



Board of Regents

September 2014

September 12, 2014

8:00 a.m. - 11:00 a.m.

Boardroom, McNamara Alumni Center

BOR - SEP 2014

1. Recognition of Regents Professor
 - Docket Item Summary - Page 4
2. Introductions
 - Docket Item Summary - Page 7
3. Approval of Minutes - Action
 - Draft July Minutes - Page 8
4. Report of the President
 - Docket Item Summary - Page 18
5. Report of the Chair
 - Docket Item Summary - Page 19
6. Receive & File Reports
 - Docket Item Summary - Page 20
 - Annual Report on Legal Matters - Page 21
 - Annual Asset Management Report - Page 44
 - Quarterly Report of Grant and Contract Activity - Page 76
7. Consent Report - Review/Action
 - Docket Item Summary - Page 82
 - Gift Report - Page 84
8. Strategic Plan for the Twin Cities Campus - Review
 - Docket Item Summary - Page 102
 - Draft Strategic Plan - Summary - Page 105
 - Draft Strategic Plan - Full Document - Page 109
 - Presentation Slides - Page 194
9. President's Recommended FY2016-17 Biennial Budget Request - Review
 - Docket Item Summary - Page 204
 - Resolution - Page 206
 - Presentation Slides - Page 207
10. President's Recommended Six-Year Capital Plan - Review
 - Docket Item Summary - Page 228
 - Resolution - Page 229
 - Narrative - Page 230
 - Project Funding Report - Page 234
 - Project Description Report - Page 243
 - Presentation Slides - Page 256

11. President's Recommended 2015 State Capital Budget Request -
Review

Docket Item Summary - Page 276

Resolution - Page 277

Narrative - Page 278

12. Report of the Committees

Docket Item Summary - Page 279



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: Recognition of Regents Professor

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: President Eric W. Kaler

Purpose & Key Points

To recognize recently appointed Regents Professor Ann Masten. Masten's appointment as Regents Professor was approved by the Board of Regents on June 13, 2014.

Masten, a Distinguished McKnight University Professor and Irving B. Harris Professor of Child Psychology in the Institute of Child Development, is an expert on child development, children's resilience and interventions promoting children's adaptation in the face of risk, adversity and trauma. Since the late 1980s, she has conducted a series of studies focused on displaced children and youth, particularly looking at homeless and highly mobile children in Minnesota.

Masten has served as president of the Society for Research in Child Development and president of the developmental division of the American Psychological Association. She is a member of the Board on Children, Youth and Families of the National Academies and the U.S. National Committee for the International Union for Psychological Science. Masten recently received the Urie Bronfenbrenner Award for Lifetime Contributions to Developmental Psychology in the Service of Science and Society from the American Psychological Association. She is also the recipient of several teaching awards, including the University of Minnesota Horace T. Morse Alumni Award for Outstanding Contributions to Undergraduate Education. Masten received a B.A. from Smith College and a Ph.D. in clinical psychology from the University of Minnesota.

Background Information

Established in 1965 by the Board of Regents to recognize the national and international prominence of faculty members, the Regents Professorship is the highest honor the University of Minnesota bestows on its faculty. It recognizes faculty who have made unique contributions to the quality of the University of Minnesota through exceptional accomplishments in teaching, research and scholarship or creative work, and contributions to the public good. There are currently 30 Regents Professors.

Current Regents Professors

Frank S. Bates

- Chemical Engineering and Materials Science, College of Science and Engineering, 2007

Bruce R. Blazar

- Pediatrics, Hematology-Oncology, Medical School, 2009

Thomas Clayton

- English, College of Liberal Arts, 1999

Apostolos P. Georgopoulos

- Neuroscience, Medical School, 2005

Allen Goldman

- Physics and Astronomy, College of Science and Engineering, 2008

Richard J. Goldstein

- Mechanical Engineering, College of Science and Engineering, 1990

Megan R. Gunnar

- Institute of Child Development, College of Education and Human Development, 2006

Ashley T. Haase

- Microbiology, Medical School, 1999

Patricia Hampl

- English, College of Liberal Arts, 1997

Robert P. Hebbel

- Medicine, Medical School, 2004

William G. Iacono

- Psychology, College of Liberal Arts, 2010

Allen F. Isaacman

- History, College of Liberal Arts, 2001

Thomas C. Johnson

- Geological Sciences, University of Minnesota Duluth, 2009

Richard Leppert

- Cultural Studies and Comparative Literature, College of Liberal Arts, 2007

Timothy P. Lodge

- Chemistry and Chemical Engineering and Materials Science, College of Science and Engineering, 2013

Horace H. Loh

- Pharmacology, Medical School, 2010

Ann Masten

- Institute of Child Development, College of Education and Human Development, 2014

Elaine Tyler May

- American Studies, College of Liberal Arts, 2007

Matt McGue

- Psychology, College of Liberal Arts, 2007

Stephen Polasky

- Applied Economics, College of Food, Agricultural and Natural Resource Sciences and Ecology, Evolution, and Behavior, College of Biological Sciences, 2013

Lawrence Que, Jr.

- Chemistry, College of Science and Engineering, 2009

Peter B. Reich

- Forest Resources, College of Food, Agricultural and Natural Resource Sciences, 2007

Steven Ruggles

- History, College of Liberal Arts, 2008

Lanny D. Schmidt

- Chemical Engineering and Materials Science, College of Science and Engineering, 2002

Karen R. Seashore

- Organizational Leadership, Policy, and Development, College of Education and Human Development, 2010

Madelon M. Sprengnether

- English, College of Liberal Arts, 2008

John L. Sullivan

- Political Science, College of Liberal Arts, 1999

David G. Tilman

- Ecology, Evolution, and Behavior, College of Biological Sciences, 2002

Donald G. Truhlar

- Chemistry, College of Science and Engineering, 2006

David Weissbrodt

- Law School, 2005



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: Introductions

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: President Eric W. Kaler

Purpose & Key Points

Dean, College of Liberal Arts

To introduce the Dean of the College of Liberal Arts. John Coleman's appointment as Dean was approved by the Board of Regents on February 14, 2014 and he began his appointment on July 31, 2014.

Dr. Coleman comes to Minnesota from the University of Wisconsin – Madison, where he has served as the chair of the Political Science Department since 2007, a department he has been part of for more than 20 years. He was also chair of the College of Letters and Science (L&S) curriculum committee and the L&S representative to the campus's education innovation initiative, which provides leadership and coordination for the campus's efforts to integrate new instructional methods, techniques and non-traditional degree programs into the curriculum. Prior to his time at UW– Madison, Coleman held positions at the University of Texas at Austin and the Harvard Graduate School of Business Administration.

A Massachusetts native, Dr. Coleman earned his BA, summa cum laude, in Government and History from Clark University and his Ph.D. in Political Science from the Massachusetts Institute of Technology (MIT). His research on political parties, elections, legislative-executive relations, divided government, campaign finance and American political development has appeared in the discipline's leading journals.

Incoming Chair, Faculty Consultative Committee

To introduce the 2014-15 Chair of the Faculty Consultative Committee (FCC).

Rebecca Ropers-Huilman, Professor in the Department of Organizational Leadership, Policy, and Development in the College of Education and Human Development, will serve as FCC chair for 2014-15.

DRAFT

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

MINUTES

BOARD OF REGENTS MEETINGS

AND

COMMITTEE MEETINGS

July 9, 2014

Office of the Board of Regents

600 McNamara Alumni Center

UNIVERSITY OF MINNESOTA
BOARD OF REGENTS

Minutes of the Board of Regents Meetings
and Committee Meetings

July 9, 2014

	PAGE
I. Board of Regents Meeting - July 9, 2014	
A. Introductions -----	1
1. Dean, College of Food, Agricultural and Natural Resource Sciences	
2. Academic Professionals & Administrators Consultative Committee Chair	
3. Civil Service Consultative Committee Chair	
B. Approval of Minutes -----	1
C. Report of the President -----	2
D. Report of the Chair -----	2
E. Receive and File Reports -----	2
1. Board of Regents Policy Report	
2. Report of the Civil Service Consultative Committee	
F. Approval of Consent Report -----	3
1. Report of the Naming Committee	
2. Faculty & Staff Affairs Committee Consent Report	
3. Finance Committee Consent Report	
4. Gifts	
G. Approval of Resolution Related to New Approaches to Neighborhood Engagement -----	4
H. Review Amendments to Board of Regents Policy: <i>Attorneys and Related Services</i> -----	5
I. Review Amendments to Board of Regents Policy: <i>Gifts Received and Given by Regents and University Officials</i> -----	6
J. Review Amendments to Board of Regents Policy: <i>Legal Claims and Settlements</i> -----	6
K. University of Minnesota Alumni Association Annual Report -----	6
L. Annual Intercollegiate Athletics Report -----	6
M. Update & Discussion on the Evolving National Landscape of Intercollegiate Athletics ----	7
N. Report of the Academic & Student Affairs Committee	
1. No meeting this month -----	8
O. Report of the Audit Committee	
1. No meeting this month -----	8
P. Report of the Facilities & Operations Committee	
1. No meeting this month -----	8
Q. Report of the Faculty & Student Affairs Committee	
1. No meeting this month -----	8
R. Report of the Finance Committee	
1. No meeting this month -----	8
S. Report of the Special Committee on Academic Medicine	
1. No meeting this month -----	8
T. Report of the Litigation Review Committee	
1. No meeting this month -----	8
U. New Business	
1. Approval of Real Estate Transaction -----	8
A. Purchase of 650 - 25 th Avenue SE & 501 29 th Avenue SE, Minneapolis (Twin Cities Campus)	

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Board of Regents
July 9, 2014**

A meeting of the Board of Regents of the University of Minnesota was held on Wednesday, July 9, 2014 at 9:00 a.m. in the Boardroom, 600 McNamara Alumni Center.

Regents present: Richard Beeson, presiding; Clyde Allen, Laura Brod, Linda Cohen, Thomas Devine, John Frobenius, Dean Johnson, David Larson, Peggy Lucas, David McMillan, Abdul Omari, and Patricia Simmons.

Staff present: President Eric Kaler; Chancellors Stephen Lehmkuhle and Fred Wood; Senior Vice President and Provost Karen Hanson; Vice Presidents Kathryn Brown, Richard Pfitzenreuter, Scott Studham, and Pamela Wheelock; General Counsel William Donohue; Executive Director Brian Steeves; and Associate Vice Presidents Gail Klatt and Michael Volna.

INTRODUCTIONS

Dean, College of Food, Agricultural and Natural Resources Sciences

President Kaler introduced Brian Buhr, newly appointed dean of the College of Food, Agricultural and Natural Resources Sciences. Buhr assumed his duties June 16, 2014.

**Incoming Chair of the Academic Professionals and
Administrators Consultative Committee**

President Kaler introduced Katherine Cramer, chief of staff in the Institute for Mathematics and its Applications, College of Science and Engineering, as the 2014-15 chair of the Academic Professionals and Administrators Consultative Committee.

Incoming Chair of the Civil Service Consultative Committee

President Kaler introduced Bill O'Neill, associate district director in Facilities Management, as the 2014-15 chair of the Civil Service Consultative Committee.

APPROVAL OF MINUTES

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

- Audit Committee - June 12, 2014
- Litigation Review Committee - June 12, 2014
- Facilities & Operations Committee - June 12, 2014
- Faculty & Staff Affairs Committee - June 12, 2014
- Academic & Student Affairs Committee - June 12, 2014

Finance Committee - June 12, 2014
Board of Regents - June 13, 2014
Presidential Performance Review Committee - May 9, 2014
Presidential Performance Review Committee - May 27, 2014
Presidential Performance Review Committee - June 11, 2014

REPORT OF THE PRESIDENT

President Kaler discussed recent reports from the Brookings Institution and the U.S. Department of Labor related to student financial aid and debt, particularly the percentage of students who graduate with debt of \$100,000 or more and those who graduate with no debt. He indicated that at the University in 2013, only eight graduates out of 7,420 graduated with debt in excess of \$100,000, while 6.6 percent graduated with \$50,000 or more in debt. He stressed this is an important topic for ongoing discussion as he continues to work toward access and affordability.

Kaler provided an update on several faculty and staff awards and achievements system-wide. He reported that the administration has achieved a \$36 million reduction in administrative costs and is well ahead of schedule toward the goal of \$90 million in reductions.

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

REPORT OF THE CHAIR

Chair Beeson began his report with a brief overview of President Kaler's accomplishments since joining the University of Minnesota in 2011, highlighting the undergraduate tuition freeze, research investments, strengthened legislative partnerships, fundraising, and his focus on operational excellence and cost reductions. He proposed the following:

- An extension of the president's current contract for five years from June 30, 2015 to June 30, 2020;
- For 2014-15, a 2.5 percent increase in his current \$610,000 base salary to \$625,250, consistent with the faculty and staff merit-based pay plan at the University;
- For 2014-2020, the addition of new annual supplemental retirement contributions starting at \$50,000 and increasing through 2020. The amount would increase by \$25,000 each year except in the last year of the contract, when it increases by \$100,000. These supplemental retirement contributions will vest each year as he successfully completes the year. The increased supplemental retirement contributions are intended to make Kaler's total compensation more competitive with other schools in the Big Ten and to serve as an incentive for him to stay at the University.

A motion was made and seconded, and the Board of Regents voted unanimously to approve to contract amendments for President Eric Kaler.

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

RECEIVE AND FILE REPORTS

Chair Beeson noted the receipt and filing of the Board of Regents Policy Report and the Report of the Civil Services Consultative Committee.

CONSENT REPORT

Chair Beeson presented for action the Consent Report as described in the docket materials, including:

- Naming Committee recommendation forwarded in a letter from President Kaler dated July 2, 2014;
- Faculty & Staff Affairs Committee Consent Report:
 - Appointment of Joshua Hamilton as Dean, Swenson College of Science and Engineering, University of Minnesota Duluth

- Finance Committee Consent Report:

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

- To AT&T, a reseller of Aastra Clearspan for an estimated \$1,485,000 for a voicemail and auto attendant solution for the Twin Cities and Rochester campuses for the period July 15, 2014 through July 14, 2019, for the Office of Information Technology.
- To Dell Marketing, a Microsoft Education Large Account Reseller, for an estimated \$3,004,000 to provide licensing for commonly used Microsoft products for all University of Minnesota faculty and staff for the period August 1, 2014 through July 31, 2017 for the Office of Information Technology.
- To HigherOne for an estimated \$1,700,000 for CampusLabs, an assessment and student organization management solution for the Twin Cities, Duluth, Morris, and Crookston campuses for the period July 15, 2014 through July 14, 2019. The Office of the Senior Vice President and Provost will joint-fund this purchase for the Twin Cities campus, with each system campus funding their applicable share.
- To InterCall, for an estimated \$1,741,000 for an annual subscription to Cisco's Webex Enterprise Edition web conferencing solution for all faculty and staff for the period August 1, 2014 through July 31, 2019 for the Office of Information Technology.
- To Ortega y Gasset Foundation (Spain); University Paul-Valery (Montpellier, France); CAPA (Sydney and London); VENUSE and EntreAmericas Learn and Travel (Venezuela); Jose Suarez and Delores Lopez (MSID-Ecuador); Fundacion Ortega y Gasset, argentina (Buenos Aires, Argentina); Muhamud Jama (MSID-Kenya); Ousmane Sene (MISD Senegal); CIEE, Accent, and others for an estimated \$15,800,000 to provide services to support overseas study abroad programs for FY 2014-15 for the Learning Abroad Center.
- To Quest Diagnostics for an estimated \$1,650,000 to provide referred testing services for the University of Minnesota Boynton Health Service Laboratory for the period September 1, 2014 through August 31, 2016 with contract extensions through July 31, 2020. These services will be paid for by individual patient's insurance plans and by some student service fees.

Purchase of Underwriting/Investment Banking Services:

To approve the recommendation of Dougherty & Company LLC as an additional co-manager for the issuance and sale of bonds to fund the construction of the Ambulatory Care Center. The additional co-manager will provide a supplementary sales force for the pricing and distribution of Minnesota tax-exempt bonds to Minnesota investors.

- Summary of Gifts through May 31, 2014.

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

**NEW APPROACHES TO NEIGHBORHOOD ENGAGEMENT -
OVERVIEW & RESOLUTION**

Chair Beeson invited Vice Presidents Pfutzenreuter and Wheelock to discuss and present a resolution that, if approved, will expand the University's external engagement efforts in the communities around the Minneapolis area of the Twin Cities campus.

Wheelock reported that, historically, the University has chosen to focus its planning and development activity primarily within campus boundaries. Students, faculty, and staff who live near campus, and visitors to the campus, need and expect safe, livable neighborhoods. Wheelock noted the University has two primary assets: its people and its places. The campus is in the heart of a vibrant metropolitan area surrounded by opportunities and partnerships for research and discovery. She discussed the importance of strengthening connections to the adjacent communities, and of developing strategies that advance key interests of both the University and the surrounding community. These key interests include public safety, transportation, building code enforcement, housing, and other types of economic development activity.

Pfutzenreuter highlighted desired outcomes and next steps, which include research on best practices at similar institutions, engaging in broader discussions with community partners, reviewing the relevance of current Master Plan principles, establishing outcome-based metrics, and identifying short-term and long-term strategies and supporting resource needs.

A motion was made and seconded to approve the Resolution Related to New Approaches to Neighborhood Engagement.

In response to a question from Regent Brod, Pfutzenreuter indicated the administration looks for partnership opportunities with private entities that could advance mission-related activities.

The Board of Regents voted unanimously to approve the Resolution Related to New Approaches to Neighborhood Engagement, as follows:

WHEREAS, the quality and brand of the University of Minnesota's Twin Cities campus are inextricably linked with that of the community around it; and

WHEREAS, the University has a vital interest in ensuring the well-being of University students living in the neighborhoods around campus; and

WHEREAS, to attract and retain students, faculty and staff it is important that the community around campus is vibrant, welcoming, safe and attractive for all who live, visit or work there; and

WHEREAS, the University can make a meaningful difference in advancing shared goals and objectives related to the neighborhoods surrounding the Minneapolis portion of the Twin Cities campus by collaborating and engaging directly with local units of government, community members, other institutions, businesses, private sector investors and developers; and

WHEREAS, the University benefits from private investment in the neighborhoods surrounding campus in uses such as residential, retail and office space, that support and complement the University activity and recognizes that private investment in such uses enables the University to focus its limited institutional resources on mission-related and unique University needs; and

WHEREAS, the University and the neighborhoods surrounding the campus collectively benefit from a mix of residents and housing stock, vibrant business and economic activity, and commercial enterprises necessary to create a stronger, safer, and more livable campus and communities; and

WHEREAS, the complex and rapidly changing concerns, issues and needs of the neighborhoods surrounding campus require strong and lasting external partnerships and an institutional commitment to play a prominent, long-term and active role; and

WHEREAS, the University will benefit by articulating shared goals and strategies and clarifying roles and responsibilities to achieve a vibrant, welcoming, safe and attractive environment to ensure its Twin Cities/Minneapolis campus is attractive and competitive and fulfills its teaching, research and public engagement mission;

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents supports University of Minnesota strategies and actions to increase external engagement and cooperation with the City of Minneapolis, Hennepin County, and other public and private partners to achieve a vibrant, welcoming, safe and attractive environment in and around the Twin Cities/Minneapolis campus. Furthermore, the Board supports strategies that advance key interests of both the University and the surrounding community, including public safety, transportation, building code enforcement, housing, public-private partnerships, and creating community amenities that will enrich the livability of the neighborhoods around the Minneapolis portion of the Twin Cities campus.

BOARD OF REGENTS POLICY: ATTORNEYS AND RELATED SERVICES

Chair Beeson invited General Counsel Donohue to present proposed amendments to Board of Regents Policy: *Attorneys and Related Services* as outlined in the docket materials.

Donohue reviewed the principal elements of the policy, noting the delegation of authority to the general counsel to hire outside legal counsel. He pointed out that most hiring of outside counsel is for specialized expertise not available in the Office of the General Counsel. The policy amendment is a minor language change related to hiring outside counsel without competitive bidding.

Board of Regents Policy: *Attorneys and Related Services* will return for action at a future Board of Regents meeting.

**BOARD OF REGENTS POLICY:
GIFTS RECEIVED AND GIVEN BY REGENTS AND UNIVERSITY OFFICIALS**

General Counsel Donohue presented proposed amendments to Board of Regents Policy: *Gifts Received and Given by Regents and University Officials*. He noted the proposed addition of assistant vice provosts to the definition of “University Official,” which will make this policy consistent with Board of Regents Policy: *Institutional Conflict of Interest*.

Board of Regents Policy: *Gifts Received and Given by Regents and University Officials* will return for action at a future Board of Regents meeting.

BOARD OF REGENTS POLICY: LEGAL CLAIMS AND SETTLEMENTS

General Counsel Donohue presented proposed amendments to Board of Regents Policy: *Legal Claims and Settlements* as outlined in the docket materials.

Donohue indicated that the proposed amendment increases the limit for settlements that must be presented to the Board of Regents Litigation Review Committee for approval from \$250,000 to \$500,000, an amount more consistent with Board of Regents commercial policies.

Board of Regents Policy: *Legal Claims and Settlements* will return for action at a future Board of Regents meeting.

UNIVERSITY OF MINNESOTA ALUMNI ASSOCIATION ANNUAL REPORT

Chair Beeson invited Lisa Lewis, President and CEO; Jim du Bois, 2015 National Board Chair; and Susan Adams Loyd, 2014 National Board Chair, University of Minnesota Alumni Association (UMAA), to provide an update on the status of alumni relations at the University of Minnesota Twin Cities campus, as detailed in the docket materials. Lewis discussed a number of principles and goals to enhance alumni relations and increase alumni engagement toward a stronger University.

A copy of the University of Minnesota Alumni Association Annual Report is on file in the Board Office.

ANNUAL INTERCOLLEGIATE ATHLETICS REPORT

President Kaler noted that Board of Regents Policy: *Intercollege Athletics – Twin Cities Campus* directs the administration to submit a report annually to the Board on matters related to student-athlete academic progress, athletic accomplishment, department budget, and facilities. He invited Norwood Teague, Director of Intercollege Athletics, to present the annual intercollegiate athletics report as detailed in the docket.

Teague reported that student athlete academic progress continues to improve, ranking fourth among all football bowl series institutions with the highest percentage of teams earning academic progress rate awards. Teague highlighted a number of significant athletic accomplishments, noting that the University of Minnesota finished the 2013-14 academic year 21st nationally in the Learfield Director’s Cup standings, which measures the success of a school’s entire athletic program.

Teague provided a brief update on the department budget, noting ticket sales revenues were higher than projected. Teague presented ticket revenue rankings of this institution compared to its peers.

Teague discussed the vision for intercollegiate athletics, providing background on 25 programs and more than 750 student-athletes. He offered a brief facilities overview, including an update on the athletics training complex campaign. Teague indicated that the University is lagging behind its peers in the area of nutrition, training, and academic resources to provide the support and experience student-athletes deserve and that Big Ten programs require to maintain academic program competitiveness.

In response to questions from Regent Larson, Teague indicated that the Gopher Connect program has been instrumental in placing student-athletes at a number of companies and corporations around the Twin Cities area. He added Intercollegiate Athletics works to cultivate relationships in the business community that could lead to student placement at select companies around the Twin Cities.

In response to questions from Regents Devine and Johnson, Teague indicated that fundraising for the proposed training complex is underway and results so far have been encouraging. He agreed this is a long-term effort, possibly six to eight years.

UPDATE & DISCUSSION ON THE EVOLVING NATIONAL LANDSCAPE OF INTERCOLLEGIATE ATHLETICS

Chair Beeson invited General Counsel Donohue and Norwood Teague, Director of Intercollegiate Athletics, to provide a review and analysis of the current landscape of Division I college athletics as presented in the docket materials. President Kaler introduced the topic by reporting the current model of college athletics is under challenge and changes are likely forthcoming. Over the past several years, there has been considerable discussion throughout higher education, the National Collegiate Athletic Association (NCAA), and the media about the future of the amateur student-athlete model, especially at the Division I level. Various reforms have been suggested, several lawsuits have been filed, and stakeholders across the country have been engaged in a dialog about the future of college athletics.

Teague reported on five major issues in intercollegiate athletics:

1. NCAA reform and Big 5 autonomy.
2. Student-athlete welfare.
3. Unionization.
4. Lawsuits.
5. Concussions.

Teague provided background on the NCAA, composed of more than 1,200 colleges and universities in a three-division structure, with the University of Minnesota designated a Division I Football Bowl Subdivision, the highest classification. Teague summarized the NCAA governance structure and changes taking place within the Division I Board of Directors. He also discussed proposals related to granting the largest athletic conferences greater autonomy.

Donohue summarized several significant lawsuits underway nationally on student-athlete unionization efforts; use of student-athlete name, image, and likeness, and privacy related to broadcasting of images on television; and a number of concussion lawsuits. Donohue reported that sports medicine personnel are extremely diligent about concussions and that the final decision to return to play after an injury is made by the sports physician and not the student. He added there have been no concussion-related lawsuits filed against the University.

Teague offered his thoughts that the NCAA/Big 5 reforms will be decided soon and will likely include several student-athlete welfare proposals that will improve and enhance treatment of student-athletes, who will continue to complete, learn, graduate, and lead productive lives.

REPORT OF THE COMMITTEES

Chair Beeson reported that the Academic and Student Affairs, Audit, Faculty and Staff Affairs, Facilities and Operations, Finance, Litigation Review, and Special Committee on Academic Medicine committees did not meet this month.

NEW BUSINESS

Chair Beeson invited Vice President Wheelock and Susan Carlson Weinberg, Director of Real Estate, to present a proposed land acquisition.

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

On the recommendation of the President and the Vice President for University Services, the appropriate administrative officers are authorized to execute the appropriate documents providing for the following real estate transaction:

- Purchase of 650 - 25th Avenue SE and 501 - 29th Avenue SE, Minneapolis, Twin Cities Campus. The subject properties are both fenced vacant parcels.
- Basis for request: The properties will be purchased for future development of the Minneapolis campus, with surface parking as an interim use.
- Details of transaction: The owner of the property at 650 - 25th Avenue SE is DEV-1, LLC, a Delaware limited liability company. The owner of the property at 501 - 29th Avenue SE is JJN-L, a Delaware limited liability company. Both owners are subsidiaries of Alexandria Real Estate Equities, Inc., a REIT headquartered in Pasadena, California. The purchase price for both properties will be \$7.9 million. Closing would occur on or before July 15, 2014.

The Board of Regents voted unanimously to approve the purchase of 650 - 25th Avenue SE and 502 - 29th Avenue SE, Minneapolis.

The meeting adjourned at 2:49 p.m.



BRIAN R. STEEVES
Executive Director
and Corporate Secretary



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: Report of the President

Review Review + Action Action Discussion

This is a report required by Board policy.

Presenters: President Eric W. Kaler

Purpose & Key Points

It is customary for the President to report on topical items of interest to the University community at each Board of Regents meeting.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: Report of the Chair

Review Review + Action Action Discussion

This is a report required by Board policy.

Presenters: Regent Richard Beeson

Purpose & Key Points

It is customary for the Board of Regents Chair to report on topical items of interest to the University community at each Board of Regents meeting.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: Receive & File Reports

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: Regent Richard Beeson

Purpose & Key Points

The following items are included for receipt and filing:

- A. Annual Report on Legal Matters
- B. Annual Asset Management Report
- C. Quarterly Report of Grant and Contract Activity



Office of the General Counsel
ANNUAL REPORT 2014

UNIVERSITY OF MINNESOTA
Driven to Discover™

On the cover: Weber Music Hall, University of Minnesota, Duluth campus

MISSION STATEMENT OF THE OFFICE OF THE GENERAL COUNSEL

- To safeguard the constitutional authority of the Board of Regents and those who act in its behalf to govern the University effectively.
- To represent the University in adversarial forums zealously and in accordance with the highest standards of integrity and ethics.
- To protect the University's legal interests in all transactions, thereby protecting the investment of the citizens of Minnesota in the University.
- To provide preventive legal services and counsel to University officials so that all the institution's activities comply with the law and with University policies.
- To protect the principles of due process in the University's treatment of faculty, staff, students and other members of the University community.

TABLE OF CONTENTS

I.	Introduction	1
II.	Litigation Activity	3
A.	Court Cases	3
B.	Labor Arbitrations, Administrative Hearings, and Administrative Agency Charges	5
C.	Internal University Proceedings and Investigations	5
D.	Settlements	6
III.	Transactional Activity	6
A.	Real Estate	7
B.	Research and Intellectual Property	8
C.	Corporate and Commercial	9
D.	Financial and Tax	10
E.	International Research, Teaching and Educational Exchange	10
IV.	Legal Advice and Preventive Law Activity	10
V.	Athletic Compliance Office	12
VI.	Records and Information Management Office	12
VII.	Use of Outside Counsel	13
VIII.	Biographical Notes	14

INTRODUCTION

In my first year as General Counsel, the Office of the General Counsel (OGC) continued its tradition of high quality legal representation in transactions, litigation, and advising. In order to assess our clients' satisfaction with our services, I asked the Office of Measurement Services (OMS) to survey our clients and to interview senior leaders. In addition, Human Resources conducted an Employee Engagement Survey, which included OGC. As discussed in more detail below, our clients are very satisfied with our services, OGC employees are engaged and productive, and the results of our legal work have been successful.

Let me first address some transitions in the office. Senior Associate General Counsel Jennifer Frisch was appointed to the Ramsey County District Court bench by Governor Mark Dayton in December 2013. This is a well-deserved honor for Jennifer, who served the University extraordinarily well for many years as a litigator and will now serve the people of Ramsey County as a judge.

There was also a change in leadership in the office. In June 2014 Mark Bohnhorst stepped down as Director of Transactional Law Services. Mark continues his work as the primary counsel for Sponsored Projects Administration and continues to apply his great expertise to the University. I have appointed Greg Brown as the new Director. Greg has been in OGC for 20 years and is a well-known and well-regarded intellectual property attorney. For the past few years, he devoted most of his time to transactional matters involving the Office of Technology and Commercialization (OTC). He will manage a group of legal professionals who work in one of the most dynamic areas of legal practice at the University.

We recruited a new litigator, Tim Pramas. Tim comes to us after a substantial career as an employment litigator with major law firms in the Twin Cities and with a large corporate employer. Tim was appointed by the Minnesota Supreme Court to its Civil Justice Reform Task Force and its Advisory Committee on the Rules of Civil Appellate Procedure. He is an honors graduate of Macalester College and an honors graduate of the University of Minnesota Law School where he was a member of the Minnesota Law Review. He has already won his first case for the University.



In the late fall of 2013, OGC engaged OMS to conduct a client satisfaction survey. OMS surveyed 513 clients and interviewed 13 key clients from the senior leadership group at the University. Of those, 345 of our clients responded to the survey, a 69% response rate, which OMS told me is extraordinarily high.

The results of the satisfaction survey were exceptionally positive, with over 96% percent of respondents agreeing that:

- They are comfortable communicating sensitive information to OGC staff, knowing it will be treated appropriately;
- OGC staff act in the best interest of the University of Minnesota;
- OGC staff provide services ethically and with integrity; and
- OGC staff conduct themselves in a professional manner.

OGC staff get high marks in the area of competence and expertise, accessibility and responsiveness, courtesy, integrity, credibility, and the ability to communicate in a way that is easy to understand. Similarly, the summaries of the interviews of senior administrators showed a very high degree of satisfaction and confidence in the office. The respondents did make helpful suggestions, and we have implemented them in response to the survey.

The other assessment of OGC was the employee engagement survey, conducted by the Office of Human Resources. These results showed that OGC scored well on the two crucial dimensions of commitment and dedication (88% favorable) and effective environment (74% favorable) and at levels that were well ahead of other units at the University (commitment and dedication +15 and effective environment +11). Moreover, the results indicate that OGC staff are committed to excellence and have confidence in OGC's leaders, and that they believe our workplace is collaborative. My colleagues have very positive views of the office, which contributes to a very productive environment.

In 2013-14, OGC continued to provide representation and advice in all areas of the University's immense and varied legal needs. As set forth in detail in this report, the year was marked by signature successes in the transactional areas. Transactional lawyers, who often labor in anonymity, had a spectacular year. Their most promi-

ment accomplishment was the work surrounding the creation of the Ambulatory Care Center, a new building on the Twin Cities campus for the University's clinics and medical enterprise. The transactional lawyers negotiated and worked on a three-party lease, a working arrangement among the parties, and debt guarantees for this \$175 million transaction. All of this work was done inside OGC and was led by the Academic Health Counsel Keith Dunder, Senior Associate General Counsel Dan Piper, and Senior Associate General Counsel Rosalie O'Brien. Similarly, OGC lawyers negotiated agreements for a public-private development project involving the purchase and operation of a Days Inn hotel on the Twin Cities campus. This was a challenging and creative new venture for the University and reflects well on the transactional lawyers.

OGC litigation and labor and employment lawyers represented the University well in contested matters, settling those cases when it was appropriate, and provided advice and representation on employment contracts and employment disputes. Among the highlights this year were the extension and renegotiation of the Gophers' head football coach contract as well as the writing of a contract for the Gophers' new women's head basketball

coach. The litigators who represent the University in a very broad range of legal claims continue to enjoy tremendous success. While we had a disappointing trial result in one employment case this year, OGC won dismissal of a commercial case in which disappointed investors sought over \$800,000 from the University.

The Athletic Compliance Office (ACO) had another good year in dealing with the compliance needs of 25 teams and over 750 student-athletes on the Twin Cities campus. ACO conducted 75 educational sessions with over 2,000 individuals attending. ACO diligently investigated and reported rules violations to the NCAA and Big Ten and submitted appropriate requests for NCAA and Big Ten rule waivers or variances.

Finally, OGC is home to the Records and Information Management Office. Susan McKinney coordinates the work in that office. Susan has developed and maintains a University-wide strategic records management plan. She advises and trains on privacy and records laws. Susan also responds to requests for access to public records under the Minnesota Government Data Practices Act, handling over 400 requests in the past year alone.

We look forward to serving you again this coming year.



William Donohue
General Counsel

LITIGATION ACTIVITY

As in past years, the University continued to have a high level of success in contested matters in federal and state courts, in arbitrations and grievances, and before administrative agencies. In matters OGC closed this year that were not settled, the University won 32 and lost 2. Over the past five years, in contested cases that were not settled, the University won 162, lost 14, and achieved mixed results in 6, for an 89% success rate.

Also noteworthy is the size of the financial recoveries that OGC has obtained for the University. While most of our litigation involves defending against claims brought against the University, OGC also brings claims on behalf of the University to protect its rights and interests. Since 1997 OGC has obtained litigation recoveries for the University totaling well over \$580 million, mostly derived from recoveries on patents, with other sums coming from federal tax recoveries and recoveries on securities, contracts, trusts and estates, environmental claims and royalties.

As always, the University was represented in litigation primarily by OGC litigators and paralegals, rather than outside counsel. OGC handled cases across a wide spectrum, including labor and employment matters, personal injury, statutory and constitutional issues, student discrimination claims, and complex commercial dis-

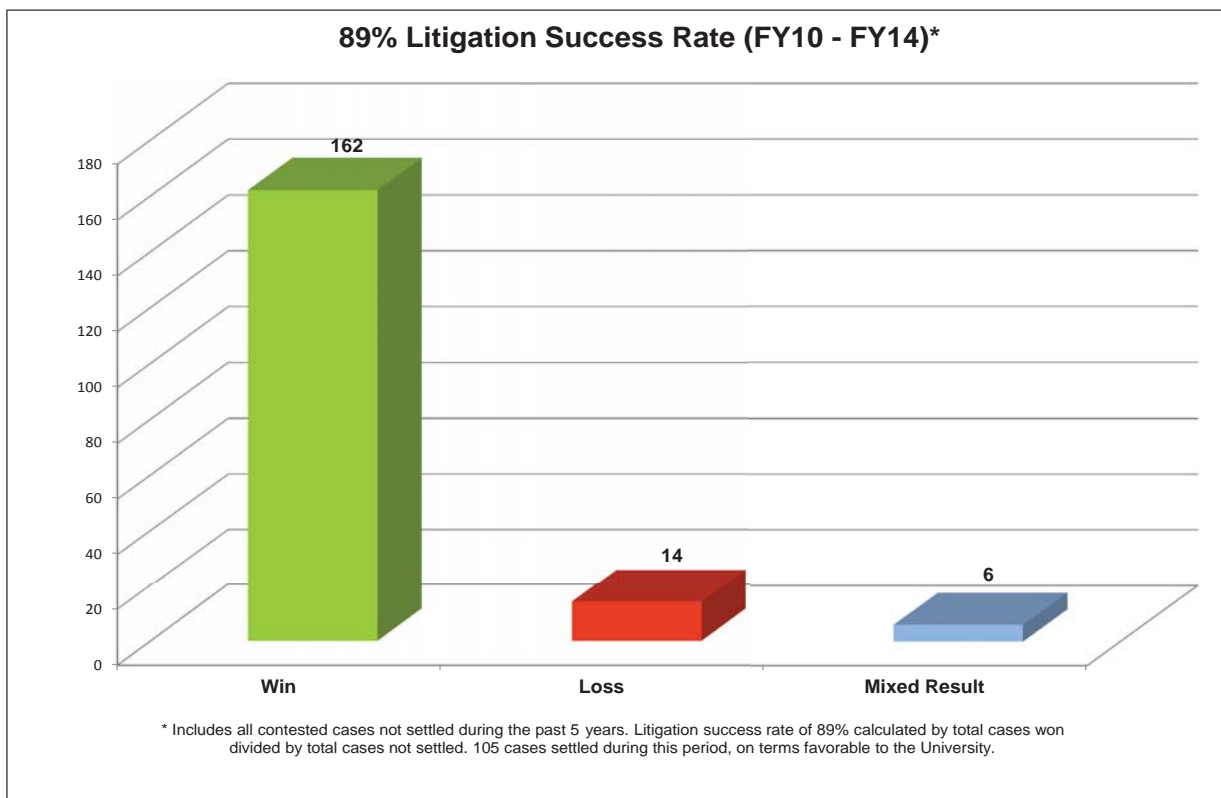
putes. Our legal team is one of the few university legal offices in the country with the capacity and skill to handle substantial litigation matters in-house, resulting in cost-effective and high-quality litigation services with very favorable results.

COURT CASES

Given its size, extraordinary diversity of activities, and large employment base, the University is perennially subject to claims and litigation, despite continued efforts by OGC and our clients to promote best practices, mitigate risk, and prevent disputes. This year was not different. OGC represented the University in a variety of cases in federal and state district courts. Our practice included strong motion practice, a two-week court trial, and a number of appeals—all successful—before the Minnesota Court of Appeals.

The court cases that were handled in-house by OGC lawyers included the following:

DEFENDING THE UNIVERSITY'S TECHNOLOGY START-UP ACTIVITIES IN THE FACE OF COMMERCIAL CLAIMS. OGC successfully defended the University and a University employee in a complex commercial action brought by disappointed investors in a now liquidated biotechnology startup company. VitalMedix was formed to develop and commercialize a drug and therapy developed at the University to treat hemorrhagic shock.



The University had granted the company an exclusive license of its patent rights in exchange for company shares of stock. For many reasons, the company struggled and ultimately became insolvent. The University then terminated the license. Disappointed company investors filed a thirteen-count complaint in state court suing the company, its directors and the University for fraud and misrepresentation. OGC immediately moved to dismiss the suit. The district court dismissed the entire complaint for failure to state a claim, and the investors appealed. The Minnesota Court of Appeals affirmed the dismissal.

DEFENDING THE PROHIBITION OF GUNS AT VIKINGS' GAMES IN TCF BANK STADIUM. The Vikings' temporary use of TCF Bank Stadium starting in 2014 has unfortunately generated litigation for the University. OGC is defending the prohibition of weapons from the stadium in a case brought by two police officer organizations against the University, the NFL, and the Vikings in Hennepin County District Court. The police organizations seek an order requiring that off-duty police officers be allowed to carry weapons to Vikings games, which they assert is their right under the Minnesota Citizens Protection Act of 2003. While the case is primarily directed at a recently changed NFL and Vikings policy, it also implicates the Board of Regents Regents Policy: *Possession and Carrying of Weapons*. The court has issued a ruling rejecting the Vikings' argument but has not yet addressed the University's issues.



OGC is defending a ban on weapons in a case involving Vikings' games played at TCF Bank Stadium.

DEFENDING THE UNIVERSITY AND ITS FACULTY AND ADMINISTRATORS AGAINST EMPLOYMENT CLAIMS. Employment claims are a constant for a large employer like the University. This year, as always, where claims warranted and were susceptible to a reasonable settlement, OGC worked to bring them to a resolution that avoided the expense, disruption, and uncertainty of trial. Sometimes, however,

cases require litigation, which OGC is always prepared to handle.

In one case, a former civil service scientist has brought numerous claims in both state and federal district court against her former supervisor—a faculty member and cancer researcher—as well as other administrators. The former employee's claims in federal court focus on claimed ownership of work generated during her time in the faculty member's lab. In Hennepin County District Court, she asserts multiple employment-related claims. The cases present complex federal and state law issues involving the University as a public employer. OGC is seeking dismissal of all claims in both actions.

In a disappointing decision in another case, the Hennepin County District Court ruled against the University in a sexual orientation discrimination lawsuit. The suit was brought by the former Associate Head Coach of Women's Golf, who claimed she was forced to quit her job when the Director of Golf refused to allow her to perform key job duties because of her sexual orientation. Following a two-week court trial, the district court ruled for the plaintiff, basing its decision largely on credibility determinations finding it did not credit the testimony of some University witnesses. The Court awarded the plaintiff more than \$350,000 in damages, plus attorney's fees.

DEFENDING THE UNIVERSITY AGAINST PERSONAL INJURY CLAIMS.

At an institution this size, accidents happen and personal injury claims are bound to arise. This year OGC represented the University in a number of personal injury cases in state district courts, including claims brought by a pedestrian struck by a University vehicle, a spectator injured at a sporting event at the Duluth campus, a conference attendee injured by a falling coatrack at TCF Bank Stadium, a visitor injured in a fall at the Arboretum, and a student injured by a classroom window that fell on his hands.

OGC also successfully represented the University's School of Dentistry in a dental malpractice claim in Hennepin County District Court arising from advice the plaintiff sought for problems with his dental implants. The University's motion to dismiss was granted, and the dismissal was affirmed by the Minnesota Court of Appeals.

REPRESENTING THE UNIVERSITY IN CASES BY STUDENTS. OGC is defending the Medical School in a discrimination lawsuit brought in Hennepin County District Court by a

former medical school student who was dismissed for multiple course failures. The former student alleges disability and national origin discrimination and seeks reinstatement and damages. The case is ongoing. In another matter, the University defended against a claim of sexual orientation discrimination by a student challenging limits on student health benefits for gender reassignment surgery. The University, which has been and remains a leader in expanding these health benefits for students, resolved the claim consistent with its existing plan to expand benefits.



OGC continues to achieve notable success representing the University in contested matters in federal and state courts.

LABOR ARBITRATIONS, ADMINISTRATIVE HEARINGS AND ADMINISTRATIVE AGENCY CHARGES

During the past year, OGC attorneys represented the University in 27 labor arbitrations. Three of the cases went to hearing, with one win, one loss, and one mixed result. An additional 6 cases were settled without a hearing, 4 were withdrawn by the union, and the others are pending. One arbitration decision was particularly important for upholding the University's right to assign work and determine qualifications and for making clear that factors in addition to seniority can be taken into consideration when assigning overtime.

OGC also represented the University with respect to 38 civil rights administrative agency charges. Fifteen resulted in favorable findings for the University, and 3 were settled. None resulted in adverse findings against the University. The remaining charges are pending before the agencies. This year saw an uptick in charges filed

by students before the federal Office for Civil Rights. These investigations are particularly time-consuming, as they tend to involve extensive demands for documents and substantial numbers of interviews. OGC manages and coordinates the response for the University.

INTERNAL UNIVERSITY PROCEEDINGS AND INVESTIGATIONS

OGC represents and provides counsel to University officials involved in internal University forums for investigating and adjudicating employee and student disputes. OGC's experience and expertise in the procedures governing these internal forums promotes timely and high-quality case presentation and decisionmaking, serving the interests of employees, students and the institution.

With respect to employee issues, OGC provided legal advice to the University President in carrying out the President's responsibilities as final decisionmaker in cases before the Senate Judicial Committee (SJC), and legal counsel to the Provost in carrying out the Provost's responsibilities as final decisionmaker in employee grievances in the Office for Conflict Resolution (OCR). OGC also provided legal representation and counsel to units responding to employee complaints in the SJC and the OCR. In addition, OGC advised officials and HR professionals in significant investigations of alleged employee wrongdoing, and provided extensive legal support in research misconduct proceedings, conducted pursuant to Regents policy and federal regulations, which are complex and often high-stakes disputed proceedings.

With respect to student issues, OGC provided representation and advice to student behavior committees and administrators on multiple campuses. Of particular importance this year was OGC's work in the area of sexual assault on campus and compliance with new federal standards under Title IX and the Clery Act. OGC also successfully defended a decision on the Morris campus to remove a student who had engaged in threatening behavior in a residence hall. This case was illustrative of the emphasis at colleges and universities around the country on issues of campus safety. OGC also provided counsel to scholastic standing committees and administrators involved in student academic complaints, and advice to the Provost and the Vice President for Academic Health Sciences with final decisionmaking authority in both student discipline and student complaint cases.

Final decisions by University administrators in the University's internal proceedings are subject to direct appeal.

late review by the Minnesota Court of Appeals. These cases can raise difficult procedural and substantive legal issues, and legal counsel by OGC helps assure that the decisions accord with the law and withstand judicial review.

SETTLEMENTS

OGC settled 25 legal claims this year involving payments by the University of \$2,000 or more. Seven of those claims involved payments provided by University insurance, and 18 involved payments by various University units. The total amount of all legal claims paid by the University was \$2,370,108 and individual settlements ranged from \$2,323 to \$950,000. Most settlements involved employment-related claims; the largest settlement was a medical malpractice claim.

OGC brought in \$80,000 in settlement money to the University to compensate for construction-related damages from the Central Corridor Light Rail Transit line. The new Green Line began operating across the Twin Cities campus in June 2014. OGC also negotiated a settlement of a patent infringement matter, which brought in to the University \$327,000 plus the promise of future royalties.

TRANSACTIONAL ACTIVITY

The University negotiates and enters into thousands of agreements each year. Board of Regents policy requires

OGC to inform administrators of significant or unique legal risks and to ensure that contracts comply with law and University policy. Most contracts are signed with no involvement by OGC staff. These agreements are negotiated by administrators, many of whom have been trained by OGC, and documented on forms prepared by OGC. OGC staff is more directly involved in the University's complex transactions that involve a great deal of money, risk or complexity or a combination of the three. OGC also works on less complicated transactions, striving always to provide prompt, knowledgeable and practical legal advice. This section highlights the most important and interesting transactional work and advice of OGC in 2013-14.

AMBULATORY CARE CENTER. Significant changes continue to be made at the Twin Cities Academic Health Center, with substantial involvement and support from OGC. A 330,000 square foot, \$160 million Ambulatory Care Center (ACC) is under construction at 909 Fulton Street on the East Bank of the Twin Cities campus. The ACC is a public-private partnership among the University, Fairview Health Services (Fairview), and University of Minnesota Physicians (UMP). The center will consolidate in one building many outpatient clinics now housed in the Phillips-Wangensteen Building, the Masonic Cancer Center and the outpatient surgery center. Health professionals from Fairview and UMP will provide high caliber patient care in the center. University health professions students will be educated and vital



OGC helped recoup costs of construction-related damages from the new Green Line.



OGC negotiated a three-party lease and a working arrangement among Fairview, UMP, and the University in support of the Ambulatory Care Center.

medical research will be conducted there. Importantly, the University retained control over academic programs and decisions at the center. The University issued bonds to build and finance the ACC and will lease the space to Fairview and to a joint venture formed by Fairview and UMP. The lease payments will pay the University's debt service on the bonds.

The ACC is a culmination of the initiatives conducted over the past few years to strengthen the AHC. This year, through a series of complex multi-party negotiations conducted over many months, OGC negotiated and drafted a Master Agreement setting forth the relationship of the parties in the use and operation of the ACC. Simultaneously, OGC negotiated and drafted two 30-year lease agreements for the space in the ACC, and agreements covering Fairview's and UMP's long-term use of a University-owned parking ramp and the construction and use of a surface lot. OGC also negotiated and drafted guaranties of the debt and acted as bond issuer's counsel. The center is scheduled to open in 2016.

PUBLIC-PRIVATE PARTNERSHIP WITH UNITED PROPERTIES. In December 2013, the University entered into a joint venture with United Properties Investment, LLC (UP) to acquire, operate and develop a commercial property at 2407-2425 University Avenue in Minneapolis, on the border of the Twin Cities campus, near the TCF Bank Stadium. The property, which the joint venture entity owns, includes

a 130 room, 54,424 square foot Days Inn Hotel, a 5,352 square foot Tea House Restaurant, and 170 surface parking spaces. The University invested \$1.96 million in the joint venture entity, acquiring a 49% membership interest. It also lent the entity \$8.75 million to fund the real estate purchase. The loan is secured by the land, buildings and fixtures. OGC drafted and negotiated the joint venture, investment and loan documents and worked closely with UP in negotiating and finalizing the terms of purchase and of a new franchise agreement with Days Inn Worldwide, Inc. This complex transaction, involving more than 65 closing documents, allows the University to participate in the future redevelopment of this key property.

REAL ESTATE

Two lawyers and a paralegal make up the OGC real estate practice group. They work closely with the central Real Estate Office and University departments and units in the University's purchase, sale, lease and use of property. Highlights from the past year include:

- purchase of property at 601-609 1st Avenue SW and at 615 1st Avenue SW in Rochester, Minnesota, with the property to be used to expand the Rochester campus;
- \$4.3 million purchase of 78 acres of farmland near the Arboretum in Chanhassen, Minnesota, with the land to be integrated into the Arboretum's

holdings and used for horticultural science and environmental research, education, natural resource protection and public recreation; and

- development of form Facility Use and Co-Presentation Agreements for use of the renovated Northrop Auditorium.



Northrop Auditorium reopened in April 2014 after renovation work. OGC developed form agreements for the use of the renovated space.

and smokeless (chewing) tobacco in a nation-wide research study;

- development of the legal structure for a multi-site, 5 year, \$4 million grant to create and operate the National Center for Interprofessional Practice and Education; and

- negotiation with a private donor and a commercial company on a complex multi-million dollar gift and sponsored research agreement for the funding and creation of a center for interfacial science on the Duluth campus.

TECHNOLOGY COMMERCIALIZATION. OTC generates millions of dollars each year licensing University-held intellectual property rights. The professionals there rely on OGC to negotiate and draft license agreements, provide advice on contract, securities and corporate law questions, and assist in the prosecution of University-owned patents. Last year, OGC advised OTC on over 200 matters. In addition, OGC:

- re-negotiated the terms of the GlaxoSmithKline Exclusive Patent License Agreement, resulting in a one-time \$4 million payment to the University;

- negotiated and drafted patent, copyright and software license agreements and waivers with 15 start-up companies coming out of the University's Venture Center;
- handled the enforcement and termination of non-performing intellectual property licensees;
- worked with the Venture Center and OTC to plan and create a program to assist and fund early-stage companies that had licensed University-held intellectual property rights and had not raised needed capital; and
- negotiated an agreement with an apple grower in Washington state regarding the development of a new apple variety based on the University's Honeycrisp apple. The agreement includes the assignment of the patent on the new variety to the University, an initial payment to the University in excess of \$300,000, and an ongoing royalty stream from sales throughout the United States and the world.

PATENTS. One OGC attorney and a paralegal specialize in patent prosecution. OGC advises on patentability of disclosed inventions, assists in searches for prior art

RESEARCH AND INTELLECTUAL PROPERTY

The generation of knowledge is central to the University's mission and prestige. Many of the University's most noteworthy activities involve research (and the resulting copyrighted works and patented inventions) conducted by faculty and students on its five campuses. Five OGC attorneys and a paralegal play integral roles here by negotiating research grants and contracts, representing the University in intellectual property transactions, and providing advice and counsel on research and technology transfer matters.

RESEARCH. Two OGC lawyers advise faculty and Sponsored Projects Administration (SPA) on several areas relating to research. OGC reviews, negotiates and drafts complex sponsored research agreements and counsels faculty on compliance with federal laws regulating the conduct of research. OGC also gives advice on export control laws that affect research. The following are examples of research matters on which OGC provided essential advice:

- negotiation with the Minnesota Department of Revenue and the Internal Revenue Service on the taxation and use of low nicotine cigarettes



OGC negotiated the license agreement for a new apple variety derived from the Honeycrisp.

references, and reviews and helps prepare responses to office actions to the U.S. Patent and Trademark Office (USPTO). Their service has reduced the University's reliance on outside patent counsel, saving the University thousands of dollars.

TRADEMARKS. The University holds rights in hundreds of marks and logos. They are used throughout the system to identify the University and its sports teams and programs. They project and protect the University's image and reputation. They are also used to market products that were originally developed at the University, like SweeTango apples. OGC helps protect the University's rights in these valuable marks and logo by seeking registration for many of them with the USPTO and by formally insisting that others respect the University's federal and state rights. In one significant matter, OGC has been working with the Athletic Department on the Twin Cities campus to protect the football team's recruiting slogan "Brick by Brick" and to prevent another intercollegiate athletic program from registering and claiming an exclusive right to use that slogan. In addition, OGC:

- filed applications with the USPTO to register "Science of (the) Green" for a College of Food, Agricultural and Natural Resource Sciences (Twin Cities) research initiative that addresses the golf industry's need for long-term agronomic, economic and environmental sustainability; and

"flipgrid." for a tool developed by researchers in the Learning Technologies Media Lab in the College of Education and Human Development (Twin Cities) to enable video-based discussion and reflection;

- assisted OTC in seeking registration in the United States and Canada for names of plant varieties; and
- took steps to stop the unauthorized use of University marks and the names of some of its athletic coaches by two sports beverage companies, and the unauthorized use of the University mark "Parents Forever" by another person selling material over the Internet.

COPYRIGHTS. Issues and questions concerning the use, development and ownership of copyrighted works are raised with OGC almost each day. OGC regularly advises faculty and students on the need to seek permission to use works or the strength of a claim of a statutory right to use works without permission, like the fair use exception. OGC counsels departments that specially commission the creation of course materials and reviews authorship disputes. OGC also:

- reviewed an authorship dispute involving the Minnesota Multiphasic Personality Inventory-2;
- advised on a copyright infringement allegation made by a former faculty member; and
- negotiated and drafted course development agreements and licenses with University faculty related to MOOCs offered through Coursera.

CORPORATE AND COMMERCIAL

OGC advises on purchases and sales of goods and services. Two attorneys and two paralegals focus on this practice area. They work closely with the Purchasing and the Internal/External Sales departments. In reviewing agreements to purchase goods and services, OGC advised close to 60 departments and units on over 1,100 matters this past year. In particular, OGC worked on:

- concessions agreements permitting a private company to sell food and beverages at the new University Recreation and Wellness Center on the Twin Cities campus, and another to sell these items at Northrop Auditorium;
- performance agreements to have Cloud Cult perform on the Morris campus, Mac Miller at the Spring Jam on the Twin Cities campus, and Condoleezza Rice to give the 2014 Distinguished Carlson Lecture at Northrop;
- a software license agreement for the Office of Information Technology with Internet2; and

- a courseware development agreement for the College of Education and Human Development (Twin Cities).

FINANCIAL AND TAX

OGC works closely with the Chief Financial Officer, the Director of Debt Management, and the Office of Investments and Banking (OIB), advising on the terms of agreements with underwriters on debt issuances and with general partners of equity, venture capital and other funds in which the University invests. This year OGC continued its work on the issuance of the Series 2014A Bonds, advised OIB on investments in 12 funds, and advised on the sale of the University's investment in a fund that had been the subject of protracted litigation.

OGC also works with the Tax Management Office on federal limitations on "private use" that are applicable to both the University's issuance of tax-exempt bonds and its receipt of the proceeds of similar bonds issued by the State of Minnesota.

INTERNATIONAL RESEARCH, TEACHING AND EDUCATIONAL EXCHANGE

The University operates around the world, formally by having an office in a country and less so when its faculty or students undertake research, teaching, or learning projects outside of the United States. OGC advises the Global Programs and Strategy Alliance and its several units (including the Learning Abroad Center, International Student and Scholar Services, the Confucius Institute, and the China Center), as well as other University units. In addition to creating and refining tem-

plates for affiliation agreements between the University and foreign institutions, OGC advised on the terms of a master, system-wide affiliation agreement between the University and the Norwegian University of Science and Technology. Recently, OGC has been working with a University team to establish the University's first representative office in China.

LEGAL ADVICE AND PREVENTIVE LAW ACTIVITY

OGC devotes substantial resources to advising University clients on matters of law and policy, as well as preventing or resolving disputes before they result in costly litigation. OGC's advice across a broad spectrum of activities helps the University run better and reduces the opportunities for grievances, administrative charges and lawsuits. A few highlights from the past year:

STUDENT AFFAIRS. OGC advised University officials on a wide range of issues affecting the legal rights and responsibilities of University students. OGC assisted professional programs in developing or modifying their individual student behavior and performance policies, provided the Disability Resource Center with legal advice on proposed accommodations for disabled students, and negotiated affiliation agreements for placing students in clinical sites as part of their education.

CAMPUS SEXUAL VIOLENCE ELIMINATION ACT. OGC worked closely with administrators across the system to ensure that the University was in compliance with new federal requirements under the Campus SaVE Act directed at reducing sexual violence on campus, supporting victims of sexual assault, and providing for fair and equitable procedures for the resolution of sexual assault charges on campus.

SUPPORTING THE INSTITUTIONAL REVIEW BOARD (IRB). OGC provided advice and support to the IRB in its role as the committee responsible under federal law and Board of Regents policy for reviewing and acting upon all human subjects research at the University. In response to inquiries about psychiatric research studies involving human subjects, OGC has assisted the IRB in responding to requests for records and has provided legal counsel to IRB panels investigating compliance with human subjects requirements. OGC also prepared or negotiated several IRB authorization agreements with other entities to accept, cede or share IRB responsi-



OGC supports the University's international activities. This photo was taken by UMD student Alex Edwards on a UMD short-term program entitled "Business and Economics in China."

bilities among entities and assisted with the revision of multiple IRB policies to prepare for the IRB's upcoming reaccreditation process.

LABOR AND EMPLOYMENT. OGC provides daily advice and counsel to senior administration, labor relations, and human resources professionals on a broad range of labor and employment issues, including recruiting and hiring, discharge and discipline, affirmative action and diversity, reductions in force, workplace violence, background checks, internal investigations, wage and hour law compliance, collective bargaining obligations and contract administration, employee benefits, workers' compensation, negotiation and preparation of settlement agreements, and compliance with federal and state employment law and regulations. OGC also develops and performs training programs on University policies and procedures. This year OGC provided formal legal opinions regarding changes to the state and federal minimum wage requirements and the University's ability to recover duplicative workers' compensation payments. OGC also addressed issues of adjunct faculty organizing at area institutions, the proper handling of paid and unpaid internship programs, and proposed changes to the University's labor code for trademark licensees.

OGC supported the athletics departments on multiple campuses in negotiating contracts and contract extensions for coaches and athletics personnel, including hiring Gophers women's basketball coach Marlene Stollings and extending the contract with Gophers football coach Jerry Kill.

TRAININGS. OGC staff delivered trainings across the system on a number of topics, including a day-long training on the data practices act for faculty and administrators at the Morris campus, a presentation in the Medical School on "Data and Research Misconduct" to fulfill a Responsible Conduct of Research continuing education requirement for faculty, a training session called "Legal Issues in Higher Education" as part of the Provost's program for New Chairs and Heads, a training for Extension Volunteer Coordinators called "Managing Volunteer Relationships," and a training called "Handling Residents with Performance Issues" as part of the Medical School Program Director Orientation. OGC also conducted many seminars and informal meetings last year to educate University departments and units on the legal and other concerns in conducting programs and activities outside the United States.

EXPERTISE IN LAW AFFECTING UNIVERSITIES. In addition to internal training and presentations, OGC lawyers shared their expertise through presentations at local and national conferences including:

- *Accommodating the Religious Beliefs of Students and Employees on Campus*
- *Getting Your Arms Around Employment Policies: The Good, the Bad, and the Process*
- *Drafting Position Statements to Mitigate EEOC Full-Scale Investigations and Lawsuits*
- *Contemporary Issues in Data Practices*
- *Litigating Constitutional Cases*
- *University Global Support Models and Best Practices First-Inventor-To-File: You Don't Have Time to Make All the Mistakes Yourself: What Can We Learn from Our Colleagues Across the Ocean?*
- *Managing IP Matters: An In-house Perspective*
- *Patent Trolls: The Good. The Bad. And the Ugly*
- *Image and Likeness Litigation: What is O'Bannon Really About?*
- *University Global Support Models: The University of Minnesota Experience and Best Practices*
- *The Policy and Practice of Education Abroad: The Role of Counsel and Other Stakeholders*



OGC assisted in drafting the employment contract of new women's basketball head coach Marlene Stollings.

ATHLETIC COMPLIANCE OFFICE

ACO reports to the General Counsel. The staff in that office work with all of intercollegiate athletics regarding the National Collegiate Athletic Association (NCAA), Big Ten Conference, and Western Collegiate Hockey Association (WCHA) rules. This includes working with 25 teams and over 750 student-athletes. In addition, ACO works closely with the McNamara Academic Center, Admissions, Financial Aid, and Academic Support Resources on campus. ACO educates players, coaches and staff; develops policy and procedure; monitors and audits NCAA rules compliance; and investigates and enforces violation of these rules.

In 2013-14 ACO conducted over 75 educational sessions regarding rules compliance to units within athletics, across campus, and in the Twin Cities area. Close to 2,000 individuals attended these sessions. In addition, ACO met with every team during the first and second weeks of the fall 2013 semester to review NCAA rules.

ACO also conducted over 14 external and internal audits and monitoring procedures. This was done with the full support of the Athletic Director and the senior staff in the athletics department.

ACO investigated in excess of 50 potential rule infractions in 2013-14 and ultimately submitted reports of 27 violations to the NCAA and Big Ten Conference. Under NCAA guidelines, all of these violations were considered level III or IV infractions. ACO also submitted 38 requests for waivers of either NCAA or Big Ten rules.



The Athletic Compliance Office works with teams and student-athletes to ensure NCAA and Big Ten rule compliance.

RECORDS AND INFORMATION MANAGEMENT OFFICE

The Records and Information Management Office, which reports to the General Counsel, coordinates the development and implementation of a strategic plan for departmental and University-wide records management; provides advice, training and direction on federal, state and institutional records management requirements; and oversees the collection, use and dissemination of data in accordance with the Minnesota Government Data Practices Act and other state and federal information disclosure laws.

This year the office responded to 410 public record requests for information about University contracts, bids, budgets, salaries, athletics, research, construction, audits and other matters. Most data requests ask for multiple items, and in some cases, the same requester makes numerous data requests. This year, we had numerous requests from Fox 9's investigative team, as well as many requests for information on animal research and human subject research. The Records and Information Management Office works closely with OGC to ensure compliance with legal obligations, with University administrators to gather records and coordinate our responses, and with University News Service to provide efficient service to media outlets. In addition, the office responds to subpoenas for University records and numerous reference requests for University employees.

Each year, the University is required to evaluate and update the public data access policy in accordance with state law. The *Public Access to University Information* policy was updated, and new procedures for requesting information from the University and protecting the rights of subjects of data were added to keep the University in compliance with changes in laws and regulations.

The Records and Information Management Office not only is responsible for the Twin Cities campus, but also works with each of the system campuses. This year, the office held trainings at the Morris and Duluth campuses on records management, data practices and privacy.



legal services to the University. While professional qualifications are the foremost criteria we use to select outside counsel, OGC also seeks attorneys who provide reasonable rates and demonstrate economical use of attorney and staff resources. We routinely request and receive discounted hourly rates from our outside counsel. OGC typically requires written budgets from outside counsel on matters that may incur substantial fees, and strictly enforces the University’s expense limitations and payment policies. This includes the management of counsel performing patent services for the University. A considerable amount of time is devoted to the selection and oversight of a wide variety of patent counsel who provide patent prosecution services to OTC.

The use of in-house counsel is far more economical for the University, as costs per hour for comparable legal services performed in-house are approximately 50% less than those of outside counsel. In addition, and beyond the issue of cost, the quality of legal services the University receives is enhanced by OGC’s comprehensive knowledge of the University’s unique structure, operations, strategic priorities, and mission. This fund of knowledge reduces costly preparation time that would be needed by outside counsel less familiar with the University and provides more focused counseling tailored to the unique issues facing University clients. Routine feedback from our clients suggests that OGC provides high quality legal services on a level at least equal to that provided by leading private firms.



OGC has its offices in the McNamara Alumni Center.

OGC and the Records and Information Management Office work closely with University News Service to provide efficient service to media outlets.

The office continues to work with University units to develop tailored records retention schedules and help them clean out files and storage areas while appropriately maintaining institutional records. The University-Wide Records Retention Schedule and the *Managing University Records and Information* policy were updated this year, with new procedures on *Retention of University Records* and *Destruction of University Records* created.

The Coordinator of the Records and Information Management Office, Susan McKinney, CRM, co-chairs the University’s privacy committee, which addresses increasing public concern about privacy protection for electronic and traditional paper-based data; serves as the compliance partner for privacy; and is a member of the Enterprise Data Management and Reporting (EDMR) committee.

USE OF OUTSIDE COUNSEL

The total sum paid from OGC’s budget to outside counsel for FY14 was \$1,388,562. This amount constitutes a slight decrease from FY13 spending, which is primarily due to lower costs related to patent enforcement. Total outside counsel legal expenditures incurred by the University during this fiscal year were \$4,640,296, a majority of which was related to insurance defense and patent and technology commercialization matters. This amount constitutes a small decrease from FY13 overall expenditures.

Board of Regents policy requires OGC to carefully manage the cost of all outside counsel retained to provide

BIOGRAPHICAL NOTES

GENERAL COUNSEL

WILLIAM P. DONOHUE. Bill was appointed as General Counsel, the University's Chief Legal Officer, in May 2013. He is responsible for providing legal counsel and representation for the University including the Board of Regents, the President, Deans and all other University officials. He is also responsible for administration of the OGC and oversight of the Athletic Compliance Office.

Bill has served in the Office of the General Counsel (OGC) since 1982. For many years he served as the primary litigator representing the University in state and federal courts. From the early 1990's to 2013 he served as the Director of Litigation and Deputy General Counsel, during which time he continued to represent the University, but was also responsible for overall administration of the OGC and the supervision and direction of all University litigation by OGC litigators and outside lawyers.

Prior to coming to OGC, Bill was on the staff of the Minnesota Attorney General. Bill is a graduate of Carleton College, and received his law degree cum laude from the University of Minnesota in 1974. He is a lecturer in the College of Education and Human Development and has for many years taught *The Law and Post-Secondary Institutions* to graduate students. He is also a member of the NACUA Annual Program Committee and a frequent presenter at their Annual Conference on topics involving employment law, athletics and coach contracts. For six years (2008–2014) he was also a member of the Minnesota Lawyers Professional Responsibility Board, which is responsible for oversight of the professional ethics requirements for attorneys.

DEPUTY GENERAL COUNSEL

TRACY M. SMITH. Tracy has served in the OGC since 1994. In 2013, she became Deputy General Counsel. She practices in litigation and provides advice in the areas of student affairs, employment, privacy and data practices. Prior to coming to OGC, she served as law clerk to Judge Max Rosenn, United States Court of Appeals for the Third Circuit. Tracy was also an Assistant Attorney General for the State of Minnesota. She is a cum laude graduate of Georgetown University and received her law degree magna cum laude from the University of Minnesota in 1988, where she was articles editor of the Minnesota Law Review and a member of the Order of the Coif.

DIRECTOR, TRANSACTIONAL LAW SERVICES

GREGORY C. BROWN. Greg joined OGC in 1991 and is Director, Transactional Law Services. His primary areas of practice are technology transfer, copyright, intellectual property, and business matters. Prior to coming to the University, he practiced at the law firm of Leonard, Street and Deinard. Greg graduated from the University of Michigan Ross School of Business and its Law School. He is an Adjunct Professor at the University of Minnesota Law School and teaches a seminar on Intellectual Property Transactions.

OGC ATTORNEYS

DONALD M. AMUNDSON, SENIOR ASSOCIATE GENERAL COUNSEL. Don joined OGC in 1996. He is a member of the Transactional Law Services Group, and focuses his work on international and general business matters, as well as external sales issues. Prior to joining OGC, Don practiced law at Dorsey & Whitney and worked as in-house counsel for several corporations. Don graduated with a baccalaureate degree summa cum laude from St. Olaf College and received his law degree cum laude from the University of Minnesota in 1980.

BRENT P. BENRUD, SENIOR ASSOCIATE GENERAL COUNSEL. Brent joined OGC in 2005. He practices in the areas of labor, employment and litigation. Before joining OGC, Brent was a shareholder in the law firm of Stettner, Miller and Cohn, P.C., in Denver, Colorado. He represented public school districts, community colleges and school-related professional organizations in a variety of labor, employment, litigation and school law matters. Brent received his B.A. magna cum laude in 1989 from Luther College, in Decorah, Iowa and his J.D. cum laude from the University of Minnesota Law School in 1992.

MARK A. BOHNHORST, SENIOR ASSOCIATE GENERAL COUNSEL. Mark has served in the OGC since 1992. From 1992 to 2000, his practice focused on civil litigation, including health science and research matters. Since 2001, Mark has been part of the Transactional Law Services Group; his practice focuses on research contracts and compliance. From 2011 to 2014, Mark also served as Director of the Transactional Law Services Group. Prior to joining OGC, Mark was the litigation coordinator for Southern Minnesota Regional Legal Services. He is a graduate of the University of Chicago, received his law degree magna cum laude from the University of Minnesota Law School in 1975, and served as law clerk to U.S. District Judge Earl Larson.

GARY L. BRISBIN, SENIOR ASSOCIATE GENERAL COUNSEL. Gary joined OGC's Transactional Law Services Group in 2006. His practice is focused primarily on general commercial matters, especially purchasing, software and telecommunications. Before joining OGC, Gary was General Counsel of McQuay International and before that Director of Legal Affairs, Strategic Development, and Community Relations at Cummins Power Generation. He received a B.S. with high honors from the University of Minnesota College of Education in 1971, and a J.D. cum laude from the University of Minnesota Law School in 1979.

SHELLEY CARTHEN WATSON, SENIOR ASSOCIATE GENERAL COUNSEL. Shelley joined OGC in 1999. Her practice is primarily devoted to providing advice, counsel, and training in labor relations and employment issues, as well as defense of the University in collective bargaining and internal grievance arbitrations, and administrative matters before the EEOC, Minnesota Department of Human Rights and Department of Labor. Prior to coming to the University, Shelley was a partner with the law firm of Robins, Kaplan, Miller & Ciresi, where her practice focused on business litigation and employment counseling and litigation. The former Deputy Commissioner of the Minnesota Department of Human Rights, Shelley also served as Executive Director of the Hennepin County Bar Association and Hennepin County Bar Foundation. An honors graduate of Macalester College, she received her law degree from Northwestern University School of Law in 1985, where she was a member of the Jessup International Moot Court Team, that twice won the Regional Competition and reached the International Semifinals. Shelley recently served as a member of the Board of Directors of the National Association of College and University Attorneys (NACUA), and is a recipient of their First Decade Award that recognizes university attorneys who have been NACUA members for 10 or fewer years and have made "a significantly innovative contribution, or provided outstanding service, to the association and to the practice.

KEITH A. DUNDER, ACADEMIC HEALTH CENTER COUNSEL. Keith has served as Academic Health Center Counsel, and formerly the University's Hospital Counsel, since 1990, and practices in the areas of health care law and tort litigation. He is a former member of the Governing Council of the Health Law Section of the Minnesota State Bar Association and former co-chair of the Medical-Legal Committee of the Hennepin County Bar Association. Keith graduated cum laude from the University of Minnesota Law School in 1978. He served as an associate and partner at Mahoney, Doherty & Mahoney, and as a partner at Rossini & Dunder, where he concentrated in litigation and health care law.

ARNIE H. FRISHMAN, SENIOR ASSOCIATE GENERAL COUNSEL. Arnie joined OGC in 1998. He is a member of the Transactional Law Services Group whose primary areas of practice involve sponsored research and technology transfer. Prior to coming to OGC, he was an associate with the law firm of Dorsey & Whitney. He is a summa cum laude graduate of the University of the South at Sewanee and recipient of a post graduate Watson Fellowship for study in Europe. He received his law degree from Columbia University School of Law in 1992, and a master's in Education from Harvard University in 1988. During his sabbatical in Israel in 2007, Arnie practiced with the law firm of Pearl, Cohen, Zedek, Latzer in the field of patent licensing and software development and was admitted to the Israel Bar.

ROSALIE W. O'BRIEN, SENIOR ASSOCIATE GENERAL COUNSEL. Rosalie joined OGC's Transactional Law Services Group in 2004. Her practice includes financing, investment, tax, and regulatory matters, trademark protection and infringement prosecution and defense; complex business transactions; the gifting process; and supporting University Libraries and Museums and University Extension. Before coming to the University, she was a partner practicing corporate law in the St. Louis office of Sonnenschein Nath & Rosenthal. Rosalie also practiced law with firms in Chicago, Illinois and Richmond, Virginia, and is a certified public accountant. She earned her B.S.

in accounting from the University of Illinois, with college honors and high distinction in accounting, and her J.D. in 1987 from Northwestern University School of Law, where she was a member of the Law Review. Before embarking on her legal and accounting career, Rosalie was a violinist in the Milwaukee Symphony Orchestra.

DANIEL A. PIPER, SENIOR ASSOCIATE GENERAL COUNSEL. Dan joined OGC in December 2011. He practices in the areas of real estate and construction law. Prior to joining OGC, Dan was an attorney at Fredrikson & Byron, P.A. in Minneapolis. He received his B.A. summa cum laude from Saint Olaf College in 1999 and his M.B.A. from Carlson School of Management in 2003. In 2006, Dan received his J.D. magna cum laude from the University of Minnesota Law School, where he served as a Managing Editor of the Minnesota Law Review and was a member of the Order of the Coif. Dan also served as a law clerk to Chief Justice Lorie S. Gildea on the Minnesota Supreme Court.

TIMOTHY J. PRAMAS, SENIOR ASSOCIATE GENERAL COUNSEL. Tim is a skilled and seasoned civil trial attorney who possessed over 20 years of experience, both at law firms and in-house, at the time he joined the OGC in 2014. His practice is devoted primarily to litigation. Since 2010 Tim has served as a Legal Writing Instructor at the University of Minnesota Law School. He is also an active member of the Minnesota E-Discovery Working Group and co-chair of its Sub-Group on Cost-Effective Review Technologies. The Minnesota Supreme Court appointed Tim to its Civil Justice Reform Task Force and its Advisory Committee on the Rules of Civil Appellate Procedure. Tim graduated with honors from Macalester College where he won many intercollegiate debate tournaments as a member of Macalester's debate team. He graduated with honors from the University of Minnesota Law School in 1993 and was a member of the Minnesota Law Review.

PAUL B. SAVEREIDE, SENIOR ASSOCIATE GENERAL COUNSEL. Paul joined the OGC in 2012. He is a member of the Transactional Law Services Group and practices in the area of intellectual property, predominantly patent matters. Prior to joining OGC, Paul practiced patent law for over 20 years. He served as in-house counsel at Chiron Corporation and Cargill, Inc., and was in private practice at Dorsey & Whitney; Patterson, Thuyente, Skaar & Christensen; and Viksnins Harris & Padys PLLP. Paul graduated from Saint Olaf College with a Bachelor of Arts degree. In 1991 he received both a Ph.D. in Cell and Developmental Biology and his J.D., cum laude, from the University of Minnesota.

BARBARA L. SHIELS, SENIOR ASSOCIATE GENERAL COUNSEL. Barbara has served since 1983, including past service in the University Hospital Counsel's Office. Her practice focuses on health sciences research, including human and animal subject regulations, conflict of interest, academic misconduct, and student issues. Barbara recently served as a member of the board of directors of the National Association of College and University Attorneys. She is a summa cum laude graduate of Gustavus Adolphus College and received her law degree cum laude from the University of Minnesota in 1983.

BRIAN J. SLOVUT, SENIOR ASSOCIATE GENERAL COUNSEL. Brian joined OGC in 2003 and practices primarily in the area of litigation. Before joining OGC, he was a partner in the law firm of Hinshaw & Culbertson in Minneapolis, and an associate with Popham Haik. He received his law degree magna cum laude from the University of Minnesota Law School in 1993, where he served as an Associate Editor of the Minnesota Law Review and was a member of the Order of the Coif. Brian also served as a law clerk on the Minnesota Supreme Court.

ELIZABETH C. ZAMZOW, SENIOR ASSOCIATE GENERAL COUNSEL. Beth joined OGC in September 2010. She practices in the areas of real estate and construction law. Prior to joining OGC, Beth was an attorney at Fredrikson & Byron, P.A. in Minneapolis. She received her B.A. summa cum laude from St. Cloud State University in 1990 and her M.A. magna cum laude from Miami University in Oxford, Ohio in 1993. She served as a Note and Comment/Research Editor of the Minnesota Law Review at the University of Minnesota Law School, where she received her J.D. magna cum laude in 2001. Beth is certified as a Real Property Specialist by the Minnesota State Bar Association and has been selected as a Rising Star by Minnesota Law & Politics.

ATHLETIC COMPLIANCE OFFICE

J.T. BRUETT, DIRECTOR. J.T. was named Director of Compliance at the University of Minnesota in September 2007. He previously acted as an Assistant and an Associate Director of Compliance at Minnesota since November 2001. Previous to that, J.T. was an Assistant Baseball Coach at the University of Illinois at Chicago for four years and had a brief stint in the compliance office. He is a former baseball student-athlete at the University of Minnesota and for eight years was a professional baseball player with the Minnesota Twins, Cleveland Indians and Kansas City Royals. He earned his undergraduate degree from the University of Minnesota and Master's degree in Sport Administration from the University of Illinois at Chicago.

JEREMIAH CARTER, ASSOCIATE DIRECTOR. Jeremiah started his employment with the Athletic Compliance Office in October 2013, coming from the National Collegiate Athletic Association (NCAA) where he worked in various positions within Academic and Membership Affairs since September 2007. Previous to that he was a graduate assistant in the University of Minnesota football program. Jeremiah is a former Gopher football student-athlete where he received his Bachelor of Arts degree and a Masters of Education graduate degree.

JAMES PRASKA, ASSOCIATE DIRECTOR. Jim joined the Athletic Compliance Office in October 2001. Previously, he worked as the Student Accounts Manager at the College of St. Catherine and, prior to that, worked in Student Accounts at Hamline University, both in St. Paul. He had interned in the Athletic Compliance Office from 1997-1999. He graduated with a bachelor's degree from Wartburg College in Waverly, Iowa and received his master's degree in Public Administration from Hamline University. Jim's primary duties involve all aspects of coordinating and processing athletic scholarships for the Intercollegiate Athletics Department.

ANDREA SMITH, ASSOCIATE DIRECTOR. Andrea joined the Athletic Compliance Office in August 2009, coming from the University of the Pacific where she was the Assistant Director of Compliance. Andrea spent 2006 as an intern in the U of M's Athletic Compliance Office while she attended Law School. She received both her bachelor's degree in Sport Studies and master's degree in Sports Management from the University of Minnesota where she competed for the Gopher softball team. She also obtained her J.D. from the University of St. Thomas School of Law.

ANDREW NELSON, COMPLIANCE COORDINATOR. Andrew became a member of the Athletic Compliance Office in October 2011, coming from the University of Colorado where he was an intern in the Compliance Office. He has also held a compliance intern position at Iowa State University. He received his bachelor's degree in Political Science at the University of Iowa and his J.D. from the University of Denver Sturm College of Law.

RECORDS AND INFORMATION MANAGEMENT OFFICE

SUSAN MCKINNEY, COORDINATOR. Susan has been the Coordinator of Records and Information Management since 1995. She previously served for ten years as the Director of Records Management at the University of Florida. Susan received her M.A. in History with an archival, museum and editing studies concentration from Duquesne University in 1982, and Certification in Records Management in 1993. Susan has served as President and Chair of the Board of ARMA International, a professional association of over 11,000, and is currently the newsletter editor for the Twin Cities ARMA Chapter. She also serves as host of the records management listserv, and is an internationally known speaker on records management issues.

ADMINISTRATIVE STAFF

Director of Administration

Karen Wagner

Senior Paralegals

Robert Amos

Elizabeth Anderson

Kathy Bitterly

Mary Ford

Diane Krawczynski

Beverly Moe

Sherry Popowski

Molly Rosen

Executive Assistant to the General Counsel

Nancy Larson

Executive Secretary

Lynnette Nygren

Principal Secretaries

Tara Atkisson

Nola Breen

Terry Hindt

Marcy Hoyles

Office Specialist

Sarah Gibson

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Page 13: Data Practices and New Service Presentation Slide, Image provided by Chuck Tombarge, University News Service

Annual Asset Management Report

June 30, 2014

Stuart Mason, Chief Investment Officer



UNIVERSITY OF MINNESOTA

Driven to DiscoverSM

Table of Contents

1. Overview – All Funds
2. Highlights and Commentary
 - a. Consolidated Endowment Fund (CEF)
 - b. Temporary Investment Pool (TIP)
 - c. Group Income Pool (GIP)
 - d. RUMINCO
3. Investment Manager Changes
4. Targeted Investment Managers
5. Social Responsibility

Overview – All Funds

OIB Managed Funds (\$ millions)	June '14	June '13	June '12	June '11
Consolidated Endowment Fund (CEF)	\$ 1,272.5	\$ 1,079.7	\$ 977.6	\$ 956.8
Long-Term Reserves (GIP)	45.9	46.4	44.7	44.3
Short-Term Reserves (TIP)	1,054.6	1,031.4	972.2	824.9
RUMINCO Ltd.	39.2	35.8	32.6	32.3
Invested Assets Related to Indebtedness	66.9	87.0	189.7	181.9
Total Managed Assets	2,479.1	2,280.3	2,216.8	1,963.5

Other Funds (\$ millions)	June '14	June '13	June '12	June '11
U of M Foundation Fund	1,928.2	1,610.0	1,560.1	1,564.4
Faculty Retirement Plans	4,769.7	4,199.8	3,807.9	3,709.3

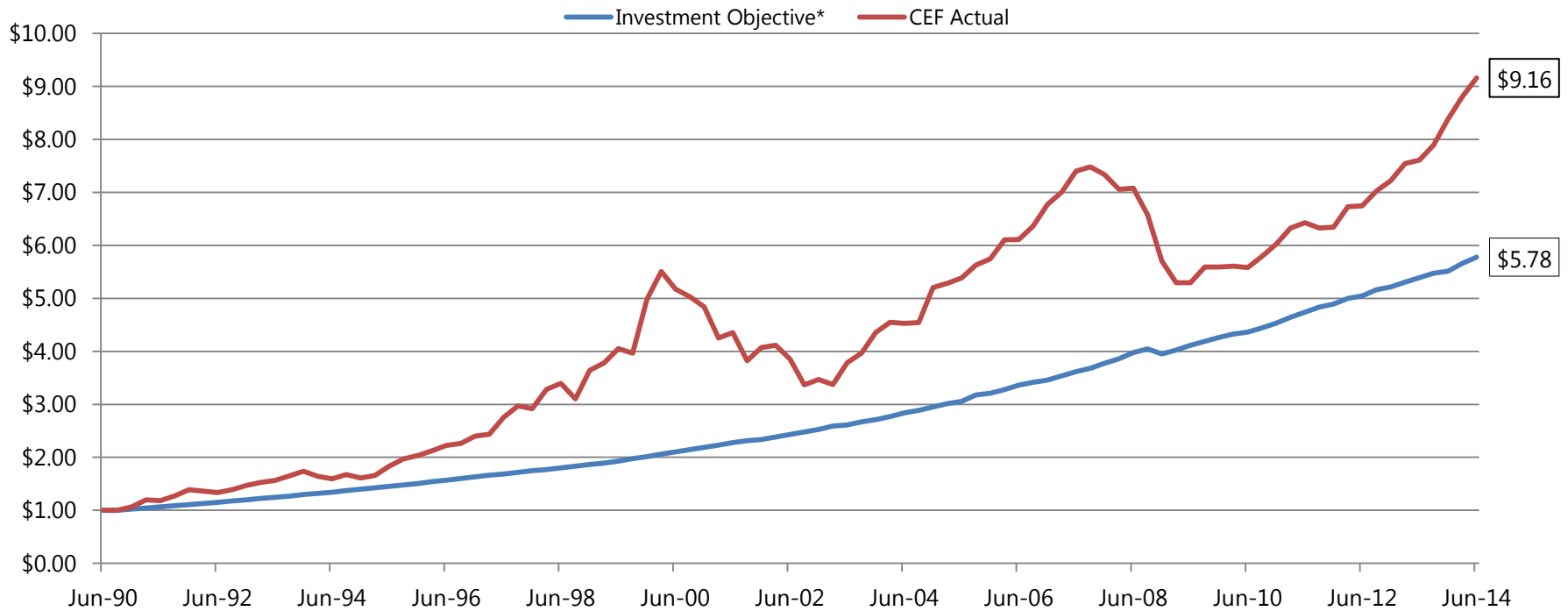
CEF Review

Investment Policy Objectives:

1. Maintain Inflation Adjusted Endowment Value
2. Acceptable Risk Parameters
3. Stable Distributions

Maintain Inflation-Adjusted Value

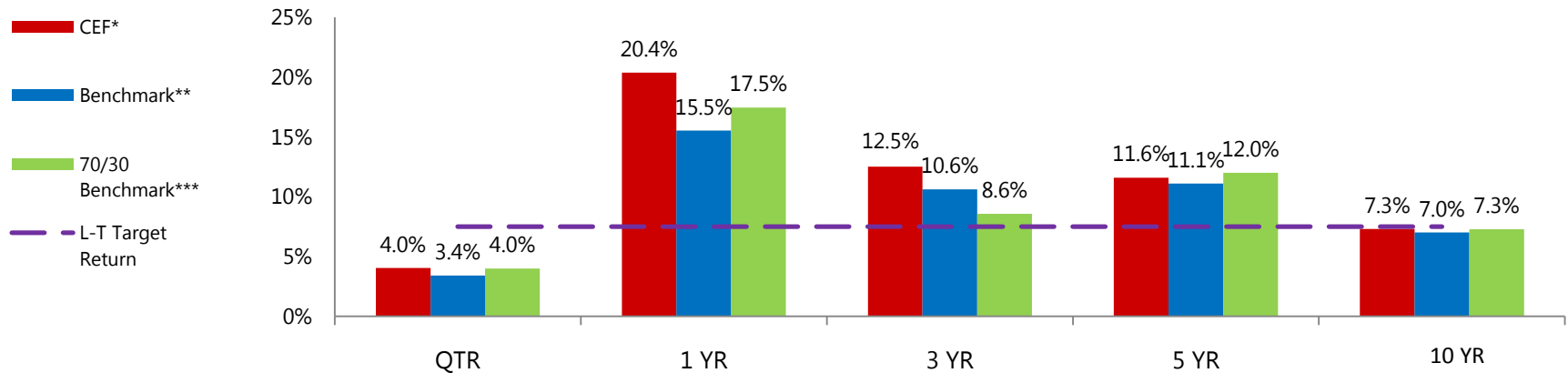
CEF Endowment Performance Growth of \$1 since June 30, 1990



* CPI plus payout plus actual expenses (calculated quarterly)

Maintain Inflation-Adjusted Value

CEF Performance vs. Benchmarks



FY 2014 outperformance driven primarily by the following:

- Strategic overweight and significant outperformance by venture capital managers
- Outperformance (466 bps) by global real estate managers
- Tactical overweight to global public equities

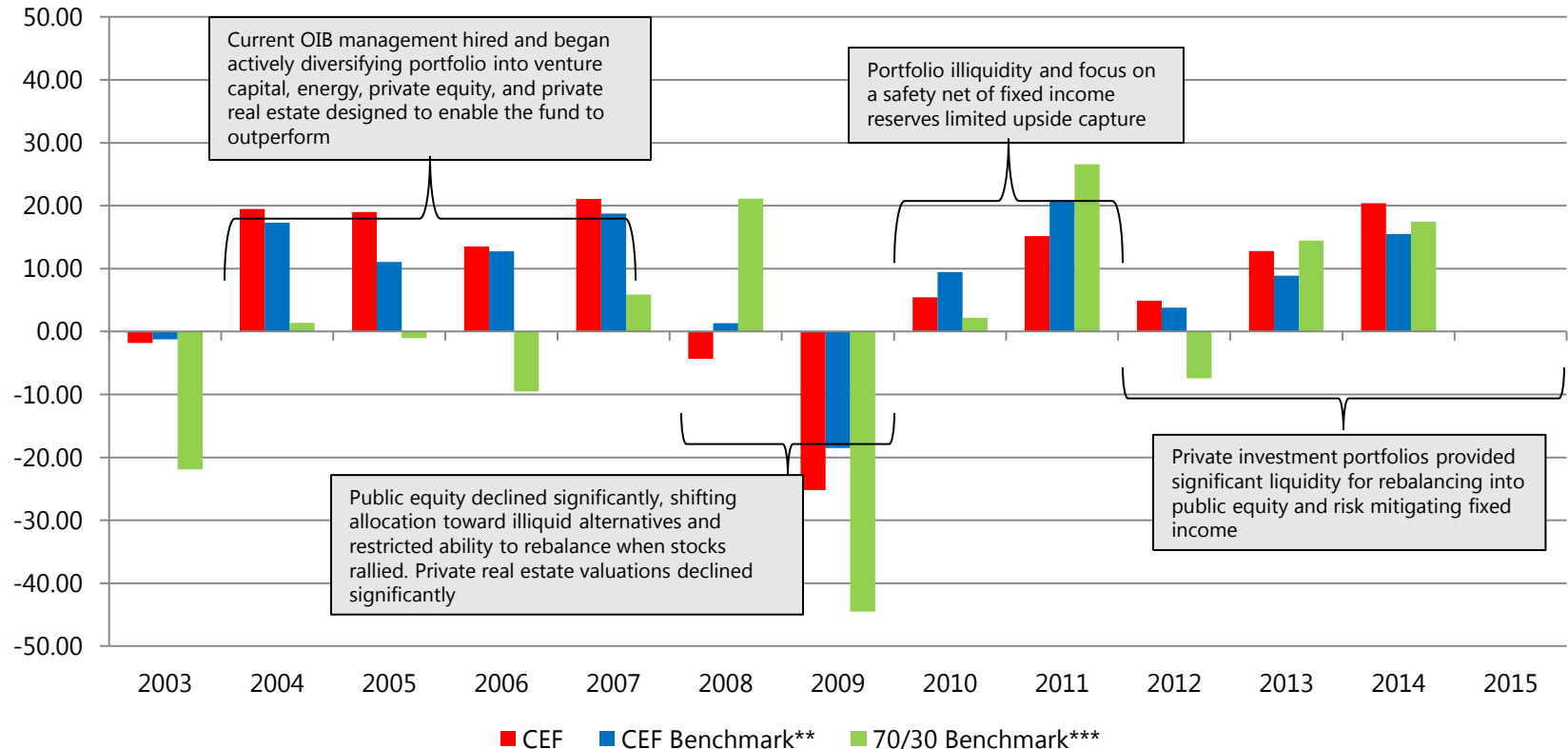
* Net of Manager Fees

** Benchmark: CEF Custom Index

*** Benchmark: 70% MSCI ACWI IMI / 30% Barclay's Capital Aggregate

Maintain Inflation-Adjusted Value

Fiscal Year Performance* Comparison



* Net of Manager Fees

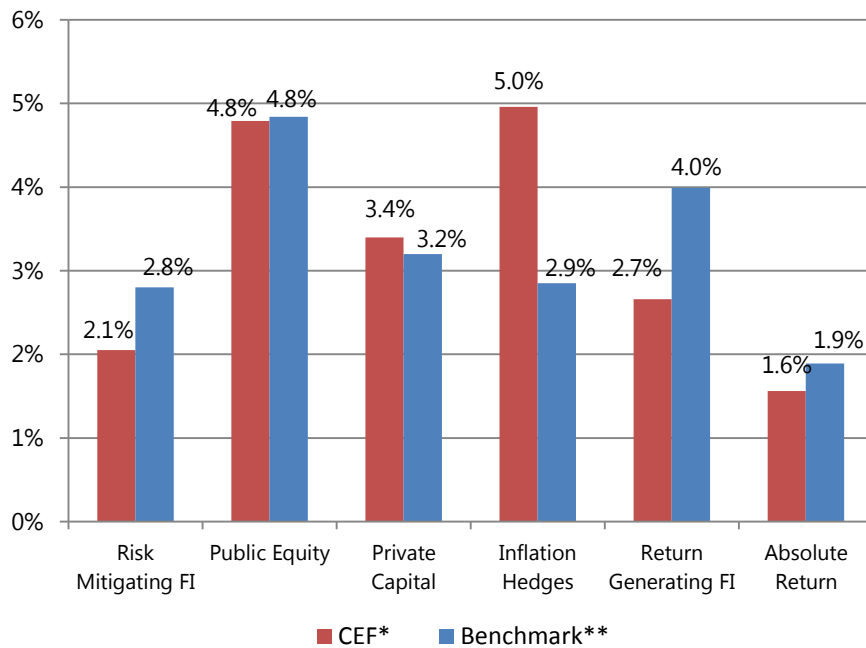
** Benchmark: CEF Custom Index

*** Benchmark: 70% MSCI ACWI IMI / 30% Barclay's Capital Aggregate

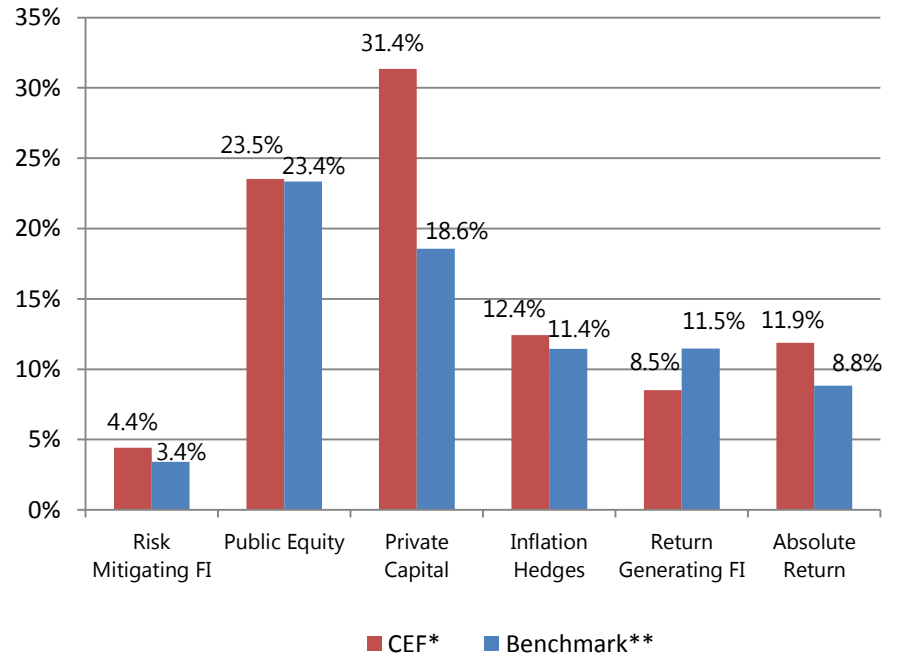
Maintain Inflation-Adjusted Value

Sector vs. Benchmark Returns

1 Quarter



1 Year

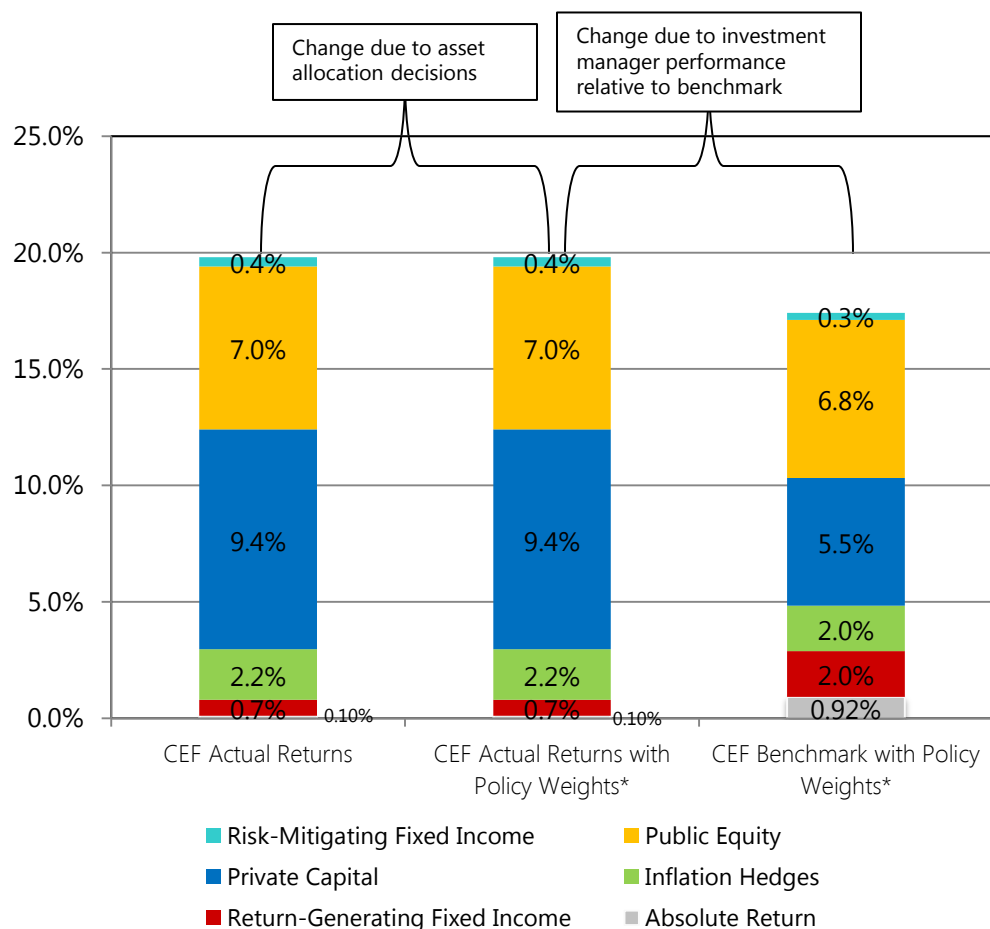


* Net of Manager Fees

** Components of CEF Custom Index

Maintain Inflation-Adjusted Value

Fiscal Year 2014

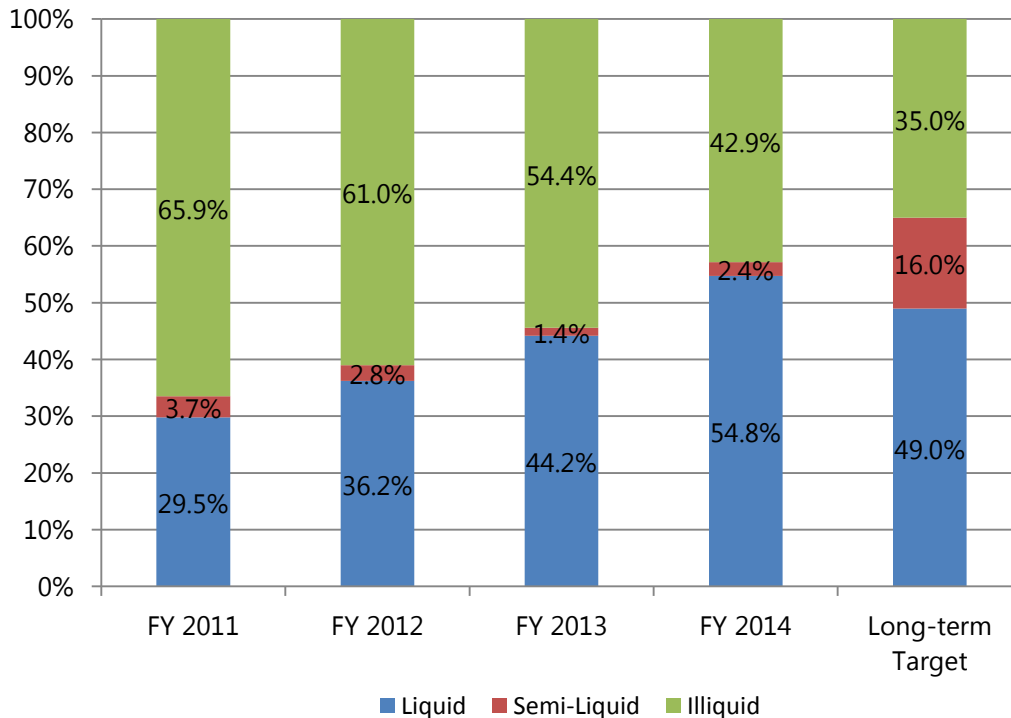


Asset Allocation Decisions	Effect (%)
As we have been transitioning to the recently approved asset allocation guidelines, we have used a dynamically weighted benchmark which removes the effect of allocation decisions	N/A
Individual Manager Performance	Effect (%)
Outperformance by risk-mitigating fixed income managers	0.1
Outperformance by public equity managers	0.2
Outperformance by private capital managers	4.0
Outperformance by inflation hedge managers	0.2
Underperformance by return-generating fixed income managers	(0.2)
Outperformance by absolute return managers	0.0
Other	0.6
Total Attribution	4.9

* In FY 2014, policy asset allocation weights were adjusted to actual portfolio weights while rebalancing was underway.

Endowment Liquidity

Liquidity Transition Plan



Definition: Liquidity is a measure of assets that can be sold at reasonable prices within one year. Higher levels of liquidity enable timely rebalancing and responses to new opportunities

Target: Within a target range of 30 to 40% invested in illiquid assets. Illiquid assets market value plus unfunded commitments should not exceed 55%

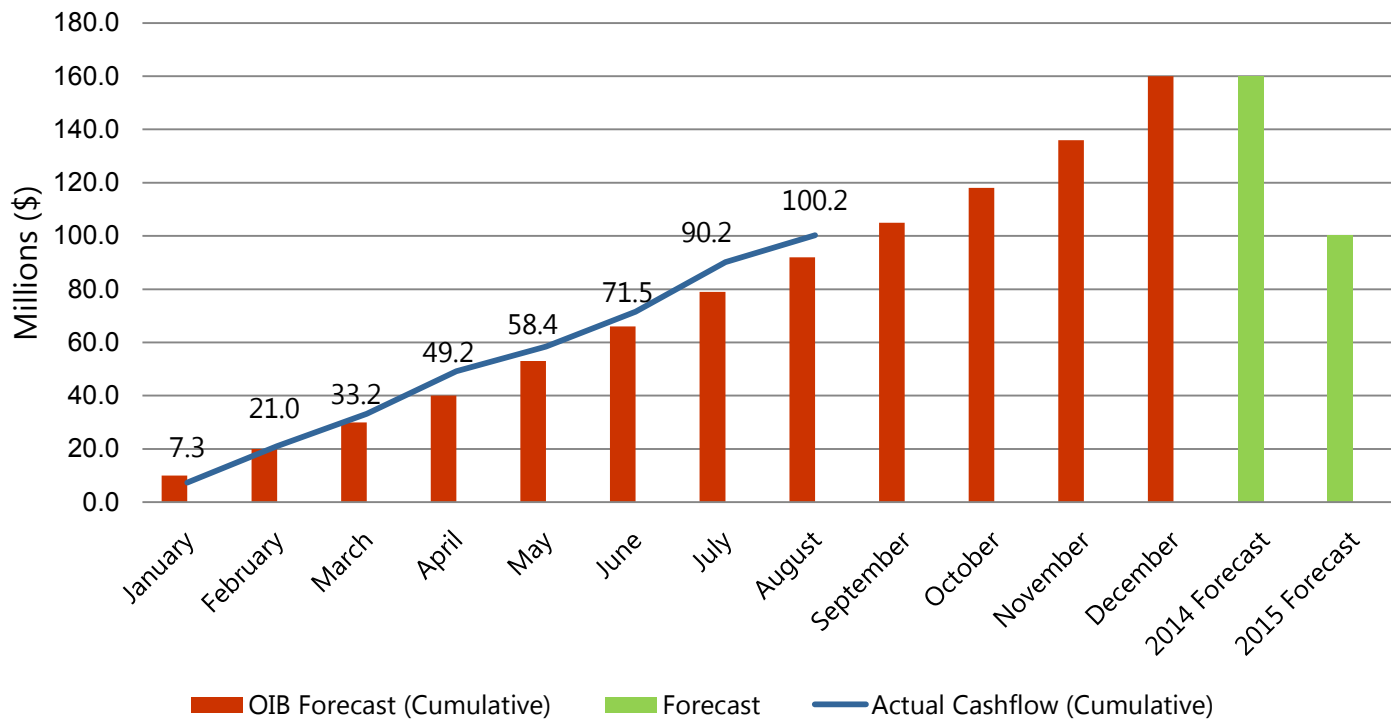
Strategy: Reduce illiquid investments to 35-40% of the overall portfolio during FY 2015

Endowment Portfolio Exposure

Exposure	6/30/2012 Portfolio	6/30/2013 Portfolio	6/30/2014 Portfolio	Long-Term Policy	Ranges
Risk Mitigating Fixed Income	8.7	9.2	9.5	12.0	9 - 15
Public Equity	20.6	26.7	30.8	30.0	25 - 35
Private Capital	36.0	31.1	27.7	20.0	15 - 25
Inflation Hedges	23.2	20.0	15.1	15.0	10 - 20
Return Generating Fixed Income	5.9	8.6	7.1	12.0	9 - 15
Absolute Return	2.8	0.8	0.8	11.0	8 - 14
Derivatives + Cash	2.8	3.6	9.0	-	-
Total	100.0	100.0	100.0	100.0	

Acceptable Risk Parameters

Net Cash Flows from Illiquid Portfolio
Actual vs. Forecast



Acceptable Risk Parameters

Top 10 Managers

Manager	Total Market Value (\$M)	% of Total Fund
Blackrock*	237.9	18.7
TCW	91.9	7.3
Goldman Sachs	64.8	5.1
Acadian	54.6	4.3
Emergence	43.6	3.4
Reams	35.4	2.8
Pembroke	34.1	2.7
PineBridge	32.1	2.6
Insight	27.1	2.1
MHR	26.7	2.1

Definition: Maintain concentration in managers and funds at appropriate levels

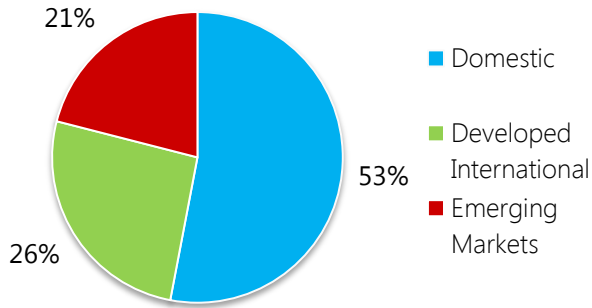
Target: No individual fund > 10%, no manager > 20%

Strategy: Closely monitor large core positions and adjust holding size to maintain compliance with targets

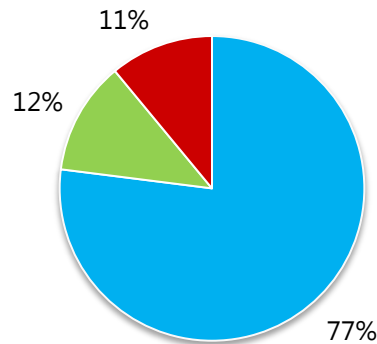
* Blackrock investment consists of three funds, the largest of which is a Russell 1000 index fund at 10.6% of the endowment

Acceptable Risk Parameters

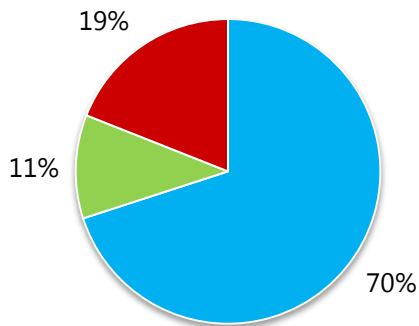
Public Equity



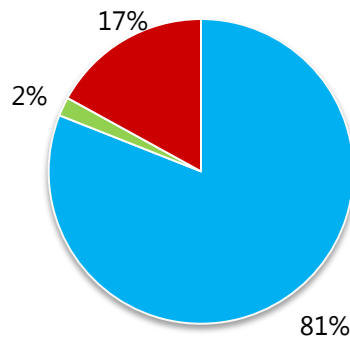
Private Capital



Inflation Hedges



Fixed Income



Definition: Geographic concentration limits opportunity and exposes the portfolio to unnecessary risk of regional cycles

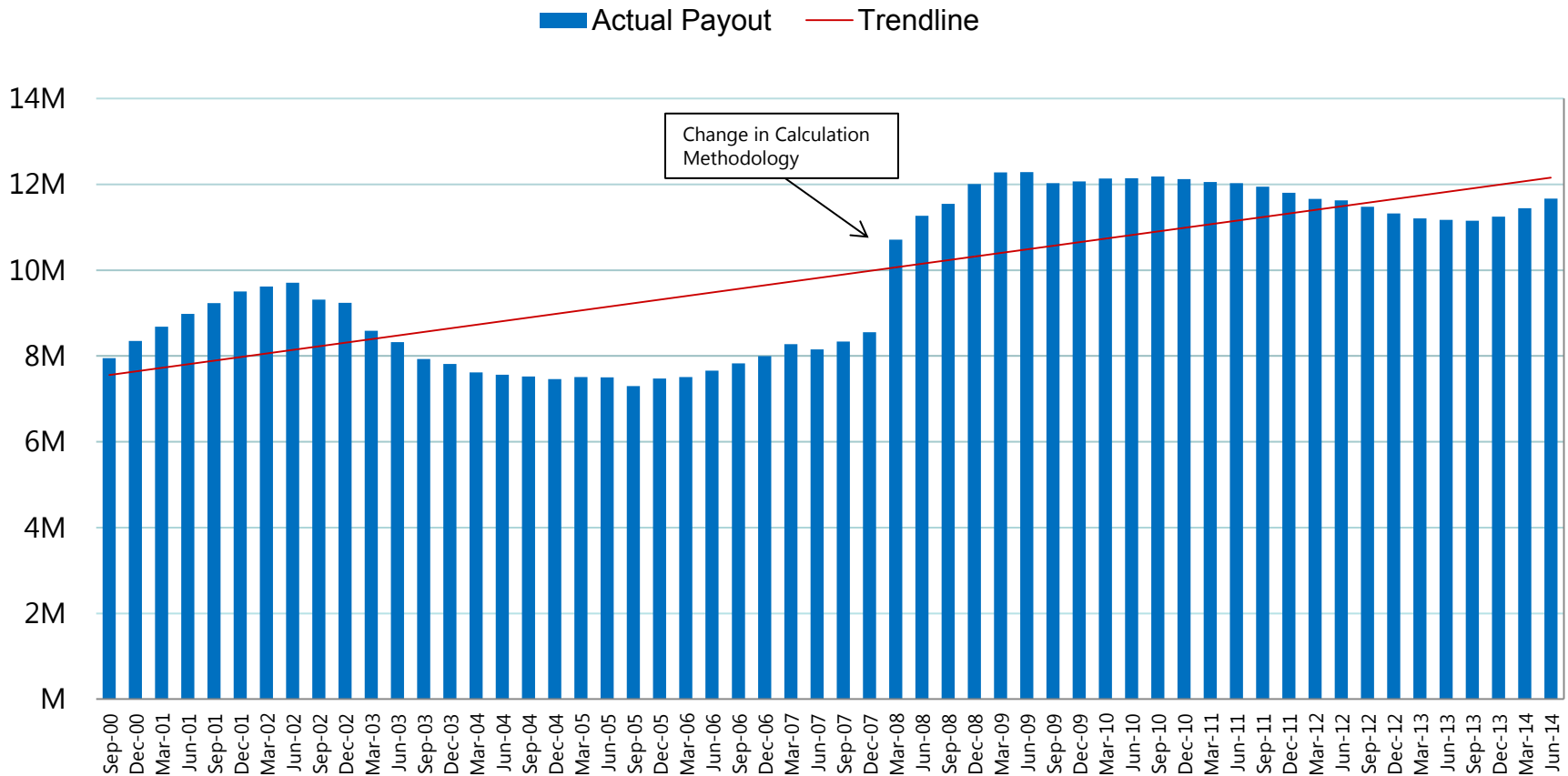
Target: Diversified geographic exposure for each asset class

Strategy: Diversify geographic and non-US Dollar exposure

Region	Percent	Mkt Value
Domestic	67%	\$ 839.2
Developed Int'l	16%	\$ 195.2
Emerging Mkts	17%	\$ 219.3

Stable Distributions

Actual CEF Distribution (gross of reinvestment)



Investment Strategy Update

Liquidity

Allocated private partnership distributions to public equity and return generating fixed income portfolios.

Asset Allocation

Continued the rebalancing plan towards new asset allocation target ranges. Dynamic weighting of benchmarks in effect through 2015.

Public Equities

Deployed excess cash to build a tactical overweight in global equities.

Private Capital

Made several new commitments to early stage venture funds (6) focused on enterprise software and big data solutions, and to a distressed private equity fund, the first such commitments since 2008.

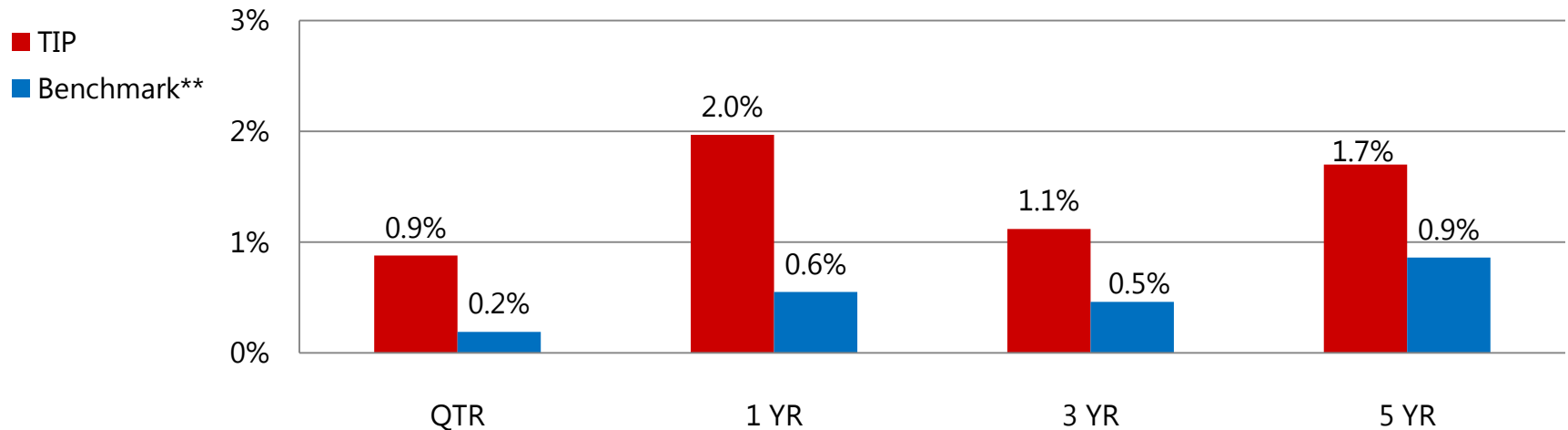
Inflation Hedges

Made private partnership commitments to a core natural resources fund.

TIP Review

TIP – Fund Performance*

Market Value: \$1,054.6M



FY 2014 outperformance driven primarily by:

- Longer portfolio duration relative to benchmark

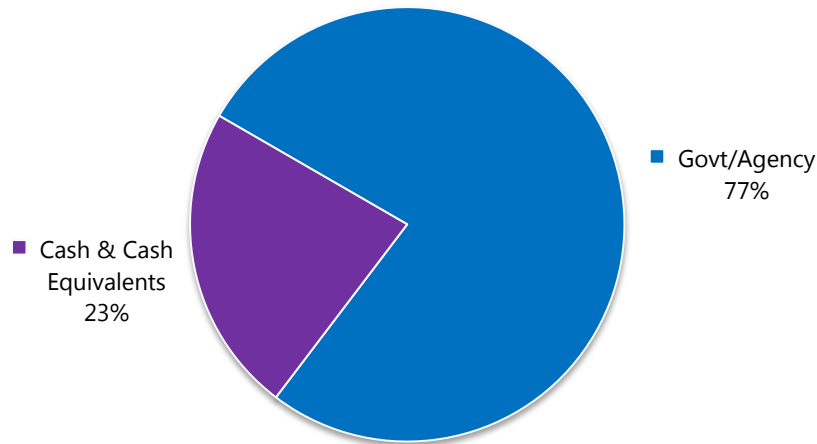
* Performance is net of manager fees and excludes balances at Wells Fargo and US Bank used to offset banking fees

** Benchmark: 70% BofAML U.S. Treasuries 1-3 Yr / 30% 91 Day T-Bill

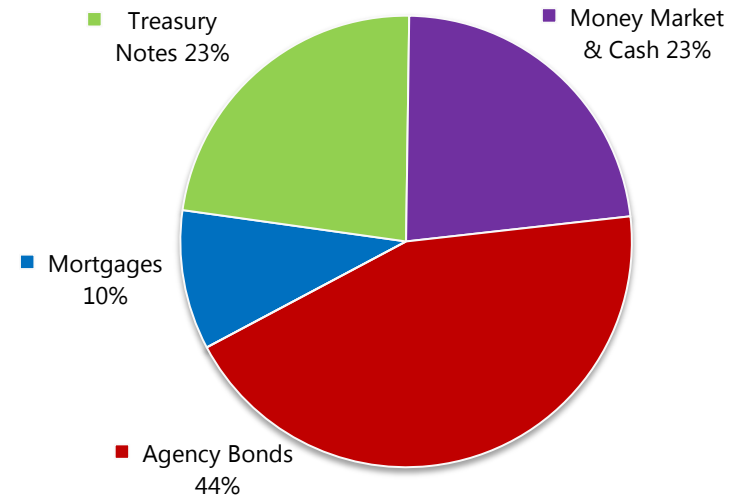
TIP – Asset Allocation

Market Value: \$1,054.6M

Credit Quality



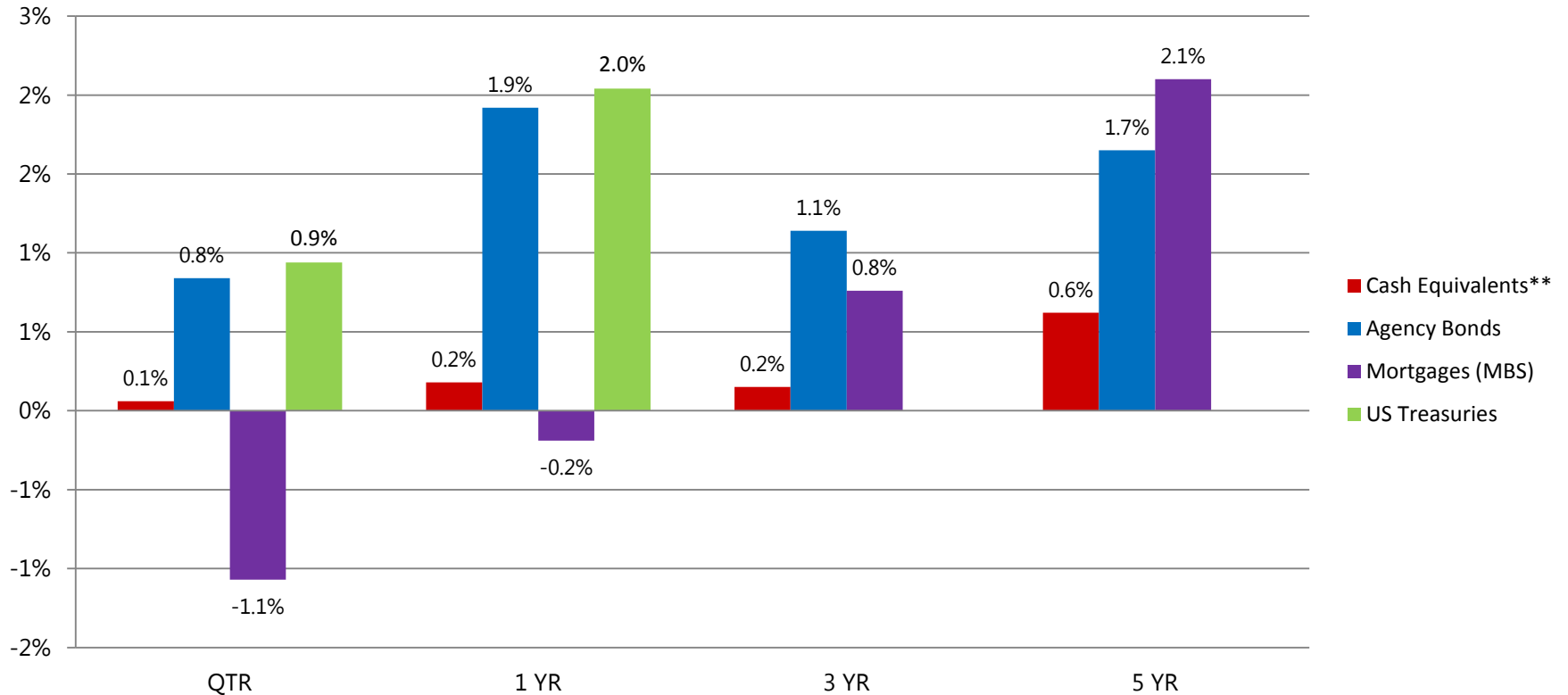
Sector Exposure



Statistic	Portfolio	Benchmark
Average Duration	2.14	1.44
Average Credit Rating	Govt/Agency	Govt/Agency
Current Yield	0.98%	0.33%

TIP – Performance* by Sector

Market Value: \$1,054.6M



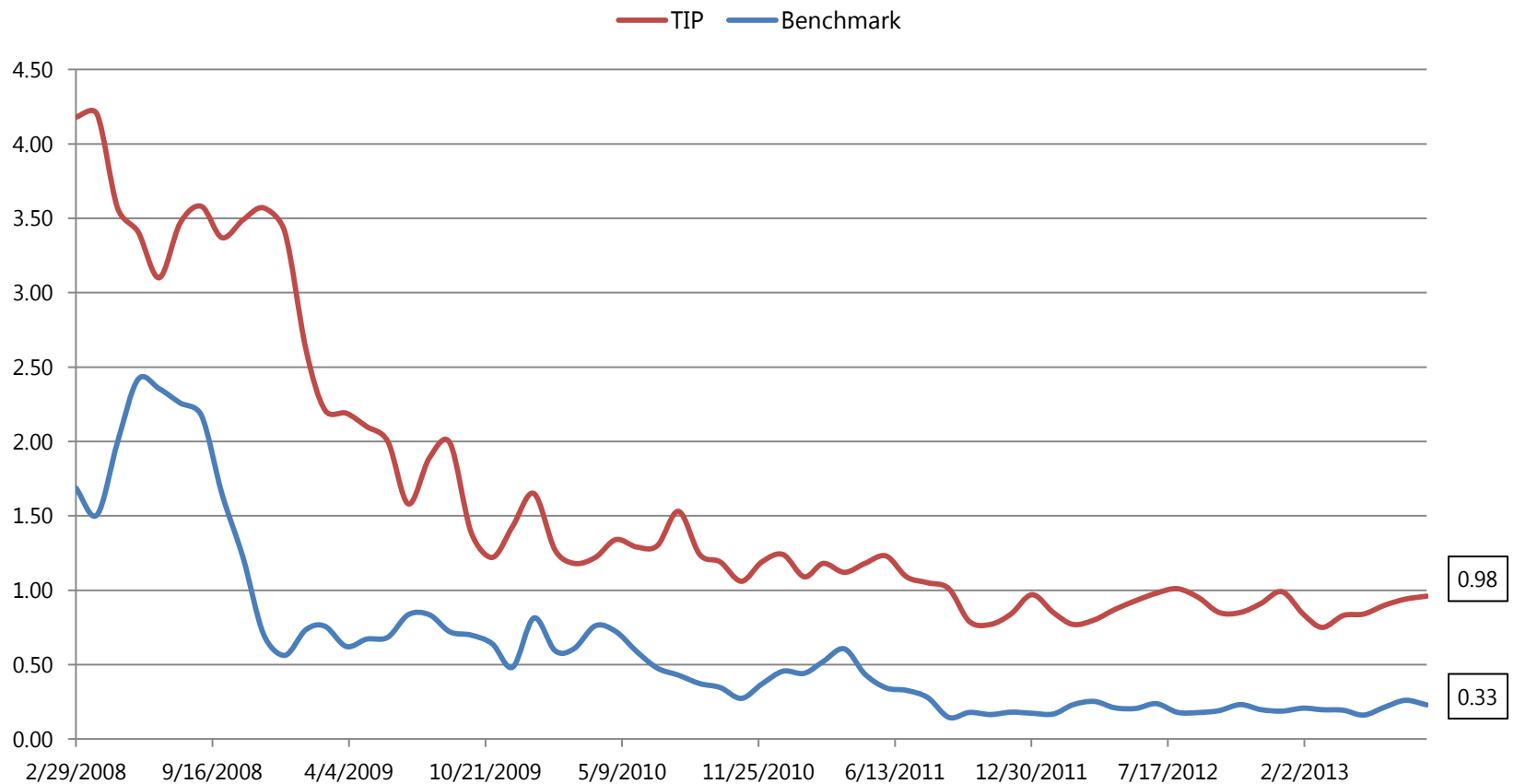
* Performance is net of manager fees

** Performance excludes balances at Wells Fargo and US Bank used to offset banking fees

TIP – Yield History

Market Value: \$1,054.6M

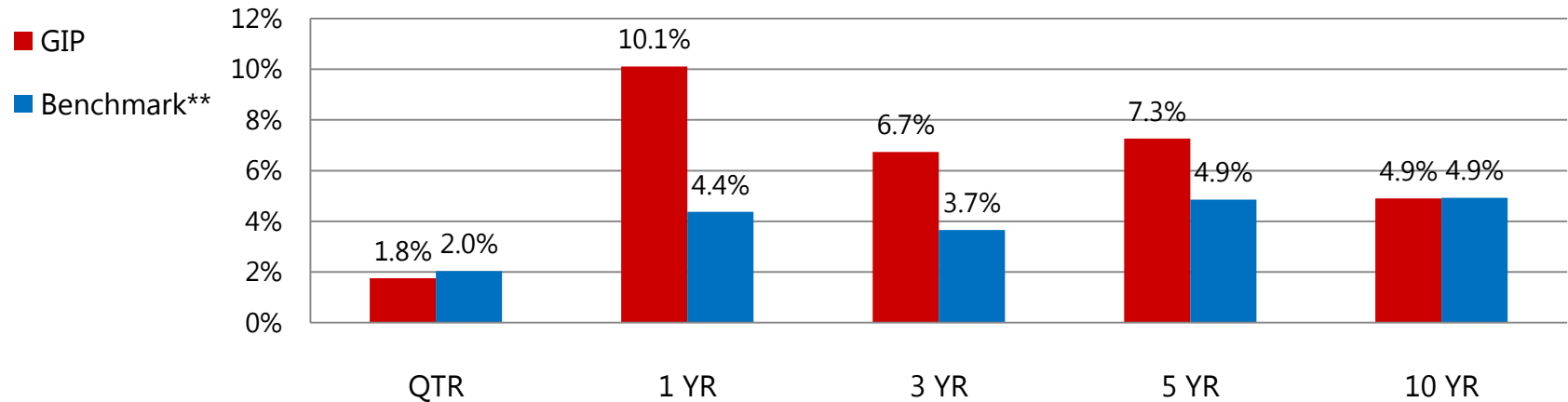
Yield History Relative to Benchmark



GIP Review

GIP – Fund Performance*

Market Value: \$60.1M***



FY 2014 outperformance driven primarily by:

- Investment in CEF (24% allocation) outperformed the benchmark by 1,220 bps
- Underweight to US Treasuries relative to the benchmark
- EM Debt outperformed the benchmark by 330 bps

* Performance is net of manager fees

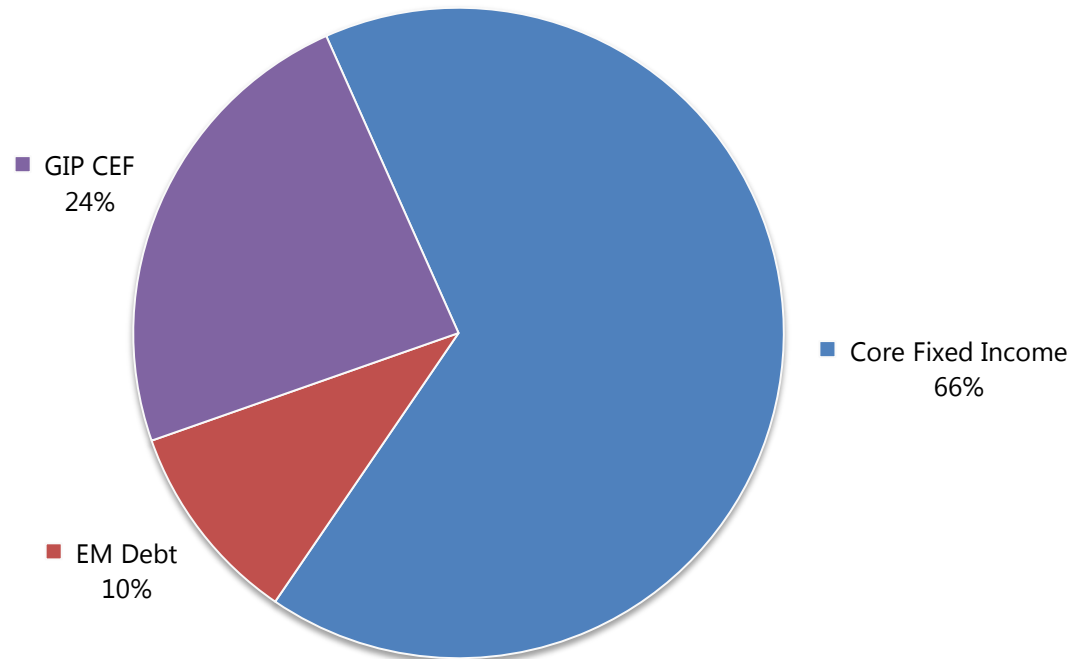
** Benchmark: 100% Barclays Capital Aggregate

*** Total GIP market value and investment performance includes the \$14.2 million investment in CEF

GIP – Asset Allocation

Market Value: \$60.1M

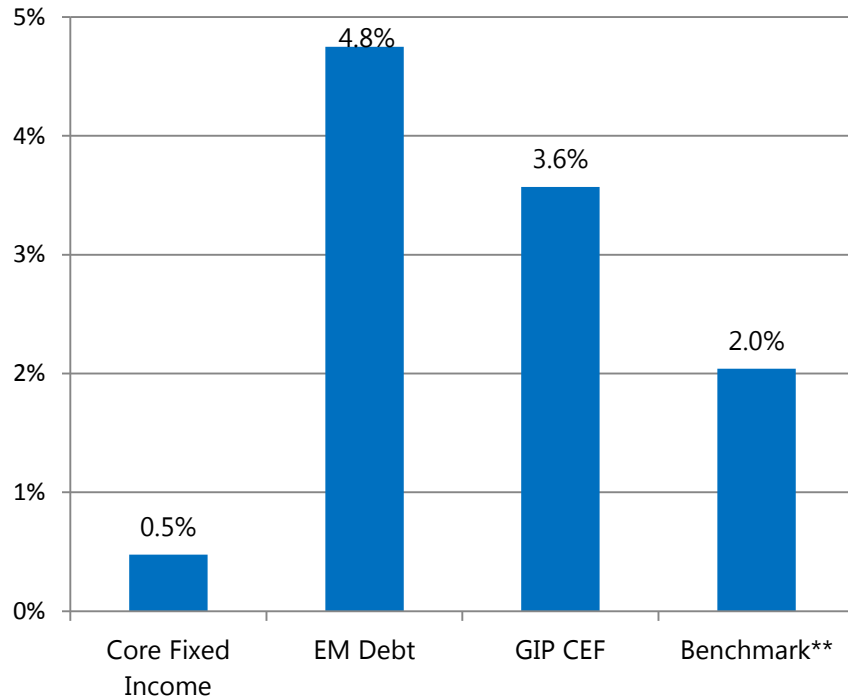
Portfolio Composition



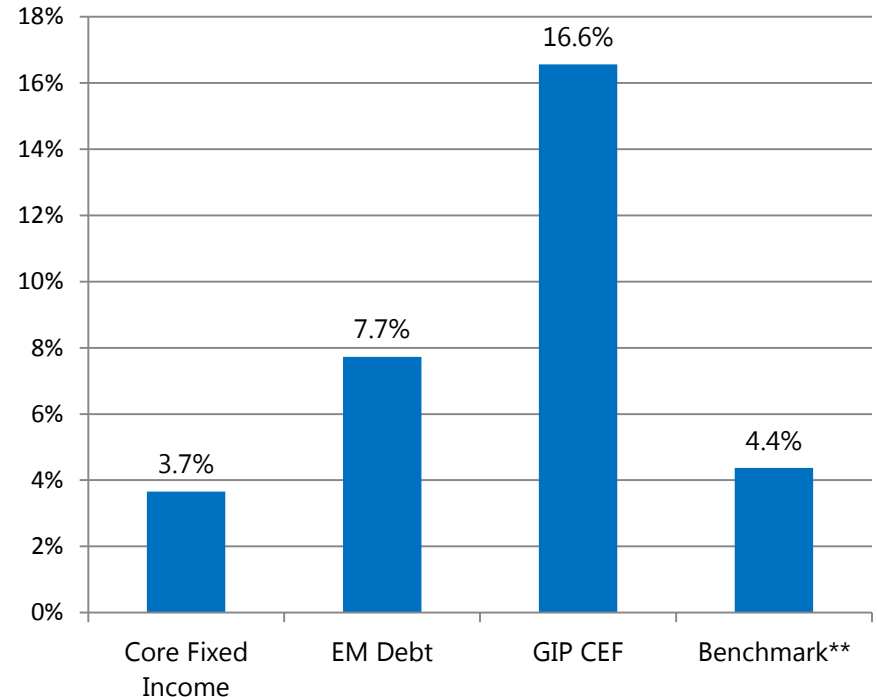
GIP – Performance* by Sector

Market Value: \$60.1M

1 Quarter



1 Year



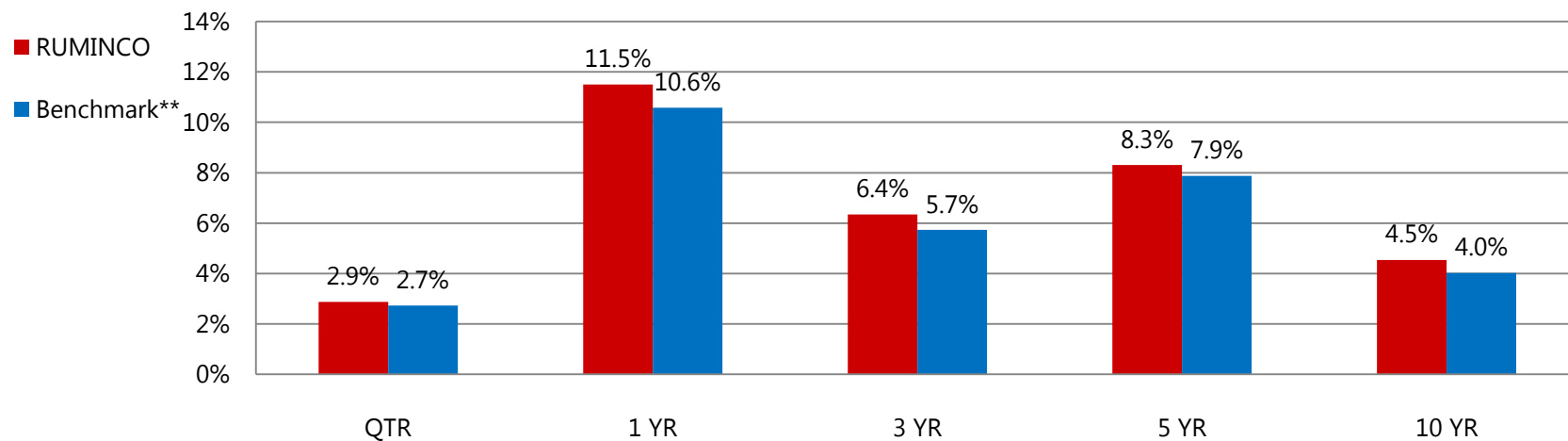
* Performance is net of manager fees

** Benchmark: 100% Barclays Capital Aggregate

RUMINCO Review

RUMINCO – Fund Performance*

Market Value: \$39.2M



FY 2014 performance driven primarily by:

- Overweight to Global Equities
- TCW Total Return portfolio outperformed by 196 bps

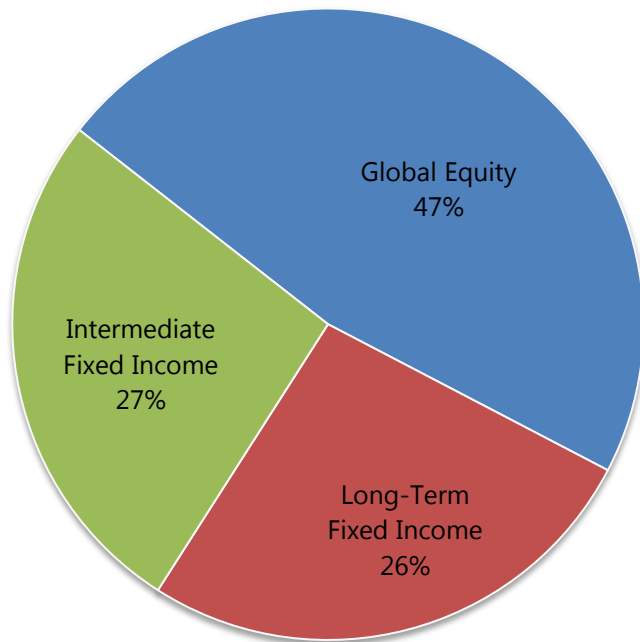
* Performance is net of manager fees

** Benchmark as of 7/1/2014: 60% MSCI AC World Net, 30% Barclays Capital Aggregate, 10% BofAML U.S. Corp & Govt 1-3 Yr

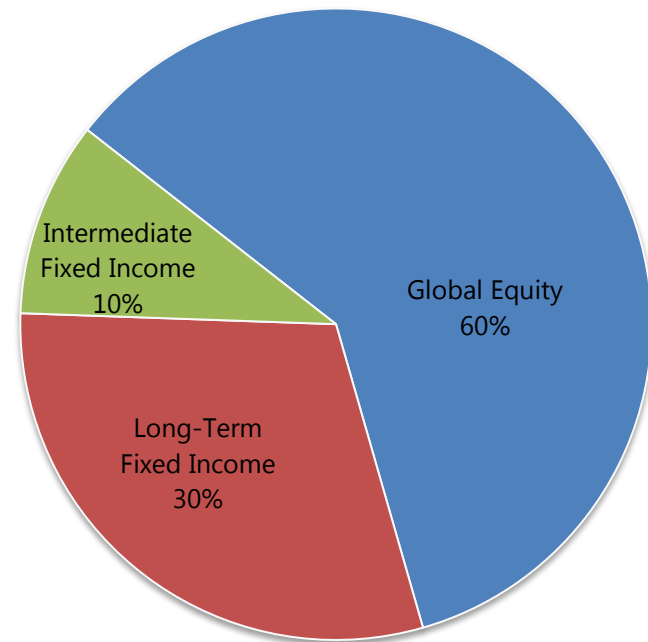
RUMINCO – Asset Allocation

Market Value: \$39.2M

Portfolio Composition



Portfolio Targets



Investment Manager Changes

New:

- Shasta Ventures
- True Ventures
- Data Collective Venture Capital
- Goldman Sachs Global Lower Beta Equity

Terminated:

- Pacific Investment Management Company (PIMCO)

Targeted Investment Managers

The University and the Office of Investments & Banking (OIB) recognizes the opportunity of working with targeted investment managers which are defined as emerging investment managers (less than \$250 million under management) and minority / women owned investment firms.

The OIB has an open door policy when interviewing investment managers and makes every effort to consider targeted managers consistent with the financial and fiduciary responsibilities of the University.

In the last year, OIB hired one targeted investment manager: Data Collective Venture Capital. OIB held initial meetings or preliminary due diligence sessions with 16 targeted managers.

Social Responsibility

The Regents Policy, Endowment Fund, establishes an investment management guideline which states "The University shall consider social responsibility in its investment decisions."

The Office of Investments & Banking (OIB) recognizes that investments which are socially responsible, including those that support a healthy environment, energy conservation, and prudent use of natural resources can also meet the financial and fiduciary requirements for the fund.

In the past year OIB evaluated 5 investment managers/funds meeting these criteria. While OIB has not yet engaged a dedicated fund, many existing portfolio managers prioritize such issues by investing in new products or technologies consistent with this guideline.



UNIVERSITY OF MINNESOTA

Driven to DiscoverSM



UniversityofMinn



UMNews



UofMN

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Meeting of the Board of Regents



Quarterly Report of Grant/Contract Activity

Fiscal Year 2014

Fourth Quarter Data: April-June, 2014

University of Minnesota
Quarterly Report of Grant and Contract Activity
 Fiscal Year 2014 Fourth Quarter: April - June, 2014

Quarter 4 Summary

Quarter 4 award amounts for fiscal year 2014 show an increase across all funding groups with an impressive overall increase of (26.4%) over the same quarter last fiscal year. The most significant increases were in NSF (61.9%) and State of MN (176.9%) although there were double-digit funding increases in NIH (12.4%), Other Federal (35.9%) and Other Private (32.8%) . There were 16 awards over \$1M with a median award amount of \$40K overall.

There were three significant NSF awards: CSENG received two, one for \$1.4M to Timothy Lodge and one for \$1.3M for Paul Marin; the third was awarded to Tamara Moore of CEHD for \$1.7M. There were two NIH awards of significance, one for \$28M to Jim Neaton and one for \$8.9M to Bruce Blazar . The State of MN increase is due to an \$8.7M award to Susan Galatowitsch which also accounts for the increase in CFANS activity. CLA activity increased due to receipt of six awards over \$250K: Joseph Allen (\$351K), William Iacono (\$647K), Fordon Legge (\$374K), Andrew Oxenham (two awards totaling \$731K), Aldo Rustichini (262K).

Comparison of FY14 Q4 to FY13 Q4 (Amounts shown in Millions)

by Source		FY13 Q4		FY14 Q4		\$ Change (Amount)	\$ Change (%)
Sponsor Group	Sponsor	Number	Amount	Number	Amount		
Federal	NIH	249	91.4	225	102.7	11.4	12.4%
Federal	NSF	67	9.7	104	15.7	6.0	61.9%
Federal	Other Federal	88	13.5	112	18.4	4.9	35.9%
Private	Business & Industry	265	10.7	332	11.2	0.5	4.6%
Private	Other Private	359	25.2	385	33.5	8.3	32.8%
State & Local	State & Local	88	5.9	101	16.3	10.4	176.9%
Total		1116	156.4	1259	197.8	41.3	26.4%

by College/Campus	Number	Amount	Number	Amount	\$ Change (Amount)	\$ Change (%)
Medical School	413	34.9	417	45.4	10.5	30.1%
Public Health	63	36.1	52	42.3	6.2	17.2%
College of Science and Engineering	150	25.3	201	30.8	5.5	21.5%
CFANS	168	11.6	159	20.9	9.3	79.8%
Other Health Sciences	49	17.0	113	20.0	3.0	17.6%
Dentistry, Nursing, Pharmacy & Vet Med	75	10.5	68	9.8	-0.8	-7.2%
CEHD	41	7.3	44	7.2	-0.1	-1.6%
UMC, UMD, UMM, UMR	39	2.5	55	5.4	2.9	117.9%
CBS	34	4.8	49	5.2	0.4	9.4%
Other	14	2.3	38	5.1	2.8	120.4%
Other TC Provost	34	2.1	40	3.0	0.8	38.3%
CLA	10	0.6	23	2.8	2.3	393.3%
Sr VP Systems Academic Admin	26	1.4	0	0.0		
Total	1116	156.4	1259	197.8	41.3	26.4%

* Awards reported under "Sr VP Systems Academic Admin" in previous years are now being reported in "Other TC Provost" due to organizational restructuring.

University of Minnesota
Quarterly Report of Grant and Contract Activity
 Fiscal Year 2014 Fourth Quarter: April - June, 2014

Figure 1: FY14 Q4 Award Dollars by Funding Source
 (in millions)

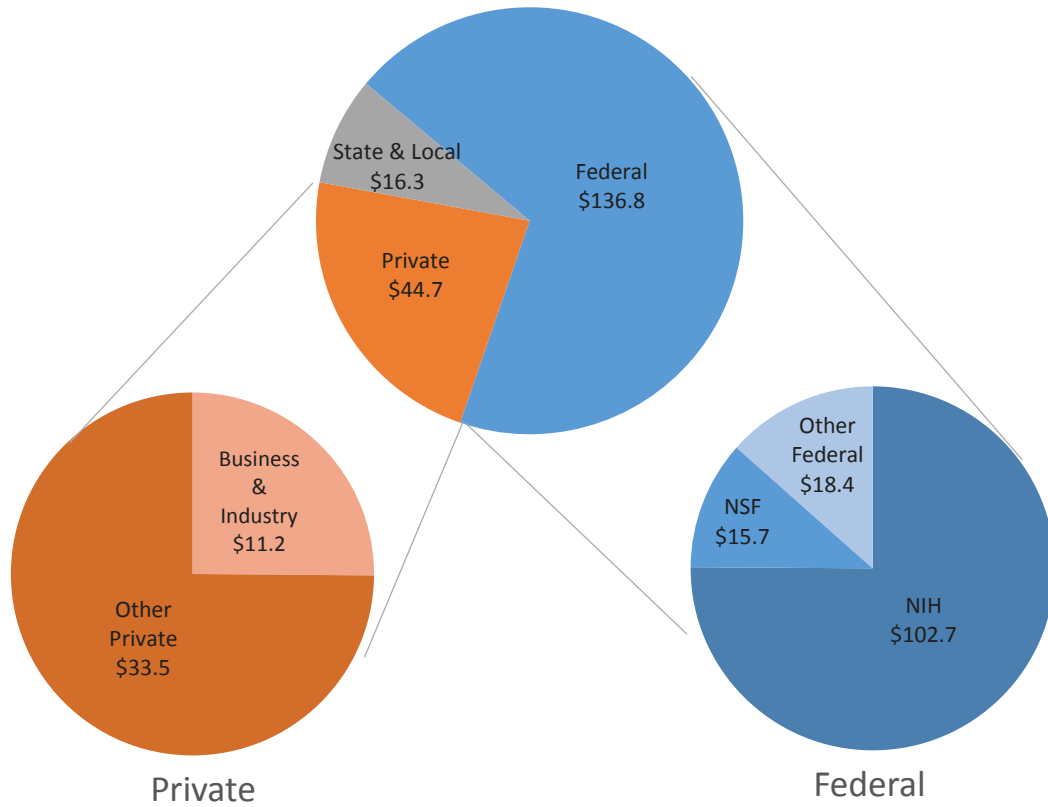
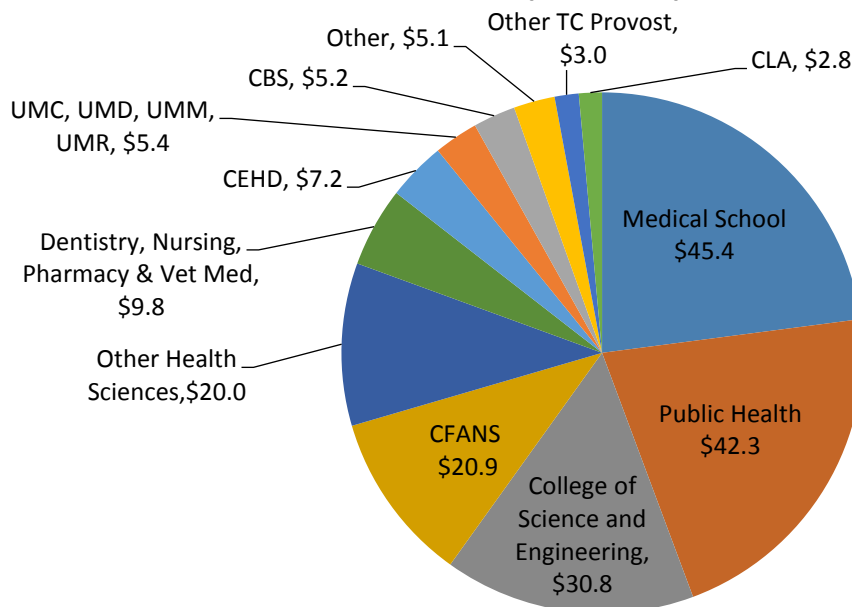


Figure 2: FY14 Q4 Award Dollars by College/Campus
 (in millions)



University of Minnesota
Quarterly Report of Grant and Contract Activity
 Fiscal Year 2014 Fourth Quarter: April - June, 2014

Quarter 4 Award Dollars by College/Campus

Figure 3: Units with Greater than \$10 Million Awarded Annually

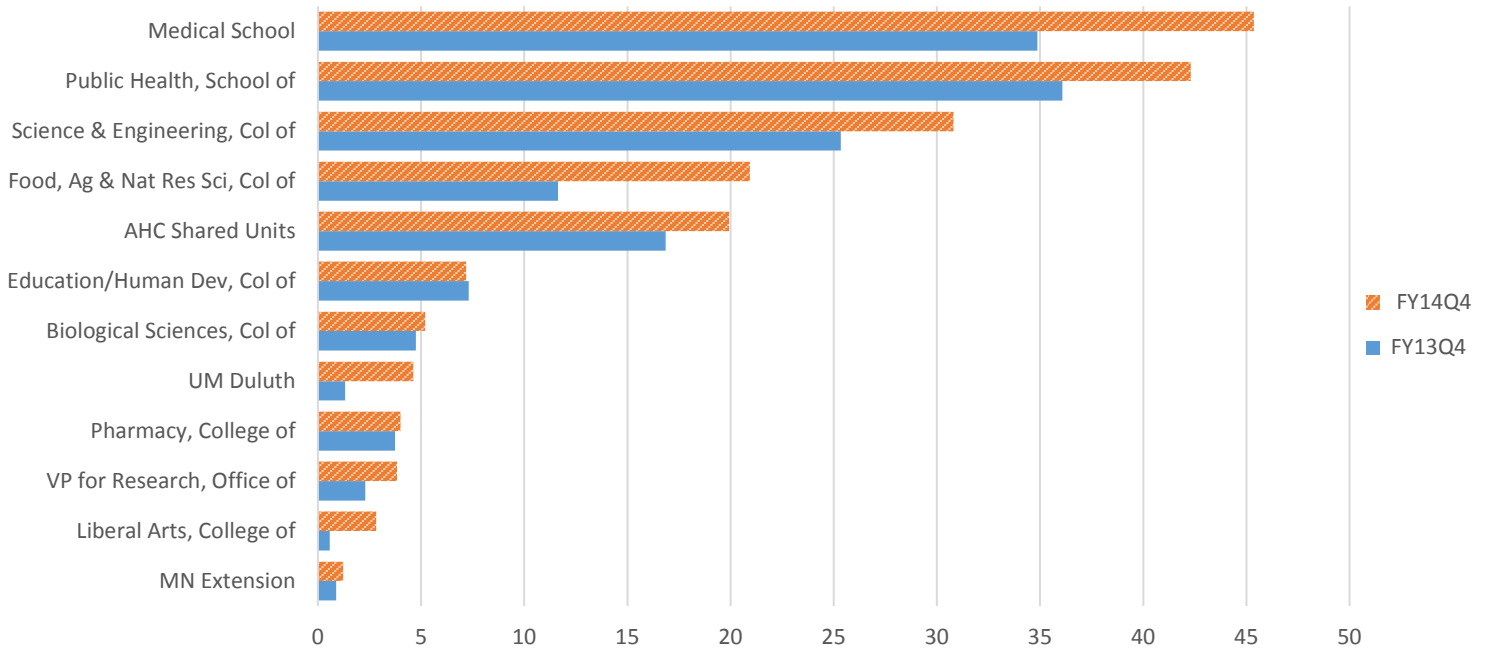
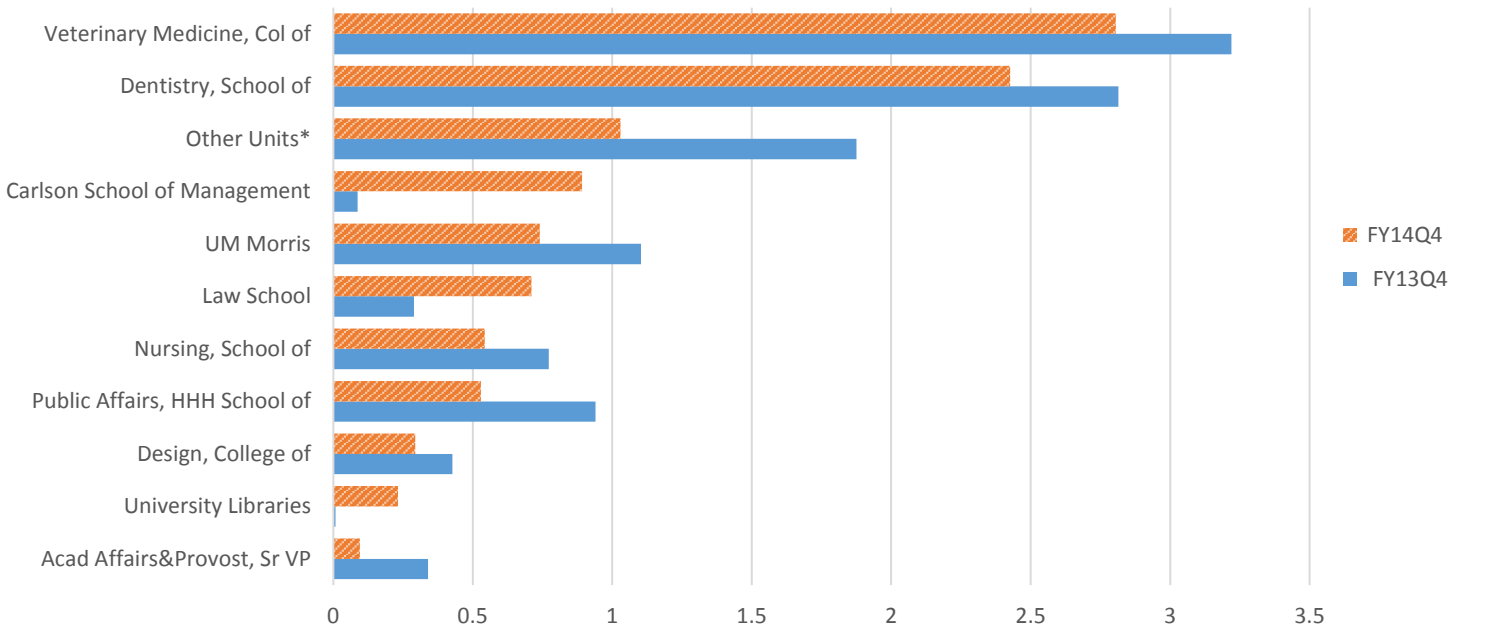


Figure 4: Units with Less than \$10 Million Awarded Annually



*Other Units includes: College of Continuing Education, Equity and Diversity, Global Programs and Strategy, Health Sciences Administration, Student Affairs-Vice Provost, System Academic Admin-Academic Units, System Academic Admin-Senior VP, The Graduate School, UMN-Crookston, UMN-Rochester, Undergraduate Education-VP & Dean.

University of Minnesota
Quarterly Report of Grant and Contract Activity
 Fiscal Year 2014 Fourth Quarter: April - June, 2014

Fiscal Year-to-Date Summary

Awards are up 6.8% overall in FY2014 as compared to FY2013 with increases in nearly all sponsor groups. Both NIH and Other Federal awards were up 5.8%; of the federal group, only NSF activity was down (-8.6%). All other sponsor groups experienced increased activity in FY2014 compared with the same period in FY2013: Business & Industry (15.7%), Other Private (11.2%), and State and Local government (21.8%).

Awards are up in most colleges overall including CSENG (18.8%), Medical School (7.9%), CLA (14.4%), PUBH (6.4%), CFANS (5.4%). Only a few units experienced decreases in awards this fiscal year: CEHD (-8.6%), CBS (-13.3%), and the coordinate campuses. CEHD awards are down primarily due to a 9% decrease in the number of awards. Although CBS had more awards this fiscal year, the average award fell: \$197K in FY2014 versus \$218K in FY2013.

Comparison of FY14 Fiscal Year-to-Date (Q1-4) to FY13 Fiscal Year-to-Date (Q1-4)
 (Amounts shown in Millions)

by Source		FY13 YTD		FY14 YTD		\$ Change (Amount)		\$ Change (%)	
Sponsor Group	Sponsor	Number	Dollars	Number	Dollars				
Federal	NIH	721	271.7	802	287.3		15.6		5.8%
Federal	NSF	298	86.4	339	79.0		-7.4		-8.6%
Federal	Other Federal	445	117.0	524	123.8		6.7		5.8%
Private	Business & Industry	1116	47.7	1190	55.2		7.5		15.7%
Private	Other Private	1437	117.5	1467	130.6		13.1		11.2%
State & Local	State & Local	346	53.1	378	64.6		11.6		21.8%
Total		4363	693.4	4700	740.6		47.2		6.8%

by College/Campus									
Medical School		1731	186.7	1784	201.4		14.7		7.9%
College of Science and Engineering		587	118.1	731	140.2		22.2		18.8%
Public Health		237	88.8	225	94.5		5.7		6.4%
Other Health Sciences		209	59.6	337	64.3		4.7		7.8%
CFANS		447	53.3	463	56.2		2.9		5.4%
CEHD		180	49.0	166	44.8		-4.2		-8.6%
Dentistry, Nursing, Pharmacy & Vet Med		267	36.7	270	38.0		1.4		3.7%
Other		51	16.3	152	32.7		16.3		100.0%
CBS		121	24.4	135	21.2		-3.2		-13.3%
Other TC Provost		146	17.0	150	19.2		2.2		12.8%
UMC, UMD, UMM, UMR		201	16.8	190	16.1		-0.7		-4.2%
CLA		83	10.5	97	12.0		1.5		14.4%
Sr VP Systems Academic Admin		103	16.1	0	0.0				
Total		4363	693.4	4700	740.6		47.2		6.8%

* Awards reported under "Sr VP Systems Academic Admin" in previous years are now being reported in "Other TC Provost" due to organizational restructuring.

University of Minnesota
Quarterly Report of Grant and Contract Activity
 Fiscal Year 2014 Fourth Quarter: April - June, 2014

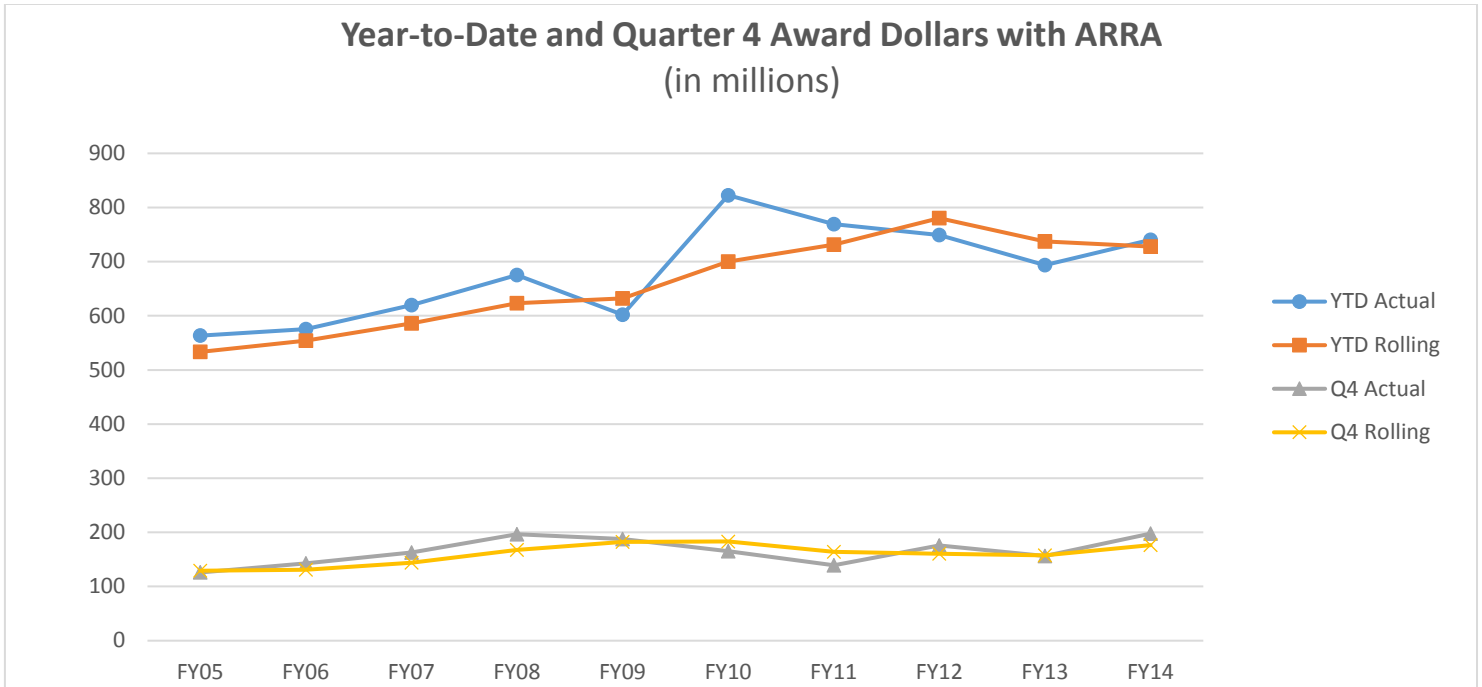


Figure 5: 10-year trend of fourth quarter and fiscal year-to-date award dollars. Showing actual amount and rolling 3-year average. Includes ARRA awards.

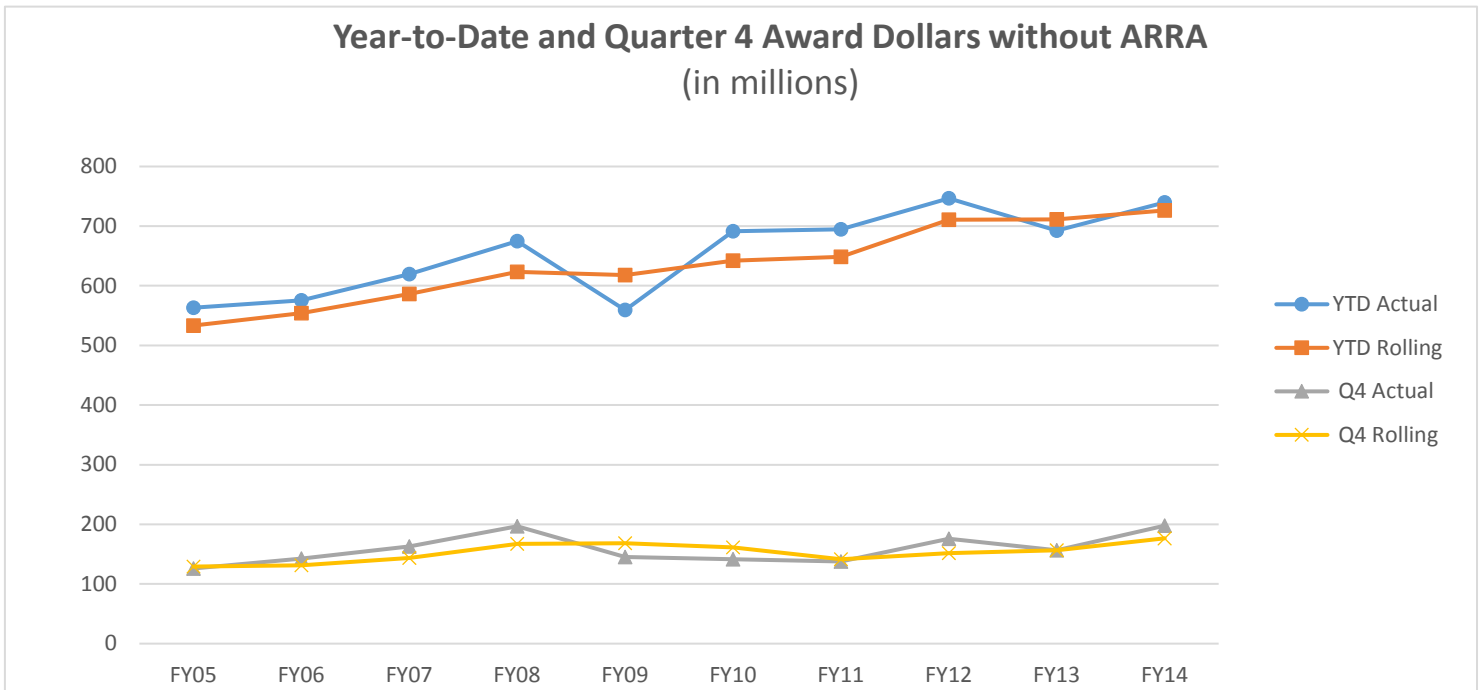


Figure 6: 10-year trend of fourth quarter and fiscal year-to-date award dollars. Showing actual amount and rolling 3-year average. Excludes ARRA awards.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: Consent Report

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: Regent Richard Beeson

Purpose & Key Points

To seek Board of Regents approval of items in the Consent Report, as required in Board of Regents Policy: *Reservation and Delegation of Authority*.

Items for consideration:

A. Gifts

The President recommends approval of the Summary Report of Gifts to the University of Minnesota through July 31, 2014 (attached).

B. Appointment of UMore Development LLC University Governor

The President recommends the appointment of Brian Buhr, Dean of the College of Food, Agricultural, and Natural Resource Sciences, as a University Governor and member of the UMore Development LLC Board of Governors for an indefinite term.

Background Information

UMore Development LLC Board of Governors

Nine Governors were appointed to initial staggered terms on the UMore Development LLC Board of Governors by the Board of Regents on December 11, 2009. The five Community Governors may serve up to three three-year terms; the four University Governors serve indefinite terms.

Pursuant to the Resolution Related to Creation and Organization of UMore Development LLC, adopted by the Board of Regents on October 9, 2009, the LLC's oversight and management agreement provides the University of Minnesota Board of Regents with sole and final authority to appoint the LLC Board of Governors to manage and direct the business of the LLC.

Brian Buhr is recommended to fill the University Governor seat that was vacated by Allen Levine, Vice Provost for Faculty and Academic Affairs, in August 2014.

Current UMore Park LLC Board of Governors membership includes:

- Thomas Fisher, Professor and Dean, College of Design, University of Minnesota
- Sarah B. Harris, Managing Director, University of Minnesota Foundation Real Estate Advisors
- Julie Kimble, Vice President/General Manager and Global Team Leader, Johnson Controls
- Michael O'Keefe, Chair, president Emeritus, Minneapolis College of Art and Design
- Richard Pfitzenreuter, Vice President and Chief Financial Officer, University of Minnesota
- David C. Sellergren, Attorney, Fredrickson & Byron, P.A.
- Roger Sit, President, Chief Executive Officer, and Global Chief Investment Officer, Sit Mutual Funds
- Pamela Wheelock, Vice President for University Services, University of Minnesota

UMore Development LLC's Recommendation for Action

The University Governor appointment was approved by the LLC on August 11, 2014.

President's Recommendation

The President recommends approval of the Consent Report.

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

September 2014 Regents Meeting

	<u>June</u>		<u>Year-to-Date</u>	
	<u>2014</u>	<u>2013</u>	<u>07/01/13 06/30/14</u>	<u>07/01/12 06/30/13</u>
U of M Gift Receiving	\$ 76,943	\$ 205,683	\$ 8,528,488	\$ 3,859,271
4-H Foundation	69,078	49,613	558,120	484,790
Arboretum Foundation	2,030,033	1,570,983	18,872,832	10,512,444
Univ of MN Foundation	<u>35,718,898</u>	<u>19,499,730</u>	<u>253,937,286</u>	<u>220,819,652</u>
Total Gift Activity	<u><u>\$ 37,894,952</u></u>	<u><u>\$ 21,326,009</u></u>	<u><u>\$281,896,726</u></u>	<u><u>\$ 235,676,157</u></u>

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

Pledges are recorded when the commitment is made. 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 June 2014

<u>Donor</u>	<u>Rec'd by</u>	<u>Gift/Pledge</u>	<u>Purpose of gift</u>
<u>\$1 Million and Over</u>			
Richard L. Brachmann Estate	UM	Gift	Minnesota Landscape Arboretum
Richard M. Schulze Family Foundation	UMF	Pledge	College of Education and Human Development
Hormel Foundation	UMF	Gift	Hormel Institute
Alice Tweed Tuohy Foundation	UMF	Pledge	University of Minnesota Duluth
<u>\$500,000 - \$1,000,000</u>			
Ruth Roberts Estate	UMF	Gift	College of Liberal Arts, Law School
Jean Roberts Estate	UMF	Gift	Law School, School of Public Health, College of Science and Engineering
Hopper-Dean Foundation	UMF	Pledge	College of Science and Engineering
<u>\$100,000 - \$250,000</u>			
Thomas G. and Meredith D. Olson	UMF	Pledge	Academic Health Center
Dr. Wendell J. De Boer Estate	UMF	Gift	College of Veterinary Medicine, College of Liberal Arts
Olaf Bergerson Estate	UMF	Gift	Scholarships
Arvid Olson Estate	UMF	Gift	Medical School
Gopher Sports Properties	UMF	Gift	Intercollegiate Athletics
Monsanto Company	UMF	Pledge	College of Food, Agricultural and Natural Resource Sciences
Stephen and Karen Brand Fund-Ayco Charitable Foundation	UMF	Gift	University of Minnesota Duluth
The McKnight Foundation	UMF	Gift	University of Minnesota Extension
Donald E. Ryks	UM	Pledge	Minnesota Landscape Arboretum
Altru Health System	UMF	Pledge	University of Minnesota Crookston
<u>\$50,000 - \$100,000</u>			
Target Corporation	UMF	Gift	Various Colleges
Edelstein Family Foundation	UMF	Gift	College of Liberal Arts
Rogue Foundation-Signature Fund the Minneapolis Foundation	UMF	Gift	Academic Health Center, College of Veterinary Medicine, Intercollegiate Athletics
Robert B. Henton Residuary Trust	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Anonymous	UMF	Gift	Academic Health Center
Robert E. and Gail Buuck	UMF	Pledge	Scholarships

\$50,000 - \$100,000

Boston Scientific Corporation	UMF	Gift	Medical School, College of Science and Engineering
E. Reuben and Gladys Flora Grant Charitable Trust	UMF	Pledge	College of Science and Engineering
Mahlon C. and Karen M. Schneider	UMF	Gift	Law School
Procter and Gamble Company	UMF	Gift	College of Science and Engineering
Michael P. Wesp Estate	UMF	Gift	Medical School
Anonymous	UMF	Gift	Various Colleges
Peter T. Beniares	UMF	Pledge	Intercollegiate Athletics
Dr. Peter C. Ruenitz	UMF	Pledge	College of Pharmacy
F. R. Bigelow Foundation	UMF	Gift	College of Education and Human Development
Fast Horse Incorporation	UMF	Pledge	Medical School
INOAC Corporation	UMF	Gift	College of Science and Engineering
J. and S. Haugo Living Endowment Fund-ELCA	UMF	Gift	College of Education and Human Development, Medical School
Scrooby Foundation	UM	Gift	Minnesota Landscape Arboretum
Target Foundation	UMF	Gift	Weisman Art Museum
The Gulati Family Foundation	UMF	Pledge	Carlson School of Management
The Saint Paul Foundation	UMF	Gift	College of Education and Human Development

\$25,000 - \$50,000

Mary Anne Page	UMF	Gift	College of Liberal Arts
Lions Multiple District 5m Hearing Foundation Incorporation	UMF	Gift	Medical School
Adopt A Room Foundation	UMF	Gift	Academic Health Center
Peter W. and Sharon Robinson	UMF	Gift	Carlson School of Management
Bodystat Limited	UMF	Pledge	College of Food, Agricultural and Natural Resource Sciences
Ford Motor Company	UMF	Gift	College of Science and Engineering
Narus Incorporation	UMF	Gift	College of Science and Engineering
The Bruce and Joan Richard Family Fund	UMF	Gift	Carlson School of Management, College of Science and Engineering
Johnson Brothers Liquor Company	UMF	Gift	Intercollegiate Athletics
Minnesota Section-Institute of Food Technologists	UMF	Pledge	College of Food, Agricultural and Natural Resource Sciences
General Mills Incorporation	UMF	Gift	Various Colleges
Sally and John Turritin	UMF	Gift	Medical School
Ankeny Family Fund-Minneapolis Foundation	UM	Gift	Minnesota Landscape Arboretum
Sandra M. and C. Robert Morris	UMF	Gift/Pledge	College of Liberal Arts, College of Design

\$25,000 - \$50,000

Virginia Johnston Wimmer Charitable Trust	UMF	Gift	College of Liberal Arts
The Toro Company	UM	Gift	Minnesota Landscape Arboretum
Fairview Health Services	UMF	Gift	Medical School, School of Nursing
Dr. John I. Coe Estate	UMF	Gift	Medical School, School of Nursing
Olga B. Hart Education Foundation	UMF	Gift	Intercollegiate Athletics
CoBank	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
General Mills Foundation	UMF	Gift/Pledge	Various Colleges
American Pancreatic Association	UMF	Gift	Medical School
Katharine E. Dumas	UMF	Gift	University of Minnesota Duluth
Lawrence F. Barnes Estate	UMF	Gift	Carlson School of Management, College of Continuing Education, Law School
Paul D. and Betsy Mitchell	UMF	Gift	Intercollegiate Athletics
Anonymous	UMF	Gift	Libraries
Pamela M. Hartley	UMF	Gift	University of Minnesota Extension
Thomas G. Rothstein	UMF	Pledge	Intercollegiate Athletics
HRK Foundation	UMF	Gift	Medical School, Weisman Art Museum
Mary S. McNellis	UMF	Pledge	College of Design
Alport Syndrome Foundation Incorporation	UMF	Gift	Medical School
Anne Lewis	UMF	Pledge	University of Minnesota Duluth
Anonymous	UMF	Gift	Academic Health Center
Bentson Foundation	UMF	Gift	Scholarships
Deanna F. Peterson	UMF	Pledge	Humphrey School of Public Affairs
Dr. David B. and Terri E. Donsker	UMF	Gift	Bell Museum of Natural History
Kathryn A. Scheffler	UMF	Gift	Medical School
Patty and Richard DeLano	UMF	Pledge	University of Minnesota Duluth
Richard A. and Linda S. Hanson	UMF	Pledge	College of Liberal Arts
Richard A. Chapman	UMF	Pledge	College of Liberal Arts
Schlumberger Company	UMF	Gift	College of Science and Engineering
Sidney J. Wolfenson Estate	UMF	Gift	Intercollegiate Athletics
White Earth Reservation Tribal Council	UMF	Gift	University of Minnesota Duluth

\$10,000 - \$25,000

Abbott Laboratories	UMF	Gift	Medical School
Douglas W. Carlson Estate	UMF	Gift	College of Veterinary Medicine
Robert L. and Kristin N. Ryan	UMF	Gift	Medical School
Robert Eddy and Pamela Hayes	UMF	Gift	Medical School
Siemens Medical Solutions Incorporation	UMF	Gift	Medical School

\$10,000 - \$25,000

Alfred W. Erickson Foundation	UMF	Gift	Medical School
Dr. Michael D. R. Lougee	UMF	Gift	Medical School
George Family Foundation	UMF	Gift	Humphrey School of Public Affairs
Mardag Foundation	UMF	Gift	College of Education and Human Development
Midwest Food Processors Association	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Palen Family Foundation of the St. Paul Foundation	UMF	Gift	College of Pharmacy
Steven C. Hey	UMF	Gift	Intercollegiate Athletics
Kathleen P. Teberg	UMF	Gift	Medical School
Sandra C. Eskin	UM	Gift	Weisman Art Museum
MN Annual Conference-United Methodist Church	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Minnesota Honey Producers Association Incorporation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
3M Company	UMF	Gift	School of Dentistry
Minnesota DEED	UMF	Gift	Carlson School of Management
Chris and Erin Thompson	UMF	Gift	Medical School
Elizabeth C. Wagner Trust	UMF	Gift	Scholarships
Boehringer Ingelheim Vetmedica Incorporation	UMF	Gift	College of Veterinary Medicine
Bayer CropScience LP	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Anonymous	UMF	Gift	College of Design
Carolyn Foundation	UM	Gift	Minnesota Landscape Arboretum
CN	UMF	Pledge	Humphrey School of Public Affairs
Gary J. and Barbara R. Haugen	UMF	Pledge	Law School
Jurkovich Charitable Remainder Trust	UMF	Gift	University of Minnesota Duluth
Minnesota Twins	UMF	Gift	Medical School
Robin and Barbara Schaller Charitable Fund-Fidelity	UM	Gift	Minnesota Landscape Arboretum
St. Jude Medical Foundation	UMF	Gift	Medical School
Stephen Duncan	UMF	Gift	Medical School
The Saskatoon Colostrum Company Ltd	UMF	Gift	College of Veterinary Medicine
Webster Family Foundation	UM	Gift	Minnesota Landscape Arboretum
Ames Construction Incorporation	UMF	Gift	Intercollegiate Athletics, Medical School
Anne N. Kersey	UMF	Gift	Academic Health Center
Dr. Brent L. Florine	UMF	Gift	Intercollegiate Athletics
Ion Corporation	UMF	Gift	Intercollegiate Athletics
Cargill Incorporation	UMF	Gift/Pledge	Various Colleges

\$10,000 - \$25,000

Stratasys Incorporation	UMF	Gift	College of Science and Engineering
3M Foundation Incorporation	UMF	Gift/Pledge	Various Colleges
Christopher J. and Anne M. Policinski	UMF	Gift	Medical School
Albert and Anne Mansfield Foundation	UMF	Gift	Law School
Hugh J. Andersen Foundation	UMF	Gift	College of Veterinary Medicine
Marquit-Grieser Fund	UMF	Gift	College of Liberal Arts, College of Science and Engineering
Pennsylvania Cystic Fibrosis, Incorporation	UMF	Gift	Medical School
Brian Pinkney	UM	Gift	Libraries
Kjell Bergh	UMF	Gift	Humphrey School of Public Affairs
Kathleen M. Schmidlkofer	UMF	Gift	Unrestricted
Dr. Jacqueline S. Mithun	UMF	Gift	Law School
H. B. Fuller Company Foundation	UM	Gift	Minnesota Landscape Arboretum
John E. and Nancy E. Lindahl	UMF	Gift	Medical School
Dr. Mary Kathryn Dunn Brown	UMF	Gift	Law School
Anonymous	UMF	Gift	Academic Health Center
Anonymous	UMF	Gift	College of Liberal Arts
C. and A. Policinski Charitable Fund-MN Community Foundation	UMF	Gift	Unrestricted
C. Jerry Nelson	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Campbell Foundation	UM	Gift	Minnesota Landscape Arboretum
Denis A. and Constance M. White	UMF	Gift	Academic Health Center
Donald L Garofalo	UMF	Gift	Medical School
Fish and Richardson PC	UMF	Gift	Medical School
Flory-Schultz Charitable Gift Fund	UMF	Gift	College of Biological Sciences
G. and K. Services Incorporation	UMF	Gift	Carlson School of Management
Gideon and Sarah Gartner Foundation- Fidelity Charitable Gift Fund	UMF	Gift	College of Science and Engineering
James A. Johnson	UMF	Gift	Humphrey School of Public Affairs
John M. Bryant	UM	Pledge	Minnesota Landscape Arboretum
Land O' Lakes Incorporation	UMF	Gift	Medical School
Mithun Family Foundation	UM	Gift	Minnesota Landscape Arboretum
Noah and Susan Eisenberg	UM	Gift	Weisman Art Museum
Richard B. Sachs	UMF	Gift	Intercollegiate Athletics
Rickeman/Murphy Family Fund- Minneapolis Foundation	UM	Gift	Minnesota Landscape Arboretum
Ruth G. Bachman	UMF	Gift	Medical School
Simon Ka-Wo Wong	UMF	Gift	Scholarships
Sinclair Winton	UM	Gift	Minnesota Landscape Arboretum

\$10,000 - \$25,000

Syngenta Crop Protection LLC	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
United Health Foundation	UMF	Gift	Humphrey School of Public Affairs
Virginia H. Morris	UMF	Gift	Scholarships
Wenger Family Fund-Catholic Community Foundation	UMF	Gift	Medical School

\$5,000 - \$10,000

Citizens for Backus/AB Incorporation	UM	Gift	4H Foundation
Jones Family Foundation	UM	Gift	4H Foundation
Fast Break Club	UMF	Gift	Intercollegiate Athletics
ALS Association MN/ND/SD Chapter	UMF	Gift	Medical School
John and Roberta McKee	UMF	Gift	Medical School
S. K. B. Environmental Incorporation	UMF	Gift	Intercollegiate Athletics
Terry Stade Farms Incorporation	UMF	Gift	Intercollegiate Athletics
Carolyn A. Erickson	UMF	Gift	Intercollegiate Athletics
Muriel M. Orcutt Estate	UMF	Gift	Libraries
Jeffrey G. and Mary S. Scott	UMF	Gift	Carlson School of Management, College of Liberal Arts
John S. Anderson	UMF	Gift	Intercollegiate Athletics
James E. Haglund	UMF	Gift	Intercollegiate Athletics
Dr. Stephen S. Lane	UMF	Gift	Intercollegiate Athletics
Precision Lens	UMF	Gift	Intercollegiate Athletics
Richard and Jaci Lindstrom Foundation	UMF	Gift	Intercollegiate Athletics
U of M Medical Devices Center	UMF	Gift	Intercollegiate Athletics
Faegre Baker Daniels Foundation	UMF	Pledge	Law School
Winifred K. Steffenson	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
John Cowles III and Page Knudsen Cowles	UMF	Gift	Humphrey School of Public Affairs
Kohl's Corporation	UM	Gift	Minnesota Landscape Arboretum
Lumina Foundation	UMF	Pledge	College of Education and Human Development
Patrick and Aimee Butler Family Foundation	UMF	Gift	Humphrey School of Public Affairs
United Phosphorous Incorporation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Martin E. Davis	UMF	Gift	Intercollegiate Athletics
Jane T. Adams	UMF	Gift	Intercollegiate Athletics
Oppenheimer Wolff and Donnelly LLP	UMF	Pledge	Law School
Dr. Christopher Sullivan and Lydia L. Parker	UMF	Gift	Medical School
Patrick W. Archbold	UMF	Gift	Intercollegiate Athletics

\$5,000 - \$10,000

Michael C. Nowakowski	UMF	Gift	Intercollegiate Athletics
Hubbard Broadcasting Incorporation	UMF	Gift	Intercollegiate Athletics
Justin Carroll	UMF	Gift	Intercollegiate Athletics
Kay E. Dobbs	UMF	Gift	Medical School
John J. Plank Estate	UMF	Gift	Medical School
Deloitte Foundation	UMF	Pledge	Carlson School of Management
Noel P. Rahn	UMF	Gift	Intercollegiate Athletics
Nuveen Investments Holdings	UMF	Gift	Medical School
Alkire Family Foundation	UMF/UM	Gift	Minnesota Landscape Arboretum, Medical School
Boss Foundation	UM	Gift	Minnesota Landscape Arboretum
CSDZ Incorporation	UMF	Gift	Intercollegiate Athletics
Ergodyne Corporation	UMF	Gift	Medical School
Patricia A. Erlandson Fund-Fidelity Gift Fund	UMF	Gift	Medical School
Stuart and Katherine Nielsen	UMF	Gift	College of Liberal Arts
Dr. Stephanie C. Van D'Elden	UMF	Gift	Weisman Art Museum, Libraries, College of Liberal Arts
D. and R. Star	UMF	Gift	Intercollegiate Athletics
Jeff Cowan	UMF	Gift	Intercollegiate Athletics
Dr. Glen D. and Marilyn C. Nelson	UMF	Gift	Humphrey School of Public Affairs, Weisman Art Museum, Carlson School of Management
Donald I. Gonse	UMF	Gift	Medical School
Duluth Engineers Club	UMF	Gift	University of Minnesota Duluth
Jenny L. Verner	UM	Gift	Minnesota Landscape Arboretum
Keith Rachey	UMF	Gift	Intercollegiate Athletics
Aitkin Iron Works Incorporation	UMF	Gift	Intercollegiate Athletics
Cavendish Farms Incorporation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Benjamin F. Nelson Estate	UMF	Gift	Medical School
North American Banking Company	UMF	Gift	Medical School
Cora E. Peffer Estate	UMF	Gift	Carlson School of Management
DePuy Orthopaedics Incorporation	UMF	Gift	Medical School
Warren L. and Donna Beck	UM	Gift	Minnesota Landscape Arboretum
Royal D. and Karen Alworth	UMF	Gift	University of Minnesota Duluth
Allan C. and Phyllis M. Tappe	UMF	Gift	Intercollegiate Athletics
Allina Health System	UMF	Gift	Medical School
Alton Foundation	UMF	Gift	Medical School
Ashland Incorporation	UMF	Gift	College of Science and Engineering
Blandin Foundation	UMF	Gift	Carlson School of Management
Bradley J. and Beth L. Martinson	UMF	Gift	Medical School
Chorzempa Family Foundation	UM	Gift	Minnesota Landscape Arboretum

\$5,000 - \$10,000

Consulting Radiologists Ltd	UMF	Gift	Medical School
Cutshall Foundation	UMF	Gift	Law School
Daniel P. and Allison Connally	UMF	Gift	College of Liberal Arts
Dave and Shannon Keller Charitable Fund	UMF	Gift	Academic Health Center
Dellwood Foundation Incorporation	UMF/UM	Gift	Minnesota Landscape Arboretum, College of Veterinary Medicine
Deluxe Corporation	UMF	Gift	College of Veterinary Medicine
DeWalt H. Ankeny, Jr. Fund of The Minneapolis Foundation	UM	Gift	Minnesota Landscape Arboretum
Dorsey and Whitney Foundation	UM	Gift	Minnesota Landscape Arboretum
Dr. John E. and Jane Y. Connett	UMF	Gift	School of Public Health
Dr. Merrill A. Biel	UM	Gift	School of Dentistry
Drs. James S. and Ann M. Winsor	UMF	Gift	College of Veterinary Medicine
Elizabeth Ann Wasserberger	UMF	Gift	College of Biological Sciences
Frederick and Eleanor Winston Charitable Trust	UM	Gift	Minnesota Landscape Arboretum
Jaguar Land Rover Minneapolis	UMF	Gift	Unrestricted
James P. O'Shaughnessy	UMF	Gift	Scholarships
Jean Velleu	UM	Gift	College of Design
Jerry and Lisa O'Brien Family Fund-MN Community Foundation	UMF	Gift	College of Education and Human Development
John Estes	UMF	Gift	Intercollegiate Athletics
Judson K. Champlin	UMF	Gift	College of Science and Engineering
Kaplan Strangis and Kaplan P A	UMF	Gift	Law School
Kathryn H. Tunheim	UMF	Gift	Humphrey School of Public Affairs
Mark E. Hegman	UM	Pledge	Minnesota Landscape Arboretum
Michael Casey	UMF	Gift	Northrop
Minnesota Turf and Grounds Foundation	UMF	Gift	University of Minnesota Crookston
National 4-H Council	UM	Gift	4H Foundation
Park Nicollet Health Services	UMF	Gift	Medical School
Paul H. Ravich	UMF	Pledge	Law School
Perten Instruments Incorporation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Peter and Eunice Weisensel Charitable Gift Fund	UMF	Gift	Libraries
Pothapragada Family Fund-Fidelity Charitable Gift Fund	UMF	Gift	College of Biological Sciences
Randall C. Betcher	UM	Gift	Minnesota Landscape Arboretum
Richard H. Anderson	UMF	Gift	Humphrey School of Public Affairs
Stanley M. and Luella G. Goldberg Family Foundation	UMF	Gift	Various Colleges

\$5,000 - \$10,000

Stephen W. and Cynthia V. Lehmkuhle	UMF	Gift	University of Minnesota Rochester
The CAG Foundation	UMF	Gift	University of Minnesota Duluth
The Grande Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
The Pentair Foundation	UM	Gift	Minnesota Landscape Arboretum
The Scoular Company	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
The Waters Senior Living LLC	UMF	Gift	Center for Spirituality and Healing
Thomas P. Schnettler	UMF	Gift	Medical School
Timothy M. and Mary C. Scanlan	UMF	Gift	Medical School
W. M. Foundation	UMF	Gift	College of Veterinary Medicine
Walker Uptown LLC	UMF	Gift	Medical School
Whalen Family Trust	UMF	Gift	Humphrey School of Public Affairs

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

September 2014 Regents Meeting

	<u>July</u>		<u>Year-to-Date</u>	
	<u>2014</u>	<u>2013</u>	<u>07/01/14 07/31/14</u>	<u>07/01/13 07/31/13</u>
U of M Gift Receiving	\$ 20,843	\$ 42,904	\$ 20,843	\$ 42,904
4-H Foundation	170,232	16,559	170,232	16,559
Arboretum Foundation	331,291	2,213,809	331,291	2,213,809
Univ of MN Foundation	<u>8,726,646</u>	<u>10,593,761</u>	<u>8,726,646</u>	<u>10,593,761</u>
Total Gift Activity	<u><u>\$ 9,249,012</u></u>	<u><u>\$ 12,867,033</u></u>	<u><u>\$ 9,249,012</u></u>	<u><u>\$ 12,867,033</u></u>

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

Pledges are recorded when the commitment is made. 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 July 2014

<u>Donor</u>	<u>Rec'd by</u>	<u>Gift/Pledge</u>	<u>Purpose of gift</u>
<u>\$1 Million and Over</u>			
Lester H. and June M. Nielsen	UMF	Pledge	University of Minnesota Crookston
<u>\$500,000 - \$1,000,000</u>			
NCMIC Foundation Incorporated	UMF	Pledge	Center for Spirituality and Healing
<u>\$250,000 - \$500,000</u>			
The McKnight Foundation	UMF	Gift	Concerts and Lectures
Kidz1stFund	UMF	Gift	Medical School
<u>\$100,000 - \$250,000</u>			
Bakken 2004 Lead Trust	UMF	Gift	Research
Mary Lee Dayton Estate	UMF	Gift	Bell Museum of Natural History
Medica	UMF	Gift	Business and Community Economic Development
3M Company	UMF	Gift	School of Dentistry, Medical School
Bayer CropScience LP	UMF	Pledge	College of Food, Agricultural and Natural Resource Sciences
Dr. Hugh J. Thompson Estate	UMF	Gift	Graduate School, Scholarships
Anonymous	UMF	Gift	Intercollegiate Athletics
Alumni Association/Foundation-Program in Healthcare Administration	UMF	Gift	School of Public Health
American Medical Systems Incorporated	UMF	Gift	Medical School
Drs. James T. and Penny I. Langland	UMF	Pledge	Intercollegiate Athletics
Frank W. Veden Charitable Trust	UMF	Gift	University of Minnesota Crookston
Starkey Hearing Foundation	UMF	Gift	Medical School
W. M. Foundation	UMF	Gift	College of Veterinary Medicine
<u>\$50,000 - \$100,000</u>			
Lowell F. Schwab	UMF	Gift	Intercollegiate Athletics
Katherine R. Lillehei Charitable Lead Unitrust	UMF	Gift	Medical School, School of Nursing
Millicent Atkins Estate	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Chinese Academy of Sciences	UMF	Gift	College of Science and Engineering

\$50,000 - \$100,000

Irving Harris Foundation	UMF	Gift	College of Education and Human Development
Scherer Brothers Lumber Company	UMF	Pledge	Intercollegiate Athletics
Alan J. and Melissa S. Spaulding	UMF	Pledge	Intercollegiate Athletics
Kenneth and Claudia Silverman Family Foundation	UMF	Gift	Medical School
St. Jude Medical Foundation	UMF	Gift	Intercollegiate Athletics
Emerson Electric Company	UMF	Gift	Intercollegiate Athletics
Marla S. Spivak	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Medtronic Incorporated	UMF	Gift	College of Science and Engineering
Paul and Patricia Guehler Fund-Fidelity Charitable Fund	UMF	Gift	College of Science and Engineering

\$25,000 - \$50,000

Ames Construction Incorporated	UMF	Gift	Intercollegiate Athletics, Medical School
General Mills Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences, Intercollegiate Athletics
Millicent L. Myers Estate	UMF	Gift	College of Veterinary Medicine
The John and Ruth Huss Fund-St. Paul Foundation	UM	Gift	Minnesota Landscape Arboretum
U of M Medical Center Fairview, Medical Staff	UMF	Gift	Medical School
Roger P. Parkinson	UMF	Gift	Humphrey School of Public Affairs
Dr. Robert J. Straka	UMF	Gift	College of Pharmacy
Albert J. Mayer	UMF	Gift	College of Science and Engineering
Boehringer Ingelheim Vetmedica Incorporated	UMF	Gift	College of Veterinary Medicine
Caroline D. Gabel	UMF	Gift	Humphrey School of Public Affairs
Clayton A. and Kara L. Fresk	UMF	Gift	Scholarships
Fond du Lac Band of Lake Superior Chippewa	UMF	Pledge	University of Minnesota Morris
Henkel Corporation	UMF	Gift	College of Science and Engineering
Human Resources Research Organization	UMF	Gift	College of Liberal Arts
Jerry and Lisa O'Brien Family Fund-MN Community Foundation	UMF	Gift	Weisman Art Museum
Ronald P. Rasmussen and Ellen L. Sorenson	UMF	Gift	College of Liberal Arts
Ryan Wersten MIOP Foundation	UMF	Gift	Medical School
St. Jude Medical Incorporated	UMF	Gift	Medical School

\$10,000 - \$25,000

Robert Nygren Fund-Renaissance Charitable Fund Incorporated	UMF	Gift	Scholarships
BASF Corporation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Terry L. Tranter	UMF	Gift	Carlson School of Management
Ameriprise Financial Incorporated	UMF/Pledge	Gift	Various Colleges
Arnold S. Leonard Cancer Research Fund	UMF	Gift	Medical School
Edward I. Sucoff Estate	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Graco Foundation	UMF	Gift	College of Science and Engineering
Minnesota Turf and Grounds Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
NCASI National Council for Air/Stream Improvement Incorporated	UMF	Gift	University of Minnesota Duluth
Ralph D. Ebbott	UMF	Gift	Medical School
UnitedHealth Military and Veterans Services LLC	UMF	Gift	Carlson School of Management
Bertha A. Lewis Estate	UMF	Gift	College of Science and Engineering
Ardent Mills ConAgra Foods	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Arvid Olson Estate	UMF	Gift	Medical School
Anonymous	UMF	Gift	School of Dentistry
bioCSL Incorporated	UMF	Gift	School of Public Health
Elizabeth R. Thompson Estate	UMF	Gift	Scholarships, Graduate School
Helen Clay Frick Foundation	UM	Gift	Minnesota Landscape Arboretum
Philip and Katherine Nason Fund-St. Paul Foundation	UM	Gift	Minnesota Landscape Arboretum
Robert and Polly McCrea Family Fund-Minneapolis Foundation	UM	Gift	Minnesota Landscape Arboretum
William P. Donovan	UMF	Gift	Medical School
Rudolf F. Greulich	UMF	Gift	College of Education and Human Development
McCauley-Brown Fund-Community Foundation Sarasota County	UMF	Gift	Academic Health Center
Minnesota 4-H Horse Association	UM	Gift	4H Foundation
L. G. Electronics	UMF	Gift	Intercollegiate Athletics
Center for Computer-Assisted Legal Instruction	UMF	Gift	Law School
Dave "Tolly" Tollefson Memorial Foundation Incorporated	UMF	Gift	Hormel Institute

\$10,000 - \$25,000

Trust for the Meditation Process	UMF	Gift	Center for Spirituality and Healing
Cabot Corporation	UMF	Gift	College of Science and Engineering
H. B. Fuller Company Foundation	UMF	Gift	Carlson School of Management, College of Education and Human Development
June M. Drebing Estate	UM	Gift	Minnesota Landscape Arboretum
Genz-Ryan Plumbing and Heating Company	UMF	Gift	Intercollegiate Athletics
American Legion Family Brain Sciences Foundation	UMF	Gift	Medical School
Bayer Corporation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Mohring Family Trust-Renaissance Charitable Foundation	UMF	Gift	College of Liberal Arts
Westwood Professional Services Incorporated	UMF	Gift	College of Science and Engineering
David L. Ekstrand and Dr. Mary K. St. John	UMF	Gift	Intercollegiate Athletics
Rubicon Mortgage Advisors LLC	UMF	Gift	Medical School
Dennis and Christine Rudy	UM	Gift	University of Minnesota Duluth
CoBank	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Barbara Forster and Lawrence Hendrickson	UMF	Gift	Academic Health Center
IBM International Foundation	UMF	Pledge	College of Science and Engineering
All That Story America LLC	UMF	Gift	College of Liberal Arts
Alvan L. Schrader	UMF	Gift	Intercollegiate Athletics
Christine M. Honaas-Wildfang	UM	Gift	Minnesota Landscape Arboretum
CHS Foundation	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Dr. Bryan E. and Susan C. Dowd	UMF	Gift	School of Public Health
Dr. Roberta M. Humphreys	UMF	Gift	Women's Center
Dr. Sara J. Shumway	UMF	Gift	Medical School
Dr. William F. Hueg Jr. and Hella Mears Hueg	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Hubbard Broadcasting Incorporated	UMF	Gift	Humphrey School of Public Affairs
Jane A. Starr	UMF	Gift	College of Liberal Arts
Judith and Robert Duffy Foundation-Fidelity Charitable Gift Fund	UMF	Gift	Carlson School of Management
Land O' Lakes Incorporated	UMF	Gift	Carlson School of Management, College of Food, Agricultural and Natural Resource Sciences
Proto Labs Incorporated	UMF	Gift	Carlson School of Management

\$10,000 - \$25,000

RBC Wealth Management	UM	Gift	Minnesota Landscape Arboretum
Richard and Maureen Schulze Fund-St. Paul Foundation	UMF	Gift	Medical School
Ronald P. and Diane J. Johnson	UMF	Gift	University of Minnesota Duluth
Syngenta Crop Protection LLC	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
The Head Family Foundation	UMF	Gift	Unrestricted
Walter R. McCarthy	UM	Gift	Minnesota Landscape Arboretum

\$5,000 - \$10,000

Red Lake Watershed District	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Podium Sports Marketing	UMF	Gift	Medical School
Syvilla M. Turbis Estate	UMF	Gift	Medical School, Academic Health Center
Fairview Health Services	UMF	Gift	Academic Health Center
Chris McCasland	UMF	Gift	Intercollegiate Athletics
Community Health Charities of Minnesota	UMF	Gift	Academic Health Center
John K. Lamoreaux Jr.	UMF	Gift	Intercollegiate Athletics
Dagan McCann	UMF	Gift	Medical School
Donald Blumberg	UM	Gift	Minnesota Landscape Arboretum
Nancy B. Webster	UM	Gift	Minnesota Landscape Arboretum
Twin Town Trading	UMF	Gift	Intercollegiate Athletics
BioActive Regenerative Therapeutics Incorporated	UMF	Gift	College of Veterinary Medicine
Twin City Herb Society	UM	Gift	Minnesota Landscape Arboretum
Walter Kelsch Estate	UMF	Gift	Academic Health Center
Yvonne P. Oaks Trust	UMF	Gift	Medical School
Whole Foods Market Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Ross and Bridget Levin Charitable Gift Fund-Minneapolis Foundation	UMF	Gift	Intercollegiate Athletics
The James Ford Bell Foundation	UMF	Gift	College of Liberal Arts
Dorsey and Whitney LLP	UM	Gift	Minnesota Landscape Arboretum
Gus A. Chafoulias	UMF	Gift	University of Minnesota Rochester
Kathryn W. Gough	UMF	Gift	College of Liberal Arts
Minnesota Power Foundation	UMF	Gift	University of Minnesota Duluth
The Mosaic Company	UM	Gift	Minnesota Landscape Arboretum
Sibley County 4-H Federation	UM	Gift	4H Foundation
Charles F. Wiser Jr.	UMF	Gift	Medical School
Keith Rachey	UMF	Gift	Intercollegiate Athletics
Michael C. Nowakowski	UMF	Gift	Intercollegiate Athletics

\$5,000 - \$10,000

Richard A. Perrine	UMF	Gift	Intercollegiate Athletics
Saint Paul Riverfront Corporation	UMF	Gift	College of Design
Dr. Patricia M. McGovern	UMF	Gift	School of Public Health
Dr. James P. Riehl	UMF	Pledge	University of Minnesota Duluth
Philip O. and Ludmilla J. Isaacson	UMF	Gift	College of Veterinary Medicine
3M Foundation Incorporated	UMF	Pledge	University of Minnesota Duluth
Steven M. Rothschild	UMF	Gift	Humphrey School of Public Affairs
American Road and Transportation Builders	UMF	Gift	Humphrey School of Public Affairs
Best Buy Purchasing LLC	UMF	Gift	Humphrey School of Public Affairs
Billy C. Goldston	UMF	Gift	College of Liberal Arts
BNSF Railway Foundation	UM	Gift	4H Foundation
Custom Drywall Incorporated	UMF	Gift	Medical School
Dr. Jan J. Laskowski	UMF	Gift	College of Science and Engineering
Dr. Jo-Ida C. Hansen	UMF	Gift	Northrop
Dr. Preveen Upreti and Kyungsoo Woo	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Drs. Sofia M. and Jan J. Laskowski	UMF	Gift	College of Science and Engineering
International Association of Machinists and Aerospace Workers	UMF	Gift	Humphrey School of Public Affairs
James C. Carter	UMF	Gift	Intercollegiate Athletics
John E. Nelson	UMF	Gift	College of Liberal Arts
John F. Dille	UMF	Gift	College of Liberal Arts
Kaplan Strangis and Kaplan P A	UMF	Gift	Law School
Kentucky Performance Products	UMF	Gift	College of Veterinary Medicine
Lake States Section of TAPPI	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Leslie W. and Carolyn V. Collins Charitable Fund	UMF	Gift	College of Pharmacy
M. A. Mortenson Company	UMF	Gift	Intercollegiate Athletics
Milk Specialties Global	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
North American Rock Garden Society	UM	Gift	Minnesota Landscape Arboretum
North Florida Urology Associates PA	UMF	Gift	Medical School
Norwest Venture Capital Management Incorporated	UMF	Gift	Medical School
Risk Solution Resources LLC	UMF	Gift	College of Veterinary Medicine
Robert M. and Diane L. Meierhoff	UMF	Gift	University of Minnesota Duluth
Shirley A. Nelson	UMF	Gift	Intercollegiate Athletics
Smaby Family Foundation	UMF	Gift	Weisman Art Museum
The Janice Gardner Foundation	UMF	Gift	Academic Health Center
The Shared Fund	UMF	Gift	College of Science and Engineering

\$5,000 - \$10,000

Thomas J. Kurvers	UMF	Pledge	University of Minnesota Duluth
US Canola Association	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Valley Queen Cheese Factory Incorporated	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Voigt O. Lenmark Jr.	UMF	Gift	Northrop



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: Strategic Plan for the Twin Cities Campus

Review **Review + Action** **Action** **Discussion**

This is a report required by Board policy.

Presenters: Eric W. Kaler, President
Karen Hanson, Senior Vice President for Academic Affairs and Provost

Purpose & Key Points

The University of Minnesota-Twin Cities will be preeminent in solving the grand challenges of a diverse and changing world. With that overarching vision, we are moving forward with a strategic plan that charts a strong course for our future as a dynamic 21st-century land-grant research institution. President Kaler and Provost Hanson will share a report from the Strategic Planning Workgroup that outlines a 10-year plan for the Twin Cities campus. The plan will return for final review and action at the October 2014 Board meeting.

The strategic vision developed by the 30-member Strategic Planning Workgroup sets a new course for the advancement of our core research-teaching-service mission on the Twin Cities campus. The plan commits the University to four goals in support of the vision: To harness and leverage the depth and breadth of our research and curricular strengths to address grand societal challenges; to develop and maintain a culture that supports excellence and explicitly rejects complacency at all levels of the institution; to foster reciprocal engagement with our various communities and capitalize on our unique location; and to aggressively recruit, retain, and promote field-shaping researchers and teachers.

The new plan articulates a 10-year vision to guide strategic decision-making and includes specific action steps for the next 3–5 years. The Strategic Planning Workgroup broadened to include five issue teams, which met over the summer on key issues related to the vision and implementation of each of the goals. These teams included about 150 faculty, staff, and students drawn from over 500 nominations; each team was co-chaired by members of the Strategic Planning Workgroup. (Workgroup members are listed on the [Strategic Planning Blog](#).) Listening sessions with updates from each of the five issue teams were held in July and August, and a Campus Conversation with the president and provost was held during the first week of September. Information is posted on the [Strategic Planning Blog](#), where comments continue to be invited from the campus community. Following the September Board meeting, an open comment period will take place from September 15–25.

This comprehensive and inclusive planning process informed the development of a strategic planning framework to advance the vision and to create a better, stronger, more vitally engaged University.

The plan recognizes exceptional opportunities and strategic strengths that differentiate the University of Minnesota–Twin Cities from other higher education institutions. The plan builds on the many things we already do exceptionally well, and sets the stage for newly focused excellence and impact through several directions that leverage the breadth and depth of assets on the Twin Cities campus. The plan is not meant to be a prescriptive framework or definitive set of criteria for everything we do across or within all colleges, programs and disciplines – instead, it is focused on a specific set of strategic goals. It is intended to be dynamic, constantly subjected to reexamination and possible revision, and adaptive to our changing institution and changing environment. The plan will continue to be informed by diverse voices and perspectives.

We are committed to a strategic plan that is bold but also achievable, one that builds on the innumerable things the University already does well, and one that will be continually discussed and refined as a campus community, even as it is implemented.

Background Information

President Kaler outlined the goals for the strategic plan and planning process at the September 13, 2013 Board of Regents meeting, embracing an overall goal of increasing the University’s impact and reputation.

President Kaler and Provost Hanson provided updates to the Board of Regents in October and December 2013 and March 2014. An update was also provided to the Academic & Student Affairs Committee in June 2014.

During the October 11, 2013 Board of Regents work session, the Board reviewed internal and external trends and data, and identified challenges and opportunities facing the University. The work session engaged the Board around two questions: (1) What are our exceptional opportunities at the University of Minnesota, our strategic assets that differentiate us from other higher education institutions? and (2) What are the areas of change (demographics, technology, government regulations, social expectations, etc.) that will have crucial impacts on our University in the next 5–10 years, and what are their effects likely to be? Input from this meeting helped shape the foundation for the Strategic Plan. President Kaler and Provost Hanson also led a well-attended Campus Conversation on strategic planning on November 4, 2013.

At the December 13, 2013 Board meeting, Provost Hanson presented the Board with draft vision, values, foundational commitments, and guiding principles language to obtain input and feedback. Vision language was subsequently enhanced and presented again at the March meeting. The vision, mission and core values statements informed key objectives and strategies for the strategic plan.

At the March 28, 2014 Board meeting, the strategic planning vision and goals were discussed with the Board by the President and Provost along with two faculty members of the workgroup, professors Reuben Harris and Joe Konstan. The goals informed the primary action steps that moved the University’s strategic plan forward. President Kaler highlighted the goal areas in his State of the University address on March 6, and the vision and goals were discussed at a Campus Conversation in early April. (Links were posted on the [blog](#).)

On June 12, 2014, Provost Hanson and six members of the Strategic Planning Workgroup provided a progress report to the Academic and Student Affairs Committee. The discussion included a recap of the March Board meeting presentation (mission, values, vision, goals that support the vision) and updates from the five issue teams:

1. Grand Challenges—Curriculum: *what does it take for the University to build a curriculum focusing on solving society's grand challenges?*
2. Grand Challenges—Research: *how does the University apply its research toward solving grand societal challenges?*
3. Reject Complacency: *how does the University change the culture in ways that support excellence and, with intention, reject complacency?*
4. Field-Shaping Researchers and Teachers: *how do we go about aggressively recruiting and retaining field-shaping faculty and researchers; how does transdisciplinarity shape our institutional planning in the area of faculty responsibilities?*
5. Reciprocal Engagement: *how does the University better leverage its location and establish a culture of reciprocal engagement for the mutual benefit of the University and community?*

Team leads provided an update of their work to “build out” the vision and identify both incremental reforms and institutional transformations that will serve as a framework for specific action steps to be taken over the first 3–5 years. Student foci and interests within the Strategic Plan were also presented and discussed.

In addition to Board feedback, surveys and consultation sessions with a broad array of internal and external constituents have enriched and informed the planning process. These stakeholders have included faculty, staff and students on the Twin Cities campus; deans and other senior leaders; University of Minnesota Foundation and University of Minnesota Alumni Association Boards; and our many partners in community, business, and the philanthropic, public and non-profit sectors.



A STRATEGIC PLAN

**The University of Minnesota Twin Cities
Will be Preeminent in
Solving the Grand Challenges
of a Diverse and Changing World**

Draft | September 12, 2014

UNIVERSITY OF MINNESOTA
Driven to DiscoverSM



The University of Minnesota Twin Cities Will be Preeminent in Solving the Grand Challenges of a Diverse and Changing World

*As a Vitaly Engaged 21st-Century
Land-Grant Research University, We Will:*

■ Support Excellence and Reject Complacency

Transformational vision:

- We will **build on our strengths** to create an invigorated culture of ambition, challenge, exploration, and innovation

Strategic action steps:

- **Better align our time and money** with our strategic priorities
- Implement a **broad campus climate initiative** that simultaneously pursues diversity, accountability, and civility
- **Remove obstacles:** decrease administrative burdens, make a “stop doing” list, and streamline processes
- **Improve communication:** get better at expediting problem resolution by empowering troubleshooters on the ground, and obtain timely and useful information from graduates for curriculum development and advising

■ Leverage our Breadth and Depth to take on Grand Challenges in Research, Creative Work, and Curriculum

We will marshal the University of Minnesota’s research and creative capacity—our breadth and depth—to address grand challenges critical to our state, nation, and world

Transformational vision:

- We will create a more coherent and **coordinated cross-disciplinary approach** to advance grand-challenges research

Strategic action steps:

- **Jump-start institutional transformation:** elevate and broaden areas of interdisciplinary focus around grand challenges where we have robust work:
 - Sustainable, Healthy, Secure Food
 - Advancing Industry while Conserving the Environment and Addressing Climate Change
 - Building Vibrant Communities that Enhance Human Potential and Collective Well-Being in a Diverse and Changing Society
- Provide **bottom-up support** for emerging interdisciplinary (potential grand-challenge) problems
- Review policies to **recognize interdisciplinary efforts** in promotion-and-tenure and regular evaluation
- **Ensure resources are in place** to meet the research challenge goals

We will prepare U of M students to meet 21st-century challenges—new models for engaged, place-based education for tomorrow’s leaders

Transformational vision:

- We will **evolve Liberal Education Requirements** to integrate grand challenges (pilot/phased approach)

Strategic action steps:

- Develop **grand-challenges curriculum** as well as co-curricular education, research, and engagement opportunities
- Develop a **Grand Challenges Scholars Program**
- Develop more **University seminars** focused on grand-challenge topics
- Develop **undergraduate minors** focused on grand-challenge topics

■ Aggressively Recruit, Retain, and Promote Field-Shaping Researchers and Teachers

Transformational vision:

- We will create a “**university of transformational opportunity**” in which there is flexibility as well as responsibility and accountability

Strategic action steps:

- Invigorate the process for **recruiting the best** researchers and teachers
 - Establish **appropriate financial resources** for recruiting/hiring field-shaping teachers and researchers; permit strategic flexibility in negotiating hiring packages
 - Improve the **diversity** of faculty hires
 - Develop an aggressive approach to **partner hires**
 - Reinvigorate the **faculty campus interview** process
- Improve the University environment and culture so there is **support for transformational scholarship**
 - Commit to program of **excellence for department heads**

Establish appropriate **financial incentives** to retain field-shaping teachers and researchers

Reconsider **internal University faculty awards** and endowed chairs to be more strategic

Aggressively seek **external faculty awards**

Recruit, retain, advise, and mentor **excellent graduate students** and postdoctoral students

Ensure that the University is known as *the* place for doing **interdisciplinary research and teaching**

Conduct regular **reviews of academic initiatives/centers**

Provide incentives/**support for faculty who direct** major multi-investigator, multi-disciplinary research programs

Encourage **innovations in teaching** and recognize and reward innovators

Significantly reduce work activities that do not directly support teaching, research, and outreach

Enhance **faculty retirement incentives**

■ Build a Culture of Reciprocal Engagement that Capitalizes on our Unique Location

Transformational vision:

- We will build a University **culture of engagement** that strongly supports community-engaged scholarship and dynamic campus-community partnerships

Strategic action steps:

- Develop criteria for evaluating engaged scholarship and other campus-community collaborations; **include engagement** in reviews of faculty members’ research and teaching (as distinct from/in addition to outreach and service); develop guidelines for including engagement in promotion-and-tenure statements
- Enhance **training in reciprocal engagement** for faculty, students, and staff; start a summer institute
- Strengthen **reciprocal practices** and strategic focus in current engagement with community partners
- **Convene** community, government, and corporate partners around grand-challenge priorities
- Make engagement opportunities more visible; create “**front doors**” for **community partners** and stakeholders

■ Advancing Our Vision:

Implementation—Next Steps

To implement our goals, we will:

- Continue robust conversations with the campus community, the Regents, and external stakeholders about how to realize our shared vision for excellence and impact
- Establish a Strategic Planning Continuity Team (to include representatives of the Research and Curriculum teams) to advise the president and provost on implementation priorities and steps
- Charge a Budget Resource Group with identifying optimal funding strategies
- Incorporate the plan into ongoing academic planning by the provost to:
 - Develop meaningful indicators for excellence in goal areas
 - Integrate into compact planning starting fall 2014
 - Connect the Twin Cities campus plan with plans of academic and administrative units
 - Advance action plans to achieve goals derived from the compact planning
 - Share successes and report outcomes

■ Aggressively Recruit, Retain, and Promote Field-Shaping Researchers and Teachers

Transformational vision:

- Create a “university of transformational opportunity” in which there is flexibility as well as responsibility and accountability

Strategic action steps:

- Invigorate the process for recruiting the best researchers and teachers
 - Establish appropriate financial resources for recruiting and hiring field-shaping teachers and researchers; permit strategic flexibility in negotiating hiring packages
 - Improve the diversity of faculty hires
 - Develop an aggressive approach to partner hires
 - Reinvigorate the faculty campus interview process
- Improve the University environment and culture so there is support for transformational scholarship
 - Commit to a program of excellence for department heads

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Provide incentives/support for faculty who direct major multi-investigator, multi-disciplinary research programs

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- Make engagement opportunities more visible; create “front doors” for community partners and stakeholders

■ Advancing Our Vision: Implementation—Next Steps

To implement our goals, we will:

- Continue robust conversations with the campus community, the Regents, and external stakeholders about how to realize our shared vision for excellence and impact
- Establish a Strategic Planning Continuity Team (to include representatives of the Grand Challenges Research and Curriculum groups) to advise the president and provost on implementation priorities and steps
- Charge a Budget Resource Group with identifying optimal funding strategies
- Incorporate the plan into ongoing academic planning by the provost to:
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UNIVERSITY OF MINNESOTA
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A STRATEGIC PLAN

The University of Minnesota Twin Cities
Will be Preeminent in Solving the Grand Challenges
of a Diverse and Changing World

DRAFT | SEPTEMBER 12, 2014

September 2014

Office of the Senior Vice President for Academic Affairs and Provost
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The University of Minnesota, founded in the belief that all people are enriched by understanding, is dedicated to the advancement of learning and the search for truth; to the sharing of this knowledge through education for a diverse community; and to the application of this knowledge to benefit the people of the state, the nation and the world. The University's threefold mission of research and discovery, teaching and learning, and outreach and public service is carried out on multiple campuses and throughout the state.

Foreword

To the Twin Cities campus community and citizens of Minnesota,

Now the work begins.

The narrative you are about to read is a road map for reinvigorating the University of Minnesota. It's about setting a new direction, recommitting to excellence and stretching our goals. This is not just a collection of words. It is, rather, a document about our willingness to change.

The yearlong process to create this plan has been inclusive, argumentative, collaborative and provocative. The conversations were driven by a rejection of complacency and by a spirit of “good isn't good enough.”

The result—our new Grand Challenges agenda, which is articulated here—is ambitious and focused. It is intended to improve lives, solve problems, own a global perspective, renew our curriculum, touch our local communities in new ways, boost energy and creativity among our faculty and students, and to re-envision the work of the American land-grant research university. With hard work and collaboration, the goals of this plan are achievable.

We must produce the best-prepared, critical-thinking leaders of tomorrow, and support the world's leading creative thinkers, scholars, scientists, engineers, artists, and educators. We must embrace excellence with passion and look to change without fear.

Sincerely,



Eric W. Kaler
President

Introduction

This report presents to the Board of Regents and the campus community bold and thoughtful recommendations to advance the mission of the University of Minnesota–Twin Cities at a time of great change, challenge, and opportunity. The culmination of a campuswide planning process, the report delineates a strategic framework for making the most of our capacity—and responsibility—to drive transformative research, education, outreach and collaboration.

“The University of Minnesota–Twin Cities will be preeminent in solving the Grand Challenges of a diverse and changing world.” This overarching vision and four key goals comprise the core framework defined by the Strategic Planning Workgroup—faculty, staff, and students convened by President Kaler in fall 2013 to develop an ambitious plan that would chart our course for the future.

The plan’s goals define four areas of focus: 1) capitalizing on the breadth and quality of our research and our curricular strengths; 2) recruiting, retaining, and promoting field-shaping researchers and teachers; 3) fostering reciprocal engagement with our various communities and capitalizing on our specific location; and 4) promoting excellence and rejecting complacency at all levels of the institution.

This general framework emerged from months of thoughtful and invigorating discussion of the University’s innumerable strengths, the complex and inherently transdisciplinary character of many of today’s critical challenges, and the currents of change that are reshaping all of higher education. The workgroup’s discussions grew deeper and more richly nuanced as additional faculty, students, and staff were enlisted to help map issues and potential action steps for each goal area. The final report was also informed by campuswide forums; by discussions with the Board, senior leaders, and deans; and by many conversations with campus and community stakeholders.

This framework is intended to set a general direction for the next decade as we carry out a dual role. We are both Minnesota’s land-grant university—serving the public good—and its designated flagship research institution—keeping Minnesota at the forefront of emerging knowledge and educating the professionals and leaders of tomorrow. Our plan is to build on the many things we already do extraordinarily well and to leverage the exceptional opportunities and strategic strengths that differentiate us from other higher education institutions.

Few institutions are as comprehensive as ours, or as distinguished on so many levels: world-leading research, outstanding graduate and undergraduate teaching, and path-breaking interdisciplinary work. In our classrooms and research labs, in studios and seminars, in clinics and extension offices, and through collaborations in today’s unbounded virtual

spaces, our faculty, staff, and students already are deeply involved in addressing important and difficult issues—from disease to biodiversity to the pressing problems of hunger, poverty, and intolerance.

These and other critical challenges stretch across the boundaries of defined disciplines. Global in scope, they also are defining issues for our local communities and our state, region, and nation. They drive workforce needs and redefine the knowledge and skills demanded of our students, who must prepare for careers that may not have existed a few years ago. These complex challenges demand that we draw as creatively as possible on the wide-ranging expertise of our comprehensive university—from STEM fields and the humanities, from the social sciences and the arts, from professional expertise and practice.

This strategic plan articulates a ten-year vision to enhance both the excellence and the impact of our vitally important work, based on a range of our special opportunities and strengths. It does not prescribe new directions for all aspects of our many colleges, programs, and disciplines, nor does it outline administrative rearrangements. Instead, it sets a strategic course for the next decade and outlines a number of specific paths to move us forward.

The plan aims to make us more nimble, innovative, and integrative in order to better serve our students, our many stakeholders, and the public. It identifies new ways to encourage and advance collaborations in areas where we have the potential for major impact. It connects research and curricular strategies to ensure that our faculty do their best work and we provide our students with exciting educational opportunities. Even as we continue to develop deep expertise in specialized areas—and to nurture and celebrate single-discipline scholarship and creative work of focused excellence—we have important opportunities to foster transdisciplinary research and to develop the knowledge, skills, and agility that our students will need as tomorrow’s innovators, lifelong learners, and global citizens.

It is important to underscore that this plan is meant to be a starting point, to be a strategic foundation for ongoing transformative work. We will connect the campus strategic plan with collegiate and other unit-level plans and initiatives, and we will develop a shared understanding of the milestones by which we can best measure our progress.

As we do that, we must bear in mind that this plan is also intended to be dynamic, to be subject to recurrent reexamination and revision. We must be alert to new opportunities and willing to abandon failed experiments. Through robust conversations with the campus community, with the Board of Regents and our many partners and stakeholders, through unstinting effort, we will advance our mission, enlarge our shared aspirations, and meet the challenges and contingencies of a diverse and changing world.



Karen Hanson
Senior Vice President for Academic Affairs and Provost

Contents

Foreword—President Eric W. Kaler

Introduction—Provost Karen Hanson

Foundational Documents

University of Minnesota Mission

Foundational Commitments & Guiding Principles

Our Vision and Goals

Strategic Plan Overview

Report of the Strategic Planning Workgroup

Prefatory Note

Workgroup Members

Supporting Excellence, Rejecting Complacency

- Issue Team
- Introduction
- Strategies and Action Steps

Grand Challenges—Research

- Issue Team
- Introduction
- Strategies and Action Steps

Grand Challenges—Curriculum

- Issue Team
- Introduction
- Strategies and Action Steps

Field-Shaping Researchers and Teachers

- Issue Team
- Introduction
- Strategies and Action Steps

Reciprocal Engagement, Capitalizing on Our Location

- Issue Team
- Introduction
- Strategies and Action Steps

Advancing Our Vision: Next Steps

University of Minnesota Mission

The University of Minnesota, founded in the belief that all people are enriched by understanding, is dedicated to the advancement of learning and the search for truth; the sharing of this knowledge through education for a diverse community; and to the application of this knowledge to benefit the people of the state, the nation, and the world.

The University's mission, carried out on multiple campuses and throughout the state, is threefold:

- Research and Discovery
- Teaching and Learning
- Outreach and Public Service

University of Minnesota Board of Regents Policy, last amended 2008.

University of Minnesota Foundational Commitments & Principles

FOUNDATIONAL COMMITMENTS

- To **academic freedom**, supporting open intellectual inquiry and free expression and meeting the responsibilities entailed by such freedom
- To **trustworthiness** and honesty, maintaining individual and institutional integrity in all we do
- To **respect** for each individual
- To **diversity and inclusion**
- To **public engagement**, partnering with our communities locally, nationally, and across the world
- To **excellence** in the fulfillment of our mission

GUIDING PRINCIPLES

- We collaborate, consult, and cooperate—and take action
- We encourage bold, innovative, and creative responses to the challenges of today and tomorrow
- We promote access to our teaching, research, and service
- We are accountable to the State of Minnesota, to our publics, and to one another for the fulfillment of our mission, demonstrating that we are responsible stewards of public funding and public trust

This is Our Vision

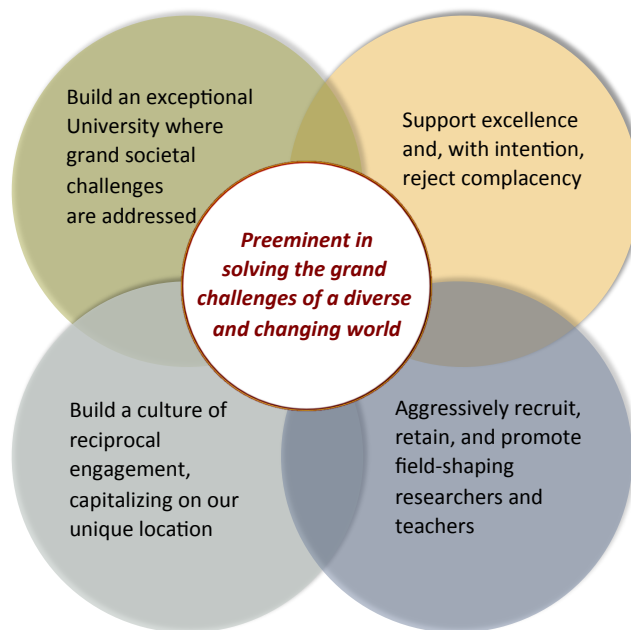
*The University of Minnesota Twin Cities
Will Be Preeminent in Solving the Grand Challenges
of a Diverse and Changing World*

We will:

- Use our depth and breadth to capitalize on our exceptional students, faculty, staff, and on our location in a vibrant metropolitan setting to generate and disseminate new knowledge, creative work, and insights.
- Create an educated populace able to identify, understand, and solve demanding problems.
- Leverage the power of divergent paths to knowledge and creativity in order to address the grand challenges of society.
- Partner with the communities and people of the state of Minnesota to benefit the common good.

Vision and Goals

In support of our vision—
and to build a stronger and more vitally engaged University—
we have four overarching goals:



The University of Minnesota Twin Cities Will Be Preeminent in Solving the Grand Challenges of a Diverse and Changing World

As a Vitaly Engaged 21st-Century Research University, We Will:

Leverage Our Breadth and Depth to Take on Society's Grand Challenges in Research, Creative Work, and Curriculum	Support Excellence and Reject Complacency	Aggressively Recruit, Retain, and Promote Field-Shaping Researchers and Teachers	Build a Culture of Reciprocal Engagement That Capitalizes on Our Location
<p>Marshal the University's research and creative capacity to address grand challenges critical to our state, nation, and world</p> <p>More coherent and coordinated approach to cross-disciplinary grand-challenges research</p> <p>To jump-start institutional transformation, broaden areas of interdisciplinary focus where we have robust work:</p> <ul style="list-style-type: none"> • Sustainable, Healthy, Secure Food • Advancing Industry While Conserving the Environment and Addressing Climate Change • Building Vibrant Communities that Enhance Human Potential and Collective Well-Being in a Diverse and Changing Society <p>Bottom-up support for emerging challenge work</p> <p>Recognize interdisciplinary work in P&T and regular evaluation</p> <p>Ensure resources are in place for research goals</p>	<p>Build on our strengths to create an invigorated culture at all levels—ambition, challenge, exploration, and innovation</p> <p>Better align our time and money with our strategic priorities</p> <p>Implement a broad campus climate initiative that simultaneously pursues diversity, accountability, and civility</p> <p>Remove obstacles: decrease administrative burdens, make stop-doing lists, streamline processes</p> <p>Improve communication: get better at expediting problem resolution; obtain timely and useful info from graduates for curriculum development and advising</p>	<p>Create a transformational culture of innovation in which there is flexibility as well as responsibility and accountability</p> <p>Invigorate the process for recruiting the best researchers and teachers: establish appropriate resources for recruiting and hiring and permit strategic flexibility; aggressive approach to partner hires; improve diversity</p> <p>Reinvigorate the faculty campus interview process</p> <p>Ensure our culture encourages transformational scholarship: excellence for department heads; incentives to keep field-shapers; more strategic use of faculty awards; recruit and mentor excellent grad students; regular reviews of centers; incentives for directing major interdisciplinary centers</p>	<p>Support dynamic University-community partnerships to advance discovery, create pathways for students, and benefit our state and world</p> <p>Build engagement culture: review criteria for evaluating engaged scholarship across units; include engagement in reviews of faculty members' research and teaching; review other policies/practices; expand training for faculty, staff, and students</p> <p>Convene community, business, and government partners around grand challenges</p> <p>Expand community-engaged grand-challenges learning and career pathways for students</p> <p>Make engagement more visible; create "front doors" for community and business stakeholders</p>

Report of the Strategic Planning Workgroup

University of Minnesota Twin Cities

DRAFT | SEPTEMBER 12, 2014

Prefatory Note

A Plan for the University of Minnesota—Twin Cities to be Preeminent in Solving the Grand Challenges of a Diverse and Changing World

President Kaler launched a planning process for the Twin Cities campus in the fall of 2013. To shape the plan, the University assembled a 30-member Strategic Planning Workgroup, which broadened to include nearly 200 faculty members, staff, and students. Over many months, our discussions—expansive and thoughtful, and informed by broader consultation with the campus and our external stakeholders—considered our institution’s strengths, the pressures facing universities, and the responsibilities and opportunities we have to bring our resources more powerfully to bear on the challenges of our global century.

The workgroup developed a vision and goals to guide strategic decision-making at the University over the next decade, and issue teams then mapped goals to recommended actions. We here present this work as an ensemble of the reports from the five teams, all of which were guided by the overarching vision that links the defined goals.

The plan involves a ten-year vision but highlights steps we can take over the next three to five years to advance this vision and to create a better, stronger, more vitally engaged, and more effective University. We intend this to be the starting point for action but also for further discussion, because this planning framework is meant to be a dynamic one. We will need to work together to implement the plan, and, throughout, we will need to be alert to new opportunities and willing to abandon failed experiments. Most of all, we will need to make sure that our efforts advance our mission, reflect our shared aspirations, serve our students and stakeholders, and meet the challenges and contingencies of a diverse and changing world.

Provost Karen Hanson and the Strategic Planning Workgroup
September 2014

Strategic Planning Workgroup

Karen Hanson, Senior Vice President for Academic Affairs and Provost, Workgroup Chair*

Neil Anderson, Director, University of Minnesota Extension

Barb Bezat, Archivist, University Libraries

Renee Cheng, Associate Dean, College of Design; Professor, School of Architecture

Will Durfee, Morse-Alumni Distinguished Teaching Professor, College of Science and Engineering*

Carl Flink, Associate Professor, College of Liberal Arts

Ann Hagen, Assistant Program Director, School of Dentistry

Reuben Harris, Professor, College of Biological Sciences

Mick Hedberg, Undergraduate Student, College of Liberal Arts

Brian Herman, Vice President, Research*

Brooks Jackson, Vice President, Health Sciences, and Dean of the Medical School*

Mary Jo Kane, Professor, College of Education and Human Development

Timothy Kehoe, Professor, College of Liberal Arts

Joseph Konstan, Distinguished McKnight University Professor, College of Science and Engineering

Allen Levine, Vice Provost for Faculty and Academic Affairs; Professor, College of Food, Agricultural and Natural Resource Sciences*

Elizabeth Lightfoot, Professor, College of Education and Human Development

Becky Malkerson, Executive Vice President, Development, University of Minnesota Foundation

Meghan Mason, Graduate Student, School of Public Health

Bill O'Neill, Associate Director, Facilities Management

Richard Pfitzenreuter, Vice President, Finance; Chief Financial Officer*

Abel Ponce de Leon, Professor, College of Food, Agricultural and Natural Resource Sciences

Carissa Schively Slotterback, Associate Professor, Humphrey School of Public Affairs

Catherine Squires, Associate Professor, College of Liberal Arts

G. David Tilman, Regents Professor and McKnight Presidential Chair, College of Biological Sciences

Jakub Tolar, Professor, Medical School

Christopher Uggen, Distinguished McKnight Professor, College of Liberal Arts; Vice Chair, Faculty Consultative Committee

Kamil Ugurbil, Professor, Medical School

Pamela Wheelock, Vice President, University Services; Chief Operations Officer*

Amelious Whyte, Senior Associate Vice Provost for Advocacy and Support, Student Affairs

Aks Zaheer, Professor, Carlson School of Management

**denotes executive committee member*

Report of the Strategic Planning Workgroup
University of Minnesota Twin Cities

Embracing Excellence/Rejecting Complacency

*We will create an invigorated culture—
a culture of ambition, challenge, exploration, and innovation*

Strategic Planning Workgroup

Embracing Excellence/Rejecting Complacency

Issue Team Members

- Brian H. Aukema, Associate Professor, Entomology
- Kenneth Baker, Building and Grounds Worker, Facilities Management
- Barbara Bezat, Archivist, University Libraries
- Connie Buechele, Information Technology Director, Carlson School of Management
- Mike G. Conzemius, Professor, Surgery, Veterinary Clinical Sciences
- David Ernst, Chief Information Officer, College of Education and Human Development
- Ann Hagen, Assistant Program Director, Diagnostic & Biological Sciences
- Holly Harrington, College of Liberal Arts Student Board President; Undergraduate Student, Psychology
- Emily Hoover, Professor and Head, Horticultural Science
- Cherrene Horazuk, Aide to Dean, Humphrey School of Public Affairs; President of AFSCME Local 3800
- Bill Iacono, Regents Professor, Psychology
- Jay Kiedrowski, Senior Fellow, Humphrey School of Public Affairs
- Sally Gregory Kohlstedt, Professor, History of Science and Technology
- Alexis Kuhr, Associate Professor, Art
- Becky Malkerson, Executive Vice President, Development, University of Minnesota Foundation
- Alon McCormick, Professor, Chemical Engineering and Materials Science
- Trevor Miller, Director, External Relations, College of Design
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- Mark Osborn, Assistant Professor, Pediatrics
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Strategic Planning Workgroup co-leads for this team are in bold.

Introduction

The University's strategic plan sets forth the bold vision to be "preeminent in solving the grand challenges of a diverse and changing world." To realize this vision and to advance the larger goal of an even stronger and more vital university, we must embrace excellence and reject complacency. The University of Minnesota needs to draw on its unique strengths and resources to challenge dynamics of the current University culture. Key steps are to respect failure as a means of learning, to remove barriers to performance, and to create the flexibility needed to meet the changing needs of the institution as well as the state and larger world in which it functions.

Organizations tend to develop remarkably similar processes and structures, so it is no surprise that most strategic-planning documents read as though they were stamped from the same flowchart-infused mold. President Kaler and Provost Hanson have made clear, however, that this University of Minnesota plan will not be—to be successful, cannot be—the same old call for vague and bland "apple pie virtues."

The goal of rejecting complacency states, very directly, both the source of the problem and the action to be taken.

Complacency can refer to an uncritical sense of self-satisfaction and disregard for actual deficiencies. It can refer to doing things a certain way because that is the way they have always been done. Complacency means ignoring change in the world around us and expecting the world to change for us, rather than expecting ourselves to adapt to the world's needs. It means assuming that responsibility for improvement lies with some higher authority, and that the individual merely needs to follow instructions without taking a personal interest in improving the outcome.

Examples of Complacency

The University of Minnesota has a long and spectacular history that has inspired generations and changed the world. Without question, there are many aspects of our University that work supremely well, and these need to be embraced as exemplars. A key ingredient to our success is optimism—the realization that much about this University is excellent and that we can build on our successes. Another key ingredient, however, is our willingness squarely to face and to acknowledge internal as well as external threats.

Externally, the pressures come from a changing society, economics, rapidly evolving educational technologies, shifting student demographics, and new global constraints and opportunities. Universities are no longer the unquestioned authorities for all things scientific, medical, artistic, and otherwise learned. The value of research-intensive institutions—and of public universities more generally—is questioned by legislators and the general public alike, amid rising student debt and perceptions that vast amounts of money, both from taxes and student tuition, are flowing into a largely unaccountable and vaguely superior and remote institution. Universities are asked to serve a society increasingly immersed in new technologies that have less and less to do with place-based

interactions—mobile devices, distance learning, social media. Both social expectations about the purposes and value of higher education and student and family expectations seem to be changing—and those changed expectations cannot be ignored.

Internally, we have self-created and self-maintained threats. A high level of accountability has at times led to sluggishness in responding to new opportunities or created barriers that must be surmounted in order to act. We have areas of the University that are among the best in the world, but others, never having attained such heights, merely plug along unexamined and unimproved. Struggling to deal with the complex student population, it is sometimes easier to diminish classroom expectations.

Rejecting

By “*reject*,” we mean “*refuse to accept*.” It is easy to identify problems, complain, and move on—without changing anything. If we reject complacency, once a problem has been identified, we don’t simply live with it. Each of us has the responsibility (and the authority) to look for ways to improve and then to take action. We must acknowledge personal accountability for outcomes, which will in turn engender pride of accomplishment for advances made. The imperative to reject complacency is meant to be direct and forceful. Rejection of complacency gives one power but also responsibility.

Examples of Rejecting

We see many examples of a destructive path elsewhere: indiscriminate budget cuts, de-skilling of faculty, grade inflation, inattention to research on teaching and learning, administrative bloat, and the exploitation of students, workers, and communities. It is hard to find good examples to follow.

It may be harder still to convince a skeptical University audience that “*strategic planning*”—that often heard about and seldom understood process—can bring actual change.

So, to begin, we reject the idea that the University cannot change. We reject that history must repeat itself with the failure of strategic planning efforts. In so doing, we embrace the University of Minnesota’s growth as a dynamic, creative environment where new ideas are encouraged, incubated, and put to the test.

As members of our issue team have presented and discussed ideas with colleagues, we have encountered powerful and passionate reactions ranging from “*It’s about time!*” to “*It feels like you’re putting a big target on my back!*”

In response, we established three principles, both to address such concerns and to guide strategies for change:

1. *Rejecting complacency must be a University-wide effort, involving faculty, staff, and students.* We cannot and will not simply point the finger at one class of University citizens. Broad participation and broad accountability are needed for real change.
2. *We need concrete action steps as well as a broader aspirational vision* if we are to cultivate an environment where resilience and creativity are normal, where risks of failure are acknowledged and learned from, and where there is protection for contrarian voices.

3. *We need courage*, as it takes greater courage to reject complacency than to extoll excellence.

Strategies

Transformative Vision

We will instill confidence and institutional pride by taking an atmosphere in which some feel disconnected, unable to change, and impeded in their work, and evolving it into a culture of ambition, challenge, exploration, and innovation.

Rationale: Our greatest discoveries at the University occur when we are inspired, absorbed in our work, and fully engaged—a post-doc’s “Eureka!” moment in the lab, an undergraduate student’s formulation of an argument she never thought she’d make, an info-tech staff member’s creation of a system that saves us all time and aggravation, or a professor’s great insight while doing participatory action research in the community. It is no coincidence that these are our most satisfying career moments—the times we say, “There is no place I’d rather be, and nothing I’d rather be doing.” A culture that supports such an atmosphere of achievement will produce more and qualitatively better high-impact research, teaching, and engagement.

Major Players

- Everyone will be involved, but leaders at all levels of the University will play a pivotal role. President Kaler and Provost Hanson are especially important in setting the tone, but this must be a University-wide effort.
- Office of the Provost
- Office of the Vice President for Research
- Deans and center directors
- Office for Human Resources
- University Relations and communications staff campuswide

Action Steps

- Use unit compacts and departmental budget requests to determine how units are constructing environments that support and sustain creativity and innovation, while rejecting complacency.
- Identify sensitive research metrics to address impact (e.g., scholarly citations but also public attention), in addition to raw productivity measures (e.g., grants, articles, exhibitions, and performances).
- Learn about and adapt knowledge from innovative organizations inside and outside higher education.
- Create new benchmarks for University performance on engagement and innovation in comparison with aspirational peers and our Committee on Institutional Cooperation peer institutions; identify areas of relative strength and weakness.

- Identify student and employee concerns and ideas to use in developing metrics to track change within units and in the University as a whole. For example: tracking over time responses to the survey item: *“I feel stimulated to be innovative and excel in my work.”*

“Must-Do” 1

Better align our time and money with our strategic priorities

Rationale: To recognize and support true scholarship and innovation, we must reward excellence and success through our merit systems, encourage risks and contrarian views, and step outside of our comfort zones as individuals and teams. Our time, money, and energy are too often frittered away—or simply spread too thin—because we fail to make difficult choices or to invest in our stated priorities. We must not allow urgent but trivial matters to squeeze out important and innovative research, teaching, and community engagement.

Major Players

- Office of the Provost
- Deans
- Office of the Vice President for Research
- Vice President for Health Sciences
- Office of Human Resources
- Finance and Planning

Action Steps

- Have clear priorities, clearly communicated, that allow everyone to understand how resources (time, money, etc.) are to be invested.
- Recognize that time is money. What may appear as cost savings in a quantifiable area may be wasteful of a far greater amount of valuable time and energy.
- Turn off projects that have run their course.
- Hold students to high academic standards. Develop a strategy to address “grade inflation” at the college and campus level.
- Take corrective action when students, staff, or faculty consistently fall short of expectations.
- Affirm and strengthen our reward and recognition systems, identifying and celebrating innovations that fulfill the University’s mission.
- Provide all employees with regular and meaningful feedback on their performance.
- Implement and maintain regular and meaningful post-tenure review of faculty.
- Provide appropriate retirement incentives as well as opportunities for the many emeritus faculty who wish to continue service to the University.
- Evaluate expanding use of differentiated workloads and rewards.
- Consider extending the one-year contracts for professional and administrative staff so as to increase engagement and risk-taking, and to reduce transaction costs.

- Identify employee concerns and ideas to use in developing metrics to track change. For example, tracking over time the response to the survey question: *“My time is used efficiently and I am able to do my work effectively.”*

“Must-Do” 2

Commit to a broad campus climate initiative that simultaneously pursues diversity, accountability, and civility

Rationale: We need to become a more welcoming place. Too often, “Minnesota nice” is code for passive-aggressive behavior and avoidance of difficult conversations. This stifles both accountability and innovation, while prolonging rather than addressing the underlying problems. Having the skills and authority to address abusive or problematic employee behavior at all levels will facilitate changing both the culture and the incentive systems.

We also need to consider both the general climate and culture of the University. We need more focused efforts to make good on our shared commitment to diversity. This includes ensuring that faculty, staff, and students at all levels reflect the diversity of fast-growing but underrepresented racial and ethnic groups in Minnesota.

Major Players

- Office of Human Resources
- Office for Equity and Diversity
- Office of the Provost
- Office of Admissions (at the undergraduate level) and schools and colleges (for post-baccalaureate work)
- Boynton Health Service
- College and school deans

Action Steps

- Conduct exit interviews with departing faculty, staff, and students to identify barriers and areas for improvement.
- Improve training for leaders and supervisors (including department heads) that teaches them how to conduct effective performance reviews and create participatory leadership. Establish greater conflict resolution capacity to expeditiously address abusive, obstructionist, and dilatory behavior.
- Make diversity and inclusiveness a cornerstone of efforts to improve the health and functioning of the University and to create more welcoming conditions for all members of our community.
- Provide opportunities and recognition for improvement or service projects for individuals and units.

- Identify survey items and other metrics to track disparities in satisfaction and engagement. For example: *"I am treated with respect and courtesy."*

"Quick-Win" 1

Remove the obstacles: decrease administrative burden, make a "stop doing" list, and streamline processes.

Rationale: Many hours are wasted on unneeded and unexplained paperwork and permissions, making University authorities seem both oppressive and out of touch. The president's "Operational Excellence" and the "risk recalibration" efforts of the Office of the Vice President for Research have helped in this regard, but we must go farther if we are to remove the routine blocks that needlessly delay our progress. New colleagues who have worked in other institutions—whether large or small, public or private—consistently tell us that it takes more time and effort to get things done at our University. Finding ways to expedite simple equipment purchases, efficiently submit grant applications, quickly appoint students to funded projects, renew software licenses, and reimburse minor expenses will save a tremendous number of person-hours.

Major Players

- Office of the Provost
- Vice President for Health Sciences
- Office of the Vice President for Research
- College deans
- Office of Human Resources
- University Services
- Information Technology
- Faculty governance

Action Steps

- Each unit or workgroup creates a "Stop Doing" list in addition to a "To-Do" list.
- Challenge each unit to reclaim and repurpose 25 percent of the time spent in meetings this year.
- In leadership training, provide advice and examples on how to remove barriers that get in the way of our ability to perform our core research, teaching, and service missions.
- Identify survey items and other metrics to track change. For example: *"I have the authority I need to do what is necessary to accomplish my goals."*

“Quick-Win” 2

Improve communication: Get better at expediting problem resolution by empowering troubleshooters on the ground. Obtain timely and useful information from graduates for use in curriculum development and advising.

Rationale: The University is a huge and complicated organization. Communication channels are both hard to identify and sometimes blocked. Creating innovative problem-solving avenues would help solve problems like being “stuck” in the unforgiving territory between the conflicting rules of different University units or in management issues that drag on too long, impeding the ability of staff to do their jobs effectively and efficiently. In addition to existing informational and feedback channels (including governance structures), there is a need for novel technological solutions and for troubleshooters throughout the University who have the vision and authority to identify and quickly rectify problems. This will make the attitude and values of leadership visible, while simultaneously giving people a voice in the new style of “adaptive” leadership at the University.

We must communicate more regularly with our past and recent graduates. Departments and programs seldom obtain detailed feedback about the aspects of our programs that have been most or least helpful to our graduates. The University is committed to educating our students to be successful and innovative, but unless we are able to keep up two-way communication and to collect academically relevant information from our recent alumni, it is difficult to see clearly just how effective our current curriculum and methods actually are.

Major Players

- Office of the Provost
- Deans, center directors, and college and department offices
- University of Minnesota Alumni Association and University of Minnesota Foundation (as key partners)
- Office of Human Resources
- University Services
- University Relations and campuswide communications staff

Action Steps

- Include a “troubleshooting,” ombudsperson role in the responsibilities of a staff person in the President’s, the Provost’s, and/or the Deans’ offices. This person would build relationships at all levels of the schools and colleges to support problem-spotting and swift problem resolution.
- Enhance communications with students and graduates in their early career years—not only to cultivate dedicated alumni, but also to provide timely and systematic information to programs and advisors.
- Identify survey items and other metrics to track change. For example: *“The University is making progress in reducing the impediments to my success.”*

Final Thoughts

No amount of creative thinking and careful planning can effect the success of this project if the execution phase is not as creative and well-planned.

We entered our first campus listening session with some trepidation, concerned that the very idea of “Rejecting Complacency” would be precisely the sort of provocative and controversial message that itself gets rejected. As it turned out, however, these concerns were largely unfounded.

In our experience, University of Minnesota colleagues, students, and leaders are eager for improvement and share the courage needed to look in the mirror and conduct a rigorous self-examination. We present the idea of rejecting complacency—twinned with embracing excellence—as oriented toward future vigilance, not past critique; and lastly, we hope it serves as a reminder and acknowledgment that our University is aiming very high indeed.

Report of the Strategic Planning Workgroup
University of Minnesota Twin Cities

Grand Challenges—Research

*We will marshal the University of Minnesota's research and creative capacity
—our breadth and depth—to address grand challenges
critical to our state, nation, and world*

Strategic Planning Workgroup

Grand Challenges—Research

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Strategic Planning Workgroup co-leads for this team are in bold.

Introduction

Research is central to the vision of the University of Minnesota as preeminent in solving the grand challenges of a diverse and changing world. Building on the vision and goals outlined by the Strategic Planning Workgroup, the Grand Challenges—Research team was charged with evaluating potential research grand challenges, recommending how specific challenge topics would be chosen, and identifying areas of focus in which the University of Minnesota has core strengths and is well positioned to have major impact. More fundamentally, the team outlined strategies through which our University can best support research and creative work that addresses such challenges.

Transforming the University

Large collaborative efforts to address the world's most complex and critical challenges are crucial to advancing the University of Minnesota as a land-grant research university with both global and local impact. Creating a more coherent and coordinated cross-disciplinary approach to these challenges will both attract new recognition and new funding for the University and will provide invigorating new opportunities for faculty, students, and staff. It will enrich and strengthen the education we provide students and will enhance our collaborations with external stakeholders for the good of our state and the world.

The transformative strategic goal for the University is not simply identifying one or more Grand Challenges as a focus for concerted attention, though we will also do that. Our *institutionally* transformative goal is rather to make the difficult cultural and systemic changes that remove the substantial institutional and professional disincentives to undertaking such endeavors. Supporting this new kind of scholarship is fundamentally challenging—and will require the University to change policies and procedures within and across units involved in scholarship. Critical barriers and solutions are elaborated below.

Overarching Observations

- Our goal is not to discourage disciplinary and other forms of scholarship but rather to enhance and increase research opportunities by expanding the options for faculty and students who are passionate about addressing major challenges with high social or related impact. We identify unique barriers and risks associated with interdisciplinary grand-challenges efforts that need to be reduced—reduced, ideally, to the point where faculty can readily organize and advance efforts across disciplines and colleges, rather than avoiding or missing opportunities based on perceived or real barriers, risk aversion, or limited ability to access collaborators or resources.
- Many of our strategic action steps pertain to departmental and collegiate workloads, reward systems, and evaluation mechanisms that pose significant barriers to leveraging fully the breadth of talent at the University of Minnesota. We not only outline explicit mechanisms for recognizing interdisciplinary grand-challenge work in promotion and tenure (and annual merit review) but also identify creative ideas for extra-collegiate structures that have the resources

to support significant collaborative efforts. Extra-collegiate collaborations can be advanced by strategies such as cluster hires coordinated across diverse units and the creation of an interdisciplinary promotion-and-tenure “track” that allows faculty review to stretch across multiple colleges. The Institute on the Environment (IonE) is one good model that could be replicated; at the same time, the University should also explore and even experiment with multiple models or “nodes” of innovation/impact. The University should also consider mechanisms to provide faculty with workload flexibility so that they can move some of their effort into other University units.

- The University of Minnesota can best advance grand-challenges collaborations by allocating resources in ways that are synergistic with the budget allocations of existing colleges. For such efforts to succeed, they need to be net positive. Done right, a coordinated cross-university interdisciplinary approach to grand challenges of compelling public interest should provide opportunities for the University to access new funding sources through a coordinated and coherent approach to policymakers, funders, and corporate partners.
- Centers and institutes run the risk of becoming closed enclaves, especially once resources are allocated. Mechanisms for nurturing and growing collaborations and assuring continuous improvement through substantive evaluation of impact and outcomes (for both external and internal stakeholders) are critical. Centers and institutes that are not successful, along with those that have successfully completed their mission, should be closed.
- A key task will be promoting faculty and student awareness of the breadth of research and creative work across our large University. Effective strategies must be developed to foster the connections that lead to meaningful collaborations among faculty—and among graduate and undergraduate students—working in different areas of the University. Engagement and collaboration between University researchers and stakeholders outside the University must also be promoted. A number of models exist to effect such connections, but they are too infrequently used both within the University and with outside partners. Substantive collaborations with industry will be most effective if they are part of a concerted effort by the University to help organizations address pressing challenges. To realize its grand-challenges vision, the University must work more aggressively to facilitate collaborations that serve the needs of industry and the public and that provide faculty with opportunities for important work. This work must also be recognized appropriately in promotion-and-tenure and merit review policies.
- Grand-challenges research collaborations will require differing levels of support based on the stage and nature of the relevant ideas. Significant support may be required to propel and further elevate large existing teams, but some work may need only modest financial commitments or seed funding. The University should establish an appropriate plan for seeding and supporting collaborations and should give consideration to a mechanism that would allocate to each faculty member resources earmarked for collaborative activities (for example, 1/4 course and \$10,000 per year) with the condition that these resources could only be used—for student support, equipment, etc.—when pooled together with a sufficiently large and diverse team (say, five faculty from three colleges). This sort of mechanism must include mechanisms for oversight and accountability, but the idea is that it

would increase prospects for generating new and promising initiatives at a level where the work is in fact done.

We believe that reallocation of resources and the identification of new resources will be necessary to address the grand challenges. *Effective additional fundraising—from government, non-profit, and for-profit sectors and private donors—will be needed.* This will require integrating the grand-challenges work with existing resource efforts at the University—including those of government relations and the University of Minnesota Foundation—and identifying resources for support of (large-scale) proposal writing.

The Shape and Nature of Grand Challenges

Grand challenges are generally understood as the most important and complex problems facing local communities, states, nations, and the world. These are not only deep and difficult problems, but multifaceted challenges that require expertise and ideas drawn from many spheres and disciplines in order to be effectively addressed. The grand challenges the University might explicitly address are varied, and the collaborations they would require are likely to vary in scope, breadth, impact, disciplinary involvement, and other factors. Our list of suggestions—drawn from many sources, but by no means definitive or exhaustive—includes:

- Understanding the brain
- Curing cancer; curing diabetes; curing a major disease not already the focus of many broad-based efforts by other states/institutions
- Addressing critical environmental challenges/climate change/sustainability
- Ending war
- Ending poverty
- Advancing understanding of immigration and migration; addressing inequality; strengthening cultural understanding (race, ethnicity, national origin)
- Addressing challenges involving water; rivers; the Mississippi
- Addressing hunger; other food-related challenges, such as food safety, security, distribution
- Advancing robotics to solve human problems and enhance prosperity
- Using big data and informatics for social advancement
- Establishing zero-net-pollution communities
- Reestablishing Minnesota's claim to the best K–12 education in the nation
- Becoming the healthiest state in both mind and body; sustaining health and well-being on a larger scale
- Enhancing and transforming the social impact of the arts
- Reversing the biodiversity crisis

These are simply first examples. Many more challenges could be enumerated that would be particularly appropriate, given our resources; and, on the other hand, even this short illustrative list includes challenges likely to exceed the capabilities of the University.

This list is offered as a starting point, but in the context of our strong conviction that grand-challenges efforts should “come from the ground and grow upward.” The number of Grand Challenges the University of Minnesota can reasonably address is likely to be more than one or two, but perhaps fewer than ten.

Key Criteria for Grand Challenges

We recommend a set of general criteria for the evaluation and selection of the grand challenges that are to be designated institutional priorities. These criteria are neither necessary and sufficient conditions nor a complete list of potentially relevant criteria. Rather, they indicate the factors that would make collaborations in certain areas both transformative and strategic for the University. Strength in meeting some criteria may compensate for weakness in meeting others, but all of these criteria should be considered in evaluating potential directions. Many of the criteria focus specifically on the University’s relative advantage in pursuing some challenges rather than others. Roughly grouped, these criteria are:

- **Global impact:** Grand challenges are not trivial problems. They should be selected carefully, informed by a long-term vision and with an expectation of globally significant results. They must also be relevant locally to the University community and its greater Minnesota partners. Work on these challenges will require time and material resources. Investing in, engaging, having impact on, and eventually solving a particular grand challenge will give the University both immediate and long-lasting recognition that can be used to motivate and organize future grand challenge “victories.” Salient examples of effective solutions to grand challenges include alumnus Norman Borlaug’s techniques for revolutionizing farming and crop yields that have benefited billions of people worldwide, and Professor Bob Vince’s invention of the HIV drug abacavir that has helped to save the lives of millions of people.
- **Build on current faculty strength and leadership.** The grand challenges addressed by the University should both fit and leverage the existing scholarly strengths and activities of the faculty. Successful challenge-related efforts will emerge from what faculty are already pursuing, particularly if faculty have opportunities to strengthen connections with faculty and students from other areas. While we recognize the advantage of strategic recruiting and cluster hires to build research capacity in specified areas, we propose an 80%/20% rule: a challenge for which we don’t already have 80 percent of the faculty talent we need to build a productive collaboration is too far from our current strengths to tackle.

Grand-challenges leaders should be selected based on existing national and international reputations, clear evidence that their trajectory of contributions is still on the rise and that they are destined for the top awards and recognition in their fields (National Academies, Lasker, Nobel, MacArthur genius fellowships, National Humanities Medal, National Medal of Arts, and so forth). Grand-challenges support and focus can be expected to enhance the reputation of the University, providing advantages in recruitment of students, faculty, and staff as well as fundraising leverage that will enhance success.

- **Disciplinary diversity.** Research challenges must have impact on and involve more than one discipline. Success in addressing a grand challenge requires expertise from multiple

disciplines. The University should take advantage of its exceptional breadth of strengths and look for opportunities to bring together research perspectives and methodologies from diverse disciplines. Many of the grand challenges we suggest would draw on the expertise of faculty from the humanities, the arts, the social sciences, the STEM (science, technology, engineering, and mathematics) fields, and the professional schools.

- **Impact on the University and its reputation.** Challenges should be evaluated based on their potential to advance the University's scholarly leadership in the challenge area, as well as its national and global status. We must judge realistically whether we can be international leaders on the topic of the challenge, looking broadly at the resources and strategic assets we would bring—faculty, staff, students, financial resources, collaborators and partners, and local assets or advantages.
- **Suitability for a land-grant research university.** The University of Minnesota should be focusing on challenges that are not just problems of implementation or weakness of will, but that also require for their solution fundamental disciplinary advances. Issues of motivation, political efficacy, and will are crucial in any search for solutions to grand challenges, as are the complexities of implementation. Breakthrough discoveries or technologies that are not fully adopted are not truly solutions: for example, the epidemic obesity that leads to disease is a critical challenge precisely because its solution will require major advances in our understanding of human behavior. Yet the challenges we take up should always be ones that fundamentally require our research power.

What sets research universities apart from not-for-profits, government agencies, and other entities is our practice of addressing problems through open, shared advances in fundamental disciplines. As a land-grant institution, we embrace the challenge of bringing together basic and applied research with education, outreach and public engagement. We will make fundamental research advances, and those advances will actually make a positive difference in people's lives.

- **Interconnection with education.** To be appropriate for the University of Minnesota, a grand-challenge research problem should be one that engages students (undergraduate and graduate), postdoctoral students, fellows, and other trainees in innovative and groundbreaking ways. A key part of our mission is training future leaders, practitioners, and global citizens who can address complex and important challenges. The University must develop grand-challenges research collaborations that centrally involve graduate students, that intersect with curriculum, and that provide experiential learning opportunities for undergraduate students such as practicums, internships, and service-learning components.
- **Engagement of external constituencies.** One of the University of Minnesota's key strengths is its location in a vibrant and diverse state and metropolitan area. We are fortunate to be among foremost leaders in business, agriculture, medical technology, robotics, performing arts, public policy, and many other areas of inquiry and endeavor. We are a pivotal anchor institution for Minnesota, with a tradition of excellence and innovation that drives the state forward in education, health, economic vitality, and quality of life. We have the advantage of Minnesota's diverse communities, including large communities of Native American residents and of Somali, Hispanic, and Hmong immigrants. And as one of the few major public research

universities in a large and dynamic metropolitan region, we have unique opportunities to address educational and economic disparities through innovative public-private partnerships.

In addition to its many constituencies in Minnesota and the Midwest, our University also boasts a *global* network of national and international partners—government agencies, intergovernmental agencies, universities and private-sector and nonprofit partners that act with the University of Minnesota on a global stage. The University's ability to engage these many external constituencies in grand-challenges collaborations offers tremendous advantages for our institution, our students, and state.

- **Sustainability.** We recommend that dedication of effort to a grand challenge should be understood to involve support of that effort for at least 10 years—a timeline commensurate with the scale and complexity of these problems. Various challenges should be evaluated based on our capacity to sustain effort over time, whether that sustenance comes from grants from government agencies and foundations, support from industry, state funding, University development efforts, ticket sales and other user/patron charges, or other sources.

Selecting Our Next Grand Challenges

The selection of a full set of grand challenges to be addressed by the University should involve more perspectives than those of the planning committee members alone. We do, however, recommend criteria for such selections. In addition to the points noted above, selected grand-challenges should:

- Involve a diverse cross-section of disciplines around a large problem that has both a societal impact and the potential to make contributions to individual fields of study. We recognize the value of deep disciplinary challenges (for example, finding with greater certainty the origins of the universe), but believe that such work has been well supported historically at our University.
- Have a local element—a reason it makes sense for the University of Minnesota to pursue them and for the State of Minnesota to care about the outcome. At the same time, selected challenges should also have a global impact.

Addressing a grand challenge requires cooperation across the University and sharing resources. Silos will hinder our success. To make the University a model of integrative learning and discovery, the University must fine-tune its mechanisms for resource allocation to support ambitious cross-disciplinary work and must embrace the cultural changes that will allow faculty and students to be more agile in their scholarly work.

As faculty then conduct research—and teach and engage with students—across departmental and collegiate units, tenure and promotion reviews must recognize interdisciplinary work. We might need to reconsider our treatment of multiple-author publications, for example. Center grants and training grants should be seen as pertinent in faculty evaluation.

These recommendations for fundamental institutional changes will require cooperation from colleges, departments and centers, and appropriate administrative oversight. Serious discussions involving all administrators and our shared governance committees will also be required to assess specific next steps.

Strategies

Transformational Vision

The University will create a more coherent and coordinated cross-disciplinary approach to advance the success of grand challenges research

As we have emphasized, achieving the transformational grand-challenges vision for the University will require cultural and systemic changes over time, as well as specific, sequenced decisions about areas of focus for grand-challenges research.

“Must-Do” 1

Change policies to recognize contributions to interdisciplinary (including grand-challenge) efforts as part of promotion and tenure and regular evaluation.

The University must review unit 7.12 promotion-and-tenure statements and unit criteria for annual merit reviews to remove any disincentives to grand-challenges efforts.

“Must-Do” 2

Establish a fund-raising effort to meet the research challenge goals.

This should include funding for infrastructure needs, as well as for “university professors” (faculty with a home stretching across more than one college) who would be best positioned to lead interdisciplinary, grand-challenges research. Development efforts should consider novel sources of funding, such as “social impact bonds” by which private and public funders “invest” in long-term work likely to achieve real impact on critical social issues.

“Quick-Win” 1

Jump-start institutional transformation by elevating and broadening select existing areas of interdisciplinary strength and focus that instantiate a “Grand Challenge” approach.

Given the symbiotic nature of grand-challenges research and institutional transformation, it is important to step into action immediately, even though it is likely that a process for selecting our next challenges will take 8–12 months. Accordingly, we must elevate recognition that there are already important interdisciplinary efforts under way, in grand-challenge areas, where the University and state have made significant investments. These efforts are logical places to start the process of transformation through which institutional progress—and faster progress toward solutions of global problems—can be made.

We propose that the University move forward immediately with three broad grand-challenges collaborations:

- ***Sustainable, Healthy, Secure Food.*** The MNDrive Food core area already engages significant University strength in agriculture, food security, and public health. The University has a long

history in food security and health, with major scientific contributions from Borlaug and faculty members Ron Phillips and Ancel Keys. We have hundreds of faculty and students working in the area of food production, post-production, and both basic and applied areas of nutrition. We have a large footprint in research applied to global food production.

We also have the great advantage of an engaged community—including Fortune 500 and private food companies, farmers, commodity groups, and non-governmental organizations dealing with issues involving food, health, and the environment. As an identified grand challenge, this topic has the potential to broaden engagement even further. New directions might range from considering the role of K–12 education in promoting healthy eating and understanding of food systems, to better historical understanding of dietary and agricultural practices (including how cultures co-evolved with diets to provide sustainable nutrition), to greater integration of food and diet into medical research and practice, to engineering and technology advances to better support feeding a growing world.

Virtually every college at our university has a role in addressing this grand challenge. As an example, through the Institute for Advanced Study, faculty and students from multiple disciplines of the liberal arts, public health, law, and public policy are engaged (with varied community partners) in work related to land use, food systems, and sustainability frameworks. And every initiative of MNDrive has a relationship to this challenge: robotics for precision agriculture; environmental issues around food production; and neuromodulation, which is involved in the regulation of food intake (addressing, e.g., eating disorders and obesity).

- ***Advancing Industry while Conserving the Environment and Addressing Climate Change.***

Both IonE and the MNDrive Industry and Environment core area already engage significant University strengths across a diverse set of disciplines focused on issues of climate change, ground and water pollution, and other environmental degradation. This area might include the significant collaborative work under way in IonE and elsewhere on the topic of renewable energy. Notably, these efforts are characterized by both pragmatism and intellectual rigor, aiming to transform industrial practice in ways that are environmentally sound while still making good business sense.

As an identified grand challenge, this topic can embrace scholarship from across the University, from basic science and engineering related to climate science and pollution remediation to cultural studies and philosophy, from agriculture and business to economics and psychology, from health and medicine to the arts.

- ***Building Vibrant Communities that Enhance Human Potential and Collective Well-Being in a Diverse and Changing Society.***

Outstanding interdisciplinary work is under way across the University to meet the critical challenges of enhancing human capital and social well-being at a time of profound social, economic, and technological change. These efforts draw on expertise, innovative scholarship, and campus-community collaborations involving the College of Liberal Arts, College of Design, the College of Education and Human Development, Humphrey School of Public Affairs, Law School, Center for Urban and Regional Affairs, Extension, and the Minnesota Population Center, among other units.

The University is well placed to elevate and better integrate this important work and thus enhance its impact. With state, national, and global communities increasingly urban, our location in a major metropolitan area—unique among peer institutions—provides us with an unparalleled opportunity to identify and shape best practices that both directly benefit our state and also provide helpful models to the nation and the world. The broad goals of developing human capital and increasing social capacity in order to support economic vitality and a high quality of life can be pursued through community design, enhanced cross-cultural communication and understanding, and attention to the problems of existing opportunity gaps. A coordinated effort in these areas that builds on our current strengths is also well-positioned to attract new public and private investments and to leverage the expertise and resources of many private and public partners.

These challenges—broad and multifaceted as they are—are only a starting point. Beyond the opportunities posed by these three initially identified challenges, there are substantial strengths in the University that can be tapped to unleash the University’s full potential for transforming society through research. It is important to have an open, iterative process to allow other challenges to emerge, including ones that may emerge directly from the arts and humanities, from medicine and health sciences, from education, and from all the other units of this campus.

In total, at any given time, the University should be able to support as many as 5–10 grand challenges, *with each integrating research, education, and outreach*, and with new challenges emerging as prior efforts succeed or are phased out or as we recognize new problems we have a responsibility to address.

“Quick Win” 2

Provide bottom-up support for emerging interdisciplinary (potential grand-challenge) problems.

There is a clear need for groups of faculty to quickly and easily attain the resources needed to seed small collaborations or pursue new funding sources. These types of efforts can sometimes be funded by departmental or collegiate discretionary funds, if the projects are local. But with interdisciplinary projects, there is the added complication of having to address the “balance of support” from different units. Historically, small grants for interdisciplinary work have been available from the Graduate School or the Office of the Vice President for Research (OVPR), but they have had infrequent deadlines, overly cumbersome applications, and inefficient review processes that consume yet more faculty time. A lightweight mechanism that would make such initial support more easily available would energize faculty creativity. The University should take steps to consider lightweight centers or faculty-allocated collaborative resources (for example, and as described above, resources to be deployed in specific conditions and with well-defined oversight and accountability). Activities seed-funded in this way might include the following, which are meant to be representative and illustrative, not limiting:

- Starting an interdisciplinary course or seminar to train undergraduate and/or graduate students through interaction with a diverse set of faculty across disciplines. Several committee members discussed the difficulty of getting such courses approved and getting

them allocated as part of a faculty member's workload. This led to the idea of providing teaching resources (time and enough money for teaching assistants) as one of the models for support.

- Starting an interdisciplinary research exploration group. When taking on a challenging topic such as health disparities or immigration, a necessary first step is to get people together, find other experts in the University, and study or explore the scope of the problem, the resources and techniques available within our campus, and the ways in which collaboration might be effective.

For a group forming in this way, the major need might be a research assistant or staff member to organize efforts, search out collaborators, gather and disseminate resources, etc. A group might also seek space for collaboration (of the sort exemplified by the hosting function of the Institute for Advanced Study and the idea-seeding centers of other universities).

We are not providing an inflexible or exhaustive list of appropriately supported activities. We are suggesting the desirability of mechanisms to quickly request, justify, and receive resources (perhaps with the involvement of the provost's office) to seed collaborative efforts. As efforts are supported, we will track what resources are most valuable and most effective, and we will modify our practices accordingly.

Rationale

Transforming the University's culture doesn't happen through planning meetings and committees; it happens by putting ideas into practice. The grand-challenge approach is too important to wait another year to start—and waiting doesn't achieve transformational change.

Starting with existing challenge-related investments will allow us to gain experience with the processes and mechanisms of supporting grand challenge work, even as we seed and nurture additional challenges that can be ripe for selection in the next year or two. Following these recommendations will help us achieve our grand challenge vision—a vision which will invigorate the University's research and teaching and enhance its reputation worldwide.

Major Players

One of the key administrative questions is where such challenge selection and support will be housed in the university. Given the close integration of research and teaching, as well as the key support needed by collegiate deans, we recommend centralizing the support for and administration of grand challenges in the provost's office. Other administrative units—OVPR, University Services, Health Sciences, Budget and Finance, etc.—will also need to be closely involved.

Action Steps

- The president and provost will determine clear responsibility for oversight of the grand-challenges program.

- A quick assessment of the three recommended initial challenges will make possible final selection and promotion of challenge areas in early fall. Processes for choosing new challenges will be launched.
- Mechanisms for bottom-up funding will be formulated and made available during this academic year.

Report of the Strategic Planning Workgroup
University of Minnesota Twin Cities

Grand Challenges–Curriculum

We will prepare University of Minnesota students to meet society's grand challenges through new models of engaged, place-based education designed for tomorrow's leaders

Strategic Planning Workgroup

Grand Challenges Curriculum

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Strategic Planning Workgroup co-leads for this team are in bold.

Introduction

The integration of grand challenges into curricula at our university will transform not only the content of a University of Minnesota education but also the means by which we organize and build further connections across our institution. It will become a defining strength of our University.

Our approach will not only develop exciting new structures for student learning opportunities, important as that is. It will also make the Grand Challenges Curriculum a catalyst for culture change, a 21st-century evolution of our research university's land-grant mission, and a model for other higher education institutions to align themselves more fully with the challenges of our communities and our world.

- The Grand Challenges Curriculum is intended to infuse energy and incentives into efforts to advance a culture change at the University of Minnesota emphasizing inspiration, engagement, action, and impact.
- The University will benefit from a visible and coherent hallmark or "showcase" identity linked to grand challenges. This will highlight the University's distinctive strengths, innovation, and leadership to draw motivated students, faculty, staff, and resources.
- The Grand Challenges Curriculum advances a multidisciplinary approach to higher education that integrates and celebrates diverse expertise, methods, and perspectives.

The Strategic Planning Workgroup's Grand Challenges Curriculum issue team included students, faculty, and staff from 12 colleges and from the University Honors Program, Institute on the Environment (IonE), Graduate School, and Office of Undergraduate Education. The diverse affiliations of participants allowed ideas to be vetted from a variety of perspectives. Many team members had direct experience developing and engaging in interdisciplinary courses, programs, and other curricular and co-curricular efforts.

Our approach to building a Grand Challenges Curriculum is phased and scalable. It recognizes that the infusion of grand challenges across the curriculum will require time, the generation and movement of resources, and the evolution of structures to effectively govern and administer courses, programs, workshops, and other components. Significant campuswide engagement efforts will be needed to ensure that the Grand Challenges Curriculum is further informed by students, faculty, and staff with expertise and responsibility pertinent to key components. We should especially draw on the perspectives of students, faculty, and staff who are already engaged in education, research, and outreach activities that align well with grand challenges. Their insights and engagement are critical to creating buy-in and to developing strong models illustrating the intent and impact of grand-challenges education at the University of Minnesota.

The University's Grand Challenges Curriculum will engage students at both undergraduate and graduate/post-baccalaureate levels. For undergraduates, the plan is to ensure that all students will

receive a basic exposure to grand challenges and that those with deeper interest will have opportunities to build further knowledge and experience. This approach will rely on both existing and new curricular and co-curricular opportunities to link more intentionally classroom, research, engagement, and practice opportunities so as to create a more meaningful and multifaceted learning experience.

For students at the post-baccalaureate level, the focus will be on creating opportunities for students to engage with grand challenges by breaking down barriers that may limit students' ability to pursue opportunities outside of their programs, departments, and colleges. We use the term *post-baccalaureate* broadly, to refer to all programs of study beyond the bachelor's degree, including traditional master's and Ph.D. programs, professional degree programs such as the J.D., M.D., D.D.S., and others, and programs beyond the bachelor's that may lead to certificates or be preparatory to further study.

There are students in all these circumstances who may be motivated to pursue curricular learning opportunities focused on grand challenges. Implementation at this level emphasizes the development of these new curricular and co-curricular options, ones that would allow students the flexibility to align this work on grand challenges with a range of specialized degree programs. The post-baccalaureate Grand Challenges Curriculum may have classroom components, but will place particular emphasis on teaching, research, engagement, and practice experiences that help prepare students for 21st-century professional and academic careers.

At both the undergraduate and post-baccalaureate levels, the goal of the Grand Challenges Curriculum is to help students develop a foundational set of knowledge, skills, and values. The focus is on competencies that prepare students to recognize grand challenges, assess possible points of intervention, and take action. These foundational competencies can be applied across a range of potential grand-challenge topics. To achieve these ends, we must develop appropriate pedagogies, supported through curricular and co-curricular coordination. In sum, the Grand Challenges Curriculum will offer critical interdisciplinary training and at the same time build students' capacity to use their disciplinary knowledge in pursuit of integrated solutions to big and difficult problems.

The strategic action steps below outline an integrated set of strategies to infuse grand challenges across the curriculum. While some pieces can be pursued individually, the strategies are intended as a suite of approaches that, when fully implemented, will connect with the full range of our students, support connections across faculty and disciplines, position the University of Minnesota as an educational innovator, and advance our complex land-grant and research missions. Importantly, the curriculum recommendations will be pursued as part of a broader alignment of the University of Minnesota with work on grand challenges, including strategies focused on research and campus-community engagement. A Grand Challenges Curriculum can best be advanced in the context of field-shaping research and a reciprocal approach to public engagement that builds long-term collaborations to address society's grand challenges.

Strategies

Transformational Vision

We will evolve Liberal Education Requirements to integrate grand challenges.

The integration of grand challenges into the undergraduate curriculum offers a tremendous opportunity to infuse the University's emerging grand-challenges orientation across the courses, programs, departments, colleges, centers, and people that make up the University of Minnesota. This approach to curriculum will provide for students a new and exceptionally meaningful set of educational experiences, ensuring that their time at the University is exciting and fulfilling while building their capacity for important contributions and achievements both during and after their college years.

The University's framework of Liberal Education Requirements is currently the primary curricular mechanism for connecting with the full range of undergraduate students. These core requirements ensure that all students investigate the world from new perspectives, learn ways of thinking and skills that will be useful in many areas of life, and grow as active citizens and lifelong learners. Integrating a grand-challenges vision into Liberal Education Requirements will provide all 30,000 undergraduate students with exposure to grand challenges as an integrative part of their education. Student Learning Outcomes (SLO) are another way to reach all of our undergraduate students; we recommend examination of the alignment between the knowledge, skills, and values critical to challenge-based curriculum and the current Student Learning Outcomes.

Rather than focusing on particular grand-challenge topics, the integration of grand challenges into liberal education will focus on providing the foundational knowledge, skills, and values that are central to identifying, assessing, and engaging with grand challenges. Technology-facilitated pedagogy—such as flipped classrooms, distance learning, and gamification (using gaming elements and frameworks in learning and problem-solving contexts)—is highly compatible with the interdisciplinary cross-cultural learning required by a Grand Challenge Curriculum and may serve to expand the capacity of faculty to reach a very large audience.

Currently, the Liberal Education Requirements are organized into two categories—Diversified Core and Designated Themes. The Diversified Core provides exposure to several broadly defined disciplinary areas and is intended to equip students with a range of tools for approaching problems and making a difference in their communities, their state, and the world. The Core requires students to complete courses in seven areas: 1) Arts/Humanities, 2) Biological Science, 3) Historical Perspective, 4) Literature, 5) Mathematical Thinking, 6) Physical Science, and 7) Social Sciences.

The Designated Themes address topics identified as central to understanding contemporary life, and prepare students to be knowledgeable, ethical, and engaged citizens. Students are required to complete four courses chosen from among five areas: 1) Civic Life and Ethics, 2) Diversity and Social Justice in the United States, 3) The Environment, 4) Global Perspectives, and 5) Technology and Society.

For both the core and theme requirements, students select courses from lists of offerings that align with the key requirement areas, with a number of courses fulfilling both core and theme requirements.

In creating a cornerstone for the Grand-Challenges Curriculum, we will evolve the existing themes to focus on building the knowledge, skills, and values needed to address grand challenges. This approach would integrate significantly with the existing themes, with an evolved set of requirements and courses accomplishing a number of goals:

- To orient, prepare, and inspire students to think about how they can contribute to addressing grand challenges
- To deliver a more interconnected and coherent set of courses that positions students to engage with grand challenges
- To provide exposure to a variety of grand-challenge topics
- To position students to better understand how liberal education and grand challenges align with and complement their disciplinary knowledge

Anticipating further campus discussion about the details of an evolved liberal education approach, these strategies are presented as a suggestive outline rather than as a firm prescription.

We might, for example, reorganize theme areas into a sequence of four course categories. Each of the four course categories would include a variety of options that students could pursue, with a defined set of common core objectives and learning outcomes developed by an existing or new administrative/oversight body focused on grand-challenges education. One way to phase in this approach would be to develop the course categories and offer a small set of course options under each course category. The preliminary set of courses could be implemented as a pilot for a limited number of students—for example, students in the University Honors Program or a select group of students who opt-in to a grand-challenges liberal education pilot. This would allow for targeted evaluation and an orderly shift of faculty's curricular responsibilities, a shift that would build the course offerings over time. Such an approach would inform an eventual move toward updating Liberal Education Requirements for all students.

- 1) **Course Category 1—First-Year Seminar:** Courses in this category would introduce students to grand challenges—how they are defined, how they are shaped by context, and how they evolve over time. These introductory courses could accommodate large numbers of students, with breakout sections (e.g. labs, discussions) tied to specific grand-challenge topics in order to allow the application of more general seminar content to topics in which students may be particularly interested.

Courses would likely be team taught and enhanced by technology such as smart classrooms, online collaborations, gaming strategies, and other tools. Such courses would offer ideal opportunities for blending liberal education themes and grand-challenge approaches. For example, thinking about some grand challenges and their potential solutions implies thinking from global perspectives about issues concerning the interaction of technology and society, issues which in turn often have significant implications for diversity, social justice, and the

environment. Addressing these issues will further involve ethical judgments and civic engagement.

- 2) **Course Categories 2 and 3—Second- and Third-Year Skills Courses:** Rather than focusing on technical skills, these courses would aim at building ethical sensitivity and a capacity for engagement and collaboration, along with an appreciation of diverse approaches to problem solving. “Problem Skills” course options would include a variety of courses focused on different approaches to problems (e.g. design thinking, action research), but there would be a consistent course objective centered on comparing/contrasting diverse methodologies. “People Skills” course options would focus on building skills to engage with others to address grand challenges: collaborating across disciplines, building intercultural competence, promoting leadership, and enhancing communication. As with the problem skills courses, a limited number of consistent course objectives would be incorporated into all course options. For both problem and people skills courses, grand-challenge topical breakouts would be ideal for advancing applied skills. Emphasis on skills alone is not sufficient, however, so paying attention to the existing liberal education themes would be important for the full development of objectives for courses in this category.
- 3) **Course Category 4—Fourth-Year Experiential Learning Opportunity:** Capstone-type courses would be developed to engage groups of students in experiential learning related to specific grand-challenge topics. In the capstone courses, students would have the opportunity to work collaboratively in cross-disciplinary teams, applying their disciplinary knowledge and liberal education background to key grand challenges. Students would work with communities, public and private organizations, businesses, policymaking bodies, and other entities, with these experiences structured by our commitment to reciprocal engagement. Experiential learning opportunities would be diverse, appealing to students from across the University’s large range of disciplines. Beyond traditional course-based options, experiential learning opportunities might also involve study abroad, service learning, internships, and research—for example, faculty-mentored projects through the Undergraduate Research Opportunities Program. Technology-enhanced learning will also be important to learning experiences in this category. With interactive online tools, students can work remotely with ongoing faculty guidance and support, or can be on campus while engaging with communities and scholars located elsewhere.

We anticipate that courses in each of the categories above will be offered by a variety of departments and colleges, potentially including professional schools which have traditionally offered few undergraduate courses. To support team teaching, the costs of teaching assistants, advisors, expansion of interactive technology, and relevant administrative structures, the distribution of course enrollment revenues will need to be evaluated. The University will need cross-college administrative structures, with oversight from the provost, to engage faculty in developing course objectives and to ensure that grand-challenges integration goals are fully realized.

The Sustainability Studies minor is a potential model for such a sequence of courses. Students pursuing this minor take a large-enrollment, three-credit introductory survey (SUST 3003:

Sustainable People, Sustainable Planet), then select three elective courses from four subject categories (economics and policy, social science and humanities, biophysical sciences, and design and technology), and finally complete a three-credit capstone course involving experiential learning (SUST 4004: Sustainable Communities).

Graduate teaching assistants will be crucial to the implementation of the liberal education proposal. They will support many of the courses and play expanded roles in the first-year seminar and in the fourth-year experiential opportunity, facilitating breakout discussion and work sections and supporting or perhaps leading experiential opportunities.

These teaching assignments will thus also provide graduate students with valuable insights about distinctive pedagogies, as well as opportunities to share and to deepen expertise in specific grand-challenge topics. Grand-challenge teaching assistant positions could be an important recruitment tool and source of financial support for post-baccalaureate students interested in challenge-based teaching and learning. This teaching opportunity should be effectively linked to graduate seminars focused on developing instructors with this special capacity to teach a challenge-based curriculum.

As a means of phasing in the liberal education proposal, the fourth-year experiential learning opportunities could be piloted first, with instructors offering interested students opportunities related to grand-challenges competencies and themes. We believe that experiential learning is central to a grand challenges education and will be a visible and meaningful preliminary step to building out a Grand Challenges Curriculum. Experiential learning opportunities could be accomplished through existing and new courses, as well as through coordination with the University Honors Program, Learning Abroad Center, Center for Service Learning, Undergraduate Research Opportunities Program, and other existing programs.

As an interim step toward the full development of the grand challenges liberal education components, a brief workshop—or perhaps a one-credit course offering—should precede the pilot of the experiential learning opportunity. This would provide a useful orientation to grand-challenges education and to the problem and people skills that would be needed in a fully built-out curriculum.

“Must-Dos”

This section highlights two “must-do” elements of the Grand Challenges Curriculum: develop co-curricular opportunities and establish a grand-challenges scholars program. As noted above, these strategies are part of a suite of approaches that amount to an integrated whole. The “must-dos” are meant to be pursued along with the liberal education proposal and the quick wins outlined in the next section.

“Must-Do” 1

Develop grand-challenges co-curricular educational, research, and engagement opportunities

Co-curricular opportunities make essential contributions to the delivery of a Grand-Challenges Curriculum and more broadly advance the University’s focus on grand challenges and exceptional

opportunities for students. Co-curricular education, research, and engagement opportunities enhance students' experience and provide important pathways to deeper knowledge of specific grand-challenge issues.

As a complement to the classroom-based aspects of grand challenges curricular strategies, the University should develop related opportunities at both the undergraduate and post-baccalaureate levels. These opportunities might focus on education, research, engagement, or a combination of these. It is possible to realign some existing opportunities with grand challenges. The Center for Service Learning and the Learning Abroad Center could play key roles, and should highlight some of their offerings that relate to grand-challenge topics. The Undergraduate Research Opportunities Program should expand and promote research opportunities specific to grand challenges.

At the post-baccalaureate level, graduate research assistantships should be developed to support funded research on grand-challenge topics. There are a number of University-wide research centers already addressing some of the grand challenges; they can provide a range of educational, research, and engagement opportunities for students. College and/or department-based internship, engagement, and/or practicum programs can also evolve or be expanded to support grand-challenges opportunities for students.

Co-curricular efforts with a focus on engagement will also afford opportunities to build new and deepen existing connections with communities, organizations, business and industry, and other entities, both locally and globally. Connecting development of the grand-challenges experiential learning courses with the development of co-curricular service learning initiatives will strengthen campus-community relationships and enhance the University's capacity to engage with grand challenges locally and around the world.

"Must-Do" 2

Develop a Grand Challenges Scholars Program

A Grand Challenges Scholars Program should be created to develop credentials and account for the activities of the grand-challenges work. This program will organize, communicate, and promote student learning opportunities connected to the grand challenges, and it will track both curricular and co-curricular experiences that students might pursue. Under such a program, students could receive a non-degree credential documenting substantial engagement with grand challenges.

The Community Engaged Scholars Program is a relevant University of Minnesota model: participating students perform a specified number of community-engagement hours, participate in a workshop, enroll in service-learning courses, complete reflections on community-engagement experiences, and participate in a seminar. Students in the Community Engaged Scholars Program receive a non-degree certificate, a notation on their transcript, and a program-specific cord to wear at graduation.

A Grand Challenges Scholars Program could be designed along similar lines, with students selecting from a variety of University options—including courses, research experiences, engagement

opportunities, workshops, learning abroad, and other academic experiences—that align with their interests and are complementary to their degree programs. The Scholars Program credential will be attractive to students seeking interdisciplinary experiences and a means to distinguish themselves in professional or academic job markets. The Grand Challenges Scholars Program could serve both undergraduate and post-baccalaureate students. For undergraduates, the Scholars Program should require that they pursue experiences beyond the grand-challenge courses proposed as updates to the Liberal-Education Requirements.

For post-baccalaureate students, the Scholars Program should incorporate new grand challenges-focused workshops designed to build foundational knowledge, skills, and values that position students to engage with grand challenges. Here, the University of Minnesota’s Boreas Leadership Program, administered by the Institute on the Environment, is a potential model. The program offers non-credit workshops on communications and media, systems thinking and tools, integrative leadership, and public skills such as negotiation and engaging in the legislative process. Students who complete required activities and workshops receive a non-degree certificate. Participants also benefit from networking activities and speaker events. The Grand Challenges Scholars Program could incorporate similar opportunities, along with advising, resume review, and social events.

Pursuing a Grand Challenges Scholars Program will require input and encourage participation from a wide variety of academic units and centers. It will also rely on the development of the curricular and co-curricular components of the grand challenges proposal outlined in this report. An administrative or governance structure to implement grand challenges across the curriculum could also advance development of the Scholars Program and oversee its implementation.

“Quick-Wins”

Rounding out the overall Grand Challenges Curriculum proposal are a pair of more immediate recommendations to raise the visibility of the University’s embrace of grand challenges, begin purposefully to engage students in this work, and produce initial curricular building blocks important to an integrative grand-challenges approach. High-priority “quick wins” include additional seminar offerings and the development of undergraduate minors focused on grand-challenges topics

“Quick-Win” 1

Develop additional University seminars focused on grand-challenge topics

New challenge-oriented seminars will engage students with grand-challenge topics and provide opportunities to explore relevant theory, history, methods, critiques, and other content. These elective seminars should be informed by the existing challenge seminars offered through the University Honors Program—for example, “Can We Feed the World Without Destroying It?” (HCOL 3803H). Expanding the number of seminars will increase the number of topics that can be addressed and allow more students to enroll in them. Seminars should be developed at both the undergraduate and post-baccalaureate levels and should afford students across degree programs and disciplines the opportunity to enroll in a grand-challenges seminar of interest to them.

Seminars should be designed to support the integration of multiple disciplines in the course's teaching, content, and enrollment. Team teaching will ensure the availability of relevant expertise and foster students' understanding of cross-disciplinary and transdisciplinary approaches to the grand-challenge topic addressed in the seminar. Course content should be drawn from multiple disciplinary perspectives, and the seminars should support a critical examination of methods as well as dialogue about the evolution of the grand challenge over time and space. Students should be recruited from multiple disciplines. To ensure a relevant mix of disciplines, seats might be allocated to colleges and/or an application process might be used to place students in these courses.

At the post-baccalaureate level, seminars could be arranged in a two-course sequence. The first semester would build shared understanding and would include critical examination of potential approaches to solving a grand challenge. The second semester would then engage students in addressing some aspect of the grand-challenge via an experiential learning opportunity. The May and December semester breaks and the summer terms should also be an option for offering a second experiential course.

For both undergraduate and post-baccalaureate seminars, graduate teaching assistants can provide an important support function. As noted earlier, grand-challenges teaching assistantships will also provide important learning and financial opportunities for post-baccalaureate students. Joint seminars that engage both undergraduate and graduate students should also be considered.

As part of its normal budget process, the University must identify a flexible, recurring source of funds to facilitate team teaching, cross-listed courses, and the encouragement of enrollment in courses outside of a student's home college. In addition, an administrative and governance structure that aligns faculty with grand-challenges priorities should be pursued, with oversight from the provost. Finally, efforts to advance research on grand-challenge topics should be integrated with the development of seminar courses, in order to maximize synergies of course content, funding, and expertise.

"Quick Win" 2

Develop undergraduate minors focused on grand-challenge topics

We should develop a set of topical minors to advance curricular development aligned with grand-challenges. Other recommendations are higher priorities and would likely have greater long-term impact, but the development of minors will be relatively easy to pursue and is thus recommended as a quick win. A set of undergraduate minors aligned with grand challenges will increase the visibility of the University's engagement with grand challenges, provide opportunities for students to tackle grand challenges, and build networks of interested faculty and courses salient to this strategic goal.

Minors could be organized around a set of required and elective courses, perhaps including grand-challenge topical seminars among those required. The development of core competencies for the minor will require engagement of faculty from varied disciplines, departments, and colleges. An administrative and governance structure will be needed to support recruitment, teaching, and

advising for the minor. Minors will likely draw on many existing courses that pertain to the specific grand-challenge topic, but could also include one or more new courses beyond the seminars described above. Tuition revenue should be allocated in a way that ensures sufficient resources to support the minor.

Minors can provide opportunities for students to develop expertise in a grand challenge that is complementary to studies in the major field or fields. Students will value grand-challenge minors as an opportunity to gain interdisciplinary perspectives, build deeper knowledge of a grand challenge, and network with faculty and students whose interests and/or disciplines enrich and connect with their own. The effort required to build and administer grand-challenge minors will create fresh constituencies and collaborative groups that will further advance education, research, and community engagement efforts.

Because grand-challenge topics will evolve over time, a template for minor fields should be designed. Faculty, staff, centers, or others involved in building a minor could use the template structure as they identify competencies, courses, and other curricular components. Existing interdisciplinary minors could serve as models for new ones.

We focus on the development of undergraduate minors as the initial priority, because of the larger number of students and available courses at this level. In addition, minors are more often pursued at the undergraduate level than at the post-baccalaureate level. At the post-baccalaureate level, academic programs tend to emphasize core courses and external courses complementary to a research agenda, with the additional consideration of time-to-degree outcomes. The University should assess interest in grand-challenge minors among post-baccalaureate students to determine when and if it might be appropriate to expand minors beyond undergraduates. Credentials other than minors should also be considered.

Implementation Considerations

The Grand Challenges Curriculum cannot succeed in isolation; it must be nested in a broader integration of grand-challenges strategies and goals across the University's functions, internal structure, and public identity. Most critically, the curriculum should be developed in close conjunction with grand-challenge research. Both research and curricular strategies should draw on—though they will never encompass—the wide range of intellectual expertise, methodologies, and resources that shape the academic profile of the University of Minnesota. The shift toward explicit engagement with grand challenges involves a cultural change. The curriculum will be both a driver of that change as well as a result of it.

Strategies to develop grand-challenges curricula will be greatly enhanced through discussion and refinement by faculty, students, and staff across our large and complex institution. This is the first step in a broad campus effort that will lead to pilot testing, revision, and implementation. The recommended changes are significant and potentially touch everyone at the University. Consequently, they must be shaped by broad engagement and informed by expertise from every quarter. They must reflect the highest aspirations of the University.

In particular, the University of Minnesota must consider how grand-challenges curricular strategies will draw on or augment the resources of individual colleges and what central mechanisms (or incentives) may be needed to enhance cross-collegiate collaborations and desired outcomes. Many practicalities must be considered in structuring and delivering an excellent education that is also affordable, efficient, relevant, and intentional in preparing students for a range of post-baccalaureate opportunities and careers.

The recommendations that touch upon the current Liberal Education Requirements and Student Learning Outcomes will need especially careful and thoughtful exploration. These requirements have been recently revised, with a great deal of energy invested in this. The scope and scale of liberal education and SLO planning makes further revision complex, as changes can easily lead to unintended consequences. In undertaking a phased approach—a pilot program focused on the four grand-challenge course categories—the University can undertake bold and productive experimentation that will not disrupt the current liberal-education and SLO system.

Success measures or metrics as well as evaluation criteria, are critical; however, we believe they should evolve at the same time as we build new courses, programs, and curricular approaches. Target metrics for participation and timelines for change will be most effective if placed within a larger context of pedagogical initiatives and logistical parameters.

Grand-challenge teaching and learning is by nature networked and collaborative. The speed and scope of digital technology has begun to change some aspects of higher education but arguably has not yet fundamentally transformed the way we teach and learn. Technology has enormous potential to advance grand-challenge curricular aspirations and the overall excellence and impact of University of Minnesota educational programs. The implementation process should emphasize innovative technology to challenge conventional teaching and learning.

We have noted several existing University models of interdisciplinary and/or challenge-based approaches to student learning. These models will help us identify promising paths as well as systemic obstacles that may be relevant to the development of a Grand Challenges Curriculum. These exceptional models have sometimes been seeded by interdisciplinary grants, but it is still generally the case that University systems have not been designed to support and sustain these sorts of innovative programs.

Creating a University where interdisciplinary, cross-cultural, and integrated learning is the norm rather than the exception will require major changes in the administrative infrastructure of the institution. Cross-collegiate agreements for revenue and cost sharing, processes for cross-listing of course offerings, mechanisms for collaborative faculty teaching, and support for co-curricular activities can be cumbersome and require an enormous effort each time a new program or course is proposed. Developing template MOUs, establishing financial incentives, and creating advising infrastructures are among the many administrative support requirements that will be key to achieving the University we envision, a research university that imaginatively leverages all of its strengths to address society's grand challenges.

*Report of the Strategic Planning Workgroup
University of Minnesota Twin Cities*

Recruit/Retain Field-Shapers

*We will create a University of transformational opportunity—
a culture of innovation in which there is flexibility
as well as responsibility and accountability*

Strategic Planning Workgroup

Recruit/Retain Field-Shapers

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Strategic Planning Workgroup co-leads for this team are in bold.

Introduction

The University of Minnesota must recruit and retain field-shaping researchers and teachers, those individuals best positioned to solve the grand challenges of a diverse and changing world. One focus must be on identifying and strengthening opportunities and incentives for bringing high-profile achievers and innovators to the University, and another on identifying key problems that can impede the retention of field shapers once they are hired. Because field-shaping researchers and teachers typically are highly sought after, retaining our best and brightest must be an ongoing priority. Simply put, if we hope to keep faculty of the highest caliber, our institutional commitment cannot end after we hire them. We must work relentlessly to reduce impediments to faculty success and to create a culture that sustains and nourishes field shapers.

Our issue team included a broad cross-section of University faculty, with representatives from most colleges and over 25 academic departments, as well as staff and students. Moreover, our team included some field shapers in various career stages, from undergraduate and graduate students to teaching specialists, tenure-track professors, chairs and department heads, Regents Professors, deans, and vice provosts. As a result, our discussions were informed by a great deal of relevant experience and a wide range of perspectives.

We identified key incentives, from pay to flexibility, but focused as well on a number of cultural issues that are sometimes barriers to success and retention. We considered a broad range of ideas and concretized those considerations into high-priority recommendations we think most likely to advance our institutional aspirations and goals. Some strategies can be advanced easily and some will require more effort. Implemented correctly, these strategies can help us create an “ideal state” in which top faculty and staff researchers and teachers from across the country—and indeed, from around the world—will seek out the University of Minnesota because of its reputation, its limitless opportunities, and its commitment to excellence. If we raise our profile in all these dimensions, we are confident that we will be able to attract the field-shaping researchers and teachers capable of leading this institution into the brightest future.

Strategies

A unique strength of the University of Minnesota Twin Cities is its remarkable breadth combined with its location in a major and vibrant metropolitan area. Our breadth and our location are not sufficient, however, to recruit, retain, and promote field-shaping researchers and teachers. The University must also become known as a place where transformational work can and does occur. Field-shapers want to have impact and want to make a significant and lasting contribution to society. Attracting and retaining field-shapers can only happen if the University is known both internally and externally as a “University of transformational opportunity.”

Transformational Vision

We will create a “University of transformational opportunity”

A university of transformational opportunity is one where there is flexibility accompanied by responsibility and accountability. It is one where field-shapers are encouraged to innovate, are rewarded for good ideas, are supported in their desire to take risks and push boundaries, and are not penalized for small failures on their way to large success. It is a university where “yes” is heard more often than “no.” In short, it is a university that vigorously embraces a culture of innovation.

A university of transformational opportunity by its very nature directly benefits students—both undergraduate and post-baccalaureate—because field-shaping research and field-shaping teaching are complementary endeavors. Top faculty want to work with the best and the brightest, the most eager, motivated, and energetic students. Graduate students weigh many factors in selecting a program, but the opportunity to work with field-shaping faculty is a key consideration for the very best students. A faculty of field-shaping researchers and teachers enhances the exceptional education we are able to offer to undergraduate students as a world-class research university. By working to improve the quality and opportunities of our faculty, we will improve the quality and opportunities of our students.

We intentionally do not express our desire to transform the University as a quest to improve our rankings. While we live in a rankings-conscious world, and while rankings (including those of public research universities) cannot be ignored, targeting a particular place in the rankings does little to affect institutional culture. A high ranking is likely to be the outcome or byproduct of a high-functioning University. We will focus our efforts on advancing the latter rather than chasing the former, confident as we are that a university of transformational opportunity *will* be recognized for its merits. Our call is for a culture shift at the University of Minnesota, one in which we create a University that is known to all as a center of excellence—an institution that welcomes, encourages, and cultivates the highest level of scholarly and professional activity.

All colleges and schools, and the University as a whole, will explicitly identify and define where we can and should make our most significant contributions. Colleges, individually and in collaboration, should identify a reasonable number of areas where we have unique opportunities to become field shaping or where we are already recognized as field shaping. The identification of these opportunities for transformational work can then be used to direct resources, to engage local and global partners and stakeholders, and to provide additional specificity to the strategies recommended below. Although our exceptional breadth is a great strength, we cannot do everything equally well and we need to be conscious of the danger of spreading ourselves too thin.

Our priorities must be to build pipelines to recruit and retain the best field-shaping researchers and teachers, develop field-shapers from within, support field-shaping work with an infrastructure and culture of high expectations, and reduce barriers to interdisciplinary partnerships. Implementation of these recommendations will move us toward being the “University of transformational opportunity” that we collectively must expect the University of Minnesota to be.

"Must-Dos"

Two broad "must-dos" require attention, one addressing recruiting and the other focused on retention. Some related action items are long-term while others can be quick wins and are noted as such.

Some strategies will involve questions of resources. While implementation of the University's strategic vision and goals could generate new funds from funding agencies or donors if the implementation is sufficiently exciting and well executed, it is prudent to plan under the assumption that the pool of resources at the University is approximately constant. Before an action is taken, we must recognize that allocating resources to one initiative is likely to mean a reduction elsewhere. We must achieve consensus that reallocations will ultimately benefit the University.

"Must Do" 1

Invigorate the process for recruiting the best researchers and teachers

To bring the very best researchers and teachers to the University of Minnesota, we must improve the process by which we recruit and hire faculty.

Supporting Recommendation 1:

Establish appropriate financial resources for recruiting and hiring field-shaping teachers and researchers and permit strategic flexibility in negotiating hiring packages that will be attractive to high-priority candidates.

Rationale: We recognize that the University of Minnesota cannot always compete financially with the public and private universities that have the deepest pockets. Nevertheless, competitive compensation packages are important in attracting the very best, and the flexibility to enhance financial rewards can give the University an important competitive edge.

Action Steps

- Create a fund at the central or college level for special-case recruiting to attract the very best candidates.
- Provide departments and colleges with more flexibility for recruiting and hiring. For example, allow hiring packages that offer enhanced inducements and novel support for important work.

Supporting Recommendation 2

Improve the diversity of faculty hires.

Rationale: We cannot expect to be preeminent in addressing the challenges of a diverse and changing world unless the University of Minnesota can draw on the full range of talents, expertise, perspectives, and interests of diverse researchers and teachers nationally and globally. Consistent with our mission, institutional values, and strategic vision, the University must be a place where all faculty feel welcome and encouraged to thrive. We must aggressively and deliberately promote diversity in faculty recruiting and in our ongoing practices of faculty development and support.

Action Steps

- Develop college-specific and department-specific guides for active recruitment of faculty of color, and other underrepresented faculty, including best-practices strategies for building diverse candidate pools.
- Hold department heads and academic administrators accountable for improving the participation of diverse candidates in recruitment pools and for improving diversity in the ranks of faculty and staff.
- Create an inclusive climate and culture so that all feel valued and supported; strengthen department mentoring programs, cross-disciplinary networking opportunities, and implement other best-practice strategies to build social connection and support career development.
- Support strong efforts to improve the recruitment and retention of students of color and other underrepresented students, both to nurture a diverse population of future scholars and field-shapers and to help build the vibrantly diverse 21st-century campus that will attract a culturally diverse faculty of the highest caliber.

Supporting Recommendation 3

Develop an aggressive approach to partner hires

Rationale: Many field-shapers come with partners or spouses. The University of Minnesota must be at least as good as peer institutions in providing attractive partner hire packages. The breadth of the University and our Twin Cities location gives us a distinct advantage over our peers in terms of the availability of professional opportunities for the partners of sought-after faculty, but we have not sufficiently capitalized on this advantage.

Action Steps

- Provide flexible hiring packages, consistent with supporting recommendation #1
- Benchmark what peer institutions are doing
- Maintain a robust central fund and process for partner hires
- Develop strategies to facilitate introductions to community and corporate partners that could increase placement opportunities for partners

Supporting Recommendation 4—“a Quick Win”

Reinvigorate the faculty campus interview process

Rationale: We must rethink the way we handle one of the most important touchpoints of faculty recruitment, the on-campus interview. We want to ensure that all prospects who visit the campus are provided with all the information they need to understand and evaluate the career opportunities afforded by the University and the many advantages of our vibrant metropolitan location.

Action Steps

- The campus interview process should include a personalized meeting with a specialist from the Office for Human Resources who can provide an engaging introduction to the many benefits of working on our campus and living in the Twin Cities. This should include everything from a good overview of University benefits to information on partner employment opportunities, schooling for children, cultural opportunities, and community resources geared to diverse interests, faith traditions, and so forth. Building this into the interview process will create a more meaningful and personalized experience for candidates, help them to appreciate all the Twin Cities has to offer, and convey that their partners and families will also find this to be a great place to live. It will treat candidates as whole people.

Candidates should routinely hear that the University of Minnesota is in the heart of a dynamic metro area that is a hub for education and culture and that it is in close proximity to the best urban park system in the country. They should be made aware that the Twin Cities boasts exceptional bicycling and walking trails, is one of the most LGBT-friendly metro areas in the country, has a diversified economy with a high concentration of Fortune 500 and major private companies, is renowned for civic engagement, and is a notably vibrant center for the arts, major league sports, and so on. Candidates should also learn about the breadth of the University, its exceptional resources, and the opportunities it affords for interdisciplinary scholarship and collaborations with a wide range of public and private partners.

Most faculty only learn such information randomly, if at all, in casual conversations with others during a campus visit. The University will strengthen its ability to recruit the best researchers and teachers by more effectively presenting the strengths and opportunities of our campus and region. Candidates should get a package of individualized information (and not simply a generic package put together by a local chamber of commerce), along with a personalized interview with a knowledgeable administrator who can both elicit and answer questions. In other words, we must highlight the non-monetary, intangible advantages of being at the University of Minnesota Twin Cities.

“Must-Do” 2

Improve the University environment and culture so there is support for transformational scholarship

The University’s recent employee engagement survey revealed that faculty love their jobs but are not entirely satisfied with their working environment. This is troubling, because to retain the very best researchers and teachers (as well as staff), and to have all working at their full potential, the environment and culture must be supportive.

Supporting Recommendation 1

Commit to a program of excellence for department heads and chairs

Rationale: Effective department heads or chairs are essential to the recruitment, retention, and development of field-shapers and are key to creating a departmental culture and incentives enabling field-shapers to thrive. Even with the evolution towards interdisciplinary work that transcends department and college boundaries, all faculty and staff in teaching and research roles have a home academic department; most identify closely with that department.

Action Steps

- Better define and communicate to faculty the role of the department chair/head. This includes clarifying the department's own expectations for how the role functions as well as the expectations of deans (and more broadly, of the provost).
- Determine the attributes of a top-performing chair/head.
- Recognize and reward department heads/chairs to make these posts desirable positions. For example, the head/chair position could come with post-doc support so that the head's/chair's research program could continue.
- Streamline administrative work so that routine matters consume less of the head's/chair's time and effort.
- Provide department heads/chairs with leadership training aimed at creating a department culture where field-shapers are cultivated, recognized, and rewarded—and where academic risk-taking is embraced. This will build on the existing training sponsored by the provost's office.
- Train department heads/chairs to identify future field shapers and expand programs to develop them; field shapers are not only recruited, they must also be grown internally.
- Provide department heads/chairs with expert training in strategies to recruit, retain, and promote the success of diverse faculty and students.
- Examine criteria for selecting department heads and chairs.
- Examine how heads/chairs conduct annual reviews for tenured faculty and how they promote career development.
- Determine what length of term is most appropriate for a department head/chair. For example, some units have three-year rotating positions; three years is very likely too short a term to effect strong developmental leadership in the unit.
- Department heads and chairs operate within the current University structure. We must carefully examine this structure and determine whether structural changes would facilitate field-shaping research and teaching that capitalizes on our strengths.

Supporting Recommendation 2

Establish appropriate financial incentives to retain field-shaping teachers and researchers

Rationale: While intangibles play the most important role in retaining the very best faculty and staff, financial incentives can and should be used to ensure that those at the peak of creativity and

productivity are recognized and rewarded. At the same time, we need to find ways to avoid having compensation inequalities produce resentment.

Action Steps

- Examine current policies and procedures for compensating faculty and staff researchers and teachers.
- Examine the role that merit plays in salary increases. Most colleges use a narrow spread to allocate salary increases, but perhaps the spread should be wider.
- Create a fund at the central or college level for special retention cases.

Supporting Recommendation 3—a “Quick Win”

Reconsider practices and strategies for internal University faculty awards and endowed chairs

Rationale: Our current mix of faculty recognition programs and awards—including Regents Professors, McKnight awards, endowed chairs, and other significant awards—may not be optimal for recognizing and retaining top scholars. Moreover, current award programs are too often considered in isolation from broader contexts or strategic goals.

Action Steps

- Examine the entire portfolio of internal awards and be creative in developing the optimal use of these valuable resources.
- Develop a strategy for targeted fundraising to increase the number of endowed chairs, with one goal being to connect to the University’s broader grand-challenges paradigm.

Supporting Recommendation 4—a “Quick Win”

Aggressively seek external faculty awards

Rationale: Faculty awards not only recognize top performers. They also bring recognition to the University. The University of Minnesota historically has been well behind its peers with respect to external faculty awards. This is not because of the quality of our faculty but rather because insufficient effort has been devoted to identifying and applying for external awards. Currently, awards processes are too often seen as a burden for the nominee and the colleagues of the nominee who are responsible for putting together the award package. Minnesota reticence—and the “Minnesota humble” attitude—is not helpful on this front. Instead, we must actively and aggressively go after awards.

Action Steps

- Examine peer universities and peer departments to determine best practices for pursuing awards that will recognize the distinction of our faculty and University.
- Devote resources and effort at the central and college level to implementing an awards nomination process.

Supporting Recommendation 5

Recruit, retain, advise, and mentor excellent graduate students and postdocs

Rationale: Field-shaping researchers need to work with the very best graduate students, and the very best graduate students will only go to institutions that support field-shaping researchers. Universities cannot have one without the other. It is the same for postdoctoral students. The best graduate students and postdocs are attracted to a dynamic university that is home to exciting, groundbreaking research and that also offers competitive financial support packages, particularly for Ph.D. students. Further, graduate students and postdocs are attracted to a university that is known for excellence in mentoring its graduate students.

Action Steps

- Move towards guaranteed, multi-year—possibly up to five-year—support packages for incoming Ph.D. students to ensure the University is competitive with peer institutions. Move toward full (50-percent) assistantship support for Ph.D. students, which will ease tensions between students and their research advisors.
- Provide graduate students with opportunities to intersect with grand-challenges research collaborations, as well as with teaching opportunities that may emerge as the grand-challenges curriculum is developed.
- Provide faculty with guidance on best practices in mentoring graduate students.
- Increase the number of internal awards for the very best Ph.D. students.
- Aggressively pursue external Ph.D. student fellowships so that we are on the same level as the best of our peer institutions.

Supporting Recommendation 6

Ensure that the University is known as the place for doing interdisciplinary research and teaching

Rationale: Many young field shapers and postdocs are inherently interdisciplinary and are not tied to traditional department boundaries. To attract the next generation of exciting field-shapers, the University of Minnesota must be perceived as highly welcoming to and encouraging of interdisciplinary work. Moreover, receptivity to interdisciplinary research and teaching and institutional support for transdisciplinary collaborations is a prerequisite for our institution's becoming preeminent in solving the grand challenges of a diverse and changing world.

Action Steps

- Identify and reduce lingering barriers to interdisciplinary research and teaching.
- Review the University's faculty tenure policy—specifically, sections 7.11 (tenure criteria), 9.2 (promotion to professor criteria) and 7a (review of faculty performance)—and department-level 7.12 statements (tenure criteria) to determine how they shape the environment for interdisciplinary work; revise if revision is needed.
- Identify a flexible, recurring source of funding to support interdisciplinary teaching and research.

- Ensure that incentives for interdisciplinary research and teaching do not inhibit the innovative work of field-shapers who flourish within their established disciplinary boundaries; there must be flexibility in our conception of the University of Minnesota as a university of transformational opportunity.

Supporting Recommendation 7

Conduct regular reviews of academic initiatives, including centers.

Rationale

Too many centers and initiatives function at the University as if they have been chartered to exist in perpetuity. Because resources for initiatives are limited, and because the university is renewed by a continual supply of new ideas, it is critical that we establish a culture where centers are not necessarily expected to last forever.

Action Steps

- Strongly enforce a five-year horizon as a campuswide standard for centers or major initiatives. Each should start with an expected lifespan of five years (or less). Extension beyond the first five years requires meaningful justification.
- Ensure that all campus and college units carry out regular and meaningful reviews of centers that draw on central or collegiate resources. (This is an existing policy standard that should be strongly enforced.)

Supporting Recommendation 8

Provide incentives and support for faculty who direct major multi-investigator, multi-disciplinary research programs

Rationale: The work to develop large-scale, multi-investigator grant applications is huge, as is the work to run large and complex research centers successfully. If incentives were in place, we would see more such efforts. The message to faculty will be clear: We value such centers and those who step up to lead them. Large centers are increasingly important in attracting external funding for contemporary research, and large multi-investigator centers typically promote interdisciplinary research goals.

Action Steps

- Provide grant-writing support for large proposals. (The Office of the Vice President for Research, the Office of the Vice President for Health Sciences, and the provost's office could take the lead in identifying new strategies or leveraging existing resources for this purpose).
- Move toward excellence in grant support offices at the unit, college, and University level, with excellence measured by how well investigators are supported and how well the process of grant submission and grant administration is facilitated.
- Create principles and guidelines for reduced (redirected) workload for research center directors.

Supporting Recommendation 9

Encourage innovations in teaching and recognize and reward innovators

Rationale: Teaching and research are fundamentally intertwined at the University of Minnesota. To attract field-shaping teachers to our classrooms, studios, and labs, the University of Minnesota must be an institution where excellence in teaching is recognized and valued, and where innovation in teaching practice is encouraged.

Renown for the University as an institution that promotes and facilitates innovative teaching practices will help in attracting field-shaping researchers. Moreover, providing students with outstanding educational experiences directly reflective of our research excellence is central to our mission. We must continue to ensure that graduate students are taught and mentored by field-shapers and that undergraduates also have opportunities to learn from top faculty. This should occur not only in structured courses, but also through research collaborations such as the Undergraduate Research Opportunities Program and through experiential learning and service experiences that engage students with local and global communities.

Action Steps

- Examine the University incentives in place to foster and reward excellent and innovative teaching; modify if necessary.
- Consider flexible workloads that conduce to excellence in teaching, with openness to adjusting the relative balance between teaching, research, and service.
- Provide incentives so that field-shaping researchers want to be engaged in leading-edge teaching (with special emphasis on interdisciplinary collaborations addressing critical challenges).
- Promote collaborative teaching. Field-shapers are often excited by the opportunity to collaborate with a colleague on an educational initiative.

Supporting Recommendation 10—a “Quick Win”

Significantly reduce work activities that do not directly support teaching, research, and outreach

Rationale: Administrative procedures and internal service activities have become far too burdensome and take time away from teaching, research, and outreach. This may in part reflect a broader culture that has become increasingly risk-averse and less trusting of faculty, staff, and administration. However, sub-optimal use of committees and meetings also contributes to a growing administrative burden on everyone. We need collectively to create a University environment that reduces administrative burdens and encourages experimentation, including embracing appropriate levels of risk. This is where field-shapers will thrive.

Action Steps

- Reduce administrative burden for low-risk processes.
- Seek to reduce the number of University committees.
- Consider reducing the number of faculty on various committees.

- Provide department heads with training on making inclusive, “participatory” decisions without setting up committees.
- Establish a natural sunset for activities, including centers and standing committees, where appropriate.

Supporting Recommendation 11—a “Quick Win”

Enhance faculty retirement incentives

Rationale: Many departments have faculty who would like to retire but might be uncertain about their financial status or a potential loss of identity. Older faculty often have exceptional scholarly records; by virtue of their long careers, experience, and accomplishments their salaries also tend to be higher than those of less senior colleagues. We must develop or enhance strategies and incentives to support the transitions of older colleagues toward winding down their formal academic careers. This should include identifying meaningful opportunities for faculty to contribute in emeritus roles should they wish to do so. New support strategies around retirement are consistent with the goal of supporting faculty at all stages of their careers—one key to making the University an attractive “home” for outstanding faculty. This will also help create a dynamic and transformational academic culture. In a world with constrained resources, we must work not to stifle the pipeline of fresh ideas and diversified perspectives that can come especially from hiring younger faculty and field-shapers at earlier career stages.

Action Steps

- Research how older faculty members at the University perceive their careers as well as how they envision retirement.
- Benchmark peer institutions with respect to retirement incentives.
- Work with faculty to define retirement options that fit a variety of preferences and needs; create or revitalize incentives or strategies to support these options. These must include opportunities and support that would make it attractive for colleagues to work as emeritus faculty, if that is what they choose.

Report of the Strategic Planning Workgroup
University of Minnesota Twin Cities

Grand Challenges—Reciprocal Engagement

*We will leverage our location and build a culture of engagement
for the mutual benefit of the University and our communities*

Strategic Planning Workgroup

Grand Challenges— Reciprocal Engagement

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- May Yang, Undergraduate Student, Communication Studies
- Marlene Zuk, Professor, Ecology, Evolution & Behavior

Strategic Planning Workgroup co-leads for this team are in bold.

Introduction

The University of Minnesota's vision for 21st-century excellence recognizes the strategic advantage we have as a land-grant research university located in a major metropolitan area. Few of our peer institutions are based in large cities. Our Twin Cities campus is at the heart of a vibrant metropolis that ranks first in the number of Fortune 500 companies per capita (and is home to leading private companies such as Carlson and Cargill). Our region is renowned for its arts and nonprofit sectors and more generally for its abundant cultural and natural resources. Our campus straddles one of the world's great rivers and adjoins a national park. We are an anchor institution for a globally competitive region and state with notable strengths in areas critical to today's knowledge economy—including biosciences, medical devices, and agriculture and food production.

Ours is also an increasingly diverse region, with the largest urban Native American population in the country and growing African-American, Latino and Chicano, and Asian-American populations. Our communities continue to be transformed by immigration, with populations from, in particular, Latin America, Asia, and Africa significantly enriching the mix. The Twin Cities now has the largest number of people of Somali descent outside of Somalia and the nation's largest urban Hmong-American population. Indeed, we are at the heart of a global Midwest.

In this dynamic environment, the University has unparalleled opportunities to advance community-engaged research and teaching that has high local and global relevance and impact. Our location affords us remarkable opportunities to leverage our breadth of strengths—alongside those of diverse communities, vital cultural organizations, and global businesses—to solve the most urgent and complex problems of today's societies, to foster innovation and economic growth, to offer our students critical workplace and volunteer experiences, and to enhance quality of life.

Many of today's most critical global challenges have strong local resonance, such as those related to hunger and food production, the environment, civic engagement and urban community vitality. Furthermore, our collaborations with leading employers such as 3M, Land O'Lakes, Cargill, United Health, and General Mills—and with a great variety of other public and private partners, from the Guthrie Theater to state agencies to local non-profits—can create 21st-century learning and career pathways for our students. These pathways contribute to economic vigor and community well-being and ensure that our students are well prepared to be tomorrow's leaders—innovators, problem-solvers, and global citizens.

We must fully leverage the special opportunities of our location and the full range of our state and regional assets—communities, businesses, government and nonprofit partners, and cultural assets from performance groups to museums and libraries. Moreover, we must do this with a spirit of reciprocity, guided by a commitment to engagement that insures mutual benefit. Further, we must expand and deepen our institution's capacity for effective reciprocal engagement with a wide and diverse range of partners and stakeholders.

We do already have great strengths in outreach and engagement. Understood in the broadest sense, University engagement activities include all the ways we interact with external constituencies, whether communities or corporations, arts groups or policymakers, agribusiness or alumni. The University's Ten-Point Plan for Advancing and Institutionalizing Public Engagement has been recognized as a model by the Research Universities Network for Community Engagement. That plan expressly seeks to maximize the potential of reciprocal engagement to produce cutting-edge, significant research that addresses some of the most complex and difficult issues in society.

Since 2006, the University has received the Carnegie Foundation's Community Engagement Classification recognizing significant commitment to reciprocal public engagement. The classification defines engagement as collaboration with local, regional/state, national and global partners "for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity" and notes that the purpose of these partnerships is "to enrich scholarship, research, and creative activity; enhance curriculum, teaching and learning; prepare educated, engaged citizens; strengthen democratic values and civic responsibility; address critical societal issues; and contribute to the public good" (Carnegie Foundation for the Advancement of Learning).

Engagement activities fitting this definition are ubiquitous, carried out by colleges and cross-collegiate centers in the form of collaborations between the University and industry, through international research partnerships and K-12 outreach, in our clinical programs and in continuing education, through Extension and our many research and outreach centers, to cite just some examples. The University's health sciences have been a particularly vital hub for engagement, with more than 1,500 clinical training partnerships across the state and scores of community-engaged research and outreach initiatives. Our community partners are thus also many and diverse, local and global. They include governmental institutions; towns and neighborhoods; non-profit organizations; corporations and small businesses; community councils; native communities; and so on.

Innovative work increasingly requires community engagement, and this engagement is at the core of some of the University's most ambitious research initiatives, such as the Clinical and Translational Science Institute and the MnDRIVE initiative to advance discoveries and treatments for brain conditions. Community engagement can also play a key role in building the deeply meaningful student experiences that will distinguish a first-rate, place-based education in the 21st century, preparing our students to be effective leaders and informed citizens.

Enhancing Reciprocal Engagement

Although the University is justifiably proud of the many collaborative relationships with community partners of varied types, we have yet to reach our full potential. Our internal and external stakeholders have sometimes noted serious impediments to the practice of fully engaged teaching and scholarship. To achieve our strategic goals, we must enhance support for engagement in our academic units and do more to capitalize on ways in which our particular location can help us develop truly exceptional teaching, groundbreaking research, and effective, meaningful outreach.

Fundamentally, we must ensure that our internal communities—students, staff, faculty, and administrators—continue to develop the knowledge and relationships needed for the success of

engagement efforts. Although we recognize that not every faculty member, staff member, or student will become involved in engaged scholarship or work with external communities, those who are involved must operate with best practices. Our articulation and institutionalization of best practices will build on efforts already under way through the Office for Public Engagement (OPE), the Office for the Vice President for Research (OVPR), Extension, and the Global Programs and Strategy Alliance (GPS Alliance).

We must also devise strategies and structures to make it easier for external stakeholders to connect and collaborate with the University. One salient initiative is the recent collaboration between the OVPR and the University of Minnesota Foundation (UMF) (in conjunction with collegiate units and other key stakeholders across the University), focused on building multidimensional and sustained relationships with business and industry partners.

We must also strengthen strategies and structures that support our communities through improved public access to the University's scholarship, educational, and cultural resources. Salient examples are wide-ranging, including the educational and cultural programs of Extension; the outreach of our professional schools through clinics, hospitals, and continuing education; the new Northrop, and the Bell Museum of Natural History. Other salient examples include broad community-based collaborations such as the Urban Research and Outreach-Engagement Center and many educational access programs—Kids on Campus, the STEM (science, technology, engineering, and mathematics) Center in the College of Education and Human Development, and the College Readiness Consortium, just to name a few.

Strategies

Transformational Vision

We will build a University culture of engagement that strongly supports community-engaged scholarship and dynamic University-community partnerships

Support and recognition for engagement is uneven across academic departments. While there may not be equal interest across academic units in engaged scholarship, there should at least be consistent and openly agreed upon standards for support and assessment of this work within units so engaged. Such scholarship needs to be evaluated consistently within units and across the University, maintaining respect for discipline-specific contexts. There should be clear statements within academic units about the role of engaged scholarship in annual reviews and in matters of promotion and tenure. A more consistent culture, environment, and set of standards for engaged scholarship will advance the University's land-grant and research missions and enhance the rigor and relevance of the education we provide students.

We must also increase faculty and student training in engagement activities. Public engagement training is needed to equip scholars and students to do engaged work in a way that is respectful of the community and fosters good relationships between the community and the University. Integrated training opportunities—including an “engagement pipeline” involving undergraduates, graduate students, faculty and staff—are needed so that the University of Minnesota can develop

and nurture a larger cohort of students and scholars who are well versed in community-engaged research, teaching, and the translation of research. Moreover, since many funding agencies now require demonstrations of “public relevance” or involvement with community partners, this training can assist University faculty, staff and students seeking grant funding that requires or supports community engagement.

We must also provide opportunities for more faculty and students to develop mutually beneficial relationships with businesses, government agencies, and public and private organizations of many varieties. This will increase the economic impact of the university and provide avenues for new forms of research collaboration and as well as enhanced educational experiences and career development for our students.

Action Steps

- Develop criteria for evaluating engaged scholarship and education as well as other faculty/staff collaborations with communities and stakeholders; the Provost’s Office should work with deans, chairs, and tenure committees to determine how best to do this.
- Include engagement activities in annual reviews of faculty members’ research and teaching (as distinct from or in addition to service and outreach).
- Review 7.12 promotion-and-tenure statements across academic units to assess how engagement activities are articulated in faculty reviews. Disseminate best practices so that all statements contain clear definitions and guidelines.
- Enhance faculty, student, and staff training in reciprocal engagement; in particular, develop a summer institute on reciprocal engagement to train graduate students and faculty in best practices. (This recommendation builds upon initiatives already developed by OPE to support faculty development; it could also draw on campus-community workshops offered by the Community Service Learning Center.)

Supporting Recommendation

Review current practices of engagement with community partners; identify and strengthen support of best practices and require clear articulation of focus; look for opportunities to make dialogue with partners and stakeholders a regular and robust part of our culture.

Mutual respect and trust, transparency and accountability, flexibility, and authentic commitment to sustainable relationships—these are all core components of reciprocal engagement. Simply put, the University has a responsibility—consistent with its mission as a land-grant research university, as a state-chartered institution, and as one of the region’s largest employers—to invest in the well-being of the state and to develop and maintain exemplary relationships with its many constituencies and stakeholders.

We are aware of interactions in which community partners have felt devalued or valued only for their potential to help secure grant funding or to provide a site for a student field placement. Focus groups and roundtable discussions convened by the OVPR, UMF, and colleges and academic programs have found that, among business and industry stakeholders, and among other community

members and organizations, the University has not always been perceived as an ideal partner. Partners and potential partners have mentioned challenges related to accessibility, information sharing, and coordination of contacts between and within the University. Specific concerns among external stakeholders include perceptions that the University is bureaucratic, difficult to connect with, or focused narrowly on University goals or on “one-off” projects not linked to the broader interests of our partners..

This suggests we have more to do to leverage the strengths and resources of our location, to build meaningful and productive collaborations with our communities to benefit them, our students, and our institution as a whole.

Our University has structures, policies, and practices that may have evolved for good reasons, but they need to be regularly reviewed to ensure that they do not hinder strong reciprocal engagement with our partners. Several units, including OVPR and the Foundation, have undertaken such reviews, in collaboration with internal and external stakeholders, and we recommend that the University look for additional opportunities to remove impediments to important and mutually beneficial partnerships.

Both OPE and OVPR, among others, can help identify best practices to facilitate dialogue with stakeholders and help to make such conversations a routine part of our activities. They can serve as bridges between University departments and community partners. Faculty, students, and staff who have distinguished themselves in the eyes of University peers and community stakeholders as respectful and effective partners should also be enlisted to help formulate best practices. Of course, it is important that our partners and stakeholders be actively involved as well in this identification of best practices.

Action Steps

- Review policies and procedures that have an impact on community partners and their ability to engage with the University.
- Determine how to consult with community partners and stakeholders about University initiatives, policies, and other matters in which they have a strong stake or interest.
- Create vehicles for convening more community consultations at the beginning of new research projects or educational initiatives, or when anticipated changes in policies or practices might affect adjacent communities. Mechanisms for consultations with the business community and the non-profit sector should also be robust.

“Must Do” 1

Convene community, government, and corporate partners around grand-challenges priorities

The University of Minnesota has unique credibility and capacity for convening large-scale, cross-sector discussions and collaborations. The adoption of the University’s new strategic plan presents an ideal moment to convene campus-community partnerships to address grand challenges. This will raise the University’s profile with stakeholders as a key collaborative partner, and this, in turn, will enhance our ability to realize our ambitions at the local, regional, and global level. Engaging

partners “at the front end” will build trust with stakeholders and will lead to research and teaching collaborations that harness the full power of a land-grant research institution in a vibrant and diverse metropolitan area.

The University has played such a convening role to great effect in the past. For example, in collaboration with the African American Leadership Forum, General Mills, and other lead partners, the University helped convene a series of robust community conversations about educational disparities in the Twin Cities, and that gave rise to Generation Next, a broad-based achievement gap initiative co-chaired by President Kaler and General Mills Foundation President Kim Nelson.

The University also has convened roundtables around interrelated issues related to food—food production, food safety, and the global challenge of feeding an increasing worldwide population and addressing food insecurity closer to home. These discussions—which have included stakeholders from industry, interdisciplinary faculty and staff, and diverse community partners—have been an important foundation for broadening University-community collaborations to address these challenges.

Convening broad campus-community conversations is often a catalyst for multi-sector and multidisciplinary collaborations. The University’s River Life program, for example, engages wide-ranging partners to explore issues related to the sustainability of the Mississippi River. The collaborations have included campus and community historians, scientists, geographers, environmentalists, and artists.

Convening conversations with regional stakeholders about grand challenges will illuminate important interconnections between regional issues and global grand challenges. The Minneapolis-St. Paul Regional Economic Development Partnership (Greater MSP) and other community advocacy groups are natural allies in this effort. We need to promote the multi-pronged and scalable approaches required to address complex challenges and steward synergistic partnerships grounded on both campus and community strengths.

These conversations will also offer extraordinary opportunities for students through experiential learning aligned with the grand-challenges curricular goals (see “Must-Do” 2 below). University and community stakeholders working together also will better understand how grand-challenges research and education can be matched with local, national, and international funding opportunities and priorities.

Action Step

- The president and provost should determine how best to convene broad campus-community discussions that align with the vision, goals, and opportunities identified during the strategic planning process.

“Must Do” 2

Expand community-engaged grand-challenges pathways for students

At a time when point-and-click approaches to higher education are heavily advertised and promoted, the University’s grand-challenges vision reaffirms the value of a residential, place-based

research university. As we become more fully engaged with our communities and with the most pressing and complex problems in the world, our location in one of the richest, most vital growth areas in the country gives us unprecedented opportunities to create new collaborative ventures that offer new learning and career avenues for students.

Two-way avenues not only bring students to campus from diverse communities but also have the potential to keep them reciprocally engaged with metro-area neighborhoods, organizations, and businesses. The result will be an enriched educational experience, with unparalleled internship, volunteer, service learning, and post-graduation employment opportunities in industries and organizations across all sectors of the economy, from the arts to agriculture, from health care to high finance, from high tech to high touch, from local and home-grown to global and multi-national.

This kind of engaged, on-site experiential learning, which integrates “high-touch” learning and discovery with equally high-touch real-world application, can and must be enhanced by developments in technology, but it has depth beyond the digital. A campus deeply and broadly engaged with diverse communities and industries, both locally and globally, is a place where students can develop the higher-level competencies they will need for life and work in a volatile and unpredictable 21st-century global knowledge economy—including critical thinking and problem solving, technological literacy, multicultural awareness and cultural competency, interpersonal and communication skills, creativity and innovation, teamwork and the capacity to negotiate diverse perspectives.

The expansive asset base in the Twin Cities—social, cultural, and economic—offers career and service opportunities for students across every conceivable sphere. The region’s internationally engaged businesses, small and large arts organizations, non-profits, and multifaceted communities also expose students to diverse cultures and perspectives and to the intersections between local and global issues—critical in the development of 21st-century literacies and competencies.

The University has a variety of initiatives that support community-engaged student learning in both local and global contexts. Notable examples include the Community Service-Learning Center (which partners with over 200 nonprofits in and around the Twin Cities); the GPS Alliance; and service learning activities, internships, and other experiential learning programs in colleges and departments. The Community Engagement Scholars Program (within the Community Service-Learning Center) provides structured community learning experiences that earn academic credit and recognition on students’ transcripts. All of these could be foundations for more focused grand-challenges learning and career pathways.

Action Step

- Ideally, these experiential learning pathways should be developed in tandem with the grand-challenges curricular (and co-curricular) innovations likely to be key components of the University’s grand-challenges strategy. The Provost’s Office should assist in planning to coordinate these efforts.

“Quick Win” 1

Make the benefits of engagement clear and tangible to potential community partners

The University of Minnesota needs to make evident to stakeholders—internal and external—the benefits of University-community collaborations. This has been one focus of the corporate engagement partnership of the UMF, OVPR, the Office of University Economic Development, and colleges and programs across the campus. Core strategies include developing an internal economic development network; forming working relationships with key public and private economic development agencies to identify common objectives and prioritize projects; and connecting MnDRIVE priorities to corresponding regional initiatives. Other strategies emphasize marketing, online connectivity tools, and systematic data gathering and analysis. We recommend that the University build on these efforts, adapting them appropriately to enhance our engagement with our many other categories of partners.

The University of Minnesota is a powerful regional asset for economic development and social vitality. It brings together leading scholars, researchers, and teachers in nearly every field and draws wonderful students to work with them. It produces research and creative work of high value and impact and prepares the agile thinkers and problem-solvers needed to meet the high-level workforce needs of the knowledge economy. University of Minnesota alumni play major roles in shaping an economically strong, culturally vibrant, and civic-minded state.

We don't do any of this alone. The Minneapolis-St. Paul region and the state are a tremendous asset base for the University. Our collaborations with government, businesses, and partners from our various communities invigorate our research and fuel discoveries that lead to new products, solutions, patents, and jobs. Our collaborations help inform smart policymaking and catalyze and sustain work to build thriving and creative communities.

Grand-challenges collaborations that harness a wide range of University and regional strengths have tremendous potential. For the University, working with businesses, local organizations, and communities will strengthen the relevance of research and teaching and may lead to sponsored research and technology commercialization. Such partnerships can help meet serious funding challenges and can provide developmental pathways for our students' lives and careers. For communities, organizations, and businesses, collaboration with University faculty and students will shape strategies and solutions of demonstrable benefit—whether it's improving food safety and security in Minnesota communities, operating dental clinics in rural areas, or devising transportation solutions for underserved neighborhoods.

The benefits of more narrowly focused approaches should also be made plain. Knowledge that can advance particular business innovations or improve health, specific technical assistance, increased understanding of a community or organizational issue—all are of enormous importance, and here the University's efforts through Extension and the ROCs are particularly salient models for other sectors of the University.

“Quick Win” 2

Make engagement opportunities more visible; create “front doors” for stakeholders seeking to connect with University

Potential partners sometime report frustration when trying to connect with the University of Minnesota. There is no clear and obvious point of entry. From the other side, University personnel who would like to link teaching, research, and other professional activity with external partners are sometimes unsure about how to do it. Many partnerships are established simply through individual networks, but this is not a path that works for everyone.

On- and off-campus constituencies need to learn about both opportunities for engagement and ongoing engagement work. More welcoming pathways and improved communications will not only enhance opportunities for engagement; they will also enhance our coordination and impact. Community partners are sometimes engaged with multiple University departments or units, but the University partners are often unaware of the other partnerships, and this can hinder our work.

The easier it is to connect with the University and the more transparent we are about our efforts, the more likely community partners of all types will engage with the University. This will also increase general awareness of the University’s broad reach and will help to engender additional support, goodwill, and opportunity for our institution—around the state and around the world.

Action Step

- Develop convenient and accessible entry points that fit the needs of potential partners and stakeholders. The increased focus on corporate stakeholders by the OVPR has led to development of a University Economic Development website as a “front door” of the University for business and industry looking to connect with the University for the first time. The Office for Public Engagement (OPE) should collaborate with OVPR, Extension, Office for Equity and Diversity, UMF, University development and external relations offices, and collegiate units to determine how best to develop a similar “port of entry” for additional community stakeholders, recognizing the diversity of these stakeholders and partners.

OPE is perhaps best positioned to convene a conversation among relevant university units about how better to coordinate information about engagement activities across the campus—as well as how to make it easier for faculty, students, and staff to learn about and participate in public engagement opportunities. Follow-up or parallel conversations should focus on how to advance engagement in particular areas—such as how to leverage our world-class assets of performing arts facilities, museums, galleries and libraries and increase opportunities for our faculty, students and staff to engage with communities in creative and scholarly partnerships.

Advancing Our Vision: Next Steps

To implement our vision and goals, we will:

- Continue robust conversations with the campus community, the Board of Regents, and external stakeholders about how to realize our shared vision for excellence and impact
- Establish a Strategic Planning Continuity Team (to include representatives of the Grand Challenges Research and Curriculum groups) to advise the president and provost on implementation priorities and steps
- Charge a Budget Resource Group with identifying optimal funding strategies
- Incorporate the plan into ongoing academic planning by the provost to:
 - Develop meaningful indicators for excellence in goal areas
 - Integrate into compact planning starting fall 2014
 - Connect the Twin Cities campus plan with plans of academic and administrative units
 - Advance action plans to achieve goals derived from the compact planning
 - Share successes and report outcomes

**The University of Minnesota Twin Cities
Will Be Preeminent in Solving the Grand Challenges
of a Diverse and Changing World**

Strategic Plan for the Twin Cities Campus

Board of Regents Meeting

September 12, 2014

Strategic Planning Blog: strategic-planning.umn.edu

UNIVERSITY OF MINNESOTA
Driven to DiscoverSM

Today's Presentation and Discussion

- **Strategic Plan: Introduction and Overview** — President Eric W. Kaler and Provost Karen Hanson
- **Strategic Planning Workgroup Issue Team Updates** — Team co-leads noted; today's presenter in **bold**

Supporting Excellence/Rejecting Complacency

Jakub Tolar, Professor, Medical School

Christopher Uggen, Professor, College of Liberal Arts

Grand Challenges—Research

Joe Konstan, Professor, College of Science & Engineering

Allen Levine, Vice Provost for Faculty & Academic Affairs; Professor, College of Food, Agricultural and Natural Resource Sciences

Reuben Harris, Professor, College of Biological Sciences

Grand Challenges—Curriculum

Renee Cheng, Professor and Associate Dean, College of Design

Carissa Schively Slotterback, Associate Professor, Humphrey School of Public Affairs

Reciprocal Engagement/Leveraging Our Location

Liz Lightfoot, Professor, College of Education & Human Development

Catherine Squires, Associate Professor, College of Liberal Arts

Amelious Whyte, Associate Vice Provost, Office for Student Affairs

Field-Shaping Researchers and Teachers

Timothy Kehoe, Professor, College of Liberal Arts

Will Durfee, Morse Alumni Distinguished Teaching Professor, College of Science & Engineering

Student Perspectives: Meghan Mason, M.P.H.; Ph.D. Candidate, Epidemiology

- **Discussion and Q & A**

University of Minnesota Mission

The University of Minnesota, founded in the belief that all people are enriched by understanding, is dedicated to the advancement of learning and the search for truth; the sharing of this knowledge through education for a diverse community; and to the application of this knowledge to benefit the people of the state, the nation, and the world.

The University's mission, carried out on multiple campuses and throughout the state, is threefold:

- Research and Discovery
- Teaching and Learning
- Outreach and Public Service

University of Minnesota Board of Regents Policy, last amended 2008

University of Minnesota Commitments & Principles

FOUNDATIONAL COMMITMENTS

- To **academic freedom**, supporting open intellectual inquiry and free expression and meeting the responsibilities entailed by such freedom
- To **trustworthiness and honesty**, maintaining individual and institutional integrity in all that we do
- To **respect** for each individual
- To **diversity and inclusion**
- To **public engagement**, partnering with our communities locally, nationally, and across the world
- To **excellence** in the fulfillment of our mission

GUIDING PRINCIPLES

- We collaborate, consult, and cooperate—and take action
- We encourage bold, innovative and creative responses to the challenges of today and tomorrow
- We promote access to our teaching, research, and service
- We are accountable to the state of Minnesota, to our publics, and to one another for the fulfillment of our mission, demonstrating that we are responsible stewards of public funding and public trust

Background

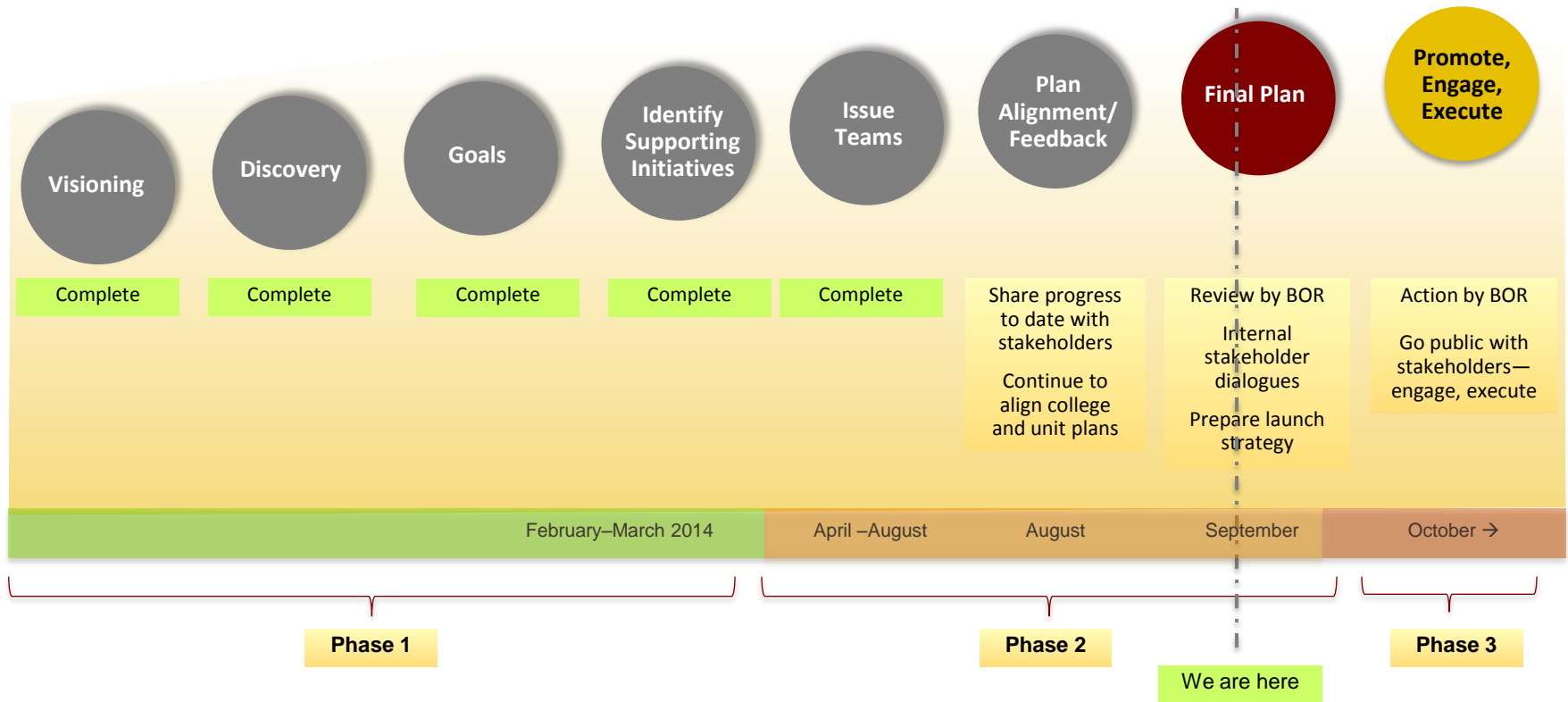
Process

- President Kaler launched the strategic planning process for the Twin Cities campus in fall 2013. The process has been led by Provost Hanson and a campuswide Strategic Planning Workgroup.
- The workgroup and five issue teams have included nearly 200 faculty, staff members, and students drawn from over 500 nominations.
- The workgroup developed a vision and goals to guide strategic decision-making over the next decade.
- Issue teams “built out” four goal areas outlined by the workgroup (two teams were assigned to the grand-challenges goal, one each for research and curriculum).
- We have continued to share progress with the campus community and Board of Regents, solicited feedback from stakeholders, and worked to make sure the plan is informed by diverse voices and perspectives.
- Listening sessions and a campus conversation were held in July, August, and September; the provost consulted with deans, student governance leaders and others.
- Following the September Board meeting, an open comment period will take place September 15–25. The final plan will be presented to the Regents in October.

About the Plan

- The Strategic Plan for the Twin Cities campus is meant to recognize exceptional opportunities and strategic strengths that differentiate us from other higher education institutions.
- The plan will build on the many things that we already do exceptionally well. It will set the stage for newly focused excellence and impact through several strategic directions that leverage the breadth of assets on the Twin Cities campus.
- The plan is not meant to be a prescriptive framework or definitive set of criteria for everything we do across or within colleges, programs, and disciplines.
- Within the core framework, we intend for the plan to be dynamic and to be constantly subjected to reexamination and possible revision.
- We will continue to have robust conversations with the campus community about how to adapt the plan to our changing institution and the changing environment.
- Updates, videos, and a comment form are on the Strategic Planning Blog: strategic-planning.umn.edu.

We Are On Schedule



Our Strategic Plan for the Twin Cities Campus

- Grand vision: Ambition, innovation, and impact
- Leverage our exceptional strengths, unique location, and wide-ranging partnerships
- Harness capacity for real impact on the most critical challenges of our state, nation, and world
- Model of the excellent place-based research university for the 21st-century
- Prepare our students for life and career in the knowledge economy—to be leaders, innovators, change agents, and global citizens

This Is Our Vision

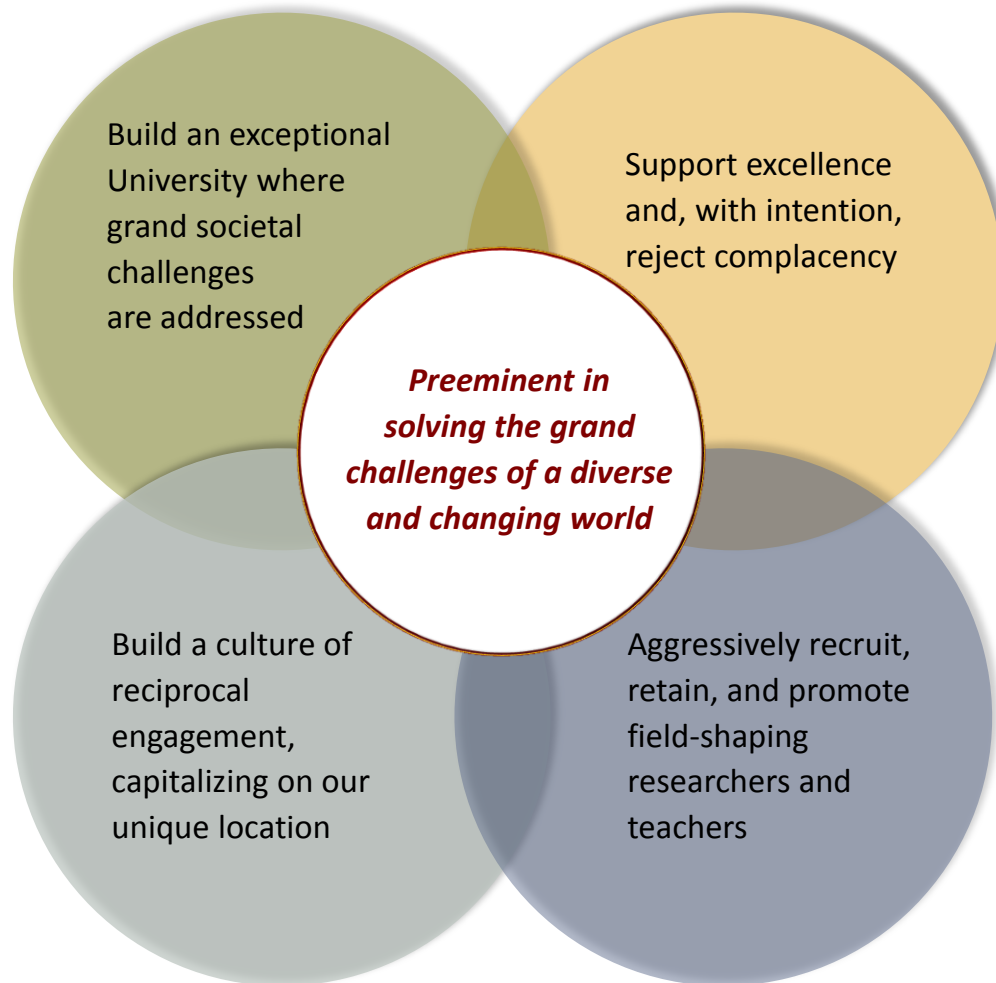
The University of Minnesota Twin Cities will be preeminent in solving the grand challenges of a diverse and changing world

In pursuit of this vision and a more vitally engaged University, we will:

- Use our depth and breadth to capitalize on our exceptional students, faculty, and staff—and on our location in a vibrant metropolitan setting—to generate and disseminate new knowledge and insights
- Create an educated populace able to identify, understand, and solve demanding problems
- Leverage the power of divergent paths to knowledge and creativity to address grand challenges
- Partner with the communities and people of the state of Minnesota to advance the common good

Strategic Planning Workgroup, March 2014

In support of our vision—and to build a stronger and more vitally engaged University—we will pursue four goals:



The University of Minnesota Twin Cities Will Be Preeminent in Solving the Grand Challenges of a Diverse and Changing World

As a Vitaly Engaged 21st-Century Research University, We Will:

Leverage Our Breadth and Depth to Take on Society's Grand Challenges in Research, Creative Work, and Curriculum	Support Excellence and Reject Complacency	Aggressively Recruit, Retain, and Promote Field-Shaping Researchers and Teachers	Build a Culture of Reciprocal Engagement That Capitalizes on Our Location	
<p><i>Marshal the University's research and creative capacity to address grand challenges critical to our state, nation, and world</i></p> <p>More coherent and coordinated approach to cross-disciplinary grand-challenges research</p> <p>To jump-start institutional transformation, broaden areas of interdisciplinary focus where we have robust work:</p> <ul style="list-style-type: none"> • Sustainable, Healthy, Secure Food • Advancing Industry While Conserving the Environment and Addressing Climate Change • Building Vibrant Communities that Enhance Human Potential and Collective Well-Being in a Diverse and Changing Society <p>Bottom-up support for emerging challenge work</p> <p>Recognize interdisciplinary work in P&T and regular evaluation</p> <p>Ensure resources are in place for research goals</p>	<p><i>Help students meet 21st-century challenges: new models of engaged, place-based education for tomorrow's leaders</i></p> <p>Evolve liberal education requirements to integrate grand-challenges (pilot/phased approach)</p> <p>Develop grand-challenges co-curricular educational, research, and engagement opportunities</p> <p>Develop Grand Challenges Scholars Program</p> <p>Develop more University seminars on grand-challenges topics</p> <p>Develop undergraduate minors on grand-challenge topics</p>	<p><i>Build on our strengths to create an invigorated culture at all levels—ambition, challenge, exploration, and innovation</i></p> <p>Better align our time and money with our strategic priorities</p> <p>Implement a broad campus climate initiative that simultaneously pursues diversity, accountability, and civility</p> <p>Remove obstacles: decrease administrative burdens, make stop-doing lists, streamline processes</p> <p>Improve communication: get better at expediting problem resolution; obtain timely and useful info from graduates for curriculum development and advising</p>	<p><i>Create a transformational culture of innovation in which there is flexibility as well as responsibility and accountability</i></p> <p>Invigorate the process for recruiting the best researchers and teachers: establish appropriate resources for recruiting and hiring and permit strategic flexibility; aggressive approach to partner hires; improve diversity</p> <p>Reinvigorate the faculty campus interview process</p> <p>Ensure our culture encourages transformational scholarship: excellence for department heads; incentives to keep field-shapers; more strategic use of faculty awards; recruit and mentor excellent grad students; regular reviews of centers; incentives for directing major interdisciplinary centers</p>	<p><i>Support dynamic University-community partnerships to advance discovery, create pathways for students, and benefit our state and world</i></p> <p>Build engagement culture: review criteria for evaluating engaged scholarship across units; include engagement in reviews of faculty members' research and teaching; review other policies/practices; expand training for faculty, staff, and students</p> <p>Convene community, business, and government partners around grand challenges</p> <p>Expand community-engaged grand-challenges learning and career pathways for students</p> <p>Make engagement more visible; create "front doors" for community and business stakeholders</p>



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: President's Recommended FY2016-17 Biennial Budget Request

Review **Review + Action** **Action** **Discussion**

This is a report required by Board policy.

Presenters: Eric Kaler, President
Richard Pfitzenreuter, VP & Chief Financial Officer

Purpose & Key Points

The purpose of this item is to review the University's Biennial Budget Request to the State of Minnesota for FY2016-17.

As the state's only land grant and research institution, the University of Minnesota has a responsibility to better the lives of Minnesotans through education, research and public engagement. As one of the state's most important economic and intellectual assets, and one of the nation's top research institutions, the University is a venue where human talent, ideas and innovations, and discoveries and services converge to advance Minnesota's economy and quality of life. These imperatives have guided the development of this biennial budget request.

The University's biennial budget request to the state for fiscal years 2016 and 2017 leverages faculty, research and disciplinary strength to move the University and the State of Minnesota to the next level in key competitive areas of discovery that are important to Minnesota's economy and citizens; acknowledges the University's stewardship responsibilities for important public assets; seeks to restore state funding of the University to the level received in FY2008; and continues to focus on reducing the cost of higher education to students and families.

The request is designed to continue in partnership with the state to:

- 1) Deliver on the University's threefold mission of research and discovery, teaching and learning, and outreach and public service;
- 2) Advance initiatives and programs that will leverage the University's expertise in areas that will benefit the state's economy and its citizens; and
- 3) Better support financial access and affordability to post-secondary education for students and families.

Background Information

Board of Regents Policy: *Reservation and Delegation of Authority* requires that the Board of Regents approve all requests for appropriation from the State of Minnesota.

President's Recommendation

The President recommends approval of the resolution requesting the State of Minnesota to support full funding of the University of Minnesota's 2016-2017 biennial budget request.



REGENTS OF THE UNIVERSITY OF MINNESOTA

RESOLUTION RELATED TO

STATE BIENNIAL BUDGET REQUEST FOR FY2016-17

WHEREAS, the University of Minnesota, as the state's only public, land grant university, is charged with the responsibility to pursue knowledge through research and discovery, and apply this knowledge through teaching and learning, and outreach and public service; and

WHEREAS, the University and the State of Minnesota play a critical role in supporting and strengthening economic and community vitality and advancing the health and wellness of Minnesota's citizens by advancing research initiatives and programs that benefit the state, business and industry and its citizens; and

WHEREAS, the University in partnership with the State of Minnesota can reduce tuition increases and better support financial access and affordability to post-secondary education for students and families; and

WHEREAS, the University proposes a more stable and predictable funding model for maintaining important public assets on each of the University's campuses; and

WHEREAS, the University is committed to achieving operational excellence and greater efficiency through internal actions to reduce administrative and operational costs; and

WHEREAS, by FY2017 the University proposes to restore state funding levels to those of FY2008, the year in which the University received its highest appropriation;

NOW, THEREFORE, BE IT RESOLVED that the biennial budget request for the 2016-2017 biennium be adopted by the Board of Regents for presentation to the State of Minnesota. The request is for a general fund appropriation of \$640,400,000 in FY2016 and \$684,600,000 in FY2017 for a biennial total of \$1,325,000,000 in the form of general operations and maintenance and state specials appropriations. The Board of Regents further requests continuation of FY2013 base funding levels for the Primary Care Education Initiatives totaling \$2,157,000 and for the Academic Health Center funding under Minnesota Statutes 297F.10 totaling \$22,250,000 for FY2016 and 2017.

FY2016-17 Biennial Budget Request

Board of Regents | September 12, 2014

President Eric W. Kaler
Vice President Richard Pfutzenreuter



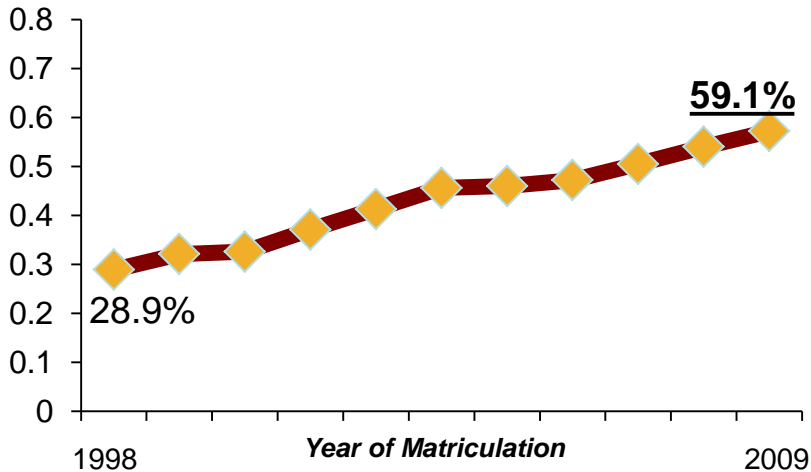
UNIVERSITY OF MINNESOTA

Driven to DiscoverSM

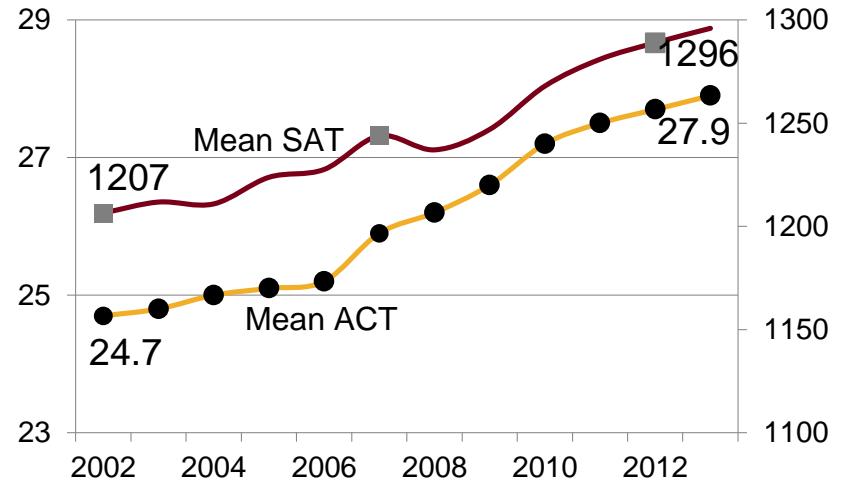
Student Profile

63,138 Students Spring 2014	Undergraduate	Graduate	Professional	Non-degree
	40,932	13,019	4,206	4,981

Four-Year Graduation Rates- Twin Cities



Average ACT and SAT Scores- Twin Cities



Legislative Budget Request Goals

- Tuition Freeze
 - Provide qualified students access to an affordable University education
- Facility Condition Improvement Strategy
 - Modern educational and research facilities
- Healthy Minnesota
 - Improve the health of Minnesotans through research, clinical services, and innovative programs
- Vibrant Economy
 - Strong Minnesota communities with economic development opportunities

FY2016-17 Biennial Budget Request

Tuition Freeze

Vision

Hold down higher education costs and promote access for qualified Minnesota students and families

- Freeze the resident tuition rate for all Minnesota students

Request

<i>Incremental over prior year</i>	FY16	FY17
Undergraduate Freeze (3%)	\$13.8M	\$14.2M
Grad/Professional Freeze (3.5%)	\$7.7M	\$8.0M
TOTAL	\$21.5M	\$22.2M



Tuition Freeze – Outcomes

Holds down the total burden on approximately 53,000 students and families by **\$65 million** for the biennium

- Incoming freshman savings (varies by campus):
 - \$2,100 - \$2,600 over four years
- Graduate and professional student savings (examples – varies by program):
 - \$1,600 over two year master's degree
 - \$15,000 over six year degree program (Medicine)

Holds down debt burden for students who borrow – 10% decrease for undergraduates that would have otherwise borrowed the full increase



Facility Condition Improvement Strategy

Vision

- Reduce long-term maintenance costs, resulting in future budget savings for the University and the State of Minnesota
- Provide a predictable source of funding to improve multi-year planning and execution of facility repair and renewal projects on the University's five campuses

Request

Incremental over prior year

FY16	FY17
\$5.0M	\$5.0M

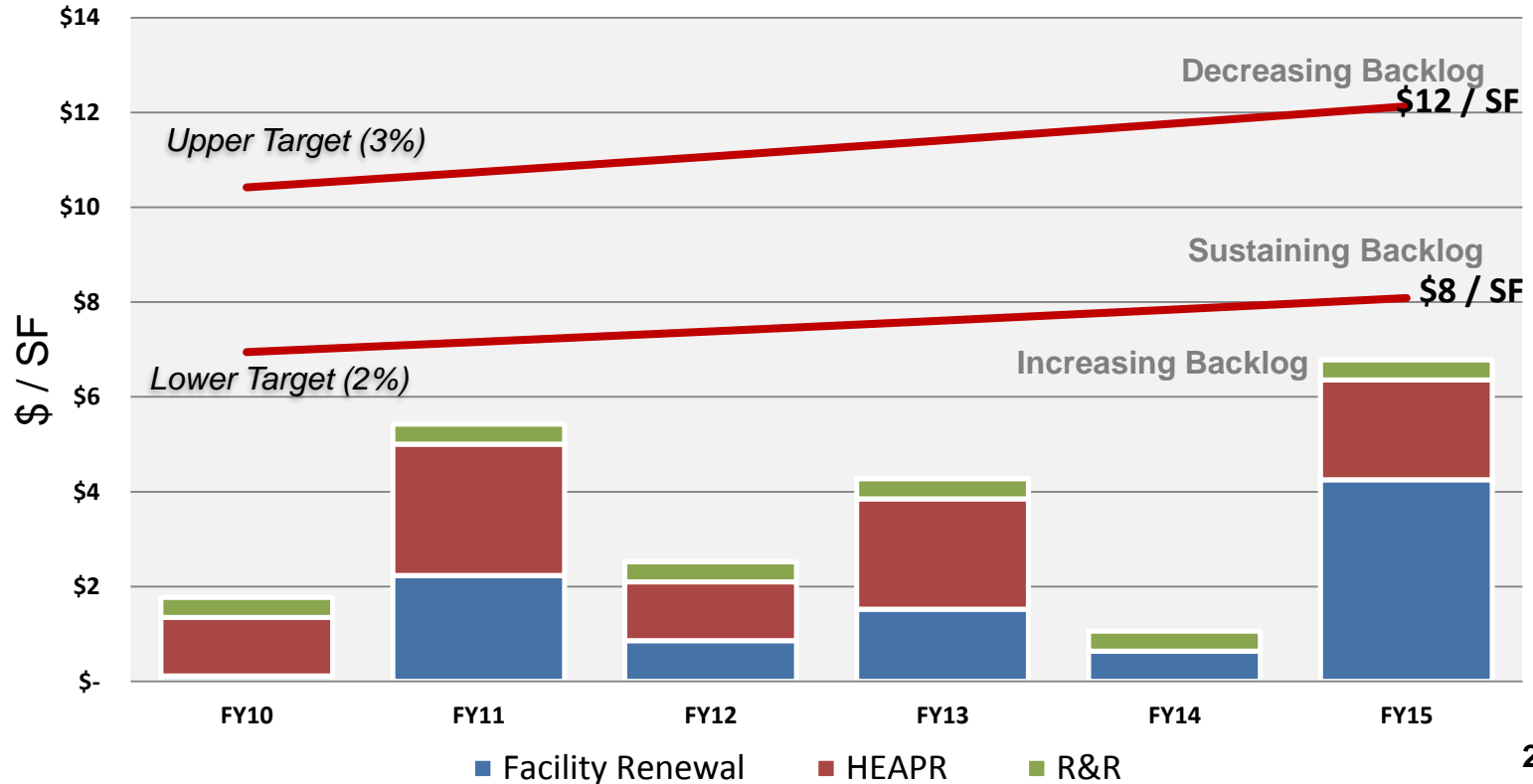
Facility Condition Improvement Strategy – Immediate Action

- State of Minnesota provides an incremental \$5 million in recurring Operations and Maintenance funds in each of four years
- The University then decreases its planned capital request for HEAPR funds (averaging \$60M) by an incremental \$5 million

Year	HEAPR Request	R&R Request	Total New R&R Investment
2015	\$55.0M	\$5.0M	\$5.0M
2016	\$50.0M	\$5.0M	\$10.0M
2017	\$45.5M	\$5.0M	\$15.0M
2018	\$40.0M	\$5.0M	\$20.0M

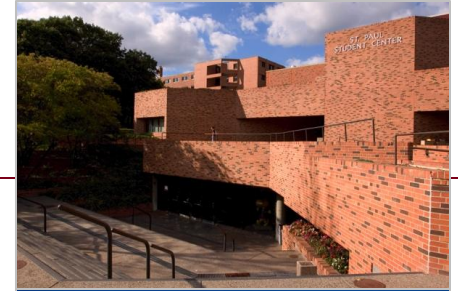
Actual Facility Investment vs. Target

\$73M or \$3.65/sf Average FY10-15



Facility Condition Improvement Strategy – Outcomes

- University reduces long term facilities costs by renewing and repairing facilities before the problems become more expensive
- Reduce by 25% the gap between current funding levels and the minimum allocation recommended by industry standards and independent analyses
- Better facilities improve student learning, recruitment, retention and success
- Improved funding predictability and more strategic facility renewal plans
- Safe, functional campuses



Healthy Minnesota

Vision

Ensure Minnesota remains one of the healthiest states in the nation, with top ranked health programs by:

- Training the next generation of health care professionals to serve an aging and diverse population
- More effectively serving Greater Minnesota and other under-served communities
- Making life saving discoveries, promoting health and researching cures for conditions prevalent in our state

Request

Incremental over prior year

FY16	FY17
\$11.5M	\$11.5M

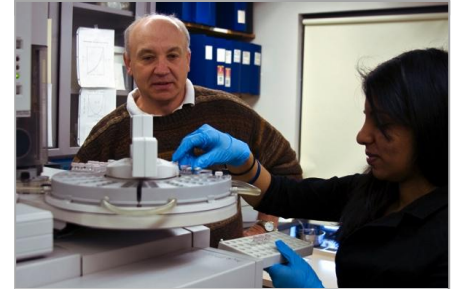


Healthy Minnesota – Immediate Action

- Develop statewide network of up to six interdisciplinary teaching clinics
- Expand education and training programs in areas of increasing demand (dentistry, mental health, and care of the elderly)
- Increase diversity of health care workforce
- Revamp curriculum and clinical training programs to incorporate new models for health care
- Accelerate research in the major chronic conditions (cancer, heart disease, diabetes, obesity, stroke and arthritis) facing Minnesotans
- Provide access to evidence-based clinical care resources for all Minnesotans

Healthy Minnesota – Outcomes

- Minnesota's most acute health work force shortages will be addressed and more providers in underserved communities
- New treatments and cures for cancer, heart disease and other chronic geriatric conditions
- Increased diversity of Minnesota's health professional workforce
- Equitable access across the state to evidence-based health information



Vibrant Economy

Vision

Ensure Minnesota has strong urban and rural communities by creating economic development opportunities through research

- Address environmental issues associated with mineral extraction
- Reduce disparities and enhance the vitality of communities statewide

Request

<i>Incremental over prior year</i>	FY16	FY17
Mining Solutions	\$1.75M	\$2.75M
Vital Communities	\$1.75M	\$2.75M
TOTAL	\$3.5M	\$5.5M



Vibrant Economy – Immediate Action

Mining Solutions

Conduct basic and applied research that encompasses the entire mining lifecycle.

- Research environmental, health and safety issues associated with mineral extraction
- Develop a repository of specimens to increase knowledge and make information more accessible to the public and industry
- Bring together mining and remediation industries, state agencies and researchers to improve mineral extraction sustainability

Vital Communities

The University will promote economic prosperity for Minnesota's rural and urban communities

- Identify and prioritize critical issues for individual communities and/or populations
- Develop research- and evidence-based solutions
- Spread best practices statewide through Extension, campuses and other outreach

Vibrant Economy – Outcomes

Mining Solutions

- Eliminated negative impacts of mining on the environment
- New systems developed to derive valuable products from waste materials
- Increased community awareness of the environmental opportunities and health effects associated with mining


Vital Communities

- Critical issues, such as reducing the achievement gap, improving nutrition, and greater assimilation of immigrant communities, are addressed
- Quality of life across Minnesota is improved
- Increased external research support and funding is leveraged for Minnesota
- Quality of undergraduate education is improved through experiential learning and community immersion

Biennial Budget Request

FY2016 - 2017

<i>Incremental over prior year</i>	2016	2017
Tuition Freeze	\$21.5M	\$22.2M
Facility Condition Improvement Strategy	\$5.0M	\$5.0M
Healthy Minnesota	\$11.5M	\$11.5M
Vibrant Economy	\$3.5M	\$5.5M
Total	\$41.5M	\$44.2M



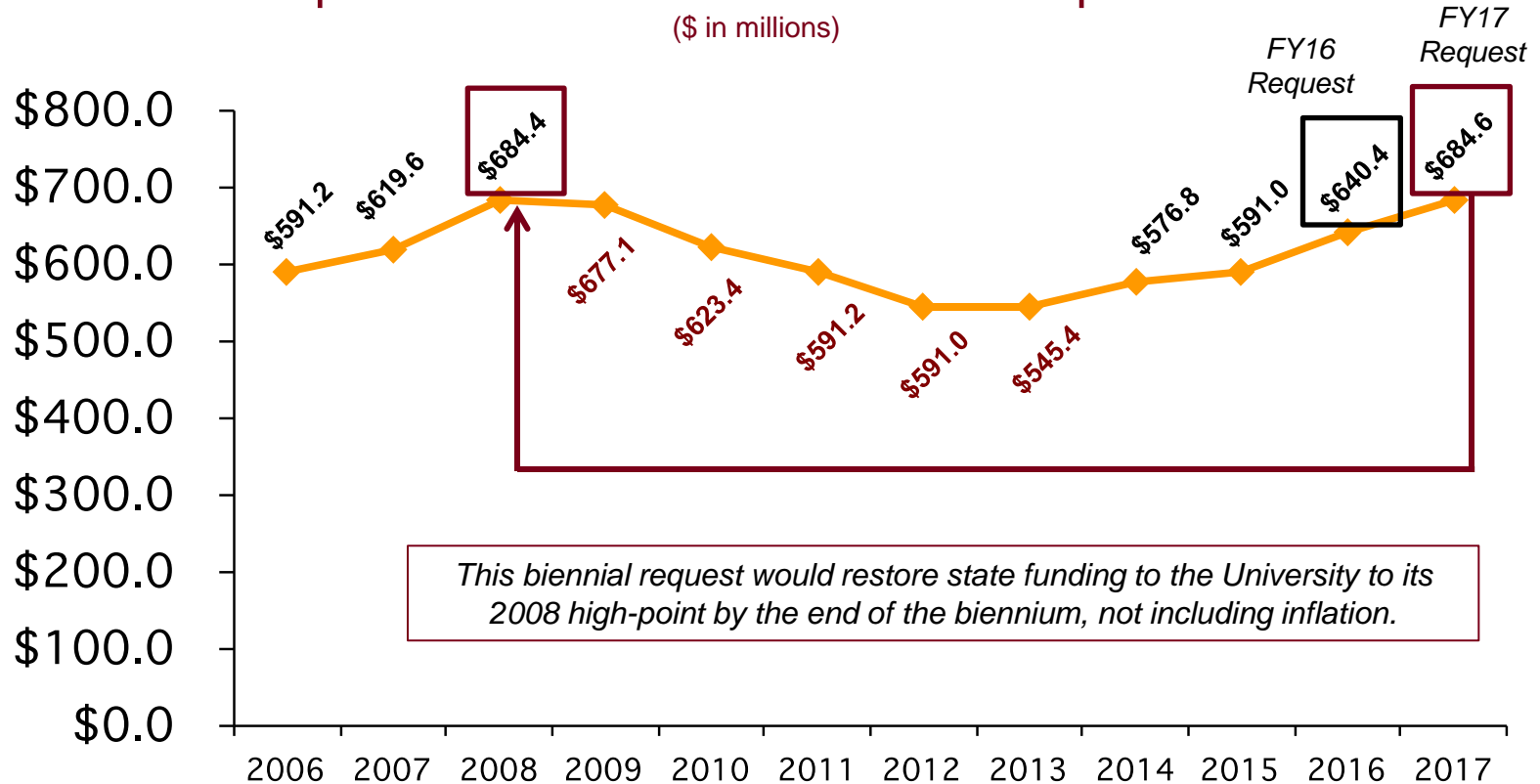
<i>Change to current base – biennial math</i>	2016	2017	Biennial
Beginning base	\$598.9	\$598.9	\$1,197.8
U of M total request	\$41.5	\$85.7	\$127.2
Total requested appropriation	\$640.4	\$684.6	\$1,325.0
Percent change from base			10.6%

(dollars in millions)

State Appropriations Trend: 2006-2017*

Operations & Maintenance/State Specials

(\$ in millions)



*Excludes Cigarette Tax, MnCare, and nonrecurring project appropriations

Biennial Budget Request

Benefits our state, students and faculty

- 53,000 students and their families will benefit annually from tuition freeze
- Minnesota's most acute health work force shortages will be addressed
- New treatments and cures for chronic conditions are discovered
- Negative impacts of mining are eliminated
- Improved quality of life for Minnesotans (reduced achievement gap, stronger communities)
- Renewed and repaired facilities reduce long term costs and improve student recruitment and success



NOW, THEREFORE, BE IT RESOLVED that the biennial budget request for the 2016-2017 biennium be adopted by the Board of Regents for presentation to the State of Minnesota. The request is for a general fund appropriation of \$640,400,000 in fiscal year 2016 and \$684,600,000 in fiscal year 2017 for a biennial total of \$1,325,000,000 in the form of general operations and maintenance and state specials appropriations. The Board of Regents further requests continuation of fiscal year 2015 base funding levels for the Primary Care Education Initiatives totaling \$2,157,000 and for the Academic Health Center funding under Minnesota Statutes 297F.10 totaling \$22,250,000 for fiscal years 2016 and 2017.



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BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: President's Recommended Six-Year Capital Plan

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

Presenters: President Eric Kaler
Vice President and CFO Richard Pfitzenreuter
Vice President Pamela Wheelock

Purpose & Key Points

The President's Recommended Six-Year Capital Plan (Capital Plan) includes major capital improvements planned for fiscal years 2015-2020. The Capital Plan includes projects to be funded with state capital support as well as projects funded by the University through a combination of University debt obligations, local unit resources, fundraising, and public/private partnerships.

Year 1 of the Capital Plan (2015) outlines the projects that the University will be submitting to the State of Minnesota for consideration during the 2015 legislative session.

Background Information

Board of Regents Policy requires a Capital Plan that sets priorities and direction for ongoing academic and capital planning efforts. Board of Regents Policy: *Board Operations and Agenda Guidelines* directs the administration to conduct capital planning with a "six-year time horizon, updated annually."

The Board of Regents approved the 2013 Six-Year Capital Improvements Plan in June 2013.

President's Recommendation

The President recommends that the Board approve the University of Minnesota Six-Year Capital Plan for fiscal years 2015-2020.



REGENTS OF THE UNIVERSITY OF MINNESOTA

RESOLUTION RELATED TO

THE PRESIDENT'S SIX-YEAR CAPITAL IMPROVEMENT PLAN

WHEREAS, preserving the University campuses through stewardship of public investments that have been made over 150 years is a commitment the Board has made to the State; and

WHEREAS, advancing key academic priorities is critical for the University to achieve and maintain excellence; and

WHEREAS, continuing investment in research infrastructure is essential for the future competitiveness of the University and the State of Minnesota; and

WHEREAS, enhancing the student experience for both undergraduate education and graduate and professional education is required as the core of its mission in order to generate and disseminate knowledge; and

WHEREAS, improving outreach and engagement is necessary in order to transform State communities, fuel the State economy, address State social issues, and improve the State's health; and

WHEREAS, the administration has developed a capital-planning framework designed to focus its capital planning efforts toward projects that support the University's institutional priorities within a financial strategy that is responsible.

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents approve the President's Six-Year Capital Improvement Plan in order to create and maintain facilities that serve as tools in accomplishing the University's education, research and outreach objectives.

Overview

The *2014 Six-Year Capital Plan* for the University of Minnesota establishes the next three University capital requests to be submitted to the State for consideration; sets priorities and direction for continued capital project and academic planning efforts; identifies the impact of additional University debt; assigns responsibility for capital fundraising; and forecasts additional building operational costs. The plan is updated on an annual basis, and approved by the Board of Regents.

The President's recommended *2014 Six-Year Capital Plan* includes:

- 2015 state capital request
- Future state capital requests for 2016 through 2020
- Projects proposed to be financed with University resources during the period FY2015 through FY2019

Planning Process

Capital planning at the University of Minnesota begins with the academic planning process. In the spring of each year Vice Presidents, Chancellors, and Deans are asked to identify their most important program priorities and the facility improvements necessary to support those programs. Through the academic planning process, academic leadership establishes the priorities for each college and campus. Facilities Management simultaneously evaluates the current condition of the buildings and infrastructure that support all academic programs. The capital planning process merges the academic priorities, available financial resources, facility needs, and facility conditions into specific project proposals.

Although many projects have both academic and organizational value, the projects that demonstrated both a programmatic urgency and implementation readiness were advanced for further analysis in this six-year timeframe. Other factors analyzed before projects were placed in the capital plan include:

- *Projected size of future bonding bills* – The University reviews state economic forecasts, Minnesota Management and Budget debt capacity estimates and financial reports, past trends, and budget instruction documents to help shape the size of the overall capital plan.
- *Debt and operating cost impact* – The University projects debt capacity annually and builds the capital plan in adherence to the debt guidelines expressed in Board of Regents policy.
- *Private fundraising capacity* – The University evaluates its capacity to fundraise for specific projects.
- *Timing and sequencing of projects* – Many capital projects depend upon other capital project “dominoes.” For example, Pillsbury Hall, a future home for College of Liberal Arts programs, cannot be renovated until Earth Sciences are moved out of the building and into a

renovated Tate Lab, which in turn had to wait until Physics & Nanotechnology was completed.

- *Impact on academic programs (both research and instructional)* – The University manages the level of disruption that can be absorbed while still maintaining the operation of its research and teaching. Because the University does not close, renovations require “swing space” for programs to continue to operate and the institution needs to maintain a level of functional classrooms.
- *Health, safety, and regulatory requirements* – The University needs to maintain the health and safety of all its students, faculty, and staff, regardless of the program. These issues require some projects to be included in the capital plan.
- *Geographic Distribution* – The University is a system with programs and facilities across the State of Minnesota.

The resulting plan, shown in tabular form on *Attachment 2*, advances the University’s highest capital priorities while retaining flexibility in support of emerging strategic initiatives. In the case of the Six-Year Capital Plan, it is important to note that many of the investments in later years are targeted to programs with academic strategic value. Specific programmatic details remain to be determined as the project is developed.

The capital improvement plan is built around four primary stages of project development, including a) Proposal/Project Definition; b) Planning and Feasibility; c) Resource Acquisition; and d) Implementation (Design and Construction). Projects included in the Six-Year Capital Plan are eligible to begin Predesign, an exploratory process rooted in design and cost estimating that results in physical solutions to space and facility problems. Projects in the Six-Year Capital Plan that require legislative funding are submitted to the Minnesota Legislature on a biennial basis. Projects are eligible to begin fundraising once the predesign process is substantially complete.

Fully funded projects with signed predesign documents are approved by the Board of Regents in the Annual Capital Improvement Budget. Approved projects are then implemented by Capital Planning and Project Management with other key partners such as Facilities Management.

Project Costs

Project costs included in the *Six-Year Capital Plan* are order-of-magnitude estimates only because programming and predesign studies for each project have not been completed. Projections are based on square foot costs recently experienced with comparable building and space types at the University, applied to the estimated square footage of each project. Project costs are represented in 2014 dollars; the 2015 projects have been escalated to midpoint of construction as required for submission to the legislature as part of the University’s capital request. Beyond the 2015 year, cost escalation for inflation has not been included because of the uncertainty of construction inflation. When programming is completed and predesign studies are prepared for projects at the appropriate time, based on their position within the *Six-Year Plan*, more accurate cost figures will be inserted into the plan when it is updated annually.

Areas of Focus for the 2014 Six-Year Plan

The *2014 Six-Year Plan* is largely a continuation of previously expressed priorities updated to reflect the outcome of the 2014 Capital Request to the MN Legislature. The plan also includes changes based on updated facility condition assessment data, new priorities emerging from the Twin Cities Campus strategic planning process, and a biennial operating budget proposal to the 2015 legislature that places a greater emphasis on repair and replacement (R & R) funds in lieu of capital request-based HEAPR funds.

The 2014 Six Year Plan was designed to further the following objectives:

- Advance strategic plan priorities
- Enhance the campus-based experience
- Align projects with available revenue sources
- Increase utilization and functionality of physical assets
- Complete capital investment sequences
- Reduce total campus square footage

The University is finalizing a strategic plan for the Twin Cities campus. This plan will be aligned with existing plans for the system campuses and will provide a roadmap for advancing the University's mission over the next three to five years. The Board of Regents is expected to act on adopting the new strategic plan at its October 2014 meeting. The plan articulates a new, inspirational vision: “[to] be preeminent in solving the grand challenges of a diverse and changing world.” In pursuit of this vision, the University will:

- Leverage its breadth and depth to capitalize on its exceptional students, faculty, staff and location to generate and disseminate new knowledge and insights
- Create an educated populace able to identify, understand and solve demanding problems
- Leverage divergent paths of knowledge and creativity to address grand challenges
- Partner with communities and the people of the State of Minnesota to benefit the common good

To this end, the University is advancing four broad goals, each with related strategies and tactics:

- *Goal 1 - Build an exceptional University where grand societal challenges are addressed.* Strategies - Educate, cultivate, and empower leaders to foster institutional and societal change; target resources that will build capacity to harness the University's depth and breadth to address these grand challenges; prepare students who can uniquely contribute to solving grand societal challenges; transform curricula in a way that combines grand challenges with disciplines; and coordinate and leverage research in institutionally cross-cutting areas of strength
- *Goal 2 - Support excellence and, with intention, reject complacency.* Strategies - Establish incentives for creative disruption and accept productive tension; increase efforts to empower individual initiatives; streamline rules and regulations; and measure and set goals for meaningful diversifying experiences
- *Goal 3 - Establish a culture of reciprocal engagement, capitalizing on our unique location.* Strategies - Better leverage our location for the mutual benefit of the University

and the community to contribute to and benefit from a vibrant and enriching economic, creative, social, and intellectual environment; and clearly define and embrace what it means to be a land-grant research university in the 21st century

- *Goal 4 - Aggressively recruit, retain and promote field shaping researchers and teachers. Strategies - Build a pipeline to recruit and retain the best and brightest field shaping teachers and researchers; support their work with needed infrastructure and a culture of high expectations; reduce barriers to productive transdisciplinarity and advance transinstitutional partnerships; and accelerate transfer of knowledge for the public good*

The final plan will include short and long term actions in each of these goal areas and each campus will align its unique goals that meet the needs of the students and regions they serve.

These objectives are the foundation of a long term capital plan that balances programmatic needs against facility condition related investments distributes opportunity geographically throughout the UMN system and completes in-process capital investment sequences.

Project Descriptions

Project Descriptions for each year of the plan can be found in Attachment 3.

Also included in Attachment 2 is a list of *Other Projects Under Consideration*. These needs were identified through the Six-Year Capital Planning process as important investments based on collegiate and academic priorities. The potential projects identified on the list are not sufficiently developed in terms of their programmatic needs and the strategic value of their investment to be placed into the Six Year Plan, but are expected to further refine their planning over the near term. Some of the unresolved issues may include project scope, location or funding source. The list of *Other Projects Under Consideration* gives an indication of the potential next tier of capital projects, while allowing some flexibility to respond to changing trends as well as emerging academic priorities.

Six Year Plan - Project Funding Report

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2015

Stage: Resource Acquisition

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
400	HEAPR	Systemwide	\$55,000	\$55,000	\$0
447	St. Paul Greenhouse Replacement	UMTC	\$6,000	\$4,000	\$2,000
405	Veterinary Isolation Facility Replacement	UMTC	\$27,000	\$18,000	\$9,000
			\$88,000	\$77,000	\$11,000
		FY Total:	\$88,000	\$77,000	\$11,000
		Running Total:	\$88,000	\$77,000	\$11,000

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2016

Stage: **Planning & Feasibility**

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
398	HEAPR	Systemwide	\$50,000	\$50,000	\$0
408	Health Science Facility Repurposing	UMTC	\$65,000	\$43,300	\$21,700
410	Chemical Sciences and Advanced Materials Building	UMD	\$36,000	\$24,000	\$12,000
411	Pillsbury Hall Renovation	UMTC	\$27,000	\$18,000	\$9,000
403	St. Paul Interdisciplinary Laboratory	UMTC	\$46,000	\$30,700	\$15,300
448	10 Church Street SE Repurposing	UMTC	\$30,000	\$20,000	\$10,000
			\$254,000	\$186,000	\$68,000
FY Total:			\$254,000	\$186,000	\$68,000
Running Total:			\$342,000	\$263,000	\$79,000

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2017

Stage: **Planning & Feasibility**

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
401	HEAPR	Systemwide	\$45,000	\$45,000	\$0
415	Collections and Contemporary Learning	UMTC	\$40,000	\$26,700	\$13,300
449	Programmatic Renewal (UMD, UMM, UMC)	Systemwide	\$18,000	\$12,000	\$6,000
			\$103,000	\$83,700	\$19,300
FY Total:			\$103,000	\$83,700	\$19,300
Running Total:			\$445,000	\$346,700	\$98,300

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2018

Stage: Proposal

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
399	HEAPR	Systemwide	\$40,000	\$40,000	\$0
441	AHC Interprofessional Education Center	UMTC	\$100,000	\$66,700	\$33,300
455	Child Development Replacement	UMTC	\$21,000	\$14,000	\$7,000
452	Research and Outreach Center Investments	ROCs & Stations	\$6,000	\$4,000	\$2,000
409	St. Paul Research Laboratory Renovation	UMTC	\$24,000	\$16,000	\$8,000
451	Undergraduate Teaching Laboratory Facility	UMTC	\$42,000	\$28,000	\$14,000
			\$233,000	\$168,700	\$64,300
FY Total:			\$233,000	\$168,700	\$64,300
Running Total:			\$678,000	\$515,400	\$162,600

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2019

Stage: Proposal

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
402	HEAPR	Systemwide	\$40,000	\$40,000	\$0
453	West Bank Classrooms Replacement	UMTC	\$30,000	\$20,000	\$10,000
			\$70,000	\$60,000	\$10,000
		FY Total:	\$70,000	\$60,000	\$10,000
		Running Total:	\$748,000	\$575,400	\$172,600

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

2020

Stage: Proposal

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
446	HEAPR	Systemwide	\$40,000	\$40,000	\$0
414	Academic Priority	UMR	\$45,000	\$30,000	\$15,000
454	AHC Strategic Investment	UMTC	\$70,000	\$46,700	\$23,300
457	Biosystems & Ag Engineering Laboratory Renovation	UMTC	\$50,000	\$33,300	\$16,700
456	Chemistry Research Laboratory Investment	UMTC	\$30,000	\$20,000	\$10,000
450	McNeal Hall Renovation	UMTC	\$24,000	\$16,000	\$8,000
			\$259,000	\$186,000	\$73,000
FY Total:			\$259,000	\$186,000	\$73,000
Running Total:			\$1,007,000	\$761,400	\$245,600

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

Under Consideration / Evaluation

Stage: Proposal

State Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds
463	UMD Academic Priority	UMD	\$0	\$0	\$0
			\$0	\$0	\$0

University Funded Projects

File	Project Title	Campus	Total	State Funds	University Funds	
461	Admissions Welcome Center	UMTC	\$0	\$0	\$0	
444	Athletics Facilities Phase 1 Projects	UMTC	\$0	\$0	\$0	
407	Biological Sciences Active Learning Classrooms	UMTC	\$0	\$0	\$0	
419	Bolstad Golf Course Renovation	UMTC	\$0	\$0	\$0	
460	Field House Renovation	UMTC	\$0	\$0	\$0	
459	Pioneer Hall Renovation or Replacement	UMTC	\$0	\$0	\$0	
462	Public Space Reinvestments	UMTC	\$0	\$0	\$0	
431	Recreational Sports Project	UMTC	\$0	\$0	\$0	
416	Space Utilization Program	UMTC	\$0	\$0	\$0	
418	Superblock Dining Replacement	UMTC	\$0	\$0	\$0	
425	Washington Ave Bridge and Plaza	UMTC	\$0	\$0	\$0	
			\$0	\$0	\$0	
			FY Total:	\$0	\$0	\$0
			Running Total:	\$1,007,000	\$761,400	\$245,600

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Funding Report

Definitions

Proposal: Projects in this stage represent preliminary conceptual ideas regarding program need and related capital requirements. Local units normally identify these ideas as part of the compact process. Projects do not have permission to begin pre-design or fundraising without administrative approval from the Capital Oversight Group.

Planning and Feasibility: Projects in this stage have been determined to be an institutional priority and have been approved to begin pre-design activities. Financial feasibility, including the completion of a fundraising feasibility study with the University of Minnesota Foundation, is assessed at this stage.

Resource Acquisition: Projects in this stage have an approved pre-design document and have been approved to actively seek funds.

Six Year Plan - Project Description Report

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

400 HEAPR

Vice President: Systemwide

Campus: Systemwide

Facility: Systemwide

Total Cost: \$55,000

Description: This request is for funds used system-wide to maximize and extend the life of the University's existing physical plant. Individual projects will fall into one of four broad categories – Health and Safety, Building Systems, Energy Efficiency, and Utility Infrastructure. The system-wide HEAPR advisory committee makes recommendations on individual projects to the Vice President for University Services using data from the Facility Condition Assessment and Building Code Deficiency Report. HEAPR funds do not require a one-third University funding match. Funding for the HEAPR program is included each year in the legislative request.

RFC: Systemwide

RFC Contact:

Year: 2015

Stage: Resource Acquisition

403 St. Paul Interdisciplinary Laboratory

Vice President: Academic Affairs

Campus: UMTC

Facility: New Facility

Total Cost: \$46,000

Description: This project will construct a new interdisciplinary research laboratory building for the College of Biological Sciences (CBS), College of Food, Agricultural, and Natural Resource Sciences (CFANS), and College of Veterinary Medicine (CVM). The new facility will accommodate principal investigators in fields such as plant pathology, animal infectious diseases, microbial systems, synthetic biology, and fungal evolution. This project was included in the University's 2014 capital request.

RFC: Academic Affairs

RFC Contact: Hanson, K.

Year: 2016

Stage: Planning & Feasibility

405 Veterinary Isolation Facility Replacement

Vice President: Health Sciences

Campus: UMTC

Facility: New Facility

Total Cost: \$27,000

Description: This project will create a biocontainment facility for the College of Veterinary Medicine to house and perform research with large animals and pathogenic agents. The initial program definition, which will be confirmed in pre-design, has suggested a 38,500 gross square feet (GSF) facility comprised of biocontainment laboratories, large animal isolation space and a small animal vivarium. The existing Veterinary Isolation Buildings will be demolished following the construction of this project.

RFC: College of Veterinary Medicine

RFC Contact: Ames, T.

Year: 2015

Stage: Resource Acquisition

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

407 Biological Sciences Active Learning Classrooms

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will convert existing classroom space on the fourth floor of Biological Sciences Center into active learning classrooms for laboratory based Biological Sciences coursework.

RFC: College of Biological Sciences

RFC Contact: Hays, T.

Year: Under Consideration / Evaluation

Stage: Proposal

408 Health Science Facility Repurposing

Vice President: Health Sciences

Campus: UMTC

Facility: Phillips-Wangensteen Building

Total Cost: \$65,000

Description: This project will renovate office, clinic, and lab space in the Phillips Wangensteen Building and other AHC spaces that will be vacated by groups that will relocate to the Ambulatory Care Clinic and research buildings in the Biomedical Discovery District. The renovated spaces will be a mixture of office, classroom, and laboratory space and will allow the Academic Health Center to undertake a multi-phased process of consolidating space assignments and decommissioning obsolete facilities.

RFC: Health Sciences

RFC Contact: Jackson, B.

Year: 2016

Stage: Planning & Feasibility

409 St. Paul Research Laboratory Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$24,000

Description: This investment will renovate laboratories in one or more research buildings on the St. Paul Campus. Renovation of space will be prioritized to achieve collegiate goals of synergy among researchers and to allow for the demolition of obsolete St. Paul campus research space.

RFC: Academic Affairs

RFC Contact: Hanson, K.

Year: 2018

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

410 Chemical Sciences and Advanced Materials Building

Vice President: Duluth Campus

Campus: UMD

Facility: New Facility

Total Cost: \$36,000

Description: The project will construct a new building on the Duluth campus to support faculty and students in the Departments of Chemistry and Biochemistry, and advance an emergent Material Science and Engineering program. The building will be comprised of research and undergraduate instructional laboratories, a research center dedicated to industrial/academic partnerships with direct connections to industry in northeast Minnesota, and medium-sized general purpose classrooms that are in short supply on the campus. This project was included in the University's 2014 capital request.

RFC: Swenson College of Science and Engineering

RFC Contact: Black, L.

Year: 2016

Stage: Planning & Feasibility

411 Pillsbury Hall Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: Pillsbury Hall

Total Cost: \$27,000

Description: This project will preserve and enhance Pillsbury Hall after the current occupants move into the renovated Tate Laboratory. New teaching and learning spaces will replace outdated and inefficient laboratories that no longer support modern scientific study and research. Mechanical and electrical systems, restrooms and accessibility will be updated with this historically sensitive renovation. Funding for Tate Laboratory was approved in the University's 2014 capital request.

RFC: College of Liberal Arts

RFC Contact: Duvall, R.

Year: 2016

Stage: Planning & Feasibility

414 Academic Priority

Vice President: Rochester Campus

Campus: UMR

Facility: New Facility

Total Cost: \$45,000

Description: The project will create academic space for the growing UMR student community. Master plan projections indicate that the campus is expected to be outgrown its existing facilities by 2020 prompting the need for additional dedicated academic space. The proposed building will include space to support active, collaborative, and adaptive learning environments, space for student laboratories, space for faculty/student interaction, and space that is open and adaptable.

RFC: Academic Affairs

RFC Contact: Lehmkuhle, S.

Year: 2020

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

415 Collections and Contemporary Learning

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$40,000

Description: This project will address the collections needs of multiple colleges and the University Libraries by providing space for storage, preservation, regeneration, and characterization of essential resources that support research across the University system. Project planning will include an analysis of options to reconfigure stack space into areas that will engage faculty and students and support contemporary learning and scholarship.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: 2017

Stage: Planning & Feasibility

416 Space Utilization Program

Vice President: University Services

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will support a variety of efforts directed at improving the utilization of existing campus space. Near term efforts are focused on implementing pilot projects to match work styles, technology and organizational structure with an overall reduction in space that better suits work methods. Decommissioning and demolition will be an equally important element of this strategy.

RRC: University Services Admin

RRC Contact: Swanson, B.

Year: Under Consideration / Evaluation

Stage: Proposal

418 Superblock Dining Replacement

Vice President: University Services

Campus: UMTC

Facility: New Facility

Total Cost: \$0

Description: This project will construct a new consolidated dining facility for the four residence halls in the superblock. The two existing facilities are under-sized and not capable of providing the level of food service expected by today's students. A consolidated facility will result in additional operational efficiencies.

RRC: Housing & Residential Life

RRC Contact: Scheich, L.

Year: Under Consideration / Evaluation

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

419 Bolstad Golf Course Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: Bolstad Golf Course

Total Cost: \$0

Description: This project will renew the existing golf course through investments in the course, clubhouse, and maintenance/storage facilities. Project timing is dependent on fundraising.

RFC: Recreational Sports

RFC Contact: Brown, D.

Year: Under Consideration / Evaluation

Stage: Proposal

425 Washington Ave Bridge and Plaza

Vice President: University Services

Campus: UMTC

Facility: Washington Avenue Bridge

Total Cost: \$0

Description: This project will restore or replace the Washington Avenue Bridge pedestrian enclosure and address circulation, sightlines, aesthetics and functionality of the Washington Avenue Bridge plaza area as a gathering place and event space.

RFC: Facilities Management

RFC Contact: Berthelsen, M.

Year: Under Consideration / Evaluation

Stage: Proposal

431 Recreational Sports Project

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project is the final component of the Recreational Sports improvement plan funded by the Twin Cities campus student capital enhancement fee. Remaining identified needs include a satellite West Bank facility and outdoor recreation fields.

RFC: Recreational Sports

RFC Contact: Brown, D.

Year: Under Consideration / Evaluation

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

441 AHC Interprofessional Education Center

Vice President: Health Sciences

Campus: UMTC

Facility: New Facility

Total Cost: \$100,000

Description: This project will address fundamental changes in health sciences education and training programs driven by accreditation requirements and faculty and student expectations. The new facility will consolidate and expand current learning environments and may include simulation centers, clinical care skills labs, multimedia learning labs, technology enhanced library and study spaces and interactive learning environments for connecting with the Duluth and Rochester campuses. The specific program will be determined following a strategic review of curriculum changes across the AHC schools.

RRC: Health Sciences

RRC Contact: Jackson, B.

Year: 2018

Stage: Proposal

444 Athletics Facilities Phase 1 Projects

Vice President: Athletics

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will invest in athletic practice and academic facilities to provide University of Minnesota student athletes with the best opportunity to succeed and ensure the University remains competitive with other Big Ten schools. Top priorities for investment include a new football practice facility, academic support and training table facilities. This project is dependent on fundraising efforts.

RRC: Intercollegiate Athletics

RRC Contact: Teague, N.

Year: Under Consideration / Evaluation

Stage: Proposal

447 St. Paul Greenhouse Replacement

Vice President: Academic Affairs

Campus: UMTC

Facility: Plant Growth Facilities-West

Total Cost: \$6,000

Description: This project will renovate or replace collections and teaching greenhouse space on the St. Paul Campus. The greenhouse will be furnished with modern temperature, humidity and lighting controls and monitored via the master greenhouse campus control system. This project was included in the University's 2014 capital request.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: 2015

Stage: Resource Acquisition

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

448 10 Church Street SE Repurposing

Vice President: Academic Affairs

Campus: UMTC

Facility: 10 Church Street SE

Total Cost: \$30,000

Description: This project will renovate the existing Bell Museum for the College of Design following the completion of the new Bell Museum on the St. Paul Campus.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: 2016

Stage: Planning & Feasibility

449 Programmatic Renewal (UMD, UMM, UMC)

Vice President: Systemwide

Campus: Systemwide

Facility: System Campuses

Total Cost: \$18,000

Description: This program will fund facility improvements that support academic and student-focused programmatic needs in existing facilities on the Duluth, Morris and Crookston campuses.

RRC: Systemwide

RRC Contact: Multiple

Year: 2017

Stage: Planning & Feasibility

450 McNeal Hall Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: McNeal Hall

Total Cost: \$24,000

Description: This project will bring Minneapolis based CEHD departments together on the St. Paul campus in space that will be vacated by the College of Design. The research-driven focus of these units is in alignment with recent efforts by CEHD to establish a vibrant, research community in St. Paul and allows for the demolition of Peik Hall in Minneapolis.

RRC: College of Education and Human Development

RRC Contact: Quam, J.

Year: 2020

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

451 Undergraduate Teaching Laboratory Facility

Vice President: Academic Affairs

Campus: UMTC

Facility: New Facility

Total Cost: \$42,000

Description: This project will provide state-of-the-art, energy efficient teaching laboratories, student collaboration spaces, and classrooms for teaching undergraduate chemistry laboratory courses. The new laboratories will replace and improve upon outdated facilities currently spread throughout multiple locations (including faculty research laboratories) in Smith and Kolthoff Halls. Adequate laboratory space is a limiting factor in the University's ability to meet the demand for STEM related programs.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: 2018

Stage: Proposal

452 Research and Outreach Center Investments

Vice President: Systemwide

Campus: ROCs & Stations

Facility: Systemwide

Total Cost: \$6,000

Description: This program will fund a variety of projects at the Research and Outreach Centers across the state.

RRC: Systemwide

RRC Contact: Buhr, B.

Year: 2018

Stage: Proposal

453 West Bank Classrooms Replacement

Vice President: Academic Affairs

Campus: UMTC

Facility: New Facility

Total Cost: \$30,000

Description: This project will replace existing traditional learning space on the Minneapolis West Bank Campus with active learning classrooms.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: 2019

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

454 AHC Strategic Investment

Vice President: Health Sciences

Campus: UMTC

Facility: TC Campus

Total Cost: \$70,000

Description: This project will address needs identified by Academic Health Center strategic facility planning.

RRC: Health Sciences

RRC Contact: Jackson, B.

Year: 2020

Stage: Proposal

455 Child Development Replacement

Vice President: Academic Affairs

Campus: UMTC

Facility: New Facility

Total Cost: \$21,000

Description: This project will replace the functionally obsolete Child Development building with new offices, seminar rooms, and research facilities for the Institute of Child Development, as well as state-of-the-art facilities for the Shirley G. Moore Laboratory School. The new building will provide a modern, adaptable environment to support innovative programmatic applications, translating current research and theory into best practices.

RRC: College of Education and Human Development

RRC Contact: Quam, J.

Year: 2018

Stage: Proposal

456 Chemistry Research Laboratory Investment

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$30,000

Description: This project will renovate the antiquated teaching labs in Smith and Kolthoff Halls to state-of-the-art energy efficient research space needed for new faculty in the chemistry department. The project will improve lab bench, equipment and research support spaces and create opportunity for more specialized research experimentation. It will accommodate a greater number of faculty and graduate assistants needed to support the growing undergraduate enrollment in Chemistry.

RRC: College of Science and Engineering

RRC Contact: Crouch, S.

Year: 2020

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

457 Biosystems & Ag Engineering Laboratory Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: Biosystems & Ag Engineering

Total Cost: \$50,000

Description: This project will provide new research laboratories to meet growing demands and satisfy requirements of federal grant proposals for CFANS. It will consolidate CFANS departments by grouping users in functionally appropriate space. Computational labs will be constructed in BAE and wet lab or volumetric research in Engineering Fisheries Laboratory. A new second floor will be added to Engineering and Fisheries Laboratory, maximizing the usable space for research.

RRC: College of Food, Agricultural and Natural Resource Sciences

RRC Contact: Buhr, B.

Year: 2020

Stage: Proposal

459 Pioneer Hall Renovation or Replacement

Vice President: University Services

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will explore options meeting the facility renewal needs of Pioneer Hall.

RRC: Housing & Residential Life

RRC Contact: Scheich, L.

Year: Under Consideration / Evaluation

Stage: Proposal

460 Field House Renovation

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will make necessary improvements to the exterior of the Field House facility originally relocated to the University from Washington in 1949.

RRC: Recreational Sports

RRC Contact: Brown, D.

Year: Under Consideration / Evaluation

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

461 Admissions Welcome Center

Vice President: Academic Affairs

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This project will explore options for consolidating freshman, transfer and international student admissions into a single more publicly accessible location.

RRC: Academic Affairs

RRC Contact: Hanson, K.

Year: Under Consideration / Evaluation

Stage: Proposal

462 Public Space Reinvestments

Vice President: University Services

Campus: UMTC

Facility: TC Campus

Total Cost: \$0

Description: This program will fund a variety of small physical enhancements intended to improve the campus experience for students, employees and visitors.

RRC: Facilities Management

RRC Contact: Berthelsen, M.

Year: Under Consideration / Evaluation

Stage: Proposal

463 UMD Academic Priority

Vice President: Duluth Campus

Campus: UMD

Facility: UMD Campus

Total Cost: \$0

Description: This project will address academic facility needs on the Duluth campus. Academic, financial and physical planning processes on the Duluth campus will identify the campus's priorities for its next major investment.

RRC: Academic Affairs

RRC Contact: Black, L.

Year: Under Consideration / Evaluation

Stage: Proposal

UNIVERSITY OF MINNESOTA

Six Year Plan - Project Description Report

Definitions

Proposal: Projects in this stage represent preliminary conceptual ideas regarding program need and related capital requirements. Local units normally identify these ideas as part of the compact process. Projects do not have permission to begin pre-design or fundraising without administrative approval from the Capital Oversight Group.

Planning and Feasibility: Projects in this stage have been determined to be an institutional priority and have been approved to begin pre-design activities. Financial feasibility, including the completion of a fundraising feasibility study with the University of Minnesota Foundation, is assessed at this stage.

Resource Acquisition: Projects in this stage have an approved pre-design document and have been approved to actively seek funds.

President's Recommended Six-Year Capital Improvement Plan

Board of Regents
September 12, 2014



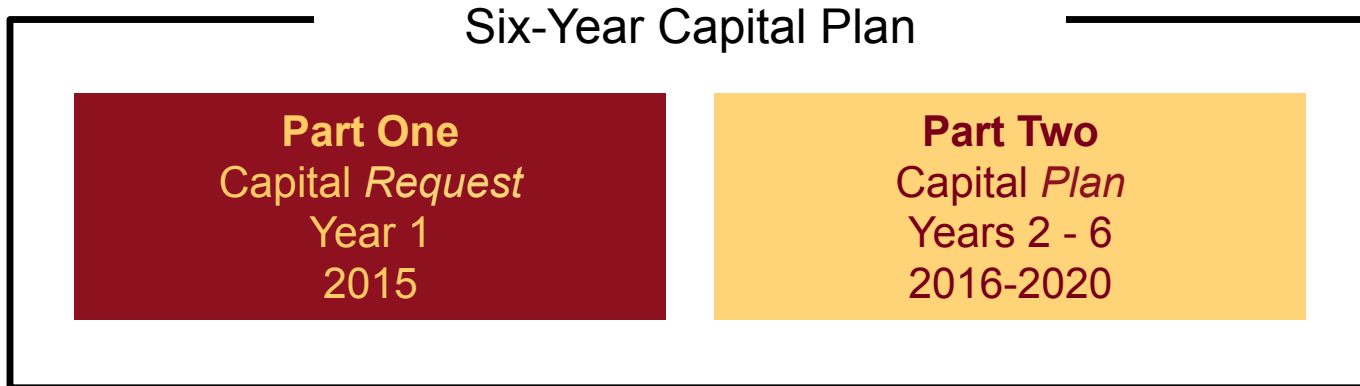
UNIVERSITY OF MINNESOTA

Driven to DiscoverSM



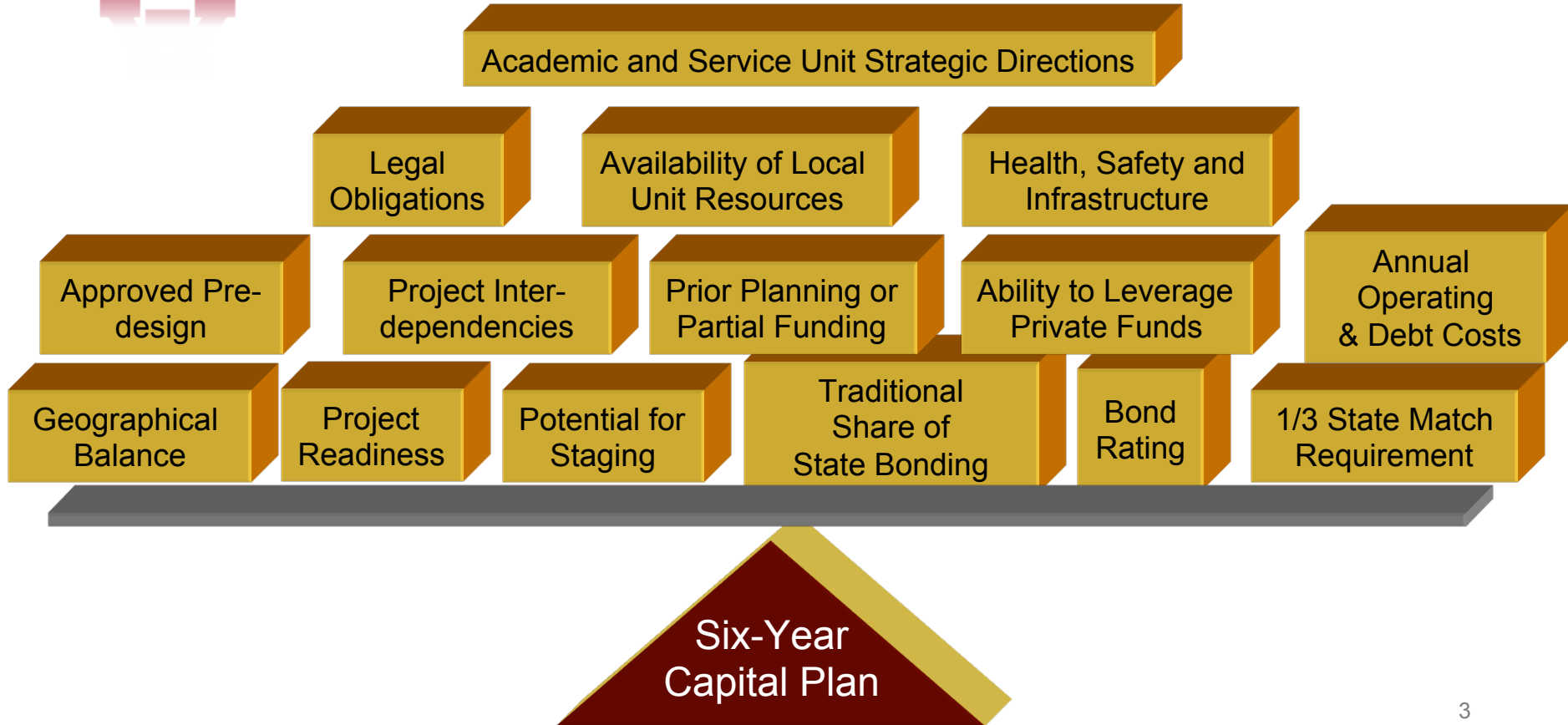
What is the Six-Year Capital Plan?

- Board of Regents Policy directs the administration to develop a capital budget with a “six-year time horizon, updated annually”





Considerations and Constraints





Six Year Plan Objectives

- Advance strategic plan priorities
- Enhance the campus-based experience
- Align projects with available revenue sources
- Increase utilization and functionality of physical assets
- Complete capital investment sequences
- Reduce total campus square footage



Alignment with 2014 Strategic Plan

- Build an exceptional University where grand societal challenges are addressed
- Support excellence and, with intention, reject complacency
- Establish a culture of reciprocal engagement, capitalizing on our unique location
- Aggressively recruit, retain and promote field-shaping researchers and teachers



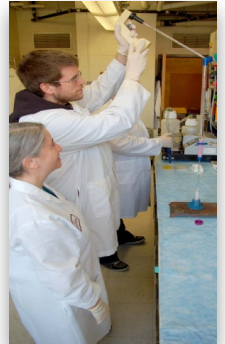
Programmatic Outcomes

- St. Paul Interdisciplinary Laboratory
 - Flexible labs designed to support interdisciplinary research for three colleges
- Undergraduate Teaching Laboratory Facility
 - New facilities for chemistry teaching across colleges
- AHC Interprofessional Education Center
 - Create appropriate learning environments for health disciplines



Programmatic Outcomes

- Duluth: Chemical Science and Advanced Materials Building (CSAM)
 - Lab-based science building with supporting classrooms to chemistry and biochemistry teaching and research functions
- Rochester: Academic Priority
 - Development of a multi-functional campus academic facility to support enrollment trends





Facility Renewal

- HEAPR
- Veterinary Isolation Facility Replacement
 - Replacement of unique support facility for infectious disease
- St. Paul Greenhouse Replacement
 - Housing teaching and research collections
- Collections and Contemporary Learning
 - Access and storage improvements, collection preservation, expanded digital resources, and re-use of space





Facility Renewal

- AHC Release Space Repurposing
 - Renovation of vacated space in Phillips Wangenstein Building
- Pillsbury Hall
 - Renovation for humanities teaching and research
- 10 Church / McNeal Hall
 - Renovation and re-allocation to consolidate two colleges at single locations





Anticipated Demolitions Resulting from Complete Capital Sequences

- CBS Collections Greenhouse
- Christensen Hall
- VFW Building
- Masonic Hospital
- Peik Hall
- Institute of Child Development
- Vet Isolation

- If sequences are completed, up to 300,000 square feet could be demolished



Other Projects Under Consideration

- The projects on this list:
 - are insufficiently developed in terms of their programmatic needs at this time
 - are key investments based on collegiate and academic priorities
 - may need further definition and/ or development before they advance
- This list of investments can be considered the potential next tier of capital projects



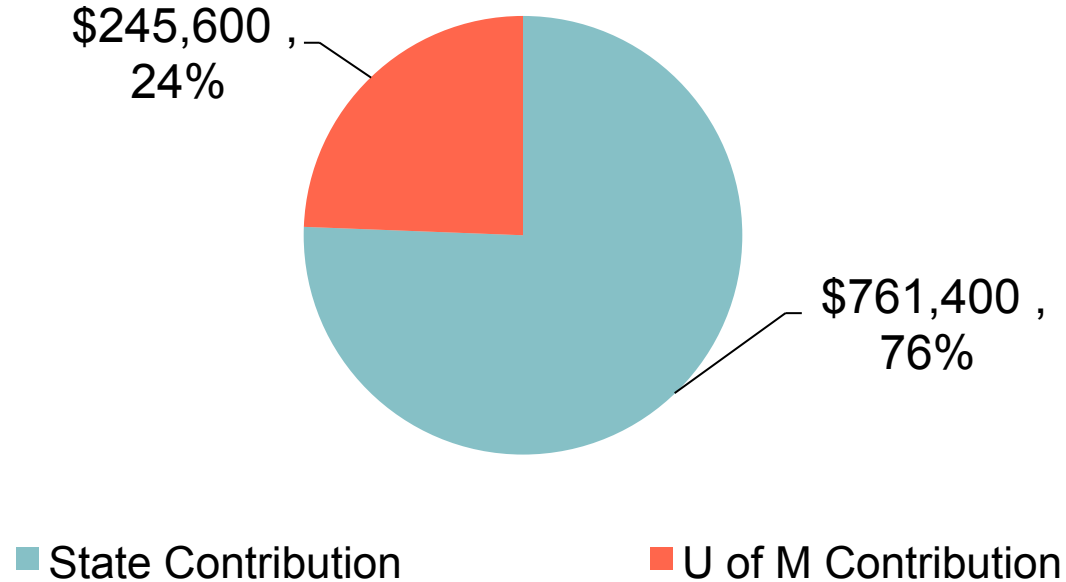
Financial Planning Parameters

(State Requests)

Funds	Even Years	Odd Years
Forecasted State Bonding Bill	\$1,000,000,000	\$500,000,000
(Estimated Share 16% to 18%)	\$176,700,000	\$81,000,000
HEAPR	\$50,000,000	\$55,000,000
State Share of Major Projects	<u>\$126,700,000</u>	<u>\$26,000,000</u>
	\$176,000,000	\$81,000,000
University Share of Major Projects	\$63,300,000	\$13,000,000
Total	\$240,000,000	\$94,000,000

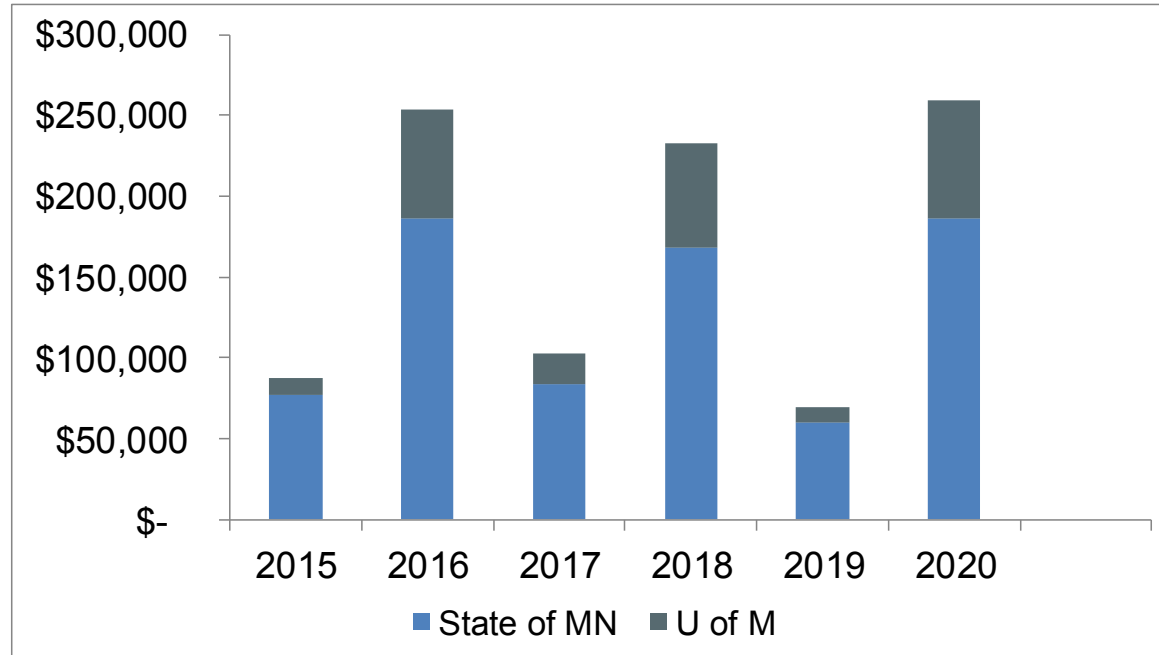


Recommended Six-Year Capital Improvement Plan Grand Total = \$1,007,000





Recommended Six-Year Capital Improvement Plan, Grand Total = \$1,007,000





Next Steps

- Approval of the Six-Year Capital Plan and 2015 Capital Request by Board of Regents in October 2014
- The University will forward its 2015 Capital Request to the Minnesota Legislature



Resolution

WHEREAS, preserving the University campuses through stewardship of public investments that have been made over 150 years is a commitment the Board has made to the State; and

WHEREAS, advancing key academic priorities is critical for the University to achieve and maintain excellence; and

WHEREAS, continuing investment in research infrastructure is essential for the future competitiveness of the University and the State of Minnesota; and

WHEREAS, enhancing the student experience for both undergraduate education and graduate and professional education is required as the core of its mission in order to generate and disseminate knowledge; and

WHEREAS, improving outreach and engagement is necessary in order to transform State communities, fuel the State economy, address State social issues, and improve the State's health; and

WHEREAS, the administration has developed a capital-planning framework designed to focus its capital planning efforts toward projects that support the University's institutional priorities within a financial strategy that is responsible.

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents approves the President's Six-Year Capital Improvement Plan in order to create and maintain facilities that serve as tools in accomplishing the University's education, research and outreach objectives.

President's Recommended 2015 State Capital Request

Board of Regents
September 12, 2014



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Financial Summary

Request
dollars in thousands

Location	Project	Total	State	U of MN
SYSTEM	HEAPR	\$ 55,000	\$ 55,000	\$ -
UMTC	Veterinary Isolation Facility Replacement	\$ 27,000	\$ 18,000	\$ 9,000
UMTC	St. Paul Greenhouse Replacement	\$ 6,000	\$ 4,000	\$ 2,000
	Total:	\$ 88,000	\$ 77,000	\$ 11,000



Resolution

WHEREAS, the Board of Regents has directed the administration to annually submit a capital improvement budget and a six-year capital improvement plan in support of the University's strategic priorities; and

WHEREAS, the Board of Regents recognizes the importance of sustaining and improving the University's facilities in support of teaching, research, and outreach; and

WHEREAS, the administration has developed a capital planning framework designed to focus its capital planning efforts toward projects that support the University's institutional priorities within a financial strategy that is realistic;

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents approves the University's 2015 State Capital Request to the Minnesota Legislature in the amount of \$88,000,000 consisting of \$77,000,000 from the State of Minnesota and \$11,000,000 from the University of Minnesota.



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BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: President's Recommended 2015 State Capital Budget Request

Review **Review + Action** **Action** **Discussion**

This is a report required by Board policy.

Presenters: President Eric Kaler
Vice President and CFO Richard Pfitzenreuter
Vice President Pamela Wheelock

Purpose & Key Points

Board of Regents Policy: *Reservation and Delegation of Authority* requires the Board of Regents to approve the University's legislative capital request before it is submitted for consideration by the governor and the legislature.

The 2015 request contains three projects: Higher Education Asset Preservation and Replacement (HEAPR) funds, the replacement of the Veterinary Isolation Laboratory, and the replacement of a greenhouse on the St. Paul campus. All three projects were identified in the 2013 Six Year Capital plan. The greenhouse project was previously included in the University's 2014 legislative capital request in the Laboratory Improvement fund line item but was not funded.

Additional project information can be found in the Six Year Capital Plan docket information.

Background Information

In September 2013, the Board of Regents approved the 2014 State Capital Budget Request.

President's Recommendation

The President recommends approval of the 2015 State Capital Budget Request.



REGENTS OF THE UNIVERSITY OF MINNESOTA

RESOLUTION RELATED TO THE

2015 STATE CAPITAL REQUEST

WHEREAS, the Board of Regents has directed the administration to annually submit a capital improvement budget and a six-year capital improvement plan in support of the University's strategic priorities; and

WHEREAS, the Board of Regents recognizes the importance of sustaining and improving the University's facilities in support of teaching, research, and outreach; and

WHEREAS, the administration has developed a capital planning framework designed to focus its capital planning efforts toward projects that support the University's institutional priorities within a financial strategy that is realistic;

NOW, THEREFORE, BE IT RESOLVED, that the Board of Regents approve the University's 2015 State Capital Request to the Minnesota Legislature in the amount of \$88,000,000 consisting of \$77,000,000 from the State of Minnesota and \$11,000,000 from the University of Minnesota.

2015 Capital Request

Request Summary (Prioritized):

Location	Project	Total	State	UMN
SYSTEM	HEAPR	\$ 55,000	\$ 55,000	\$ 0
UMTC	Veterinary Isolation Facility Replacement	\$ 27,000	\$ 18,000	\$ 9,000
UMTC	St. Paul Greenhouse Replacement	\$ 6,000	\$ 4,000	\$ 2,000
Total:		\$ 88,000	\$ 77,000	\$ 11,000

dollars in thousands

Project Summaries:

1. *Higher Education Asset Preservation and Replacement (HEAPR)* - This request is for funds used system-wide to maximize and extend the life of the University's existing physical plant. Individual projects will fall into one of four broad categories - Health and Safety, Building Systems, Energy Efficiency, and Utility Infrastructure. The system-wide HEAPR advisory committee makes recommendations on individual projects to the Vice President for University Services using data from the Facility Condition Assessment and Building Code Deficiency Report. HEAPR funds do not require a 1/3 University funding match.
2. *Veterinary Isolation Facility Replacement* - This project will create a biocontainment facility for the College of Veterinary Medicine to house and perform research with large animals and pathogenic agents. The initial program definition, which will be confirmed in predesign, has suggested a 38,500 gross square feet (GSF) facility comprised of biocontainment laboratories, large animal isolation space and a small animal vivarium. The existing Veterinary Isolation Buildings will be demolished following the construction of this project.
3. *St. Paul Greenhouse Replacement* – This project will renovate or replace collections and teaching greenhouse space on the St. Paul Campus. The greenhouse will be furnished with modern temperature, humidity and lighting controls and monitored via the master greenhouse campus control system. This project was included in the University's 2014 capital request.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

September 12, 2014

Agenda Item: Report of the Committees

Review Review + Action Action Discussion

This is a report required by Board policy.

Presenters: Regent Richard Beeson

Purpose & Key Points

Pursuant to Board of Regents Policy: *Board Operations and Agenda Guidelines*, "The Board conducts business through meetings of the Board and its committees.... [and] Committees provide recommendations for action by the Board. Typically, standing committees have the following responsibilities:

- Recommend action on matters where the Board has reserved authority to itself as outlined in Board of Regents Policy: *Reservation and Delegation of Authority* and other Board policies;
- Provide governance oversight on topics within the committee's purview;
- Review and make recommendations on relevant new and existing Board policies;
- Receive reports on policy-related issues affecting University departments and units;
- Receive information items (e.g., status reports on current issues of concern and administrative searches); and
- Review other items placed on the agenda by the Board chair in consultation with the president and Board vice chair."

The Board chair will call on the chair of each committee to present recommended actions and provide a brief report.

Background Information

The 2013-15 committee chairs are:

- Academic & Student Affairs Committee - P. Simmons
- Audit Committee - L. Brod
- Facilities & Operations Committee - C. Allen
- Faculty & Staff Affairs Committee - J. Frobenius
- Finance Committee - D. McMillan
- Litigation Review Committee - D. Larson
- Special Committee on Academic Medicine - L. Cohen