/UM	Gift	Various Colleges
David K. and Beverly B. Wickstrom	UMF	Gift	University of Minnesota, Duluth
Hysitron Incorporated	UMF	Gift	Institute of Technology
Lang Family Foundation	UM	Gift	Minnesota Landscape Arboretum
Richard J. and Lollie Ames	UMF	Gift	Department of Intercollegiate Athletics
Jeffrey G. and Mary S. Scott	UMF	Pledge	College of Liberal Arts
Muriel M. Orcutt Estate	UMF	Gift	Libraries
Patrick T. Prunty	UMF	Gift	Carlson School of Management
Phynque Phamily Phoundation	UM	Gift	Weisman Art Museum
The Dow Chemical Company Foundation	UMF	Gift/Pledge	Institute of Technology, University of Minnesota, Morris
Thomas F. Grose	UMF	Gift	Carlson School of Management
Jean R. Lemberg Estate	UMF	Gift	Institute of Technology
Dr. A. Forrest Troyer	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Ernst and Young Foundation	UMF	Pledge	Carlson School of Management, Law School
Greg Marzolf Jr. Foundation	MMF	Gift	Academic Health Center
Xerox Corporation USA	UMF	Gift	Institute of Technology
Donald W. Kundel	MMF	Gift	University of Minnesota Medical School - Duluth Campus

\$5,000 - \$10,000

Dr. Lowell I. Goodman	UMF	Pledge	University of Minnesota, Duluth
Fred C. and Katherine B. Andersen Foundation	UM	Gift	Minnesota Landscape Arboretum
John C. MacMillan	UMF	Gift	College of Veterinary Medicine
John C. MacMillan Family 1974 Trust	UMF	Gift	College of Veterinary Medicine
National Grocers Association	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
SVT Associates Incorporated	UMF	Gift	Institute of Technology
Stephen D. Keating	UM	Gift	Minnesota Landscape Arboretum
Blake Smith	MMF	Gift	AHC Cancer Center
Ameriprise Financial	UMF	Pledge	Various Colleges
Erwin L. Weber Trust	UMF	Gift	Scholarships
R. Glen Berryman	UMF	Gift	Carlson School of Management
Jane T. Adams	UMF	Gift	Department of Intercollegiate Athletics
Gordon and Margaret Bailey Foundation	UM	Gift	Minnesota Landscape Arboretum
Darwin and Geri Reedy	UM	Gift	Minnesota Landscape Arboretum
Emily Anne Staples Tuttle Fund-Minnesota Community Foundation	UMF/UM	Gift	Various Colleges
Katherine H. Anderson	UMF	Gift	College of Veterinary Medicine
Mark Z. and Judith S. Jones II	UMF	Gift	Unrestricted
Dorsey and Whitney Foundation	UMF/UM	Gift/Pledge	Various Colleges
Louis V. Nanne	UMF	Gift	Department of Intercollegiate Athletics, Unrestricted
Robert and Marjorie Templeton	UM	Gift	Minnesota Landscape Arboretum
Clifford I. Anderson	UMF	Gift	Institute of Technology, Carlson School of Management
Edward Dayton Family Fund	UM	Gift	Minnesota Landscape Arboretum
Wells Fargo Foundation	UMF	Pledge	Various Colleges
Paul Luxem III	UMF	Gift	Department of Intercollegiate Athletics
Multiple Donors	MMF	Gift	Neurology
Edward E. and Dorothy H. Slonim	UM	Gift	University of Minnesota, Duluth
Susan A. Hagstrum and Robert H. Bruininks	UMF	Gift	Weisman Art Museum, Minnesota Landscape Arboretum
David and Carol Cole	UM	Gift	Minnesota Landscape Arboretum
Ruth M. Shipley Estate	UMF	Gift	College of Design
Douglas R. and Carol A. Skanse	UMF	Gift	Department of Intercollegiate Athletics
Dr. D. W. Shaw and J. McKloskey	UMF	Gift	School of Dentistry
Chauncey W. Riggs	UMF	Gift	University of Minnesota, Duluth
Joseph R. Mucha	UMF	Gift	Unrestricted
Dr. Nancy E. Carpenter	UMF	Pledge	University of Minnesota, Morris
Douglas K. Lundsgaard	MMF	Gift	Orthopaedic Surgery
Beverly Betten Goldfine	UMF	Gift	University of Minnesota, Duluth
Steven M. Rothschild	UMF	Gift	Humphrey Institute of Public Affairs
Dr. Peh H. Ng and Jean McDermott	UMF	Pledge	University of Minnesota, Morris
Richard K. and Barbara L. Nelson	UMF	Gift	Institute of Technology
Catherine Daubek	UM	Gift	Minnesota Landscape Arboretum
Dr. Pareena G. and Todd A. Lawrence	UMF	Pledge	University of Minnesota, Morris
Myron D. Hill	MMF	Gift	Neurology, Neurosurgery

\$5,000 - \$10,000

Abbott Laboratories	MMF	Gift	School of Public Health
Amgen Incorporated.	MMF	Gift	Medicine
Ankeny Foundation	MMF	Gift	Unrestricted
Anonymous	MMF	Gift	AHC Cancer Center
Anonymous	UMF	Gift	Unrestricted
Beverly Caruso	MMF	Gift	Psychiatry
Beverly T. Hatlen	MMF	Gift	School of Public Health
Calvin H. Simmons	MMF	Gift	AHC Cancer Center
Campbell Family Fund of the Minneapolis Foundation	UM	Gift	Minnesota Landscape Arboretum
Charles B. Sweatt Foundation	UM	Gift	Minnesota Landscape Arboretum
Charles M. Denny	UMF	Gift	Humphrey Institute of Public Affairs
Cindy Funk	UM	Gift	Minnesota Landscape Arboretum
Coleman Family Foundation Incorporated	UMF	Gift	Institute of Technology
Corydon W. Siffring	MMF	Gift	School of Public Health
D. Greenberg Family Fund- Vanguard Charitable Endowment Program	UMF	Gift	College of Liberal Arts
Dana R. Lonn	UMF	Gift	Institute of Technology
David Brainer	UMF	Pledge	Carlson School of Management
Dick W. Aften	UMF	Gift	Department of Intercollegiate Athletics
Don and Lorraine Freeberg Foundation	UMF	Gift	Carlson School of Management
Dorsey and Whitney LLP	UMF	Gift	Office of International Programs
Dr. Aina Galejs	UMF	Gift	College of Liberal Arts
Dr. Allen S. and Nancy J. Levine	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Dr. David G. Keup	UMF	Pledge	School of Dentistry
Dr. David K. and Mary Claire Ashpole	UMF	Gift	Carlson School of Management
Dr. Hugh E. and Mary K. Norsted	UMF	Pledge	School of Dentistry
Dr. Ioannis G. Koutlas	UMF	Pledge	School of Dentistry
Dr. James D. Nickman	UMF	Pledge	School of Dentistry
Dr. John O. Kangas	UMF	Gift	Scholarships
Dr. Kurt J. King	UMF	Gift	School of Dentistry
Dr. Leslie R. Meek	UMF	Pledge	University of Minnesota, Morris
Dr. Mark and Rosalyn Anderson	UMF	Pledge	School of Dentistry
Dr. Michael A. Kurkowski	UMF	Pledge	School of Dentistry
Dr. Peter E. and Emilie N. Poss	UMF	Gift	College of Veterinary Medicine
Drs. Edward J. and Arlene E. Carney	UMF	Gift	College of Liberal Arts, Libraries
Edwin H. Ryan	MMF	Gift	Unrestricted
Genentech Incorporated	UMF	Gift	Institute of Technology
George Weston Bakeries Incorporated	MMF	Gift	Neurology
GfK Custom Research Incorporated	UMF	Gift	Carlson School of Management
Grace I. Andrews	UMF	Gift	College of Education and Human Development
Harper Family Foundation	MMF	Gift	Scholarships

\$5,000 - \$10,000

Henry W. Blackburn	MMF	Gift	School of Public Health
Herbert D. and Margaret A. Hoover	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
I V Foundation	UM	Gift	Minnesota Landscape Arboretum
James R. Otieno	UMF	Gift	Carlson School of Management
Jansen Family Fund-Minneapolis Foundation	UMF	Gift	College of Pharmacy
Jeffery R. Arent	MMF	Gift	Ophthalmology
Jeffrey C. Dick	MMF	Gift	Scholarships
Jeffrey Cotton	UMF	Pledge	Carlson School of Management
Jeffrey J. Michael	MMF	Gift	Pediatrics
Joseph and Sally Handleman Charitable Foundation Trust A	UMF	Gift	College of Pharmacy
Julie A. Ross	MMF	Gift	AHC Cancer Center
K. K. Burhardt and A. L. Spas Fund-Ayco Charitable Foundation	UMF	Gift	Institute of Technology
Kim Kaug	UM	Gift	University of Minnesota, Crookston
Linda P. Petterson	UM	Gift	Minnesota Landscape Arboretum
Marie Hamm Ankeny Estate	UM	Gift	Minnesota Landscape Arboretum
Marsha K. Millonig	UMF	Gift	College of Pharmacy
Mary E. Kenny	MMF	Gift	Scholarships
Mary L. Devlin	UMF	Gift	College of Liberal Arts
Mayo Foundation for Medical Education and Research	UMF	Gift	Center for Spirituality and Healing
Meredith B. Alden	MMF	Gift	Medicine
Michael V. and Ann C. Ciresi Foundation	UMF	Gift	Law School
Mitch Richter	UMF	Gift	University of Minnesota, Duluth
Norman Engelbrecht	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Paul and Evelyn Baran Fund-Fidelity Charitable Gift Fund	UMF	Gift	Institute of Technology
PCS Administration Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Pennsylvania Cystic Fibrosis Incorporated	MMF	Gift	Pediatrics
Robert J. Knoll	UMF	Gift	Carlson School of Management
Robyn S. Haskell	UMF	Gift	College of Veterinary Medicine
Saloni N. Desharnais	MMF	Gift	Pediatrics
Sit Investment Associates Foundation	MMF	Gift	Pediatrics
Southern District Dental Society	UMF	Gift	School of Dentistry
Supervalu Incorporated	UMF	Gift	Carlson School of Management
Susan E. Meyer and Daniel W. Shogren	UMF	Gift	University of Minnesota, Duluth
Susan T. Rydell	MMF	Gift	Scholarships
Terry L. and Nancy M. Anderson	UMF	Gift	Unrestricted
The Judy Angelo Cowen Foundation	MMF	Gift	Neurology
The Permanente Federation LLC	UMF	Gift	Academic Health Center

\$5,000 - \$10,000

Theodore R. Goldman	MMF	Gift	AHC Cancer Center
Thomas J. Merz	MMF	Gift	Urologic Surgery
United Way of Tucson and Southern Arizona	MMF	Gift	Scholarships
Victoria H. Keller	UMF	Pledge	College of Liberal Arts
Walter L. Mann Estate	UM	Gift	Minnesota Landscape Arboretum
Wendy J. Wildung	UMF	Gift	College of Liberal Arts, College of Veterinary Medicine
William D. Hueston	MMF	Gift	School of Public Health
William Grossman Fund-Jewish Communal Fund	UMF	Gift	College of Liberal Arts
William/Barbara Welke Fund- Vanguard Charitable Endowment	UMF	Gift	College of Liberal Arts



**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

Board of Regents

February 9, 2007

Agenda Item: Board of Regents Policy Report

review review/action action discussion

Presenters: Regent Anthony Baraga

Purpose:

policy background/context oversight strategic positioning

To provide a status report on the comprehensive review of all Board of Regents policies. To date, 82% of all Board policies have been reviewed.

Outline of Key Points/Policy Issues:

The attached Policy Review Summary indicates the current status of the comprehensive review. Also attached is a list of all policies and their anticipated review dates.

Background Information:

Following adoption of Board of Regents Policy: *Reservation and Delegation of Authority* in April 2001, the Board decided to undertake a comprehensive review of all policies.

**Board of Regents
POLICY REVIEW SUMMARY
December 2006**

	Policies to be Reviewed	Policy Reviews	Policies Remaining	
Policy Type	JULY '03	JULY '03 thru DEC '06	DEC '06	Notes
Academic	22		3	
		13 completed		
		6 superseded		SUPERSEDED: Conflict of Interest Research Secrecy Outside Affiliations Outside Affiliations: Intercollegiate Athletics Staff Outside Consulting, Service Activities, and Other Work Student Academic Grievance
		2 new policies		NEW: Outside Consulting and Other Commitments Conflict Resolution Process for Student Academic Complaints
Administrative	26		3	
		20 completed		
		3 superseded		
		8 new policies		NEW: Possession & Carrying of Weapons Use of Royalty Income to Support Technology Commercialization Sustainability & Energy Efficiency Campus & Facility Usage Individual Business or Financial Conflict of Interest Institutional Conflict of Interest Acquiring Controlling Equity Interests in Technology Licensees Professional Services Plan - University of Minnesota College of Pharmacy
Board Operations	10		1	
		8 completed / 1 postponed indefinitely		

**Board of Regents
POLICY REVIEW SUMMARY
December 2006**

	Policies to be Reviewed	Policy Reviews	Policies Remaining	
Policy Type	JULY '03	JULY '03 thru DEC '06	DEC '06	Notes
Delegation of Authority	14		1	
		6 completed		
		1 superseded		SUPERSEDED: Asset & Debt Management
		6 rescinded		RESCINDED: Academic Personnel Matters Health System Board of Governors Personnel Actions for Civil Service Staff Real Estate Transactions Student Unions Annual Operating Budget Adjustments
Financial	15		2	
		9 completed		
		3 superseded		SUPERSEDED: Building & Facility Usage Debt Guidelines Business Enterprises at the University
		1 rescinded		RESCINDED: Oil & Gas Leases

**Board of Regents
POLICY REVIEW SUMMARY
December 2006**

	Policies to be Reviewed	Policy Reviews	Policies Remaining	
Policy Type	JULY '03	JULY '03 thru DEC '06	DEC '06	Notes
Human Resources	30		11	
		5 completed / 1 postponed indefinitely		
		12 superseded		SUPERSEDED: Retirement & Terminal Leaves Unisex Retirement Tables Student Employment as Financial Aid Financial Disclosure for Senior University Officials Academic Professional and Administrative Staff Civil Service Personnel Faculty and Academic Staff Student Employment at the University Administrative Transitional Leaves Faculty Development Leaves Professional and Administrative Staff Development Leaves Regents Scholarship Program
		1 rescinded		RESCINDED: Minnesota Extension Service Field Staff Agents
		5 new		NEW: Faculty and Staff Retirement Employee Group Definitions Employee Development, Education, and Training Employee Recruitment and Retention Employee Health Benefits
TOTAL	117		21	

49

Board of Regents
POLICY REVIEW SCHEDULE - February 2007
❖ - review completed

	Policy	Date
❖	Protection of Individual Health Information	Sep-03
❖	Possession & Carrying of Weapons	Sep-03
❖	Faculty Tenure	Sep-03
❖	Responsibilities of the Board and Individual Regents	Oct-03
❖	Board Authority	Oct-03
❖	Founding Date, Corporate Name, and Seal	Oct-03
❖	Mission Statement	Nov-03
❖	Health System Board of Governors	Feb-04
❖	Oil and Gas Leases	Feb-04
❖	Real Estate Transactions	Feb-04
❖	Endowment Fund	Mar-04
❖	Investment of Reserves	Mar-04
❖	Student Representatives to the Board	Mar-04
❖	Use of Royalty Income to Support Technology Commercialization	Mar-04
❖	Investment Transactions	Mar-04
❖	Audit Committee Charter	May-04
❖	Central Reserves Fund	May-04
❖	Faculty & Staff Retirement	May-04
❖	Internal Controls	May-04
❖	Retirement and Terminal Leaves	May-04
❖	Sponsored Grants and Contracts	May-04
❖	Unisex Retirement Tables	May-04
❖	Asset & Debt Management	Jun-04
❖	Debt Guidelines	Jun-04
❖	Debt Transactions	Jun-04

Board of Regents
POLICY REVIEW SCHEDULE - February 2007
❖ - review completed

	Policy	Date
❖	Academic Personnel Matters	Jul-04
❖	Accessioning/Deaccessioning Museum Collections	Jul-04
❖	Board Operations & Agenda Guidelines	Jul-04
❖	Building & Facility Usage	Jul-04
❖	Campus & Facility Usage	Jul-04
❖	Monumental Works of Art	Jul-04
❖	Personnel Actions for Civil Service Staff	Jul-04
❖	Pollution Prevention & Waste Abatement	Jul-04
❖	Reservation & Delegation of Authority	Jul-04
❖	Student Unions	Jul-04
❖	Sustainability & Energy Efficiency	Jul-04
❖	University of Minnesota Press	Jul-04
❖	Annual Operating Budget Adjustments	Sep-04
❖	Academic Freedom & Responsibility	Sep-04
❖	Legal Defense & Indemnification of Employees	Sep-04
❖	Board Policy Development	Oct-04
❖	Business Enterprises at the University	Oct-04
❖	Legal Review of Contracts & Agreements	Oct-04
❖	Eminent Domain	Nov-04
❖	Research Involving Human Subjects	Nov-04
❖	Academic Misconduct	Dec-04
❖	Student Employment as Financial Aid	Dec-04
❖	Student Financial Aid	Dec-04
❖	Student Loans	Dec-04
❖	Tuition	Dec-04

Board of Regents
POLICY REVIEW SCHEDULE - February 2007
❖ - review completed

	Policy	Date
❖	Legal Claims & Settlements	Dec-04
❖	Diversity, Equal Employment Opportunity & Affirmative Action	Dec-04
❖	Equal Opportunity	Dec-04
❖	Non-Equal Opportunity Vendors Prohibited	Dec-04
❖	Disability Services	Dec-04
❖	Grievance Process	Feb-05
❖	Intercollegiate Athletics Philosophy: Twin Cities	Mar-05
❖	Purchasing	Mar-05
❖	Attorneys & Related Services	Mar-05
❖	Gifts Received/Given by Regents & University Officials	Mar-05
❖	Private Practice Plan: Medical School	Mar-05
❖	Private Practice Plan: School of Nursing	Mar-05
❖	Private Professional Practice: UMD Medical School	Mar-05
❖	Political Office, Appointments, and Positions	May-05
❖	Student Records	May-05
❖	Financial Disclosure for Senior University Officials	Jun-05
❖	Student Services Fee	Jun-05
❖	Animal Care and Usage	Jul-05
❖	Conflict of Interest	Jul-05
❖	American Indian Advisory Boards	Jul-05
❖	Investment Social Concerns	Oct-05
❖	Sexual Harassment	Oct-05
❖	Selection of Design Professionals	Oct-05
❖	Wage Rates for Contractors	Oct-05
❖	Awards, Honors, and Recognition	Nov-05

Board of Regents
POLICY REVIEW SCHEDULE - February 2007
❖ - review completed

	Policy	Date
❖	Nepotism and Consensual Relationships	Nov-05
❖	Publication of Investigation Results	Dec-05
❖	Research Secrecy	Dec-05
❖	Student Employment at the University	Dec-05
❖	Academic Professional & Administrative Staff	Dec-05
❖	Civil Service Personnel	Dec-05
❖	Faculty & Academic Staff	Dec-05
❖	Campus Health & Safety	Dec-05
❖	Minnesota Extension Service Field Staff Agents	Feb-06
❖	Administrative Transitional Leaves	Mar-06
❖	Professional & Administrative Staff Development Leaves	Mar-06
❖	Faculty Development Leaves	Mar-06
❖	Regents Scholarship Program	Mar-06
❖	Libraries and Archives	Mar-06
❖	Code of Ethics for Members of the Board of Regents	May-06
❖	Outside Affiliations	Jul-06
❖	Outside Affiliations: Intercollegiate Athletics Staff	Jul-06
❖	Outside Consulting, Service Activities, Other Work	Jul-06
❖	Reserve Officers' Training Corps (ROTC)	Jul-06
❖	Research Involving Recombinant DNA/Hazardous Materials	Jul-06
❖	Student Academic Grievance	Jul-06
❖	College Constitutions	Jul-06
❖	Faculty Emeriti	Sep-06
❖	Alcoholic Beverages on Campus	Sep-06
❖	Staff Appearances Before the Legislature	Nov-06

Board of Regents
POLICY REVIEW SCHEDULE - February 2007
❖ - review completed

	Policy	Date
❖	Postemployment	Dec-06
❖	Student Conduct Code	Dec-06
❖	Code of Conduct	Dec-06
	Principal Investigator Eligibility on Sponsored Projects	Feb-07
	Family & Personal Leaves Without Pay	Feb-07
	Parental Leave for Academic Employees	Feb-07
	Sick and Disability Leaves	Feb-07
	Sick Leaves	Feb-07
	Vacations	Feb-07
	Military Leave	Feb-07
	Appointments to Organizations & Boards	Mar-07
	Intellectual Property	Mar-07
	Historical Preservation & Conservation of Buildings	May-07
	University Foundations	TBD
	Gift Solicitation & Acceptance	TBD
	International Education	TBD
	Private Practice Plan: School of Dentistry	TBD
	Administrative Fringe Benefits	TBD
	Salaries for Administrative Officers	TBD
	Death Benefits	TBD
	Severance for Academic Prof. & Admin. Employees	TBD
	Targeted Bus., UCED, & Small Business Programs	TBD



**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

Board of Regents

February 9, 2007

Agenda Item: Report of the Faculty Consultative Committee

review review/action action discussion

Presenters: Professor Carol Chomsky

Purpose:

policy background/context oversight strategic positioning

To provide the Board of Regents with an update on the work of the Faculty Consultative Committee this year.

Outline of Key Points/Policy Issues:

Background Information:

It is customary for the chair of the Faculty Consultative Committee to provide quarterly updates to the Board of Regents.

Faculty Consultative Committee Report to the Regents

February 9, 2007

During the past months, the faculty governance committees and the Senate have worked on a wide range of issues important to the University, reviewing policies, consulting with administrative leaders, and discussing topics of concern. I will focus only on a few of those issues in my report.

The issue that has consumed most faculty time and effort during the first half of the year – and that will continue to be the focus of much faculty effort this spring – is the modification of the faculty tenure code. Last spring, as part of the strategic positioning effort and the drive to enhance our status as top public research University, the Faculty Culture Task Force recommended that the tenure standards for the University and for each academic unit be reviewed with the aim of ensuring that the standards articulate the high aspirations we all have for our academic efforts in teaching, scholarship, and service, and that we incorporate in the standards our commitments as faculty and as an institution to public engagement, to interdisciplinary work, and to international activities and initiatives. Starting early in the fall, the Academic Freedom and Tenure committee has been working on revisions to the University-wide faculty tenure code to reflect these and other goals, and every academic unit in the University has been engaged in reviewing their own statements regarding tenure and promotion. Proposed changes to the tenure code have been discussed at the Faculty Senate, additional changes will be brought for discussion at the next meeting, and we expect later this spring to bring final proposals to the Senate for approval. The academic unit reviews of their own statements are progressing as well. Those will be presented to the Provost for his comments and approval later in the academic year.

The other important issue that we have been discussing in committee and that will be presented to the Faculty Senate for discussion and later approval is the adoption of a statement of Student Learning Outcomes for undergraduate teaching at the University. The impetus of this effort came originally from the work of the Council on Enhancing Student Learning. If approved, the Student Learning Outcomes will be a template for use by faculty, both individually and collectively in departments and colleges, to articulate what we expect undergraduates at the University to have accomplished through their studies by the time of graduation, and to help us and our students assess our progress as an institution and their progress as individuals towards achieving those goals. There is much talk nationally about the importance of assessment and accountability for higher education institutions. Through our efforts with the Student Learning Outcomes, we are taking the initiative to set our own standards and to ourselves measure our accomplishments. The University of Minnesota is a national leader in this effort to set outcome goals and use them to assess progress.

Along with these two major initiatives, our committees have continued their work consulting with administration on a variety of other issues. We participated in conversations leading to the new Code of Conduct and Student Code of Conduct, we have talked about the biennial and capital requests, we have discussed the undergraduate admissions process and outcomes and the academic concerns surrounding athletics admissions and the academic performance of athletes. We worked with the past Vice President for University Relations and look forward to working with Karen Himle, who joined the University early last month in that position, to address issues of internal and external communications regarding the University.

This fall, in addition to continuing our regular committee and Senate work, the Faculty Consultative Committee held a series of open meetings with department chairs and other faculty to hear from them their ideas and concerns. The conversations were particularly helpful in ensuring that we can fairly and accurately represent faculty perspectives in the shared governance process. Twice a year, we meet with senior administrators for what we call an “intellectual futures” discussion, an opportunity to step back from the consideration of the day-to-day business of the university to look at longer-range objectives. In December, we devoted one of those meetings to the issues raised in these conversations. Among them were concerns about the availability of resources to support disciplinary as well as interdisciplinary work; the impact of the budget model on research, teaching, and service; the workload of faculty; and the impact of reorganization. We look forward to continued discussion with the administration on those issues.

Finally, several members of the Faculty Consultative Committee traveled to the Morris campus in December to talk with faculty there about their particular issues, questions, and concerns. We plan to follow up on those conversations this spring to explore ways we can increase faculty interaction between campuses to the benefit of all

Respectfully submitted,

Carol Chomsky
Chair, Faculty Consultative Committee

Scott Lanyon
Vice-Chair, Faculty Consultative Committee



UNIVERSITY OF MINNESOTA BOARD OF REGENTS

Board of Regents

February 9, 2007

Agenda Item: Board of Regents Policy: Associated Organizations

review review/action action discussion

Presenters: General Counsel Mark Rotenberg

Purpose:

policy background/context oversight strategic positioning

Under Board of Regents Policy: *Reservation and Delegation of Authority*, the Board has the exclusive authority to approve the legal structure and scope of any relationship between the University and an associated organization. This proposed policy establishes criteria for the University's recognition of an associated organization and delegates to the President the authority to grant, suspend, or revoke recognition.

Outline of Key Points/Policy Issues:

The programs and activities of many tax exempt, nonprofit entities interact with University programs or use substantial University resources. The University's legal, financial, and reputational interests may be significantly affected by its relationships with these associated organizations. The University has an interest in ensuring that such associated organizations adhere to the highest standards of ethical conduct in operating and managing their affairs and comply with all applicable laws and applicable University policies and procedures. To that end, the proposed policy authorizes the President to grant an entity recognition as an associated organization under certain criteria.

Background Information:

In December 2003, at the request of President Bruininks, General Counsel Rotenberg issued a report recommending that the Board of Regents develop an appropriate policy to govern the University's relationships with associated organizations. The Board conducted two work sessions (in February and July 2004) to formulate such a policy. At the second work session, the Board expressed its support for seven framing principles to govern the University's relationships with associated organizations. (See attached memorandum.)

The proposed policy grows out of these principles and is consistent with Section 12 of Board of Regents Policy: *Reservation and Delegation of Authority*, which reserves to the Board “the authority to approve the legal structure and scope of any relationship between the University and any associated organization . . . or similar entity that substantially relies upon University resources or personnel to carry out its mission.”

President's Recommendation for Action:

The President recommends adoption of the proposed policy.

February 9, 2007

MEMORANDUM

TO: Hon. Clyde E. Allen, Jr.
Hon. Anthony R. Baraga
Hon. Peter Bell
Hon. Frank Berman
Hon. Dallas Bohnsack
Hon. John Frobenius
Hon. Steven Hunter
Hon. David Larson
Hon. Cynthia Lesher
Hon. David R. Metzen
Hon. Lakeesha K. Ransom
Hon. Patricia S. Simmons

FROM: Mark B. Rotenberg
General Counsel

RE: Proposed Board of Regents Policy: *Associated Organizations*

This memorandum provides background information and explains the reasons for the accompanying proposed Board of Regents Policy: *Associated Organizations*. The policy is intended to govern the legal, financial, and other relationships of the University of Minnesota (“University”) with associated organizations, and sets forth the University’s expectations regarding the conduct of associated organizations in relation to the University.

I. Background

The proposed policy arises out of actions the Board of Regents (“Board”) and the administration undertook starting in 2002 to implement the mandates of the federal Sarbanes-Oxley Act of 2002 (“SOX”), and of changes in 2002 to governmental accounting and financial reporting requirements. Adopted in the wake of the corporate fraud and accounting scandals of the late 1990s and after, SOX imposed stringent accounting, financial reporting, and internal control requirements on publicly held American companies. On May 8, 2003 the Board directed

the administration to adhere to many of the requirements of SOX as best practices for the University.

The proposed policy also arises out of new accounting and financial reporting rules and standards. In May 2002 the Governmental Accounting Standards Board promulgated Statement 39: "Determining Whether Certain Organizations Are Component Units" ("GASB 39"). Prior to the adoption of GASB 39, the University had broad discretion in deciding how or whether to report in its financial statements the financial condition or results of operations of University affiliated organizations that were tax exempt and legally separate from the University, so-called "component units." GASB 39 substantially reduced the University's flexibility. It required the University to report in its financial statements the assets, liabilities, income, and expenses of any organization if:

- (i) the organization's resources are received or held for the benefit of the University,
- (ii) the University is entitled to or can access a majority of the organization's resources, and
- (iii) the organization's resources to which the University is entitled to or can access are significant.

The adoption of SOX and GASB 39 prompted the University to better identify, understand and oversee organizations that are tethered, by mission, assets or resources, to the University. The initiative was intentionally broad in scope, encompassing organizations that fell both inside and outside the GASB 39 definition of "component units." The term "associated organization" was adopted to identify these entities.

In October 2003 President Bruininks directed Vice President and Chief Financial Officer Richard Pfutzenreuter, University Internal Auditor Gail Klatt, and General Counsel Mark Rotenberg to "prepare a report describing the particular legal, financial, contractual, operational and reputational links between the University and affiliated organizations." The President directed them specifically to consider the legal, financial and reputational implications to the University of its varied relationships with associated organizations. General Counsel Rotenberg issued a report to the President in December 2003. A key recommendation of the report was that the Board review and consider revisions to its existing policies on foundations and delegation of authority, and develop such other policies as it deemed desirable to govern the University's relationships with associated organizations.

Subsequently, the Board conducted two work sessions, one on February 12, 2004 and a second on July 9, 2004, to develop such a policy. At the second work session, the Board expressed support for seven framing principles to govern the University's relationships with associated organizations:

1. **Valued Relationships.** Associated Organizations are highly valued by the University, and the intent of the Board of Regents is to maintain excellent relationships with these organizations that have benefited the University.
2. **Establishment of Policies.** The Board of Regents shall establish policies regarding Associated Organizations and delegate establishment of appropriate administrative policies to the President and designees.
3. **Representation.** The Board of Regents must be provided appropriate University representation on each designated Associated Organization's governing body, and shall enter into a written agreement governing its relationship with each designated Associated Organization.
4. **Cooperative Accountability.** The University and Associated Organizations shall work cooperatively to insure full compliance with applicable laws and University policies. Written agreements with Associated Organizations shall define cooperative working relationships addressing, among other topics, audits, financial review and program review. The University shall periodically review its relationships with Associated Organizations to ensure compliance.
5. **University Support.** The University may support an Associated Organization pursuant to a written agreement with the Associated Organization. University support may include University agency accounts, University space, technology and equipment, University personnel, and use of University names and trademarks, provided the Associated Organization adheres to all applicable laws and University policies in its use of such support. In exchange for such assistance, the University expects each designated Associated Organization to devote its resources and energies exclusively to supporting the University.
6. **Integrity.** The Board of Regents expects each Associated Organization to adhere to the highest standards of ethical conduct in operating and managing its affairs, and to avoid activities that undermine its credibility and reputation as well as the credibility and reputation of the University.
7. **Fiscal and Business Practices.** The Board of Regents expects each Associated Organization to utilize sound fiscal and business practices and adequate internal controls that allow it to operate efficiently and effectively in the interests of the University and comply with all applicable laws and regulations.

The provisions of the proposed policy follow from these framing principles, especially principle two (2), and are consistent with section XII of the Board of Regents Policy:

Reservation and Delegation of Authority, in which the Board reserves “the authority to approve the legal structure and scope of any relationship between the University and any associated organization . . . or similar entity that substantially relies upon University resources or personnel to carry out its mission.”

II. Summary of Principal Terms of the Proposed Policy

The proposed policy authorizes the University to recognize associated organizations. Associated organizations represent only a subset of the entities that interact with the University.¹ The policy defines associated organizations as tax exempt, nonprofit organizations. Their primary purpose must be to support the University or its mission, and in conducting their activities they must use substantial University resources. The policy defines another type of associated organization as an entity regarding which the University may be legally responsible for its activities. The last type of covered associated organization is an entity whose financial condition or results of operations should be included or noted on the University’s financial statements.

The proposed policy authorizes the University to grant recognized associated organizations certain privileges. For example, the University may lease real or personal property to them; it may assign designated University employees to provide services for them; it may permit them to license and use the University’s trademarks and logos in connection with their University-related activities; and, it may permit them to deposit funds into University agency accounts.

The proposed policy delegates to the President the authority to grant, suspend or revoke an associated organization’s recognition. The President may also determine whether the University and a particular associated organization should enter into a written agreement setting forth particular terms of recognition, including whether the University should have the right to appoint a representative to the associated organization’s governing body. Any such written agreements must define the working relationship between the University and the associated organization, and must address audits, financial review, program review and the provision of University support. As additional oversight, the proposed policy requires each recognized associated organization to permit the University to inspect its books and records, and cooperate with the University’s periodic review of its recognition as an associated organization, as well as its programs and activities.

¹ The scope of the proposed policy is limited. Recognized foundations, registered student organizations and athletic booster clubs are expressly excluded from coverage under this policy. The University’s relationships with these entities are currently subject to other regental and administrative policies. For example, recognized foundations are governed by a separate Board policy on foundations. The University’s Student Activities Office oversees all registered student organizations to ensure their compliance with its detailed rules, regulations and procedures. Board of Regents policy, University administrative policy, and the rules and regulations of the NCAA each regulates the activities of athletic booster clubs.

III. Conclusion

As noted in the Board's first framing principle, "associated organizations are highly valued by the University" and the University should "maintain excellent relationships with these organizations that have benefited the University." The proposed policy would enhance the reforms the University has already undertaken to improve its relationships with, and its oversight of, associated organizations. The proposed policy authorizes the University to take prudent and needed action to strengthen associated organizations by providing them access to University resources and enhances the University's oversight of associated organizations by developing and implementing new, clear policy directives.

cc: Robert H. Bruininks, President
Ann D. Cieslak, Executive Director and Corporate Secretary
Executive Committee



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

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Administrative

ASSOCIATED ORGANIZATIONS

Adopted:

DRAFT for review February 8, 2007

ASSOCIATED ORGANIZATIONS

SECTION I. SCOPE.

This policy governs legal, financial, and other relationships of the University of Minnesota (University) with Associated Organizations and sets forth the University's expectations regarding the conduct of Associated Organizations relative to the University.

SECTION II. EXCLUSIONS.

Subd. 1. Recognized Foundations. Recognized Foundations are Associated Organizations that are governed separately under other Board of Regents (Board) and University administrative policies.

Subd. 2. Registered Student Organizations. Registered student organizations are regulated separately and shall not be classified as Associated Organizations.

Subd. 3. Booster Clubs. Booster clubs are regulated separately and shall not be classified as Associated Organizations.

SECTION III. DEFINITIONS.

Subd. 1. Associated Organization. *Associated Organization* shall mean a non-profit corporation, foundation, partnership, or other entity exempt from federal and state income taxation:

- (a) whose primary purpose is to support the University or the University's mission and that uses substantial University resources, such as financial support, employees, or facilities, to accomplish its purpose; or
- (b) regarding which the University may be legally responsible for its activities and liabilities; or
- (c) whose financial condition or results of operations should be included or noted in the University's financial statements.

SECTION IV. GUIDING PRINCIPLES.

The Board intends to maintain excellent relationships with Associated Organizations, which are highly valued by the University and enhance the institution's ability to



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Adopted:

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accomplish its mission. To that end, the University and Associated Organizations shall work cooperatively to ensure that Associated Organizations adhere to the highest standards of ethical conduct, employ sound fiscal and business practices, and comply with all applicable laws and University policies and procedures.

SECTION V. UNIVERSITY RECOGNITION.

Subd. 1. Recognition. The University shall maintain a process for granting recognition to Associated Organizations. Criteria to be considered in deciding whether to grant recognition shall include:

- (a) the Associated Organization's demonstrated commitment and capacity to undertake activities primarily to support the University or its mission and to enhance the University's stature;
- (b) the Associated Organization's demonstrated commitment and capacity to adhere to the highest standards of ethical conduct in operating and managing its affairs and to avoid activities that undermine its credibility and reputation or the credibility and reputation of the University;
- (c) the Associated Organization's demonstrated ability to employ sound fiscal and business practices, including internal controls adequate to ensure its activities are duly authorized and accounted for;
- (d) the Associated Organization's compliance with all applicable laws, regulations, University contracts, and University policies and procedures;
- (e) the Associated Organization's acceptance of University representation on its governing body and/or executive committee; and
- (f) the best interests of the University.

Subd. 2. Revocation of Recognition. Recognition of an Associated Organization may be suspended or revoked if the Associated Organization fails to adhere to University policy or if, in the judgment of the president or delegate, suspension or revocation is in the best interest of the University. The process for revoking or suspending recognition shall be that established in a written agreement between the University and the Associated Organization or, in the absence of a written agreement, the process specified in University administrative policy.

SECTION VI. DELEGATION OF AUTHORITY.

The president or delegate is authorized to:



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ASSOCIATED ORGANIZATIONS

Adopted:

DRAFT for review February 8, 2007

- (a) grant, suspend, or revoke recognition of an Associated Organization;
- (b) enter into written agreements with Associated Organizations as necessary;
- (c) maintain appropriate administrative policies regarding recognition of and relationships with Associated Organizations; and
- (d) determine whether it is necessary to have University representation on the governing body and/or executive committee of a recognized Associated Organization.

SECTION VII. ORGANIZATIONAL REPRESENTATION.

The University shall have representation on the governing boards of recognized Associated Organizations as appropriate. Board representation shall be governed by Board of Regents Policy: *Appointments to Organizations and Boards* and/or University administrative policy.

SECTION VIII. PRIVILEGES OF RECOGNITION.

Subd. 1. Types of Support. The University may provide support to Associated Organizations by, among other things:

- (a) leasing space, technology, or equipment;
- (b) directing designated University employees to provide agreed upon services;
- (c) permitting the use of selected University-owned names, logos, wordmarks, or other trademarks solely in promoting University-related activities; or
- (d) making available agency accounts to hold, manage, and disburse cash assets.

Subd. 2. Restrictions in Absence of Recognition. Except as provided in policy or a written agreement with the University, a recognized Associated Organization whose recognition has been suspended or revoked may not receive the types of support specified in this section.

SECTION IX. WRITTEN AGREEMENTS AND ADMINISTRATIVE POLICIES.

Written agreements and/or administrative policies shall define cooperative working relationships with recognized Associated Organizations, addressing audits, financial review, program review, the provision of University support, and other relevant topics.



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Administrative

ASSOCIATED ORGANIZATIONS

Adopted:

DRAFT for review February 8, 2007

SECTION X. PERIODIC REVIEWS.

Upon the University's written request, each recognized Associated Organization shall:

- (a) permit the University and its agents, including its independent auditors, to inspect its books and records; and
- (b) cooperate with the University's periodic review of its recognition as an Associated Organization and its programs and activities.



UNIVERSITY OF MINNESOTA BOARD OF REGENTS

Board of Regents

February 9, 2007

Agenda Item: Future of Northrop Auditorium

review review/action action discussion

Presenters: Vice President Kathleen O'Brien
Dean Steven Rosenstone

Purpose:

policy background/context oversight strategic positioning

To provide the Board of Regents with an overview of the recommendations provided to the President to guide the future of Northrop Auditorium.

Outline of Key Points/Policy Issues:

Since opening its doors on November 15, 1929, Northrop has served as the University's primary gathering place for celebrations, ceremony, education, entertainment, and performing arts.

In June of 2005, the University commissioned a comprehensive Facilities Condition Assessment, including the necessary forensic testing, to identify in detail the necessary improvements and accompanying costs to renovate and upgrade the facility. The following disciplines were engaged: architectural, mechanical/electrical, structural, civil, theatrical, acoustical, material testing, code/life safety, historical, construction cost estimating.

In February, 2006, the president charged a group of University and community leaders to develop recommendations for the future of Northrop Auditorium. The *Future of Northrop Advisory Committee*, chaired by Vice President O'Brien and Dean Rosenstone, was charged with the following:

- Develop a vision for Northrop that supports the University's strategic goal to become one of the top three public research institutions in the world;
- Consider various options for its future use;
- Provide recommendations to the President; and
- Recommend timetable for completing work.

The Committee's work was guided by the following principles:

- Advance the University's mission and goals;
- Advance academic programs and priorities;
- Promote stewardship and historic asset preservation;
- Serve the University community and beyond;
- Leverage the effective and efficient use of space; and
- Develop a sustainable financial plan.

The report includes a future vision for Northrop, program models and options explored by the Committee, strategies to realize the vision, key recommendations, next steps, and implementation timeline.

Background Information:

In February 2006, the Facilities Committee reviewed the findings of the comprehensive facilities condition assessment for Northrop Auditorium.

In June 2006, the Board of Regents approved the Northrop Auditorium exterior stabilization project as part of the FY2007 capital budget, as well as the schematic plans.

Northrop Advisory Committee

Report to the President

October 20, 2006

Northrop Advisory Committee University of Minnesota

Report to President Robert H. Bruininks

October 20, 2006

Advisory Committee

Kathleen O'Brien, Vice President, University Services, co-chair
Steven J. Rosenstone, Dean, College of Liberal Arts, co-chair
John Finnegan, Dean, School of Public Health
Gerald Fischer, President and Chief Executive Officer, University Foundation
Tom Fisher, Dean, College of Design
Steven Goldstein, Vice President for Strategic Initiatives, University Foundation
Craig Swan, Vice Provost, Academic Affairs
Richard Weinberg, Professor, Institute of Child Development
Katie White, Student Representative, MSA
Lynn Casey, Chairman and CEO, Padilla Speer Beardsley, Inc.
Eleanor Crosby, Community Volunteer
Judy Dayton, Community Volunteer
David Lilly, former University of Minnesota CFO
Marilyn Carlson Nelson, Chair and CEO, Carlson Companies
Laurie Scheich, Associate Vice President, Auxiliary Services, staff to the committee
Etty DeVeaux Westergaard, Assistant to the Vice President, U Services, staff to the committee

Core Staff Work Team

Laurie Scheich, Associate Vice President, Auxiliary Services, chair
Bob Baker, Assistant to the Associate Vice President, Auxiliary Services
Dale Schatzlein, Director, Concerts and Lectures
Mike Denny, Capital Planning and Project Management
Roger Wegner, Capital Planning and Project Management
Mike Berthelsen, Assistant Vice President, Finance, University Services

*"We shape our buildings and thereafter, they shape us."
—Winston Churchill*

A DAY IN THE LIFE OF NORTHROP CENTER

January 2011

6:15 a.m. Ellen's right eye reluctantly pried open at the third chirp of her alarm clock. She was planning to meet her fellow CLA students for their regular 6:30 a.m. Friday morning group at the Northrop coffee bar. She smiled as she remembered they'd be serving her favorite – "Kona Blue Hawaiian."

8:40 a.m. Later that morning, Jamal ascended the staircase in a mad dash to get to one of the new classrooms in Northrop Center. This would be the first day in the new classroom which overlooked Lilly Plaza. Until now, the class had been meeting in the subterranean reaches of Civil Engineering, but today there would be fresh air and sunshine, and Jamal wanted to get a good seat, preferably by the window.

10:30 a.m. Backstage, in the new Northrop Performance Hall, Prachi and other committee members set up for the noon Expert Panel session on global pandemics and what Minnesotans needed to do to prepare. Prachi would be the student host for the panel, a gathering of the world's leading authorities on the subject, open to the university community and taped by TPT as part of its "Northrop Conversation" series. TPT would later broadcast, webcast, and podcast the event as part of a new partnership with the University. Earlier, Prachi had called her parents in New Delhi to remind them to download the session from the University's website the next day.

1:45 p.m. In Northrop's rehearsal space, renowned mezzo-soprano Frederica von Stade took a break from rehearsing for that night's performance to a sold-out house. Known throughout the world, featured on many "Live from Lincoln Center" telecasts, and a multi-Grammy award winner, Ms. von Stade had said in a press conference earlier that day that she was looking forward to singing at Northrop, a performance space being talked about throughout the artistic community.

3:05 p.m. High above Memorial Hall, Professor Kim looked out at the blossoming Lilly Plaza, just now beginning to buzz with in-between-class activity. He and a select group of faculty were attending a function Northrop's Gold Room, hosted by President Bruininks, in honor of their school achieving a "Top Ten" ranking by U.S. News and World Report. From this lofty perch he watched the leaders of tomorrow scurry to their classes. A warm feeling came over him as he thought that in shaping their minds, he and his colleagues were shaping the future.

5:10 p.m. Ellen decided to finish her day as she as started it, with a coffee at Northrop. The *Iota Fuzz*, an electro-acoustic group from the Twin Cities, would be performing tonight in Northrop's lower level cafe. The cafe, appropriately named "Down Under," was now such an important part of campus social life it was hard to imagine that it had never existed before Northrop's renovation.

Approaching the building's magnificent columns, Ellen remembered standing at the end of the mall during her first visit to the University and seeing Northrop for the first time. She could never have imagined then what an important place it would someday become, not only to her, but to all students and Minnesotans.

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Northrop Advisory Committee University of Minnesota

Report to President Robert H. Bruininks

I. Introduction

In February 2006, President Robert H. Bruininks appointed the Northrop Auditorium Advisory Committee to develop a vision and recommendations for the future use of Northrop that supports the University's strategic goal to be one of the top three public research universities in the world. The Committee's recommendations are designed to transform a sacred, aging and crumbling icon in the center of campus that is only used for occasional, large gatherings into:

- A bustling and dynamic "everyday-used" facility, fully integrated into the University's mainstream to serve its academic mission and, enrich and enliven the University community;
- Where diverse, eclectic, interesting and exciting events, performances and gatherings routinely compel attendance from the University and beyond;
- Where the sound and energy from activity is palpable, blended with the aroma of fresh coffee and baked goods that bring comfort and relaxation;
- Where the design, aesthetics, environment, acoustics, space and technology perfectly facilitate the building's essence: rich programming;
- Making possible both the drawing together of people, and through the magic of technology, reaching out to those who cannot be there in person.

II. Background on Northrop

A University icon, Cyrus Northrop Memorial Auditorium was conceived as the focal point of Cass Gilbert's campus master plan for the University of Minnesota. Northrop has become one of the most recognized buildings in the state. Since opening its doors on November 15, 1929, Northrop has served as the University of Minnesota's primary gathering place for University ceremonies and celebrations, significant lectures, and the performing arts. Northrop's 4,800-seat capacity was intended to allow the entire student body of the day to assemble under one roof. At 4,800 seats, the Northrop venue currently fills a niche in the Twin Cities—other facilities seat between 2,000 and 3,000 patrons (see Appendix A) or over 10,000 patrons (e.g. the Target Center and the Xcel Center). Between 1930 and 1973, Northrop Auditorium was home to the Minneapolis Symphony, which later became the Minnesota Orchestra. Northrop is also home to an Aeolian-Skinner organ. A brief history of the organ is located in Appendix B.

Northrop is the place where the University community convenes to mark the significant milestones in the life of the University, its students, faculty and alumni: inaugurations of presidents, freshman convocations, commencement ceremonies, the kickoff of capital campaigns, and the annual meetings of the Alumni Association, to name a few. It is “home” to dance and jazz performances, concerts and lectures, and community events. On average, Northrop is in use 221 days per year hosting 51 University sponsored events and 40 rentals annually. Each year, Northrop serves approximately 205,200 patrons with an average attendance of 2,263 per event. A list of current Northrop tenants is provided in Appendix C, and a sampling of Northrop events is available in Appendix D.

Over time, the elements and the auditorium’s heavy use have taken their toll upon the building’s physical structure. During the past 15 years, a dozen different studies have been undertaken to determine how best to repair, renovate and re-position Northrop for the future. In 2005, the University commissioned a detailed forensic study of the facility. An overview and executive summary of the forensic study findings are provided in Appendix E. The forensic study also identified a number of urgent issues that required the University’s immediate attention, and approximately \$21 million was allocated in the University’s 2007 Capital Budget to address Northrop’s immediate structural stabilization and life safety issues.

Although the University’s expenditure of \$21 million will stabilize Northrop and address the most urgent life safety issues, this investment does not begin to address any of the issues within the facility itself. Although the facility is structurally sound, these systems can fail at any time and their failure could trigger Northrop’s immediate closing. The forensic study concluded that **no aspect of the building is without issue.**

The University of Minnesota currently spends approximately \$3.4 million a year to maintain Northrop and support its current operations. Approximately \$1.4 million is spent each year as an operating subsidy to current programming (\$556,000), and building expenses (\$896,000). On average, an additional \$2.0 million is required each year to cover the cost of building depreciation and systems replacement.

III. The Committee’s Work

Over the course of eight months, the Northrop Auditorium Advisory Committee, with the support of the Northrop Auditorium Core Staff Work Team, assessed background information regarding the facility’s historic and current use, functionality, operations, and physical state. The work group also analyzed current and potential financial and operational models and engaged consultants to assess the facility, program, and market. The Advisory Committee reviewed previous assessments of Northrop (see Appendix F) and reviewed nearly a dozen alternative reconfigurations of the facility.

The Advisory Committee consulted broadly with campus stakeholders and members of the community. These discussions included meetings with the Twin Cities Deans, Regents

Professors and members of the National Academies, the Senate Consultative Committee, the University of Minnesota Foundation, the Bush Foundation, the Minnesota Opera, the St. Paul Chamber Orchestra, the Minnesota Orchestra, the Ordway, the Historic Theatre Group, Minnesota Public Radio, and Twin Cities Public Television. A complete list of consultations is provided in Appendix G.

IV. Guiding Principles and Vision

The Northrop Advisory Committee drew upon the University's Six Year Capital Plan Guiding Principles to develop the principles that should guide the future of Northrop. These principles include:

Guiding Principles for the Future of Northrop

ADVANCE THE UNIVERSITY'S MISSION AND GOALS

Northrop will support the University's mission and advance the University's strategic goals. All aspects of planning for the future of Northrop will be informed by, aligned with, and in support of the University's primary mission: teaching, research, and public service. The future of Northrop will support the U's master plan and strategic direction.

ADVANCE ACADEMIC PROGRAMS AND PRIORITIES

Northrop will support the work and interaction of students, staff, and faculty. Northrop will encourage and advance interdisciplinary partnerships and provide settings for student, staff, and faculty discourse, interaction, and collaboration. The design and use of the space will drive and support academic distinctiveness; research; the delivery of exceptional programming; and life-long learning.

PROMOTE STEWARDSHIP AND HISTORIC ASSET PRESERVATION

Northrop's historic significance will be preserved, honored, and protected. Northrop is the University's flagship building, a University icon and symbol, and a State treasure. All aspects of planning will seek to preserve, enhance, honor, and protect the building's historic significance and its tangible and intangible significance.

SERVE THE UNIVERSITY COMMUNITY AND BEYOND

Northrop will contribute to the life and learning experiences of the University community, the State of Minnesota, and the world. Northrop is a place where the University gathers and connects with the campus community, the state, and the world. Northrop will support, promote and encourage opportunities for strong and diverse partnerships with all educational, cultural, and social elements of the University and the broader community. Northrop will promote active engagement in learning and connect and involve the U locally, nationally, and globally.

LEVERAGE THE EFFECTIVE AND EFFICIENT USE OF SPACE

The renovated Northrop will improve utility, capacity, and programmatic opportunities available in the facility. Northrop will meet the needs of a diverse set of users and will be a multi-use space with pliable boundaries and flexibly configured space to maximize interaction, collaboration, formal and informal engagement, and technological innovation. Northrop will be designed to adapt and respond to changing needs and opportunities in teaching and research and to accommodate new advances in technology. It will be designed to stand the test of time.

DEVELOP A SUSTAINABLE FINANCIAL PLAN

Northrop's future use will minimize the amount of central University subsidy required to support ongoing operations. The University's investment in Northrop is an investment in the campus' future. The University's capital investment in Northrop will produce a facility that has a reasonable opportunity to generate revenues in support of ongoing operations.

The Advisory Committee's review of the forensic, historic patterns of use and financial parameters of Northrop lead to the Committee to two conclusions:

Northrop's current condition, configuration, and patterns of use make modest contributions to the academic priorities of the University and to the University's goal of being one of the top three public research universities in the world.

Given the very substantial investment of University funds each year to sustain Northrop, the Advisory Committee believes that Northrop must play a greater role in the academic life of the University. As an asset, Northrop must be better leveraged to advance the University's academic priorities and help the University reach its goal of being one of the top three public research universities in the world.

These observations and the guiding principles for the future of Northrop led to the following vision:

Vision for Northrop

A place of distinction that enlightens, inspires, provokes, challenges, educates, and engages students, faculty, staff, and the community.

A place of honor where the University community convenes for ceremonies to mark the significant milestones in the life of the University, its students, and faculty.

A forum for discussion and debate about the most innovative ideas and challenging issues of our time.

- A convening place where the greatest minds in the world, working at the cutting edge of new knowledge, routinely share innovative ideas, creative work, and research.
- A forum where people routinely engage with the world's leading public figures in discussion and debate about the most pressing issues facing our communities and the world.
- A neutral space for interdisciplinary seminars and discussions that enables students and faculty to connect across disciplinary boundaries.

A bustling and dynamic place that serves the University's academic mission, enriches and enlivens the University community and is a fully integrated part of the everyday life of students and faculty from across the campus.

A portal to the University of Minnesota

- A vehicle for partnership and outreach.
- Connects the University to the State of Minnesota and the world.
- Connects the state and the world to the University.

A cultural center of distinction

- An acoustically superior concert and performance space.
- Features the finest in artistic performance and expression as well as the most innovative contemporary artists.

A sense of place

- Northrop is a very special place reflected in its interior design and furnishings.
- When you are in Northrop, you feel that you are at the center of the University.
- Northrop uses advanced technologies to facilitate connections among ideas and people.
- Northrop is more than an auditorium: it includes comfortable communal places, flexible meeting spaces, and food and beverage service that complement other venues in the Mall district.

Northrop should be fully integrated into the academic life of the University; it should advance the research, teaching and outreach mission of the University. Northrop's broader role should help attract and engage world-class students, faculty, and staff, and engage the University community and the people of Minnesota around issues critical to the future of our communities, our state, our nation, and the world.

As currently configured and programmed, Northrop serves primarily as a ceremonial, cultural, and entertainment venue for the campus. The new vision for Northrop advances academic programs and priorities; showcases the University's world-class faculty, students and research; and promotes campus and community engagement in learning and discovery. The vision places academics at the heart of Northrop, followed by cultural events and performance.

The Advisory Committee envisions a dynamic, state-of-the-art Northrop that would:

- provide a home to several programs of distinction
- advance and emphasize interdisciplinary learning and research
- promote academic collaboration
- promote life-long learning
- foster and forge new partnerships between the University and other educational, cultural, and business communities
- increase engagement around critical public issues
- increase awareness and appreciation of the arts
- energize, connect, and bring together the University community
- serve as a gathering place for the campus, community, and the state
- offer state-of-the-art, adaptable, and flexibly configured space
- accommodate new technologies as they emerge
- preserve and celebrate the history and tradition of Northrop and the University

To realize this vision, the Advisory Committee identified the following programmatic priorities for the facility:

- an acoustically superior venue with a large seating capacity
- seminar, classroom, and meeting spaces
- home for a signature program
- audio and visual production and broadcast facilities
- spaces and facilities to support distance learning
- gathering space, pre-and post-reception areas, and student lounge space
- restrooms, service access, concessions, catering, coat check, and entry space appropriately sized for the venue
- historic preservation
- appropriate mechanical systems and building support space

Maintaining administrative office space within Northrop is a medium priority, while providing a restaurant, backstage space needed to support theatrical performances, and art gallery/display areas within Northrop are low priority. The Committee’s consultation with the arts community revealed that Northrop would be used very infrequently for theatrical and operatic productions—so infrequently that it would not justify the allocation of space and the investment needed to equip the backstage area to support these productions. Hence, designs for Northrop that would provide elaborate backstage area needed to accommodate theatrical and operatic productions were removed from consideration. The loading dock area of Northrop, however, should be reconfigured in a fashion that would allow for trailers to serve this backstage function on a temporary basis as needed.

V. Program Models and Options

RSP Architects worked with the Advisory Committee’s prioritized program elements to develop a dozen alternative models for Northrop. Each model was required to fit within Northrop’s current building envelope. The tradeoffs across the models are related to acoustics, sightlines, available program space, and size of the auditorium. Under every scenario, the Advisory Committee imagines that Memorial Hall will be restored and maintained as the building’s main lobby. Three sets of alternatives emerged and are characterized by the following archetypes:

Option I: Maximize the Number of Seats in the Auditorium

Option I reconfigures the performance venue and balcony for improved acoustics while maximizing seating to provide 4,000 seats—the maximum that can be provided in the new venue given current code and ADA requirements. This option provides approximately 23,235sf of available program space (compared to 18,150sf in the current facility) and allows for many of the desired program elements that support the vision to be included in the building. Prioritization of desired facility programs would still be required. This option provides:

- Moderate historical preservation (resulting from the reconfiguration of the auditorium and balcony);
- Maximized seating capacity;
- Improved stage/proscenium proportions;
- Limited sightlines;
- Limited acoustics;
- Improvements to venue amenities;
- Limited improvement to back-of-house support; and
- Increased programmable space.

Option II: Maximize Quality of the Auditorium and Amount of Other Programmable Space

Option II reduces the size of the performance venue to 3,200 seats while maximizing the available program space in Northrop. This option provides approximately 38,200sf of available programmable space (29,500sf plus the three-250 seat auditoriums) and provides ample space to accommodate most, if not all, of the elements the Committee identified as high priority program elements. In addition, Option II provides:

- Reduced historical preservation due to changes in auditorium size and detail;
- Reduced seating capacity;
- Improved stage/proscenium proportions;
- Best sightlines;
- Best acoustics;
- Greater improvements to venue amenities;
- Limited improvement to back-of-house support; and
- Maximizes additional programmable space.

Option III: Use Flexible Seating to Try to Achieve the Best of Options I and II

Option III maximizes total seating capacity by providing a main performance venue of approximately 3,250 seats with improved acoustics and sightlines. Under this scenario, the main venue can be expanded to include an additional 750 seats located beyond the main performance venue for a total seating capacity of 4,000. This option offers:

- Improved sightlines in the main venue, but not in the expansion seats;
- Mid-sized performance venue (3,250 seats);
- Additional seating capacity (750 seats) that doubles as program space;
- Movable partitions that are likely to degrade the acoustics;
- Increased amount of additional program space; and
- Additional cost from creating the flexible space (perhaps as much as \$5-10 million in additional cost).

Committee members agreed that wherever possible, preservation of Northrop's historic elements should be a priority. All three options preserve the historic and majestic aspects of Memorial Hall. Preservation of the historic elements of the auditorium varies somewhat from option to option. The tradeoffs among these three options are summarized in the following table, and conceptual drawings of the three options are provided in Appendix H.

Comparison of Options

	Current	Option I Maximize number of Seats in Main Venue	Option II Maximize Quality of Main Venue/Amount of Program Space	Option III Achieves both Option I & II via Flexible Seating
Seats in the Main Performance Venue	4,800	4,000	3,200	3,250 + 750 flexible seats
Other Program Space	21,150sf *	23,200sf	38,200sf	29,500sf + three 250 seat venues
Acoustically Superior Venue	N/A	2	1	2
Improved Sightlines		2	1	1: main venue 2: flexible seats
Historic Preservation of the Auditorium Itself		2	2	2
Improved Public Entry		1	1	1
Improved Restrooms		1	1	1
Improved Concessions/Food Service/Catering Kitchen		2	1	1
Enhanced Pre/Post Reception Spaces		2	1	2
Student Lounge Space		2	1	2
Meeting/Classroom/Seminar Program Space		2	1	1
Broadcasting/Distance Learning		2	1	1
Home for the Honors Program		2	1	2
Parking/Valet/Service Enhancements		1	1	1
ADA Compliance		1	1	1
Updated Mechanical Systems		1	1	1
Ballpark cost			1	1
Biggest Positives	Large assembly space laden with academic tradition, and communal history	Size of main venue and historic preservation of the "old Northrop"	Quality of main venue and additional programmable apace	Large venue when needed, but use of "flex" space for other purposes when not needed for auditorium
Biggest Negatives	ADA and life safety deficiencies; minimal program space; poor venue support; poor sightlines/acoustics; out-dated theatrical and building infrastructure	Little additional programmable space; poor sightlines for 1,000 seats; poor acoustics for 1,000 seats	Only 3,200 seats; negative consequences for large events: Clinton; Convocation; CLA, IT, CSOM, & Grad School Graduations	Poorer acoustics; poor sightlines for 750 seats; more complex project; higher cost; higher maintenance of movable partition

1 = best option: can be provided if a priority

2 = 2nd best option: can partially be provided or fully provided at the cost of other elements; priority decisions required

* Approximately 3,000sf of the current 21,150sf of programmable space would need to be utilized for venue support (toilets, concessions, ticket offices, etc.) yielding approximately 18,150sf of programmable space if the existing building is renovated in its current configuration.

Of the three options, Option III is the least attractive. Although Option III maximizes both the potential size of the main performance venue (through flexible seating) and maximizes other program space, the sight lines in the expanded seating area would not be an improvement over the current facility and the acoustics within both the main venue and the expansion venues would likely be compromised by the movable partition. Option III would also likely be the most expensive of the three alternatives. Option I is also less desirable because, although it provides the largest number of seats in the convening space, it would not improve sightlines or acoustics for patrons, and it would limit the amount of available program space in the facility.

The chief drawback of Option II is that it may reduce the available seating to the point that two key functions of Northrop - a place to mark important ceremonies in the life of the University and its students, and a large gathering venue for public lectures and addresses - are compromised. The 3,200 seats in the main venue would accommodate only about 55% of the freshman class, jeopardizing its use for freshmen convocation. CLA, IT, Carlson and Graduate School commencements would need to limit the number of tickets to about three to four per graduate; CSOM would need to limit tickets to four per graduate or the number of ceremonies would need to be increased. Large events (e.g., the Clinton or Powell lectures) would accommodate fewer members of the University and Minnesota communities. **The primary decision to be made is whether larger events such as convocation and commencement ceremonies for the larger colleges should remain in Northrop while being televised and/or web-cast in nearby facilities, or be moved to another venue (e.g. Mariucci, Williams Arena, or TCF Bank Stadium).**

A 3,500-seat option was considered, however a more detailed review of this option was not completed. This 3,500-seat option would provide an additional 300 seats in the main performance venue and permit the larger collegiate units to continue to hold commencement ceremonies in Northrop (see Appendix I for a summary of current collegiate commencement requirements and Appendix J for a plan to convert Mariucci Arena to a commencement venue for larger graduation and/or special events). In this option, approximately 500 seats are beyond the optimal sight and acoustics range of 125 feet, and this option reduces the amount of programmable space by about 1,080sf (the equivalent of three additional rows of seats at the rear of the main venue). The current study assumed conservative seat and row spacing to ensure that seat counts projected can be realized using optimal chair and row widths. Once a specific scheme is determined and seat configurations established, in-depth seating layouts can be conducted to optimize seat counts. If seat widths are reduced by 1" (from 24" to 23"), approximately 2 additional seats per row can be gained. A typical scheme has approximately 50 rows on the main floor and in the balcony, so an additional 100 seats could be realized in the options presented.

The impact of the smaller performance venue (3,200 seats as opposed to 4,000 seats) on external rental income is minimal.

Anticipated Cost of the Renovations

Preliminary cost estimates to renovate Northrop, based on conceptual estimates, are likely to be \$60 million to \$80 million in addition to the \$21 million stabilization effort that is currently under way. The cost to repair and/or renovate the Northrop organ is not included in this estimate. Inclusion of a flexible/reconfigurable seating option (Option III) would increase the complexity and the cost of the renovation project by perhaps an additional \$5 million to \$10 million. As a comparison, Hill Auditorium, a similar venue at the University of Michigan, was renovated in 2002-03 with a Phase I cost of \$ 38.6 million. Phase II is estimated to cost an additional \$9-10 million, based on 2006 dollars. Hill Auditorium, built in 1913, was originally a 4,169-seat venue, and the renovated facility seats 3,529. The Phase I renovation included complete exterior restoration; new mechanical, electrical and HVAC systems; new auditorium, stage lighting and loading dock; new seating and restrooms; and life safety improvements. Phase I did not include the addition of new/renovated program space; or any stage and backstage and acoustical upgrades.

VI. Strategies to Realize the Vision

The vision calls for the future Northrop to have broader purposes than the large auditorium that is used for occasional academic gatherings, concerts, and performances. Every space in the facility should serve multiple functions and the building should be gainfully used every day in support of the University's teaching, research and outreach mission, and fully integrated into the academic life of the University.

In general, consultation with the Twin Cities Deans, the Regents Professors, and members of the National Academies revealed considerable support for the vision for Northrop. Many of the Deans expressed concern regarding the cost of renovation and how Northrop will be better positioned to support academic needs. The Deans and faculty groups supported the continued use of Northrop as a place of University tradition and ceremony, including convocation and graduation. Both groups noted that Northrop should offer flexible, accessible space that is used on a daily basis, and it should serve as a focal point for the University's community outreach efforts.

The Twin Cities' performance groups appreciated the Advisory Committee's engagement of the Twin Cities' arts community. In general, the groups supported the new vision for Northrop and agreed that realigning Northrop as an academic and outreach center made a great deal of sense.

Partnership Strategies and Opportunities

A number of groups, including the St. Paul Chamber Orchestra and the Minnesota Opera, stated support for the vision of Northrop although they were not interested in becoming anchor tenants in Northrop. The St. Paul Chamber Orchestra and the Minnesota Opera

offered to lend their expertise as the University moves forward in its planning and design efforts. Most groups believed improving sightlines, acoustics and seating would generate greater interest and usage of Northrop.

Conversations with TPT revealed the potential for a mutually beneficial partnership in a renovated Northrop that would include a television production facility in Northrop. A potential partnership could:

- Advance the U's strategic positioning goal to become one of the top three research institutions in the world by increasing the visibility of the University's faculty and programs in the state, nation, and world.
- Strengthen the vision of Northrop as a forum for discussion and debate about the most innovative ideas and challenging issues of our time. Collaborations with TPT could enhance the opportunities to engage the greatest minds in the world, and engage with leading public figures, in discussion and debate about the most pressing issues facing our communities and the world.
- Enable the University to enhance its outreach, extension, and lifelong learning missions through televised and web presence for programming developed in collaboration with TPT.
- Provide an opportunity to offer new programming, such as a "Live from Northrop" series.
- Provide opportunities for partnerships with academic programs to serve students interested in broadcast journalism, programming, and production, and provide internship opportunities for students.

The Advisory Committee believes that a TPT/UofM partnership merits additional discussion and exploration. Conversations about the potential scope, financial implications, academic opportunities, and TPT technical and production requirements of a partnership should continue.

Financial Strategies

Northrop needs a broader base of revenue to sustain and support its programming and its operations. The added programmable space enables the cost of Northrop to be spread across more units; it places less of the burden for maintaining the facility on revenue generated by the auditorium itself; fewer costs are common goods that need to be covered by the academic units.

It is very expensive for the University to produce its own artistic and cultural events. We suggest that new models be examined in which the University works in partnership with other organizations (e.g. the Walker Art Center, the Hennepin Theater District, the Ordway, the Shubert Theater, and other producers) to co-produce events rather than the University shouldering the entire financial burden of this activity (which requires a subsidy of approximately \$556,000 a year). The Historic Theatre Group encouraged the University

to consider using Twin Cities marketing and booking expertise as Northrop develops its future programming.

Market Assessment of the Vision

The Advisory Committee enlisted the services of B-Squared Consulting to conduct a market assessment to test the future vision of Northrop. Specifically, B-Squared is assessing the following:

- Is there a Twin Cities audience for the programs and events contained in the Northrop vision?
- Is there corporate interest in sponsoring/cosponsoring these types of events in Northrop?
- Is there corporate interest in using/renting Northrop for these types of events?
- Are there other potential partners who would cosponsor events in Northrop?
- What are the perceived and/or real barriers that prevent groups or individuals from using and/or attending events in Northrop?
- The U produces/has a lot of content (programs, events, lectures, etc.). What content can/will sell in the TC market?
- Who else is doing this type of programming and what is their experience and what is working/selling for them?

B-Squared consultants are currently conducting a market assessment of the Twin Cities audience appetite for the type of programming that supports the Committee's vision of Northrop. B-Squared is also conducting a survey of other universities/entities doing similar programming on their campuses or in their communities. Initial discussions with the consultants revealed that:

- The type of programming imagined by the future vision for Northrop is an "untapped" market in the Twin Cities area;
- There is no market for an additional 2,500 - 3,000 seat performance venue in the Twin Cities; and
- There is no significant market distinction between a 3,000 and 4,000-seat venue.

Additional information and findings will be available in early November 2007.

In January 2006 the University of Minnesota Alumni Association conducted a University-wide survey to identify opportunities for cultivating alumni as volunteers, donors and advocates for the University. Survey respondents indicated that the number one reason they would return to campus would be to attend a lecture (53%), followed by attending an athletics event (42%), and then an arts event (42%). These findings further support the Committee's recommended future vision and direction for Northrop.

VII. Decisions that Need to be Made and Future Direction

The Northrop Advisory Committee's work focused on the long-term vision for the future of Northrop. There are a number of decisions that need to be made in order for the University to determine the next steps for achieving the vision for future of Northrop. The primary decision items include:

Vision and Future Direction

1. Should the University adopt the Advisory Committee's vision for Northrop?
2. Should Northrop be reconfigured in a manner that enables it to continue to be used for freshman convocation, commencement, and large public lectures, or should these large academic events be moved to another venue (e.g. Mariucci or Williams, or the stadium)?
3. Which option for the reconfiguration of Northrop should be pursued? How should the option be refined?
4. What is the marketing strategy for Northrop? How should we "roll out" the vision and create a new understanding of Northrop that will enable the vision to be realized?

Operational and Programmatic Considerations

1. Who should take responsibility for Northrop? For the programming? For the shepherding of the facility into the future?
2. What are the priorities for the available program space?
3. What is the strategy for moving forward on the production of artistic and cultural events?
4. Should the University of Minnesota enter into a partnership agreement with TPT? If so, what is the nature of the partnership?

Financial Considerations

1. What is the financial strategy and timing for securing the funds needed to renovate Northrop? What can be raised privately or from corporate partners and who will take responsibility for doing so? How much can the University request from the State of Minnesota? Is this a priority for the 2008 capital request? What is the legislative and public relations strategy?
2. What new resources are needed to realize the academic programming imagined for Northrop? How will these resources be secured?

3. What are the projected revenues and costs of the reconfigured Northrop? How will the costs be allocated? What proportion of the costs will be treated as common goods and what proportion will be built into the rates that users are charged?

It is clear that the Advisory Committee's vision for Northrop significantly changes the direction and priorities of Northrop. The new vision for Northrop advances academic programs and priorities; showcases the University's world-class faculty, students, and research; and promotes campus and community engagement in learning and discovery. The vision places academics at the heart of Northrop and aligns Northrop with the academic mission, strategic direction, and needs of the University.

Appendix A**Twin Cities Area Venues**

Venue	Location	Capacity
Northrop Auditorium	University of Minnesota	4,800
Orpheum Theater	Minneapolis, MN	2,579
Orchestra Hall	Minneapolis, MN	2,450
State Theater	Minneapolis, MN	2,166
Ordway Theater	St. Paul, MN	1,850
Pantages	Minneapolis, MN	1,000
Ted Mann	University of Minnesota	1,250
O'Shaughnessy	College of St. Catherine	1,739
Target Center	Minneapolis, MN	19,500
Xcel Center	St. Paul, MN	19,355

Appendix B

Northrop Auditorium Organ – History and Significance

Erin Hanafin Berg, Hess, Roise and Company
September 6, 2006

The Northrop Auditorium organ was installed in several phases beginning in 1932. Like the rest of the auditorium construction, the organ was dependent on funding availability, and it took four years for the organ to be completed. The organ, which has 108 ranks (nearly 7,000 pipes), is the largest in the Twin Cities and is one of the largest in the state.

The organ was built by the Aeolian-Skinner Company, a famed organ builder from Massachusetts that was active during the first half of the twentieth century. According to University organist and School of Music Professor Dr. Dean Billmeyer, head of the organ department in the University of Minnesota School of Music, Aeolian-Skinner organs were considered the Rolls Royces of organs in the 1920s and 1930s. The Northrop organ is particularly unique because it is one of few large organs by the company that has not been rebuilt or altered.¹

The condition and significance of the organ was assessed by a consultant, Jonathan Ambrosino, in 1998. Ambrosino concluded that the Northrop Aeolian-Skinner organ is worthy of the highest standard of preservation and restoration. While he estimated restoration costs at the time to be around \$1.5 million, he claimed not to exaggerate when he stated that this organ is irreplaceable, at any price. Ambrosino said that the cost of purchasing a comparable organ would be close to twice as much, but that the present organ would be able to last hundreds of years if properly restored and maintained.²

In the fall of 1999, the Northrop Auditorium organ was recognized by the Organ Historical Society (OHS) and given a Historic Organ Citation. The Northrop organ is one of about 325 organs in North America to have received this designation, and one of only six in the state. According to the OHS website, "the Historic Organs Citations Program endeavors to recognize pipe organs which have been deemed to be of historical value as worthy of preservation. Organs may be cited for various reasons of historical merit, for example, as valuable in view of its impact on American organ-building, as a unique or outstanding example of organ-building, or in light of its rarity or geographical scarcity."³

A comparable local organ, the 122-rank Kimball instrument installed in the Minneapolis Municipal Auditorium in 1928, was removed when the Convention Center was remodeled. The organ was intended to be reinstalled, but it remains in storage at the convention center.⁴

An organization called Friends of the Northrop Organ was established in 1994 to raise money to restore and preserve the organ. The Northrop Organ Restoration Fund has a 2006 balance of \$559,410.

¹ Judith Raunig-Graham, "Restoring Northrop Organ is Young Musician's Mission," *Report*, October 1983, photocopy available in the Northrop Auditorium building file, University Archives, Elmer L. Andersen Library, University of Minnesota.

² Dean W. Billmeyer, "Summary, Ambrosino Report, Northrop Auditorium Organ," July 13, 1999.

³ "Historic Organs Citation Program," <http://www.organsociety.org/>

⁴ "Mailbag: 1928 Minneapolis Auditorium Kimball Organ," *Pipedreams*, December 2, 2005, <http://pipedreams.publicradio.org/mailbag/2005/12/051202.html>.

**Northrop
Space Use Summary
Fall 2006**

Appendix C

<u>Current Use</u>	<u>Function</u>	<u>SF Prorate (*)</u>
Building Services	Custodial, Mechanical, Toilets, Storage, Public Space & 13,314sf of Plenum Space	78,711
Concerts & Lectures	Auditorium, Auditorium Service Areas, Administrative Offices	53,060
Facilities Operations	Facilities Management Shop	350
Design Institute	Offices	2,077
Marching Band/School of Music	Offices, Service Areas, Open Labs	7,382
U Art Museum	Service Area	198
Sr. VP Academic Affairs	Staff Office	205
Grand Total		141,983 sf

(*) Square footage includes both assignable (ASF) and non-assignable (NSF - public area) space

Appendix D**A Sampling of Northrop Events**

The Northrop Dance Season has included performances by:

- Mikhail Baryshnikov
- Rudolf Nureyev
- The Bolshoi Ballet
- The Merce Cunningham Dance Company
- The Bill T. Jones Dance Company
- The American Ballet Theatre

The Northrop Jazz Season has featured such acclaimed artists as:

- Sonny Rollins
- Herbie Hancock
- Wynton Marsalis
- The Buena Vista Social Club

Outside promoters have collaborated with Northrop to bring an illustrious array of performers to the Northrop stage including:

- Bette Midler
- James Taylor
- Robin Williams
- Nora Jones
- Garrison Kellior

Carlson Lectures and other public lectures have featured distinguished visitors such as:

- John Gardner
- Coretta Scott King
- Eduard Shevardnadze
- Toni Morrison
- Elie Wiesel
- Tom Brokaw
- Desmond Tutu
- Sandra Day O'Connor
- Bill Clinton

Northrop also hosts a number of **community events** including:

- Dance competitions
- Corporate meetings
- Local high school graduations.

Northrop Forensic Study

Background:

A University icon, Cyrus Northrop Memorial Auditorium was conceived as the focal point of Cass Gilbert's campus master plan for the University of Minnesota, and it has become one of the most recognized buildings in the State. Unfortunately, age, heavy use and deferred maintenance have all taken their toll on the facility. In June 2005, the University commissioned a comprehensive facility condition assessment, including forensic testing, to identify in detail, the necessary improvements and accompanying costs to renovate and upgrade the facility. The team was charged to identify and quantify the basic remedial work necessary to allow Northrop to continue to operate while the University determines the future of the facility.

Major Findings:

- No aspect of Northrop is without issue.
- Northrop is below current standards for life safety.
- Substantial work in all areas of the building is required to arrest deterioration, ensure a safe environment for patrons and performers, and to meet the most basic expectations of comfort.
- No work beyond that which is identified as "urgent" should be pursued until a program for Northrop's future use has been fully defined.

Urgent Issues:

- Life safety: emergency back up power, lighting, and egress; compliant exit door hardware; safety railings and aisle lighting merit immediate attention.
- Asset preservation: extensive tuck-pointing and roof repairs are required.

Essential Issues:

- Code and life safety: compliant smoke evacuation system; fireproofing all structural steel; and sprinkler and fire alarm upgrades are needed.
- Building: exterior windows need to be replaced and seating, stage and orchestra accessibility; lighting; patron amenities (restrooms, concessions and ticketing); and adequate load-in facilities are lacking.
- Systems: every mechanical, electrical and plumbing system is well beyond its useful life including the entire HVAC system; electrical distribution, power and lighting; domestic water piping and fixtures; and all sanitary waste piping.
- Venue: house size/venue capacity; proscenium and stage relationship; seating sightlines; acoustics; and front and back of the house issues significantly hinder rental capabilities and performances.

FY07 Capital Budget Project:

Urgent Issues: Life Safety.....	\$ 2.45 million
Urgent Issues: Asset Preservation.....	<u>\$18.30 million</u>
Total	\$20.75 million

Appendix F**Northrop Auditorium Studies & Assessments**

<u>Date</u>	<u>Study</u>	<u>Purpose</u>
1993	HGA Architects	Repair & Renovate Northrop for Future Use
1994	HGA Architects	Building Needs Assessment
1994	HGA Architects	Chiller Requirements for Cluster #3
1995	Hardy Holtzman Pfeiffer Architects	Reuse of Facility
1996	CSL Leisure	Market/Niche Assessment
1999	Bakke Kipp Ballou & McFarlin	Plaza Condition & Structural
2000	Witcher	Waterproofing & Restoration of Northrop Plaza
2002	Hardy Holtzman Pfeiffer Architects	Northrop Mall study
2002	Miller Dunwiddie	Market Assessment
2002	ICES	Facility Condition Assessment
2003	Miller Dunwiddie	Review of 2002 HHP Study
2004	CSL Leisure	Marketplace Assessment
2005	RSP Architects	Forensic Study of Building

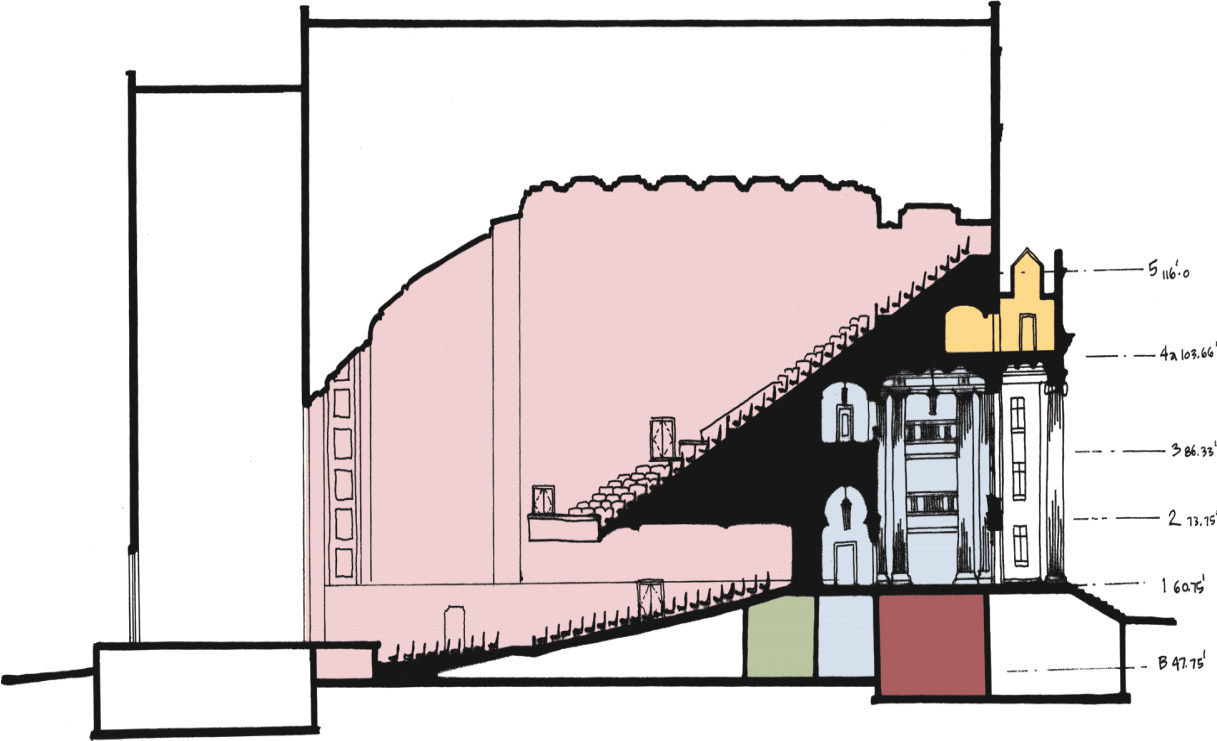
Appendix G**Northrop Advisory Committee
Consultation****University Consultation**

President Robert Bruininks
 Board of Regents Facilities Committee
 Provost Tom Sullivan
 Senior Vice Presidents
 Twin Cities Deans
 Regents Professors & National Academies of the Arts & Sciences
 Capital Oversight Group (COG)
 Senate Consultative Committee
 Senate Capital Investment Committee
 U of M Foundation - Fred Friswold
 University Relations - Linda Thrane & Donna Peterson

Non-University Consultation

Bush Foundation - Anita Pampush
 Historic Theatre Group - Lee Lynch & Fred Krohn
 Minnesota Opera - Kevin Smith
 Minnesota Orchestra - Tony Woodcock
 Ordway - Kevin McCollough
 St. Paul Chamber Orchestra - Bruce Coppock
 Community Planning & Economic Development (CPED) - Chuck Lutz
 Greater Minneapolis Convention & Visitors Association (GMCVA)- Greg Ortale
 Minnesota Historical Society - Nina Archibald
 Minnesota Public Radio (MPR) - Bill Kling
 Target Corporation - Michael Francis
 Twin Cities Public Television (TPT) - Jim Pagliarini
 Sage & John Cowles
 Hugh Hardy

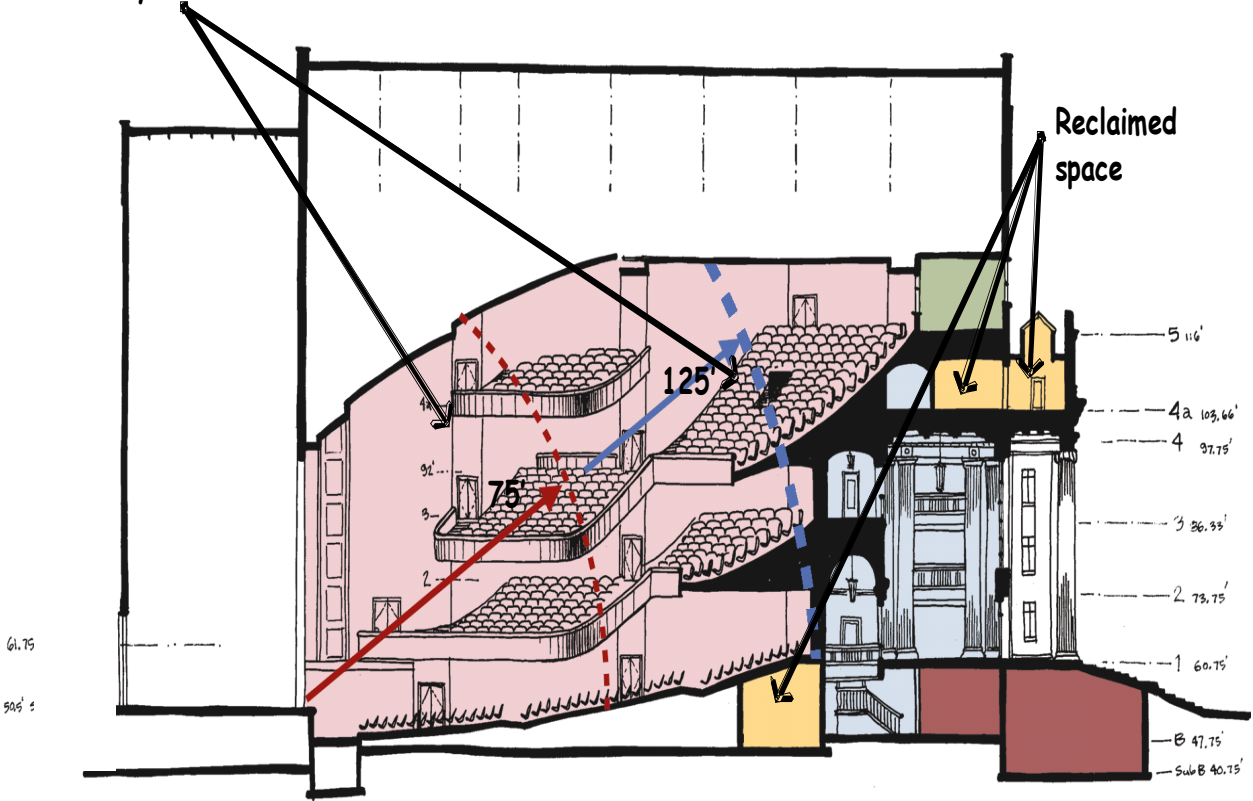
Appendix H



Existing: Large single balcony with a *pproximately 4,800 seats.*
Reduction of approximately 800 seats required for life safety and ADA requirements.

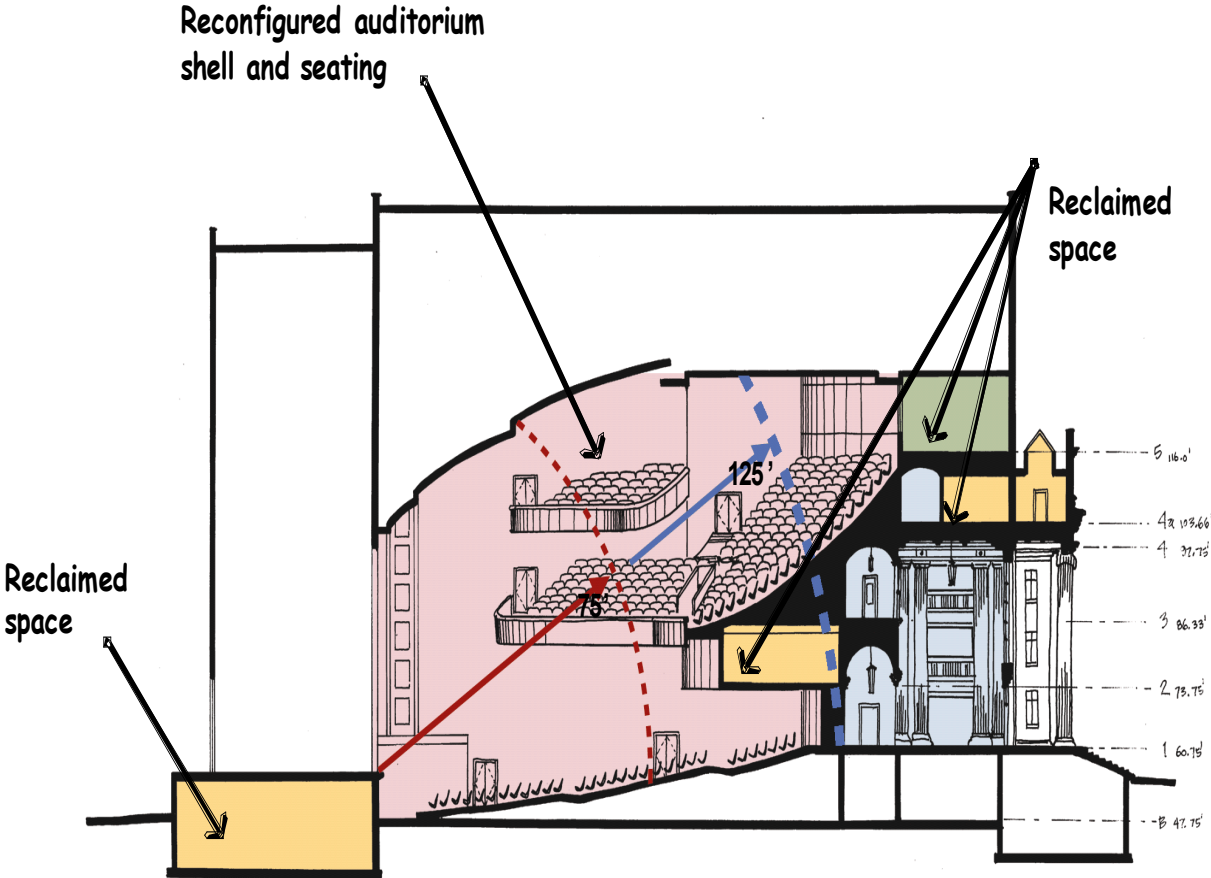
North - South Section (looking East)

Reconfigured auditorium shell and seating with shorter second balcony



Option I: *Reconfigures the existing house and seating with a shorter second balcony to accommodate additional programmable space. Approximately 4,000 seats are provided.*

North - South Section (looking East)



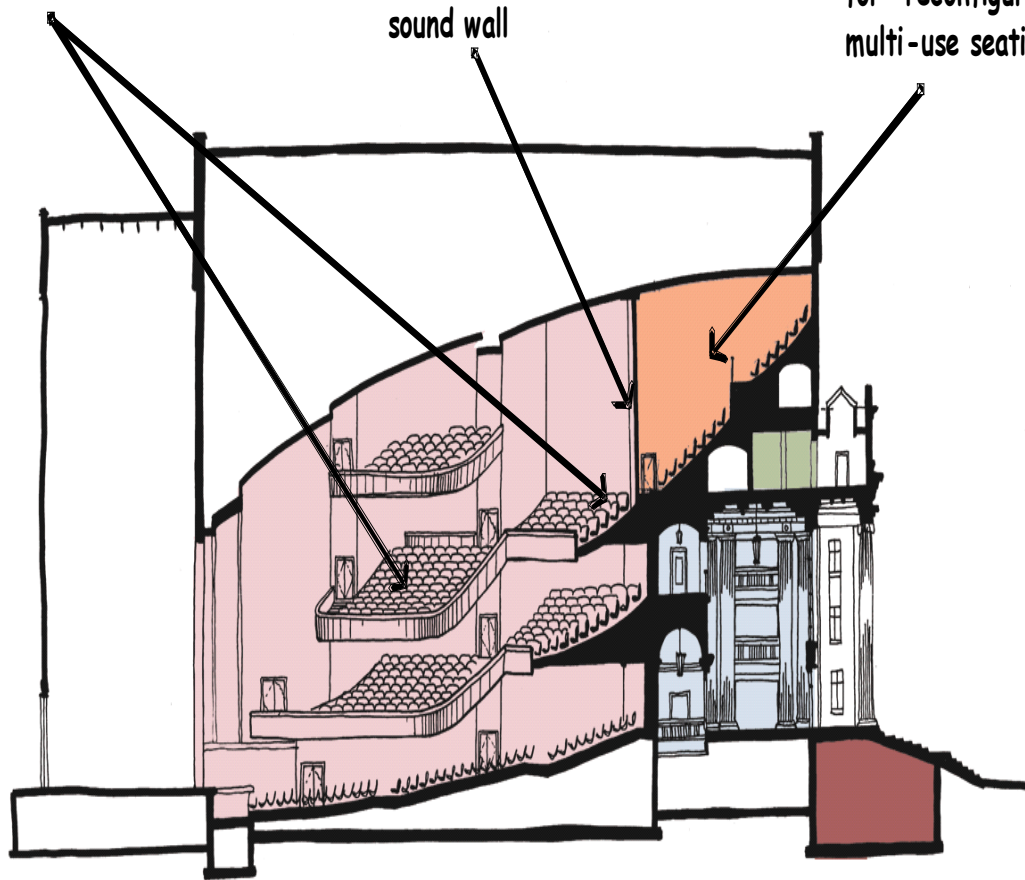
Option II: Substantially modifies (reduces) the existing house and seating to maximize the quality of acoustics and sightlines and maximize programmable space. Approximately 3,200 seats are provided.

North - South Section (looking East)

Reconfigured auditorium shell
and seating with second balcony

Movable
sound wall

Second balcony
extended to back wall for "reconfigurable"
multi-use seating



Option III: Extends the second balcony to the back wall of the building to add "reconfigurable" seating. Approximately 4,000 seats are provided, of which +/- 750 are "reconfigurable" for multi-use.

North - South Section (looking East)

4

Appendix I

Use of Northrop Auditorium for Commencement Ceremonies Spring 2006

College	Graduates Attending	Total Attendance
Biological Sciences	N/A	2,000
CALA	219	3,000
CLA - Spring 1	717	4,500
Spring 2	722	4,500
Fall 2005	601	4,000
CSOM	N/A	4,500
Continuing Education	N/A	1,500
COAFES	N/A	1,500
CEHD	N/A	4,000
Dentistry	N/A	1,000
Graduate School - Spring	681	4,500
Fall 2005	269	3,000
Human Ecology	213	2,000
IT	562	4,000
Law School	250	3,000
Medical School	226	2,500
School of Nursing	N/A	1,200
Pharmacy	118	1,200
Vet Med	88	1,500

Other Commencement Ceremonies

High School	Total Attendance
Andover	3,000
Centennial Lakes	4,500
Champlain Park	4,500
Eden Prairie	4,500
Edina	4,500
Richfield	4,000
MCTC	3,000
UMTC Convocation	4,000

Note: Data are most recent available.
 Total attendance is estimated by Northrop staff.
 IT, CLA, the Graduate School and CSOM report "filling the house to capacity".

Appendix J

**Mariucci Arena
Conversion to Graduation/Ceremonial Venue**

Consideration has been given to a partial renovation of Mariucci Arena in order to facilitate quicker conversion to a configuration that would allow the facility to be used for graduation or ceremonial activities.

To accomplish reconfiguration, a removable dasher board system must be installed. The removable dasher boards are required for the following reasons:

- If the ice sheet area is to be used for seating, adequate points of access to the main floor area, both ingress and egress, must be created. The removable board system allows for removal at existing stairwells within the arena in order to provide this required access.
- The existing glass/dasher board system is considered a permanent installation. Removal of glass and boards requires 2 to 3 days each to remove and reinstall.

The estimated cost for this renovation is as follows:

- | | |
|---|-----------|
| • New removable dasher board system; | \$175,000 |
| • Storage room for dasher boards: | \$250,000 |
| • Cost to remove/reinstall dasher boards per event: | \$ 1,270* |

Seating capacity using various stage scenarios includes:

- | | |
|--|-------|
| • Stage with floor and arena sections 1 – 9 and 17 – 24: | 7,994 |
| • Stage with arena sections 10 – 16: | 3,076 |
| • Stage with arena sections 9 – 17: | 3,734 |

No additional studies have been undertaken. The egress requirement drives the need for removable boards. To satisfy Fire-Life Safety Codes, the ability to move onto and off of the ice sheet (floor) area can only be accomplished by making each stairwell (22 total) in the arena area accessible from the mezzanine to the floor.

* Forklift rental: \$490; 2 full-time staff @ 6 hours: \$240; 10 part-time staff @ 6 hours: \$540