



Board of Regents

July 2016

July 6, 2016

12:30 p.m. - 3:00 p.m.

Boardroom, McNamara Alumni Center

BOR - JUL 2016

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BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: Introduction of Academic Professionals & Administrators Consultative Committee Chair

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: President Eric W. Kaler

PURPOSE & KEY POINTS

The purpose of this agenda item is to introduce Ety DeVeaux, incoming chair of the Academic Professionals & Administrators Consultative Committee.

DeVeaux serves as the Cluster Director and Human Resources Lead for the St. Paul administrative support cluster, which serves three departments within the College of Biological Sciences. She earned a BA from the University of Minnesota, and an MA from Augsburg College. DeVeaux is a graduate of the Transformational Leadership Program (Lean Sigma/performance excellence), and is a certified human resources generalist.

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Presidential Performance Review Committee
June 3, 2016**

A meeting of the Presidential Performance Review Committee of the Board of Regents reconvened in public session on Friday, June 3, 2016 at 10:03 a.m., in 600 McNamara Alumni Center.

Regents present: Dean Johnson, presiding; Laura Brod and David McMillan. All by phone.

Staff present: Executive Director Brian Steeves.

**RESOLUTION TO CONDUCT NON-PUBLIC MEETING
OF THE PRESIDENTIAL PERFORMANCE REVIEW COMMITTEE**

A motion was made and seconded that the following resolution be adopted:

RESOLVED, that as provided by Minnesota Statute 13D.05, Subd. 3(a), a non-public meeting of the Presidential Performance Review Committee of the Board of Regents will reconvene on Friday, June 3, 2016 at 10:00 a.m., in the Office of the Board of Regents, 600 McNamara Alumni Center, 200 Oak Street, SE, Minneapolis, Minnesota, for the purpose of evaluating the performance of the President of the University of Minnesota.

The committee voted unanimously to adopt the resolution. The public portion of the meeting ended at 10:04 a.m.

The committee discussed feedback on the president's performance. The meeting recessed at 11:21 a.m.



BRIAN R. STEEVES
Executive Director
and Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Presidential Performance Review Committee
June 8, 2016**

A meeting of the Presidential Performance Review Committee of the Board of Regents reconvened in public session on Wednesday, June 8, 2016 at 8:20 a.m., in 600 McNamara Alumni Center.

Regents present: Dean Johnson, presiding; and David McMillan. Laura Brod participated by phone.

Staff present: Executive Director Brian Steeves.

**RESOLUTION TO CONDUCT NON-PUBLIC MEETING
OF THE PRESIDENTIAL PERFORMANCE REVIEW COMMITTEE**

A motion was made and seconded that the following resolution be adopted:

RESOLVED, that as provided by Minnesota Statute 13D.05, Subd. 3(a), a non-public meeting of the Presidential Performance Review Committee of the Board of Regents will reconvene on Wednesday, June 8, 2016 at 8:00 a.m., in the Office of the Board of Regents, 600 McNamara Alumni Center, 200 Oak Street, SE, Minneapolis, Minnesota, for the purpose of evaluating the performance of the President of the University of Minnesota.

The committee voted unanimously to adopt the resolution. The public portion of the meeting ended at 8:21 a.m.

The committee discussed feedback on the president's performance. The meeting recessed at 9:02 a.m.



BRIAN R. STEEVES
Executive Director
and Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Litigation Review Committee
June 9, 2016**

A meeting of the Litigation Review Committee of the Board of Regents was held on Thursday, June 9, 2016 at 7:45 a.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Thomas Devine, presiding; Thomas Anderson, Linda Cohen, Michael Hsu, Dean Johnson, David McMillan, and Darrin Rosha.

Staff present: President Eric Kaler; Vice President Brian Herman; General Counsel William Donohue; and Executive Director Brian Steeves.

Others present: Greg Brown, Amy Phenix, and Brian Slovut.

**RESOLUTION TO CONDUCT NON-PUBLIC MEETING
OF THE LITIGATION REVIEW COMMITTEE**

A motion was made and seconded that the following resolution be adopted:

WHEREAS, based on advice of the General Counsel, the Board of Regents Litigation Review Committee has balanced the purposes served by the Open Meeting Law and by the attorney-client privilege, and determined that there is a need for absolute confidentiality to discuss litigation strategy in particular matters involving the University of Minnesota;

NOW, THEREFORE, BE IT RESOLVED, that in accordance with Minn. Stat. § 13D.01, Subd. 3 and 13D.05 Subd. 3(b), a non-public meeting of Litigation Review Committee be held on Thursday, June 9, 2016 at 7:45 a.m. in the East Committee Room, 600 McNamara Alumni Center, for the purpose of discussing attorney-client privileged matters including the following:

- I. Potential Claims Arising from Patent Infringement
- II. Environmental contamination claims: Gopher Ordnance Works
- III. *Olga Issaenko v. University of Minnesota*

The committee voted unanimously to adopt the resolution. The public portion of the meeting ended at 7:46 a.m.

The meeting adjourned at 8:31 a.m.



**BRIAN R. STEEVES
Executive Director and
Corporate Secretary**

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Board of Regents Work Session:
Driving Transformational Change Through Implementation of the UMTC Strategic Plan**

June 9, 2016

A work session of the Board of Regents of the University of Minnesota was held on Thursday, June 9, 2016 at 8:30 a.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: Dean Johnson, presiding; Thomas Anderson, Richard Beeson, Laura Brod, Linda Cohen, Thomas Devine, Michael Hsu, Peggy Lucas, David McMillian, Abdul Omari, Darrin Rosha, and Patricia Simmons.

Staff present: President Eric Kaler; Chancellors Stephen Lehmkuhle, and Fred Wood; Executive Vice President and Provost Karen Hanson; Vice President Brian Herman; Interim Vice President Bernard Gulachek; Executive Director Brian Steeves; and Associate Vice President Julie Tonneson.

Student Representatives present: Callie Livengood.

Chair Johnson introduced Executive Vice President and Provost Hanson to provide context for a discussion about implementation of the UMTC Strategic Plan (plan). Hanson discussed the plan's strategic framework and outlined its four pillars. She explained that the plan is a way to order and integrate existing institutional priorities and goals. She noted that colleges, schools and units made strong efforts over the past year toward achieving the plan's goals.

Hanson reported on progress in several key areas, explaining that the grand challenges curriculum is not advancing as quickly as anticipated but that progress is being made. She emphasized the integration and reevaluation of core liberal education requirements, and the importance of maintaining compliance with statewide transfer requirements. She explained that many colleges and units have increased their commitment to the plan, working with leaders to adjust their budgets to allow for progress on the plan.

She explained that research teams are working to foster collaborations across structural and disciplinary boundaries. She remarked that differences between units have resulted in productive discussions about collaboration and compromise. Hanson emphasized that grand challenges research goals do not replace more traditional goals of specialized research, for which the University is known globally; rather the two goals are complimentary.

Hanson reported on several additional progress steps, including cluster hiring, campus-community engagement, faculty and leadership development, operational excellence, and academic program review. She noted that future action steps should be aligned with the measures of the University Progress Card. She also remarked on additional indicators of success in the strategic initiatives, as well as the grand challenges curricular and research goals.

Regent Simmons commented that a traditional goal of research is to seek federal grants or other external funding, to achieve a larger allocation as well as broader recognition. She asked about incentives for seeking internal funding and if there is a way to leverage the process towards external grants and notoriety. Hanson replied that external funding is the ultimate goal of the research initiatives. She explained that the process of seeking internal funding helps faculty develop the necessary skills to apply for larger external grants. She added that the team

structure brings together senior researchers with younger, less experienced faculty, remarking that this collaboration can help researchers obtain greater funding and recognition.

Simmons asked about opportunities to connect research goals with undergraduate priorities, suggesting that this could provide students with experience in research fields and advance their occupational goals. Hanson remarked that those connections are possible and not dissimilar from existing opportunities such as research assistantships or lab work. She emphasized that the plan's goals explicitly create connections between undergraduate programs that wouldn't otherwise collaborate.

In response to a question from Regent McMillan, Hanson noted that a goal of the faculty team approach is to expose students to a variety of teaching methods and disciplines, such as scientific research and public policy. She offered as an example the field of precision medicine, which is a scientific endeavor with a greater focus on actionable goals due to inclusion of a broad range of faculty. She explained that creating multi-disciplinary research teams yields a more policy-focused scope.

Regent Cohen commented that she believes the reevaluation of liberal education requirements is a positive initiative, since it could be a good way to increase enrollment. In response to a question from Cohen, Hanson noted the College of Liberal Arts as one unit with funding specifically for cluster hiring across its departments. She reported that greater recognition of the position and a stronger faculty cohort are some of the benefits of this type of hiring.

In response to several questions from Regent Devine about the student experience and community engagement, Hanson replied that both aspects of the plan help enhance a student's curriculum. She noted that reciprocal engagements with University partners provide students with hands-on experience and enhance their learning. Devine asked about demand from the private sector and business community, or if the University is driving the partnerships. Hanson added that the private sector and University both drive demand for the partnerships, describing an upcoming networking event designed to attract local business leaders and agency heads to discuss community goals and gather input from the community about University engagement and outreach.

Regent Omari asked several questions about funding models and revenue sources for certain aspects of the plan, including interdisciplinary courses and cluster hires. Hanson replied that revenue from course enrollment and tuition can help fund the cluster hires, but cautioned that it is not a simple exchange. Communication is needed among deans and support units to coordinate funding for cross-department searches. Hanson added that the budget is not the only barrier to interdisciplinary collaboration, explaining that colleges can be competitive about preserving their respective funds and metrics.

Regent Rosha emphasized the University's unique offerings and remarked on the importance of maintaining a distinct brand within the broader, statewide higher education community. He suggested that the University's brand and value are important factors to emphasize to the legislature, specifically the impact on the state and its people. He commented that he would like to see similar efforts made on the system campuses.

Regent Beeson commented on positive alignment between the plan and the University Progress Card. He remarked on the importance of incremental costs and funding for the plan. Hanson replied that the University hopes to gather funds from external grants, noting that the plan is funded by the regular budget, not a specific pool of money within the University. She stressed the importance of strategic, unit-level decisions throughout the budget planning session, and reiterated commitment to the plan goals and aligning budgets accordingly. Kaler emphasized that the state is one of the main sources of funding, noting that the plan's initiatives will be organizing principles for additional state funding requests.

Regent Hsu asked which elements of the plan are being tracked and for a progress update. Hanson replied that specific data could be provided at a later time.

The meeting adjourned at 9:27 a.m.

A handwritten signature in cursive script that reads "Brian R. Steeves".

BRIAN R. STEEVES
Executive Director
and Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Academic & Student Affairs Committee
June 9, 2016**

A meeting of the Academic & Student Affairs Committee of the Board of Regents was held on Thursday, June 9, 2016 at 9:45 a.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Linda Cohen, presiding; Thomas Anderson, Dean Johnson, Peggy Lucas, Patricia Simmons, and Darrin Rosha.

Staff present: Chancellors Jacqueline Johnson and Fred Wood; Executive Vice President and Provost Karen Hanson; Vice President Katrice Albert; General Counsel William Donohue; Interim Vice President Bernard Gulachek; and Executive Director Brian Steeves.

Student Representatives present: Callie Livengood and Cory Schroeder

REGISTRATION AND PAYMENT PROCESSES

Provost Hanson invited Robert McMaster, Vice Provost and Dean of Undergraduate Education, and Susan Van Voorhis, Associate Vice Provost and University Registrar, to present information on registration and payment processes, as detailed in the docket.

McMaster shared an overview of Academic Support Resources (ASR). Registration interface allows all students across the system to see their registration time, search for and enroll in classes, view their grades, and view and order transcripts in one place. The billing and payment interfaces allows all students and parents with guest access to view and pay bills, monitor account balances, accept and manage financial aid, and get forms to file for tax credits and deductions.

Van Voorhis walked through the history of registration and payment process innovations, and highlighted the dollar value and number of transactions. In 1997, the University became the first in the country with online registration. She pointed to the MyU portal as the University's latest offering to meet student expectations for registration and payment resources. Van Voorhis identified current challenges as maintenance, compliance with changing regulations, desire to complete tasks on mobile phones, and students' desire to know all costs at the point of registration.

Regent Johnson asked whether the University could offer students an estimate of costs when they register. Van Voorhis responded that providing students a single accurate number as soon as it is known keeps communication clear and avoids confusion.

In response to a question from Regent Cohen, Van Voorhis explained that new students learn about online registration and payment tools at Welcome Week and through word of mouth.

VISION, APPROACH AND STRATEGIES FOR ONLINE LEARNING

Regent Cohen invited Provost Hanson to introduce presenters to lead a discussion on online learning, as detailed in the docket. Hanson introduced Rebecca Ropers-Huilman, Vice Provost for Faculty and Academic Affairs; Chancellor Fred Wood, UMC; John Finnegan, Dean of the School of Public Health; and Bob Rubinyi, Senior Analyst for Online Learning, Center for Educational Innovation.

Ropers-Huilman highlighted the strategic objectives of online learning, which are to improve quality and availability of academic programs; provide graduate and professional students with alternative access to post-baccalaureate programs; support undergraduate graduation and retention via scheduling flexibility and redesign of high-demand classes; provide adult learners the opportunity to complete undergraduate degrees with online programs; and improve access to continuing education and noncredit offerings for professionals and lifelong learners.

Rubinyi shared the history of distance and online learning at the University. He described requirements to secure its future, including high-quality technical infrastructure; improved coordination among central support units; a system-wide approach to state authorization regulations; launch of a new U of M Online site in May 2016; and alignment with the Twin Cities strategic plan.

Wood described the history of online learning on the Crookston campus, where 52 percent of students are online-only, crediting the campus's transformational culture as enabling distinct progress in this area. He observed that online-only students report a stronger link to faculty than on-campus students.

Finnegan stated that technology has focused his school on curricular design and quality of the learning experience. He recalled federal dollars being available in the early days of online learning to make such opportunities available to public health workers as part of their ongoing professional development.

In response to a question from Regent Rosha regarding the future of online learning, Rubinyi commented on a programmatic emphasis on two-year master's degrees, undergraduate offerings for working adults, professional education such as licensure maintenance, and additional forays into programs for traditional resident students.

Regent Simmons requested a future presentation to the committee on outcomes, such as time to graduation and the success of hybrid learners in the marketplace.

BOARD OF REGENTS POLICY: *STUDENT CONDUCT CODE*

Regent Cohen asked Provost Hanson to present proposed amendments to Board of Regents Policy: *Student Conduct Code* for action, as detailed in the docket.

Hanson outlined revisions since the policy came before the committee in May, and noted that additional background in the docket was gathered to respond to questions and concerns raised by committee members. She emphasized that while the policy codifies institutional expectations about student behavior and is shaped by its role as a developmental tool encouraging student reflection, it must also allow the institution to hold students and student groups accountable. Hanson added that most student conduct matters are resolved informally.

Hanson stated that the people and groups involved in shaping the updated code share the Board's concern for students, and that the revised policy has the full support of all five campuses. She offered that repeated emphasis on the widespread consultation that shaped revisions is a reminder that the process reflects the institutional wisdom of those involved in this work every day, and argued that such wisdom should not be ignored.

A motion was made and seconded to adopt amendments to Board of Regents Policy: *Student Conduct Code*.

Regent Simmons expressed support for the policy and thanked those who worked on the language, calling the revised policy impressive and extraordinary. She noted that the policy is a good candidate for additional post implementation review.

Student Representative Livengood expressed concern about the unresolved definition of sexual misconduct. Hanson responded that the policy would use existing language until the Title IX policy development process is resolved.

In response to questions from Regent Anderson seeking clarification on this matter, Cohen invited Brent Benrud, Senior Associate General Counsel, to address the committee.

Benrud noted that the University is working with the federal Office for Civil Rights (OCR) on a resolution agreement, which includes revisions to the University's sexual misconduct policies. He reported that the University has completed an initial exchange of definitions with OCR, and that a final policy draft would be submitted to OCR in the next several weeks. If OCR approves the draft, it will then go through the University's policy review process. Benrud noted that the policy has definitions of such things as sexual assault, sexual harassment, and stalking, which in turn impact the Student Conduct Code. He stressed that the two policies must be consistent, and that the University must follow the OCR lead on definitions in order to satisfy the resolution agreement. Benrud added that OCR is quite specific on what it will accept.

Rosha described his difficulty in acting on the policy given his lack of full understanding of what, exactly, the committee was voting to adopt. He questioned the purpose of the student conduct code, noting its evolution from addressing misbehavior such as campus vandalism to felony sexual misconduct. In response to a question from Rosha regarding the code's "reflection" focus in cases of rape, Hanson reiterated that in some cases, maintenance of community necessitates an approach that may include sanctions as severe as expulsion.

Rosha offered comments on the nature of adjudication of student conduct cases, concluding that such processes must be clear and fair to the victims, respondents, and the University given what is at stake. He wondered whether there could be any down side to a clear process with informed participants, and noted that clarity for all parties can remove additional issues in the future or later in the process. Rosha emphasized that the proposed policy contains a number of gaps and that the University is not putting forth a national model.

Rosha refuted the argument that the committee must act now. He voiced concerns about exclusion of certain student group input, noting that the revised policy language before the committee for action has not been vetted by the same groups that reviewed it earlier.

Rosha suggested referring the policy to a Board subcommittee to work with the Office of the General Counsel through the OCR review process. He offered that the policy would return to the committee for review in September, undergo the system-wide policy review process, and be acted on in October.

Simmons thanked Rosha for his thoughtful engagement, expressed appreciation for the additional context, and emphasized her support for immediate action and implementation.

Rosha reiterated his view that the committee does not understand what it is voting for. He identified components of the policy he characterized as bad, noting that the policy shortchanges both respondents and victims, fails to provide legal assistance and victim support, and inadequately extends medical amnesty.

Cohen called the question. Roshia moved to refer the proposed policy to a subcommittee. The motion was seconded. The committee voted 2-4 against the motion; the motion failed. Regents Cohen, Johnson, Lucas, and Simmons voted no.

The committee voted 5-1 to adopt amendments to Board of Regents Policy: *Student Conduct Code*. Roshia voted no.

STUDENT MENTAL HEALTH ACROSS THE SYSTEM

Provost Hanson invited Danita Brown Young, Vice Provost for Student Affairs and Dean of Students, and Sandra Olson-Loy, Vice Chancellor for Student Affairs, UMM, to lead a discussion of student mental health across the system, as detailed in the docket.

Brown Young provided an overview of the nationwide student mental health landscape. She detailed mental health needs on the Twin Cities campus, the resulting demands on campus resources, and the campus's response and approach. Olson-Loy reviewed the same for the system campuses.

Brown Young walked through findings and recommendations of the Provost's Committee on Student Mental Health. She reported the approximate UMTC cost due to mental health illnesses as \$4.6 million over a four-year period. For the Twin Cities campus, 39 percent of tuition refund requests are related to mental health concerns. She noted a number of report recommendations for the Twin Cities campus, including increased number and diversity of clinical staff; single entry point for clinical services; leveraging community therapists; and maximized funding from third-party payers.

Olson-Loy detailed report recommendations for the system campuses, including exploring opportunities for new funding or reallocation of existing funding; decreasing wait times and increasing access to resources and support; and strengthening collaborations with external partners.

For all campuses, the report recommends an increased focus on prevention and early intervention; evaluation of opportunities for academic policy, programmatic, and cultural changes that would support student mental health; and increased mental health data collection.

Brown Young identified a number of barriers to implementing the recommendations. They include space limitations; funding for additional clinical staff; insurance constraints; and overstretched staff finding too little time to plan for the level of systems change needed to respond to the shifting student mental health landscape.

Olson-Loy thanked the 2015-16 student representatives for highlighting this issue in their annual report to the Board.

Regent Simmons noted an additional barrier of access to services beyond the campuses given many communities' lack of access to mental health services. She asked about the reality of increasing staff. Brown Young agreed that the campuses refer a number of students to community providers and acknowledged the difficulty recruiting staff – particularly diverse staff – to campus positions. She identified a need to leverage alternatives such as counseling by Skype or via a crisis line, or perhaps through a technology not yet developed. Olson-Loy acknowledged similar challenges on the system campuses, adding that the Morris campus was unable to fill a director of student counseling, health and wellness position due to a scant applicant pool. In a follow-up comment, Simmons noted the link between substance abuse and mental health issues.

Regent Johnson referenced the many speakers at the Board's May 2016 public forum who highlighted the impact of mental health issues on students and the broader University community. He noted that his thinking on the matter had undergone a sea-change, and that he had spoken with President Kaler about related access and insurance issues. Johnson stressed that whatever the University could do, it should do to address this serious topic.

In response to a question from Regent Cohen about the effectiveness of mental health stigma-reduction programs, Livengood highlighted the "How Are You?" campaign as increasing awareness and the need for students to support one another. Student Representative Schroeder cited mental health awareness week as having a positive impact, but noted that the rural location of Morris remains a barrier.

Regent Lucas expressed appreciation that additional funding was identified in the budget to support mental health services, calling it a good start. She indicated that next year's budget would have a better accounting of the full resources needed to address the system's wide-ranging mental health needs.

Regent Anderson agreed with Johnson that he was very moved by the public forum and is committed to addressing the identified needs. He added that, like issues related to student conduct, the rising demand for mental health services is a societal trend and not just a campus or University trend. Olson-Loy responded with a reminder that while the current focus is on clinical services, the University must also address prevention.

CONSENT REPORT

A motion was made and seconded, and the committee voted unanimously to recommend approval of the following program changes, as described in the Consent Report:

- **Request for Approval of New Academic Programs**

- Medical School and College of Liberal Arts (Twin Cities campus)—Create combined B.A./M.D. degree program
- Medical School (Twin Cities campus)—Create fellowship in Geriatric Orthopaedic Trauma
- Medical School (Twin Cities campus)—Create fellowship in Spinal Cord Injury Medicine
- College of Liberal Arts (Twin Cities campus)—Create undergraduate certificate in French Advanced Level Proficiency
- College of Liberal Arts (Twin Cities campus)—Create undergraduate certificate in German Advanced Level Proficiency
- College of Liberal Arts (Twin Cities campus)—Create a post-baccalaureate certificate in Music Education
- Humphrey School of Public Affairs (Twin Cities campus)—Create a post-baccalaureate certificate in Human Services Leadership
- College of Food, Agricultural and Natural Resource Sciences (Twin Cities campus)—Create undergraduate minor in Wildlife Care and Handling

- **Request for Changes to Academic Programs**

- Law School (Twin Cities campus)—Create sub-plans in Family Law and Immigrant Law within the J.D. and LL.M. degrees
- College of Liberal Arts (Twin Cities campus)—Deliver the Technical Communication Post-baccalaureate certificate online
- Medical School (Twin Cities campus)—Change the name of the residency program in Family Medicine – University of Minnesota Medical Center

- Humphrey School of Public Affairs (Twin Cities campus)—Change the name of the Public and Nonprofit Management sub-plan within the Ph.D. degree in Public Affairs to Management and Governance
 - College of Education and Human Service Professions (Duluth campus)—Change the degree designation from master of education degree in Education Administration Specialist to an Education Specialist degree
 - Swenson College of Science and Engineering (Duluth campus)—Create sub-plans in Human Biology and Life Sciences within the Biology B.A. degree
 - Swenson College of Science and Engineering (Duluth campus)—Create sub-plans in Ecology, Evolution and Behavior and Genetics, Cell and Development within the Biology B.S. degree
- **Request for Approval of Discontinued Academic Programs**
 - College of Education and Human Development (Twin Cities campus)— Discontinue the undergraduate certificate in Disability Policy and Services
 - Humphrey School of Public Affairs (Twin Cities campus)—Discontinue the post-baccalaureate certificate in Executive Leadership
 - School of Nursing (Twin Cities campus)—Discontinue the post-baccalaureate certificate in Family Nurse Practitioner

The meeting adjourned at 11:41 a.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Finance Committee
June 9, 2016**

A meeting of the Finance Committee of the Board of Regents was held on Thursday, June 9, 2016 at 9:45 a.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: Richard Beeson, presiding; Laura Brod, Thomas Devine, Michael Hsu, David McMillan, and Abdul Omari.

Staff present: President Eric Kaler; Chancellors Stephen Lehmkuhle and Fred Wood; Vice Presidents Kathryn Brown, Richard Pfutzenreuter, and Pamela Wheelock; Executive Director Brian Steeves; and Associate Vice Presidents Michael Berthelsen, Julie Tonneson, and Michael Volna.

Student Representatives present: Samantha Jensen and Nikki Ripp.

Regent Beeson recognized Vice President Pfutzenreuter for his outstanding service to the University and noted that this is Pfutzenreuter's final Finance Committee meeting. The committee expressed appreciation to Pfutzenreuter for his service.

PRESIDENT'S RECOMMENDED FY 2017 ANNUAL OPERATING BUDGET

Vice President Pfutzenreuter and Associate Vice President Julie Tonneson presented for action the President's recommended FY 2017 Annual Operating Budget (operating budget), as detailed in the docket.

Tonneson reminded the committee of key components of the operating budget as presented in May. She detailed changes to the operating budget made in response to the May discussion and based on the supplemental budget bill passed by the legislature.

Pfutzenreuter reported that the legislative auditor had found a conflict between how the University normally receives funds from the state and how the Legislative-Citizen Commission on Minnesota Resources (LCCMR) allocates funds. He explained that the University received the full funding for projects instead of being reimbursed as the projects moved forward. Since the University received the full amount up front, the funds were able to gain interest before they were used. He stated that the legislature responded by fixing the conflict between the statutes, and emphasized that the University was unaware of the conflict or it would have sought to have the statutes amended. In response to a question from Regent Hsu, Pfutzenreuter reported that the total interest earned was just over half a million dollars.

Hsu asked whether the increase in mental health spending was enough given the comments Regents heard at the public budget forum and from the student representative report. Kaler responded that in addition to the increases noted in the operating budget, both he and Provost Hanson have each pledged \$100,000 from their discretionary funds to cover increased mental health staff expenses on the Twin Cities campus. He emphasized that this was only the beginning of a long-term investment in mental health and that the provost is working to determine the optimal structure to best serve students.

Hsu asked the student representatives their thoughts on the current level of funding. Student Representative Ripp responded that she does not see the same issues in access at the Rochester campus as those she has been told about at the Twin Cities campus. Student Representative Jensen added that the Duluth campus does a great job in providing mental health services to students, noting that wait time is significantly less than at the Twin Cities. She encouraged the administration to perform a full assessment of demand at all campuses, but especially the Twin Cities, to ensure that students have access.

Regent Devine expressed his support for this approach and commended the administration for the work already completed in a short amount of time. He wondered how the Affordable Care Act might impact capacity. President Kaler responded that half of Boynton Health's mental health costs are covered by insurance obtained by students or through their parents or guardians.

Regent Omari offered his support for the increased funding and noted efforts to keep up with demand. He emphasized the need to fund increased training for faculty and staff to help them identify students who may be struggling and refer them to mental health resources. He added that any training for faculty and staff should include cultural competency.

In response to a question from Hsu about 6.5 new mental health positions being funded, Kaler noted that there is no set number of staff needed at this point given the desire to examine how to best address the mental health service needs of students. He stressed that if he knew an exact number, he would seek funding for that amount. Kaler added that there is already the ability to fund the additional half position, but that additional items will need to be funded based on the provost's recommendations.

Hsu expressed concern about the lower non-resident, non-reciprocity (NRNR) tuition increase. He asked whether progress toward reaching the midpoint of the Big Ten would be made if the University kept the effective rate at 7.5 percent but raised the advertised rate closer to 15 percent. Pfutzenreuter observed that such a change would only impact the rates and not the proposed operating budget. Regent Brod expressed her view that a higher advertised rate would be problematic and would have an impact on families. Omari added that there was still not a clear understanding of elasticity and expressed his sense that a 7.5 percent increase is a good pace to move the University toward the midpoint.

In response to a question from Omari, Tonneson explained that the Colleges of Liberal Arts and Science and Engineering on the Twin Cities campus would experience a greater budgetary impact from decreasing the proposed NRNR tuition increase due to their size and the higher proportion of NRNR students. She noted that both colleges are prepared for the decrease in revenue.

Beeson commented that the administration should closely monitor the impact of NRNR increases over the next year. He suggested a separate tuition rate for international students.

Devine asked for comparison data that would allow the Board to understand student fees across the system. He expressed his support for a higher advertised price, but noted the influence it could have on marketing.

In response to a question from Hsu, Pfutzenreuter agreed that the committee should examine whether the targeted balance for the central reserves fund is the right amount.

A motion was made and seconded, and the committee voted unanimously to recommend approval of the FY 2017 Annual Operating Budget.

**FINANCIAL COMPONENTS OF THE PRESIDENT'S RECOMMENDED
FY 2017 ANNUAL CAPITAL IMPROVEMENT BUDGET**

Regent Beeson invited Vice President Pfutzenreuter to present for action the President's recommended FY 2017 Annual Capital Improvement Budget (capital budget), as detailed in the docket.

Pfutzenreuter updated the committee on changes to the capital budget since May. He noted that the legislature did not pass a bonding bill and all projects included in the University's capital request had been removed from the capital budget. He reported the adjusted capital budget authorizes projects totaling \$92,524,000 to begin design or construction during the next fiscal year. He identified the change in source funding for the projects.

In response to a question from Regent Omari, Vice President Wheelock offered that a number of projects could be affected by the lack of a bonding bill, such as the Chemistry and Advanced Materials Science Building in Duluth, which was being moved forward at an accelerated rate. She added that for all of the projects, the inflationary impact of a significant delay would increase the cost of construction.

Regent Devine expressed his concern about allocating funds to residence halls that may eventually be torn down. He highlighted the need to balance projects that are absolutely necessary to keep residence halls in use with those projects that would add features. He noted his desire to see how all residential life allocations align with each other to help the Board ensure that balance.

Beeson commented that costs of constructions are starting to increase once more in the private market and that the University needs to monitor those closely given the potential delay in projects.

In response to questions from Regent Hsu, Wheelock stated that funding for lead remediation in the Armory would come from the central facilities management pool for the Twin Cities campus. She noted that the Armory would be included in the six-year capital plan next fall, but emphasized that the Armory does not meet the federal definition of an armory and is not eligible for federal or state armory funding. She added that she is not aware of any additional lead remediation in the Armory and would provide the committee with a list of any other remediation needed.

A motion was made and seconded, and the committee voted unanimously to recommend approval of the financial components of the FY 2017 Annual Capital Improvement Budget.

**LONG-RANGE FINANCIAL PLANNING & BIENNIAL
REQUEST PLANNING: UPDATE 2017-2022**

Regent Beeson invited Vice President Pfutzenreuter and Lincoln Kallsen, Director, Institutional Analysis, to present the long-range financial planning model for discussion, as detailed in the docket.

Kallsen explained that this discussion would update the six-year operating budget forecast based on the FY 2017 operating budget, begin the discussion of the University's next biennial request, and review baseline assumptions. He presented how long-range financial planning interacts with annual operating budget recommendations, the biennial budget request to the state, trends in state funding, changes in student enrollment, changes in federal research funding, base revenue assumptions, and investment and expense assumptions.

Kallsen offered two revenue scenarios for consideration. He explained that each scenario manipulates the annual change in all tuition rates and in state appropriations.

In response to a question from Regent Devine, Kallsen explained that the new enrollment management plan for the Twin Cities campus had been included in the forecast for both the operating and capital projections. He identified additional student advisors and updated and expanded classrooms as examples of affected items. Kallsen specified that only the increased enrollment for the Twin Cities was included and that enrollment at the other campuses was kept flat. Devine responded that the two models were encouraging and demonstrated the need to renovate and fund new buildings to meet increased demand.

Beeson suggested continuing to reduce administrative costs through the Operational Excellence initiative at a rate of \$15 million per year. He asked if the forecast included any additional reductions. Kallsen responded that it does not, but offered that reallocations are one lever the Board could use to balance future budgets. Pfitzenreuter observed that during his time at the University, very few years did not include reallocations. He asserted that reallocations would need to continue but the Board and administration should look at what is included.

Regent Brod agreed with Beeson. She added that she would like to see the University meet and exceed Operational Excellence goals, but cautioned that a clear strategy is needed. She shared that the Audit & Compliance Committee has started to see a slip in administrative oversight, noting that programmatic evaluations and cuts should be considered in addition to administrative cuts.

In response to a question from Brod, Kallsen explained that a 2 percent cut would be necessary to keep the budget flat. Brod responded that the higher education model itself is the issue and that the Board should discuss how to make adjustments to the model moving forward. Kaler offered his agreement that conversations on changes to the model are needed, noting that administrative costs could not be the only area affected by cuts. He added that this is an opportunity for the University to be strategic and communicate with the legislature and donors.

Regent Hsu agreed that the current higher education model was nearing the end of its utility. He emphasized the need to examine the true capacity for students and his belief that there is still capacity to add students within the system. He offered that employee headcount has increased since the administrative cuts began, and that he believed additional reallocations could be made.

In response to a question from Hsu, Kallsen explained that the model uses the Higher Education Price Index (HEPI) instead of the Consumer Price Index (CPI) because HEPI more accurately reflects the true cost growth of higher education. He offered as examples that HEPI takes into account that research buildings tend to cost more to build and operate and does a better job of aligning with faculty salaries.

Hsu suggested that the need for additional housing on the Twin Cities campus should be reflected in the forecast. Wheelock responded that there is enough residential housing capacity now for first-year students. She explained that additional housing for second-year and transfer students during the first semester would be challenging, along with any unforeseen increase in first-year students. She noted that increasing capacity to meet the residential housing goals of housing more second-year and transfer students would take time.

Regent Omari commented on the need for balance between expense savings and cuts to programming. He encouraged the administration to build upon new efficiencies, and stressed that the increased employee head count needs to be placed in the context of what role those employees play in the University.

Beeson suggested a need to understand the full cost of compliance and share that with the legislature. He emphasized the need for the legislature to provide the University with a baseline of core funding, and encouraged the administration to look for additional research funds.

ANNUAL INSURANCE & RISK MANAGEMENT

Regent Beeson invited Associate Vice President Michael Volna and Steven Pardoe, Director of Risk Management and Insurance, to present the annual insurance and risk management report, as detailed in the docket.

Pardoe outlined casualty insurance claims and operations costs covered by the Regents of the University of Minnesota Insurance Company (RUMINCO). The University's total cost of risk for FY 2015 was \$13.4 million, up 2.4 percent over the prior year's total cost of risk of \$13.2 million. Pardo explained that the total cost of risk is the sum of captive costs, self-insurance costs, and the cost of commercially purchased insurance. He noted that claims were flat for the period and that he was pleased with the cost performance.

Volna reported on completion of FY 2015 goals for Risk Management, including completion of a return-to-work light duty program. He noted the results of a pilot program to reduce the back injury incidence rate from trash handling, and determined that services offered by the University were not able to be merged given the unique needs of both programs.

Volna outlined goals for FY 2016: Issue an RFP for third-party administration services for the University's liability and workers' compensation programs, and evaluate whether the marketplace offers a competitively advantageous property insurance product versus the Midwest Higher Education Compact property insurance program. He added that the proposal for a new property insurance provider was included in the consent report.

Regent Devine expressed support for the work of Risk Management, noting that the program trends helped to keep costs down over the past year. He voiced his support for the change in property insurance provider.

CONSENT REPORT

Vice President Pfutzenreuter presented the Consent Report, as detailed in the docket:

General Contingency:

- There are no items requiring approval this period.

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

- To Academic Programs International (API), Academic Studies Abroad (ASA), American Institute for Foreign Studies (AIFS), CEA Study Abroad, Center for International Studies (CISabroad), International Studies Abroad (ISA), University Studies Abroad Consortium (USAC) and others for an estimated \$1,007,000 to provide services to support overseas study abroad programs for the UMD International Programs and Services' Study Abroad Office for Fiscal Year 2017. The program fees cover the costs of the academic program and the administrative costs for the UMD Study Abroad office. See documentation for the basis of vendor selection.
- To EMKAY for \$17,000,000 for vehicle financing and leases initiated during the contract period from August 1, 2016, to July 31, 2021, with contract extension through July 31, 2022 for Parking and Transportation Services – Fleet Services. Financing costs will be paid by internally generated departmental funds. Vendor was selected through a competitive process.
- To Hewlett-Packard Company (HP) for an estimated \$1,500,000 to lease approximately 1,400 HP Elitebook series notebook computers for the period from July 2016 through August 2018 for the Crookston campus (UMC). The program is funded through a

Collegiate fee, a fee that has not increased since the year 2000. Students are eligible for Financial Aid support to cover the cost of the Collegiate Fee. The risk of taking no action and thus discontinuing the notebook computer program, may negatively impact student interest in attending UMC. This funding model has generated positive revenue, with funds generated supporting the purchase/lease of equipment, the notebook gifting initiative (where graduates are able to keep their UMC issued notebook computer upon successful graduation), and other services to support the notebook computer program at UMC. Vendor was selected through a competitive process.

Approval of Underwriter

- To RBC Capital Markets, LLC (RBC) as senior manager for underwriting and investment banking services for the issuance and sale of long-term debt related to University of Minnesota Twin Cities athletic facilities during FY 2017 – FY 2020. The vendor is one of the pre-qualified firms in the senior manager pool for the period FY 2016 – FY 2020 that was chosen through a competitive bidding process and approved by the Board of Regents in February 2016.

Commercial Transactions or Other Matters Subject to Board Approval

- To FM Global for a three-year contract for property insurance. The estimated cost of the property insurance premiums, covering the period June 29, 2016 through June 28, 2019 will be an estimated \$9.3 million, with rate increases in years 2 and 3.

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

INFORMATION ITEMS

Vice President Pfutzenreuter referred the committee to the information items in the docket:

- University Tax Compliance Activities
- Quarterly Investment Advisory Committee Update
- Quarterly Asset Management Report
- Debt Management Advisory Committee Update

The meeting adjourned at 11:46 a.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Presidential Performance Review Committee
June 9, 2016**

A meeting of the Presidential Performance Review Committee of the Board of Regents reconvened in public session on Thursday, June 9, 2016 at 12:00 p.m., in 600 McNamara Alumni Center.

Regents present: Dean Johnson, presiding; Thomas Anderson, Richard Beeson, Laura Brod, Linda Cohen, Thomas Devine, Michael Hsu, Peggy Lucas, David McMillian, Abdul Omari, Darrin Rosha, and Patricia Simmons.

Staff present: Executive Director Brian Steeves.

**RESOLUTION TO CONDUCT NON-PUBLIC MEETING
OF THE PRESIDENTIAL PERFORMANCE REVIEW COMMITTEE**

A motion was made and seconded that the following resolution be adopted:

RESOLVED, that as provided by Minnesota Statute 13D.05, Subd. 3(a), a non-public meeting of the Presidential Performance Review Committee of the Board of Regents will reconvene on Thursday, June 9, 2016 at 12:00 p.m., in the Office of the Board of Regents, 600 McNamara Alumni Center, 200 Oak Street, SE, Minneapolis, Minnesota, for the purpose of evaluating the performance of the President of the University of Minnesota.

The committee voted unanimously to adopt the resolution. The public portion of the meeting ended at 12:01 p.m.

The committee discussed feedback on the president's performance. The meeting recessed at 12:58 p.m.



**BRIAN R. STEEVES
Executive Director
and Corporate Secretary**

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Facilities, Planning & Operations Committee
June 9, 2016**

A meeting of the Facilities, Planning & Operations Committee of the Board of Regents was held on Thursday, June 9, 2016 at 1:15 p.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: David McMillan, presiding; Thomas Anderson, Thomas Devine, Dean Johnson, Peggy Lucas, and Darrin Rosha.

Staff present: President Eric Kaler; Chancellors Jacqueline Johnson, Stephen Lehmkuhle, and Fred Wood; Executive Vice President and Provost Karen Hanson; Vice Presidents Brooks Jackson, Richard Pfitzenreuter and Pamela Wheelock; Interim Vice President Bernard Gulachek; Executive Director Brian Steeves; and Associate Vice President Michael Berthelsen.

Student Representatives present: Samantha Jensen and Callie Livengood.

PLANNING FOR UNIVERSITY FACILITIES ACROSS THE LIFECYCLE

Regent McMillan invited Associate Vice President Michael Berthelsen to discuss planning for University facilities across the lifecycle, as detailed in the docket.

Berthelsen summarized the University's enterprise facility portfolio and offered examples of the types of buildings the University owns. He defined total cost of ownership as including the total project cost, operating costs, capital renewal funding, and funds need to decommission the building. He outlined the facility lifecycle stages, giving examples. Berthelsen noted that Facilitates Management seeks to increase efficiency of space, improve density, and reuse facilities where possible. He offered classroom management as an example of how efficiency can be managed and increased.

Berthelsen portrayed the University as a place-based experience. Given that experience, he explained that planning for campus buildings and grounds is aimed to last 50 to 100 years. He noted that the University's utility infrastructure creates the opportunity to link buildings, like the new Clinics and Surgery Center, to the system and free up internal space that would have been used for heating and cooling equipment. Building those connections creates a higher construction cost but lowers operating costs over time.

Berthelsen described facility spend, noting major sources of funding. He highlighted changing maintenance practices for buildings and land care. He described how land care has defined certain areas of campus, like Northrop Mall, as formal and requiring a higher level of maintenance, while other areas of campus have been allowed to look more natural. Berthelsen commented that this distinction between campus areas helps save money and time.

Berthelsen reviewed the building eras and number of buildings the University owns. He noted that many of the buildings the University owns were built during the post-war to modern era with low quality construction and materials. He presented the needed renewal funding by year, showing the historical underinvestment, and shared feedback from faculty and staff who use the Mayo building to illustrate poor facility conditions across campus.

Regent Lucas expressed her appreciation that the University is focused on constructing high-quality buildings that are meant to last, compared to buildings that she views as being of lesser quality near the Twin Cities campus.

Regent Johnson commented that the grounds are an important aspect of how the University looks, identifying commencement as a time where the campus needs to look its best. He shared his disappointment with the condition of some planting beds. Wheelock agreed that commencement in the spring and the first week of classes in the fall are high traffic times. She highlighted Northrop Mall and areas around Mariucci Arena as high traffic areas requiring additional care. Wheelock noted that progress is being made but more work is needed, adding that the weather plays a role.

Regent Rosha shared differences he has noticed between how the University's golf course is maintained and the course he worked on in his hometown. He wondered how the administration could build a sense of ownership among faculty and staff for the buildings and grounds to encourage them to do small things that would help make the buildings look better. Wheelock responded that the University's labor agreements restrict what individuals can do as volunteers, but agreed that building and incentivizing a sense of ownership should be discussed further.

Berthelsen agreed as well. He explained that the Twin Cities campus is divided into 15 areas with a responsible individual assigned to each and charged with partnering with the college or unit to improve the buildings and grounds. Berthelsen described how committees for each building were being formed that would include occupants and a key contact from Facilities Management to improve communication. Wheelock added that certain areas of campus provide their own land care, including Athletics, Recreation Sports, and Coffman Union, adding that Facilities Management is working with them on a more comprehensive land care plan.

Regent Devine expressed his appreciation for this presentation and the capital project delivery discussion in May. He relayed criticism that he hears regarding the University's higher construction costs and emphasized that the story should be told about why that is. He commented that the high standard for campus care had started with President Yudof and continues with President Kaler.

ACADEMIC HEALTH SCIENCES STRATEGIC FACILITIES PLANNING: PHASE II FINAL REPORT

Regent McMillan invited Monique MacKenzie, Director of Planning, and Michael Pukszta of Cannon Design to discuss the phase II final report for Academic Health Sciences strategic facilities planning, as detailed in the docket.

MacKenzie reviewed creation of the strategic facilities plan (plan) and reminded the committee of the work done during phase I. She placed the plan in the context of the campus development framework, noting current and future patterns of development. MacKenzie explained key development strategy areas, such as the areas along Huron Boulevard and around TCF Bank Stadium. She emphasized the importance of proximity and the benefits and drawbacks of density.

Pukszta gave an overview of the strategic planning objectives, noting that the plan was envisioned over a 10-year period, but the impact could last for a century. He explained that the Academic Health Sciences did not suffer from a space issue, but instead could reduce the space they are using while increasing utilization. One goal of the plan is to better integrate the academic health district into the broader Twin Cities campus, producing a stronger campus feel. Pukszta reported that the University is at the cutting edge of academic health sciences with the team-based care and comprehensive system already in place, and noted that the plan aligns facilities with that approach.

MacKenzie summarized the phase I recommendations and noted the physical condition of current facilities. She explained the phase II investment strategy, describing how the new district would be laid out. She summarized the five big ideas of the plan as:

1. Essex Street pedestrian corridor that would create a new visual link.
2. Expanded Academic Health Center and campus core connectivity.
3. Riverview residential neighborhood.
4. Use of a phasing strategy for renovation and new construction.
5. Patient access at campus-community edge.

MacKenzie reviewed future land use, building heights and open space, and an increased connection to the Mississippi River. She outlined the renewal and removal strategy, identifying which buildings would be demolished and which would be renovated. MacKenzie explained that the expected 1.3 million square feet of office space would ensure no need for super blocks of land, allowing for Essex Street to become a pedestrian corridor. She reviewed the sequence of projects and noted where in the plan the Health Sciences Learning Center would be built and staged.

Lucas expressed her support for the plan and highlighted the Essex Street pedestrian corridor as a strong feature.

In response to a question from Student Representative Livengood, MacKenzie commented that University Services mitigates the impact of construction on units in a variety of ways. She explained that any planning process starts by understanding what the impact will be and then works with the occupants to think about the best location and phasing to lessen that impact. Wheelock added that the Academic Health Sciences are spread across campus and that the University as a whole lacks sufficient swing space.

Wheelock commented that the plan identifies buildings that will continue to play an important role and those where the University should cease investment. She suggested that the University will need to be flexible and innovative to find funding, potentially looking to donors to help move the project faster.

Regent Devine commented that the deans should help communicate the vision of the Academic Health Sciences to donors and members of the legislature. He offered the Mayo Clinic research park as an example of how the University should frame its vision. Devine asked about a plan to accommodate joint ventures. Pukszta responded that the zones on the edge of campus are designed to offer spaces to accommodate joint ventures. Wheelock added that the deans and the Office of the Vice President for Research are talking with possible partners about physical space needs. Wheelock reminded the committee that private use restrictions on buildings using tax-exempt debt need to be carefully considered when thinking about those types of partnerships, but that the University is ready to embrace them.

In response to a question from Devine, MacKenzie responded that the University is working with the Minnesota Department of Transportation to create a more intuitive entrance and experience from Interstate 94. The University hopes for a pedestrian crossing that would include University signage.

**RESOLUTION RELATED TO LONG-TERM DEVELOPMENT
IN KEY AREAS OF THE TWIN CITIES CAMPUS**

Regent McMillan invited Vice President Wheelock and Assistant Vice President Suzanne Smith to review the resolution related to long-term development in key areas of the Twin Cities campus, as detailed in the docket.

Wheelock explained that the proposed resolution endorses a vision for the southeast gateway district of the Twin Cities campus and noted previous committee and Board discussions on this topic. She added that it is a 30-year vision for the area, but this vision could change. She noted the planning principles and assumptions, highlighting the desire to create a more attractive area for sightlines to the Mississippi River and better traffic and pedestrian flow. She outlined the riverfront housing plan, noting alignment with the enrollment plan, and summarized the economics of University housing. She stated that the private market does not offer any residence hall housing, making this a key area for continued University investment.

McMillan emphasized the need for regular reporting and engagement between the Board and administration as the plan evolves and moves forward.

President Kaler commented that the vision provides clarity to the administration. He explained that it moves the Board toward a decision on Pioneer Hall. Kaler suggested that master leasing helps to ensure the necessary capacity to meet the Twin Cities enrollment plan goals. He noted that since the vision stretches over 30 years, major decision points would be spread out.

Regent Johnson commented that the centerpiece of the vision will be a determination regarding a new hospital, stating that the current hospital is quite antiquated with too many double rooms. Wheelock responded that it was not clear there would be an immediate opportunity to build a new facility. She noted that the University could move forward with the Academic Health Sciences and residence hall parts of the vision given the proposed locations and available land. Kaler added that current M Health language includes roughly \$100 million to renovate the current facility to add single rooms and update operating rooms, extending the useful life of the building by 20 to 25 years.

McMillan asked if this meant the plan was to keep the current hospital, but reduce the total number of rooms. Kaler responded that the renovation would reduce the total number of rooms and M Health would need to reconcile facilities on both the East and West Banks.

In response to a question from Regent Anderson, Wheelock explained that the current plan addresses the needed additional student beds while seeking to maintain affordability. She emphasized that the University cannot instantly add the needed permanent capacity. She noted that the long-term plan focuses on housing all first-year students, while using apartments and master lease agreements to house a higher percentage of second-year students.

Student Representative Jensen suggested that housing is a key attractor for incoming students. She urged the Board and administration to prioritize quality housing and move that section of the vision forward quickly.

Regent Rosha expressed his view that a renovation of Pioneer Hall offers significant opportunities and expressed his hope that the project could move forward quickly in a way that is economically prudent and aligned with preservation of the historic building. He observed that while the proposed vision is for 30 years, it may extend to a century or more. Rosha offered his support for the increased connection to the river and the creation of new dramatic green spaces along Essex Street to Coffman Union, wondering whether tunnels and skyway connections could also be added. He strongly encouraged the administration to be bold in executing the vision, noting that while it might cost more in the short-term, it would yield returns and support from donors and the state.

Regent Devine expressed his support and appreciation for moving this conversation forward. He agreed that the hospital location is the key piece of the vision. He reiterated that the University's challenge is to tell its story and convince the legislature to build a state-of-the-art facility on campus. He emphasized that it is the Board and administration's responsibility to articulate the vision and challenge the legislature to match the \$100 million investment proposed for the hospital.

**PROJECT COMPONENTS OF THE PRESIDENT'S RECOMMENDED
FY 2017 ANNUAL CAPITAL IMPROVEMENT BUDGET**

Regent McMillan invited Vice President Wheelock to review project components of the President's recommended FY 2016 Capital Improvement Budget (capital budget), as detailed in the docket.

Wheelock explained that with no bonding bill passed by the Minnesota Legislature, the capital budget now authorizes projects totaling \$92,524,000 to begin design or construction during the next fiscal year. She outlined other changes since May, noting projects that had been added.

A motion was made and seconded, and the committee voted unanimously to recommend approval of the project components of the FY 2017 Annual Capital Improvement Budget.

REAL ESTATE TRANSACTIONS

A. Sale of 217.46 Acres of Salt Spring Lands in the Bear Head Lake State Park, St. Louis County, to the State of Minnesota, Department of Natural Resources – Salt Spring Lands

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

On recommendation of the President and the Vice President for University Services, the appropriate administrative officers receive authorization to execute the appropriate documents providing for the sale of 217.46 acres of Salt Spring Lands in Bear Head Lake State Park, St. Louis County, to the Minnesota Department of Natural Resources (DNR).

Susan Carlson Weinberg, Director of Real Estate, explained the real estate transaction as follows:

- The subject property is located on the northerly shoreline of Bear Head Lake in Bear Head Lake State Park, St. Louis County. The property consists of 217.46 acres of land. The legal description of the property is as follows: Government Lots 6, 7 and 10, the Southwest Quarter of the Northeast Quarter, and the Northwest Quarter of the Southeast Quarter, all in Section 2, Township 61 North, Range 14 West, and the North Half of the Northeast Quarter of the Southwest Quarter, Section 1, Township 61 North, Range 14 West, St. Louis County; Except minerals and mineral rights.
- Basis for the Request: The subject 217.46 acres represents twenty two percent (22%) of the Salt Spring Lands totaling 970.48 acres in the Bear Head Lake State Park, St. Louis County. In 2015, the Minnesota Legislature passed a \$1,000,000 one-time appropriation to the Minnesota Department of Natural Resources (DNR) to acquire Salt Spring Lands within the Bear Head Lake State Park. The DNR proceeded to identify Salt Spring Lands they desired to purchase. After appraisals were completed, the University and the DNR agreed on a valuation of \$4,500 per acre for the subject 217.46 acres.
- Details of Transaction: The sale price is \$978,570, cash. The parties desire to close the transaction on or before June 30, 2016.

Regent Devine commented that the University might want to explore holding the land and offering a lease to the DNR or attempting to trade it for another piece of land.

The committee voted unanimously to recommend approval of the real estate transaction for the sale of 217.46 Acres of Salt Spring Lands in the Bear Head Lake State Park, St. Louis County, to the State of Minnesota, Department of Natural Resources.

INFORMATION ITEMS

Vice President Wheelock referred committee members to the following information items:

- Capital Planning and Project Management Semi-Annual Report

The meeting adjourned at 3:25 p.m.



BRIAN R. STEEVES
Executive Director
and Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Faculty & Staff Affairs Committee
June 9, 2016**

A meeting of the Faculty & Staff Affairs Committee of the Board of Regents was held on Thursday, June 9, 2016 at 1:15 p.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Patricia Simmons, presiding; Richard Beeson, Laura Brod, Linda Cohen, Michael Hsu, and Abdul Omari.

Staff present: Chancellors Lendley Black, Jacqueline Johnson, and Stephen Lehmkuhle; Executive Vice President and Provost Karen Hanson; Vice President Kathryn Brown; Interim Vice President Bernard Gulachek; and Executive Director Brian Steeves.

Student Representatives present: Love Odetola and Cory Schroeder.

AFFORDABLE CARE ACT: IMPLICATIONS AND RESPONSE

Regent Simmons invited Vice President Brown and Ken Horstman, Senior Director, Total Compensation, to discuss implications of the Affordable Care Act (ACA) and the University's response, as detailed in the docket.

Brown provided introductory framing comments regarding the ACA excise tax and the financial exposure faced by the University.

Horstman covered a variety of issues related to the ACA, including application of the excise tax; what the tax is for; ACA fees and what they fund; and calculations and potential impacts related to UPlan. He detailed steps taken by the University to reduce the potential tax impact, such as a carve-out of internal administration fees; adjustments to plan design regarding deductibles, co-pays and premium tiers; introduction of Accountable Care Organizations; and very low premium increases.

Brown shared the University's pride in achieving a zero percent premium increase followed by a 1.3 percent increase over the past two years. She commented on efforts being taken to meet legal requirements, manage costs, and sustain employee satisfaction in their health care coverage.

Simmons recognized the benefits team and led the room in a round of applause.

Regent Brod asked about the effects of an aging workforce on the potential impact of the excise tax. Horstman acknowledged that demographics are a challenge, with 3 percent of active University employees over age 70, but noted that 36 percent are Millennials. Horstman mentioned that programs such as medication management, condition management, and individual case workers, as well as the University's wellness programs, help keep employees out of the high-cost claim category.

In response to a question from Simmons, Horstman stated that at age 65, active employees can stay in any University plan available or apply for Medicare. Early retirees who reach age 65 have access to negotiated benefits with four carriers providing coverage locally.

Regent Omari asked about the impact on graduate assistants. Horstman responded that while they are not directly affected by the excise tax, they must meet certain requirements in their plans regarding minimum essential benefits. He added that Boynton Health staff are exploring how to address such things as whether the graduate assistant plan should be subsidized.

Brod asked at what level of excise tax it would make sense financially for the University to buy its way out of providing health insurance for employees. Horstman responded that even if the University paid the penalty, it would likely have to pay above that to be competitive as an employer. He added that as premiums and costs for employers go down, debt and medical bankruptcies for employees go up. Brod reminded the committee that the decision to provide health care coverage to employees is a policy choice made by the Board of Regents.

UMTC STRATEGIC PLAN: IMPLICATIONS FOR HUMAN RESOURCES

Regent Simmons invited Brandon Sullivan, Director, Leadership and Talent Development, and Rebecca Ropers-Huilman, Vice Provost for Faculty and Academic Affairs, to present for discussion the human resources implications of the UMTC strategic plan, as detailed in the docket.

Sullivan discussed how human resources enable three key aspects of strategic development: motivated employees, common direction, and aligned effort. He detailed strategic plan demands and HR needs related to leadership development; employee engagement and wellbeing; talent and performance management; and compensation, rewards and recognition.

Ropers-Huilman walked through strategic plan demands and HR needs related to recruitment and retention; diversity and inclusion; and evidence-based decision making. She identified coordination and communication between central and local levels to support the strategic plan as a key challenge, along with extensive reliance on unit-level leadership within a culture that values independent and individual action through its recognition structures.

In response to a question from Simmons about engagement with units, Sullivan noted that they start with an assessment and adopt a tailored approach. Ropers-Huilman referenced meetings with deans to understand the needs of each college.

Simmons asked Brown whether different people will be needed to fully implement the strategic plan. Brown responded that the biggest challenge is scaling up resources related to leadership and supervision.

Regent Omari commented on the multiple strategic plan impacts on graduate students, and on the need for leadership development and helping graduate students stay at the University as faculty or staff. Sullivan agreed on the need for graduate student leadership development. He shared that HR has talked with a number of deans who are interested in the topic, but acknowledged that not much has been done in this area yet.

Regent Hsu asked about faculty frustrations. Sullivan referenced key findings of the employee engagement survey that show faculty are highly engaged, but frustrated about such things as workload policies that go unenforced, operational inefficiencies, or inefficient decision-making processes. In response to an additional question from Hsu, Sullivan noted that the survey includes items that track the workplace factors that can heighten engagement, but includes no direct measure of happiness.

Regent Beeson observed the ongoing disruption of higher education and asked about the turnover of talent. Sullivan and Ropers-Huilman reported having no national data on that issue, but anecdotally could confirm such turnover.

Regent Brod wondered when the Board should follow up regarding attracting and retaining field-shaping researchers. Simmons asked Provost Hanson to respond. Hanson assured the committee that they are able to report on progress annually, using such measures as the number of faculty with national awards and the quality of candidate pools for each hire.

In response to a question from Student Representative Odetola about non-monetary compensation, Ropers-Huilman identified improving campus culture and climate and attention by leaders to the needs of particular groups such as associate professors.

SECURITY OF HUMAN RESOURCES DATA

Regent Simmons invited Amy Kucera, Senior Director of Operations, Office of Human Resources, and Brian Dahlin, Chief Information Security Officer, Office of Information Technology, to present on the security of human resources data, as detailed in the docket.

Kucera covered the importance of data security, what data is considered private, how the law and the University protect HR data, where such data lives at the University and how it is used.

Dahlin outlined the University's information security program, which includes security policy and governance; risk management; security architecture; intrusion detection; and incident response. He also shared future security initiatives around log management, risk management, and two-factor authentication for end users.

Simmons commented that data about the University's people is the most attractive to theft, and must be protected.

In response to a question from Regent Hsu about wide-scale security breaches, Dahlin emphasized that the University has not experienced significant hacks.

Regent Omari asked about the impact of data security measures on the University's ability to conduct business with small vendors. Dahlin explained that the University added a vendor management standard within the past year and that the Office of the General Counsel reviews contracts for potential security problems.

Regent Brod referenced the Audit & Compliance Committee's interest in identifying protection and noted the importance of data security related to former as well as current employees. In response to a question from Brod, Dahlin noted that the University has automatic triggers to remove access for former employees. He noted, however, security complications related to "email for life" for alumni. He referenced a scheduled account management risk assessment that will evaluate and help the University determine its tolerance for risk in this matter.

In response to a question from Regent Cohen about sunshine laws, Kucera stressed that public information is clearly defined in the Minnesota Government Data Practices Act. Brown added that while directory information is public, employees can suppress some of that data.

Regent Beeson asked whether email accounts are deactivated or scrubbed when an employee leaves. Dahlin responded that the decision is left up to units. Beeson expressed astonishment, noting that in private industry employees do not leave with their email accounts. Brown clarified that students can keep their accounts because they are alumni. Alumni who become employees and then leave the University create a situation that is less clear. Dahlin confirmed that retirees who are alumni also keep their accounts. Brown stressed that this issue will be raised during the upcoming HR risk assessment. Regent Hsu noted that the University has outsourced its email function to Google and wondered about confidentiality and security. Simmons identified email security as a matter of significant interest and directed that the risk assessment results return to the committee for discussion at a future meeting.

Simmons asked about patient information and HIPAA compliance. Kucera characterized the area of data transfer and benefits as rock solid. Dahlin referenced a recent risk assessment of HIPAA data that specified remediation plans that are reducing risk. Simmons suggested to Regent Brod that the Audit & Compliance Committee take up the matter of HIPAA compliance.

In response to a follow-up question from Simmons regarding the status of the University's policies around data security practices and expectations, Dahlin noted a major policy overhaul over the past year that resulted in a variety of new standards for the institution.

In response to a question from Regent Brod, Dahlin affirmed risk equality across the system, including the system campuses.

CONSENT REPORT

Vice President Brown invited Provost Hanson to join her in presenting for review and action the Consent Report, which included the following items:

- Appointment of Garry Jenkins, J.D., as dean of the Law School.
- Conferral of tenure for two outside hires.
- Amendments to the Civil Service Rules.
- Correction of a clerical error from the May 2016 docket.
- Appointment of trustees to the Minnesota Landscape Arboretum Foundation.

Hanson presented for approval Garry Jenkins as dean of the Law School. Brown walked through the other items. A motion was made and seconded and the committee voted unanimously to recommend approval of the Consent Report.

INFORMATION ITEMS

Vice President Brown referred the committee to the information items contained in the docket materials, which included the annual UPlan update, personnel highlights, University highlights, and faculty and staff activities and awards.

The meeting adjourned at 2:55 p.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Audit & Compliance Committee
June 9, 2016**

A meeting of the Audit & Compliance Committee of the Board of Regents was held on Thursday, June 9, 2016, at 3:30 p.m. in the West Committee Room, 600 McNamara Alumni Center.

Regents present: Laura Brod, presiding; Richard Beeson, Michael Hsu, Peggy Lucas, Abdul Omari, and Patricia Simmons.

Staff present: Chancellor Stephen Lehmkuhle; Executive Vice President and Provost Karen Hanson; Vice President Brian Herman; Interim Vice President Bernard Gulachek; Executive Director Brian Steeves; and Associate Vice Presidents Gail Klatt and Michael Volna.

Student Representatives present: Dalton Javner and Cory Schroeder.

**UPDATE ON IMPLEMENTATION OF
HUMAN PARTICIPANT RESEARCH PROTECTION PLAN**

Regent Brod invited Vice President Herman to provide an update on progress made since May 2016 on the Human Participant Research Protection plan, as detailed in the docket.

Herman provided a brief update on work plan progress. He noted that he and Vice President for Health Sciences Brooks Jackson had testified before the Minnesota Senate Higher Education and Workforce Development Committee in response to a report issued by the Legislative Auditor. He reminded the committee that the report noted that implementation work is on time and on target, and that faculty and staff are committed to the process.

Herman offered that by the end of December, the work plan should be completed. He added that monthly reports to the legislature may be able to stop then, and that his updates to the committee may not need to be as frequent.

Brod congratulated the implementation team on its significant progress. She noted her desire for the committee to evaluate the frequency of updates to determine the right oversight schedule going forward. She offered that the updates are not just focused on oversight but on supporting progress.

Regent Beeson echoed the praise for progress made, and suggested the committee hear in the fall from external advisor David Strauss. Brod agreed and noted it would be considered during annual planning.

In response to a question from Associate Vice President Klatt, Herman noted that the Association for the Accreditation of Human Research Protection Programs (AAHRPP) would return in September for a site visit. He added that the institution remains fully accredited by AAHRPP and that the formal current status is "reaccreditation pending."

INTERNAL AUDIT UPDATE

Regent Brod invited Associate Vice President Klatt to present the Internal Audit Update, as detailed in the docket.

Klatt noted that as director of Internal Audit, she serves on the Audit Committee of the Fairview Health Services board of directors under the University’s current affiliation agreement with Fairview. She reported that the committee was disbanded after its April meeting, with no information on whether that relationship would be reestablished. The committee met quarterly.

Klatt reported that since the last update in February 2016, University departments implemented 43 percent of outstanding recommendations rated as “essential,” above the expected implementation rate of 40 percent. Seven units fully implemented all their remaining “essential” recommendations. Eight audit reports containing 51 recommendations rated as “essential” were issued in the last four months.

Klatt sought the committee’s direction on an outstanding finding regarding compliance with a state statute that affects the University’s purchasing practices. She reported that the University believes it cannot comply given vague statutory language and the statute’s inference of outdated practices, and that her office cannot mark this issue as complete.

Following a wide-ranging discussion with Associate Vice President Volna regarding the history and meaning of the statute, the University’s autonomy, and internal efforts to increase compliance, Brod on behalf of the committee directed the administration to work with the Office of the General Counsel and the state Department of Administration to clarify the statutory language or find a different path to compliance.

Klatt highlighted the results of three recently completed audits and outlined improvements needed in the control environment. For the Law School, she noted financial pressures and understaffing; for University of Minnesota Duluth College of Education and Human Service Professions, she noted oversight and control of information technology activities; and for Athletics finance and operations, contract management and human resources.

Brod recognized new Athletics Director Mark Coyle in the audience and shared her intent to bring Athletics before the committee more often to support its administration in making needed changes.

Regent Beeson supported adding athletics audit monitoring to the committee’s work plan, noting that the checklist format used around the human participant research protection plan worked well.

Regent Hsu raised a number of concerns regarding the Athletics and Law School audit findings. Brod noted that Klatt would bring updates to the committee at future meetings in keeping with the management plan but that the committee could consider adding the Law School to a future agenda as well. Klatt explained her office’s remediation follow-up approach, noting a diligent “trust but verify” culture.

Brod stated her intent to bring Athletics administration before the committee in September.

INTERNAL AUDIT PLAN

Regent Brod invited Associate Vice President Klatt to present the FY 2017 Internal Audit Plan (plan), as detailed in the docket.

Klatt reminded the committee of the process and risk factors used to develop the plan, and noted the nine operational risk factors highly correlated to audit findings. She noted FY 2016's significant attention to centralized business processes, and that the new plan provides greater audit coverage of academic units in response to requests from deans. The plan includes 28 audits of University processes, academic units, and colleges.

Klatt pointed out that the plan intentionally excludes certain high-risk areas that are well known and already being addressed, that lack the maturity for meaningful auditing, or that are receiving extensive external review. These risk areas include M Health, the Department of Psychiatry, fetal tissue procurement, and the Healthcare Center of (IT) Excellence.

Brod thanked Klatt and her team for their positive partnership approach to building a culture of compliance. She asked whether the University has the right resource balance between auditing and monitoring. Klatt responded that she can only speak to the auditing resource question, and that she believes her resources are adequate. She added that monitoring is receiving greater appreciation and interest recently, noting President Kaler's emphasis on monitoring around such things as the enterprise upgrade. Brod referenced Regent Simmons' historical attention to the committee's role in compliance and monitoring, and agreed that the administration has been paying more attention to monitoring.

Regent Beeson suggested that the definitive agreements for the new M Health structure should include the University's internal auditor as a member of the Audit Committee. Brod and Simmons agreed.

In response to a question from Regent Omari, Klatt clarified that 4 percent of her office's time is spent on follow-up. She added that follow-up occurs for each reporting period, or three times a year.

In response to a question from Brod, Klatt explained that her office does not "write off" or "write-down" findings, but has on occasion supported a unit when its leaders reach the point where the institution can accept residual risk.

Regent Hsu asked whether follow-up occurs until an item is green, or just not red. Klatt confirmed the latter.

INFORMATION ITEMS

Regent Brod invited Associate Vice President Klatt to present the information items, as detailed in the docket.

Klatt referred Regents to the semi-annual controller's report. She called the committee's attention to the many new accounting rules that the University must adopt and to the report's discussion of Payment Card Industry Data Security Standard compliance, an area of ongoing committee interest.

The meeting adjourned at 4:40 p.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Governance & Policy Committee
June 9, 2016**

A meeting of the Governance & Policy Committee of the Board of Regents was held on Thursday, June 9, 2016 at 3:30 p.m. in the East Committee Room, 600 McNamara Alumni Center.

Regents present: Linda Cohen, presiding; Thomas Devine, Dean Johnson, David McMillan, and Darrin Rosha.

Staff present: President Eric Kaler; Chancellor Fred Wood; Vice President Kathryn Brown; General Counsel William Donohue; and Executive Director Brian Steeves.

Student Representatives present: Love Odetola

SPECIFICATION OF BOARD APPOINTMENT AUTHORITY

Regent Cohen invited President Kaler and Vice President Brown to present for action a proposed amendment to Board of Regents Policy: *Reservation and Delegation of Authority*, as detailed in the docket.

Kaler reviewed the proposed amendment, noting that the language broadens Board appointment authority and was drafted in response to the committee's conversation in May. He added that the committee had also discussed an additional reporting requirement, but it was not included in this amendment. Kaler proposed that the reporting language be developed over the summer and reviewed by the Faculty & Staff Affairs Committee in the fall.

A motion was made and seconded to recommend adoption of the proposed amendment to Board of Regents Policy: *Reservation and Delegation of Authority*.

Regent Rosha offered his appreciation to Kaler and Brown for addressing both appointment authority and reporting. He wondered about the impact of excluding incentive compensation from the proposed policy language. Kaler responded that incentive compensation was excluded because it is highly variable by employee and by year. He added that he was willing to consider including incentive compensation, suggesting that the midpoint of potential incentive compensation be used. Rosha commented that he viewed incentive compensation as something that should be included. Brown responded that staff would create a sustainable, replicable definition.

In response to a question from Regent Johnson, Brown stated that staff would need to retrieve incentive information from the system manually. Director Lincoln Kallsen, Institutional Analysis, added that the current language was drafted based on what data is readily available in the system, noting that incentive compensation is not preloaded. Kaler agreed that the data would have to be figured out by hand.

Kaler proposed adding "and the average value of any incentive compensation" after "supplemental compensation" and striking "incentive" from the proposed amendment. Rosha moved to amend the proposed policy with Kaler's language; the motion was seconded.

Kallsen commented that administrative policy language would need to be developed and sent out to units. He added that incentive compensation contracts that would be covered by the Rosha amendment were likely already identified for Board approval under the proposed language.

The committee voted 4-1 in favor of the Rosha amendment. Cohen voted no.

The committee voted 4-1 to approve Board of Regents Policy: *Reservation and Delegation of Authority* as amended. Cohen voted no.

BOARD OF REGENTS ANNUAL PLANNING PROCESS

Regent Cohen invited Executive Director Steeves to present an overview of the Board's annual planning process, as detailed in the docket.

Steeves outlined the annual planning process and the objectives that guide that process. He articulated the three levels of planning – priorities, planning calendar, and committee work plans – and gave examples of each. Steeves noted that the Board planning calendar and committee work plans are informed by the Board's priorities and often include agenda arcs that span across the year. He explained how Board staff, working with committee leadership and senior leaders, seeks to create balanced agendas that include fiduciary items, educational topics, and governance discussions.

The committee discussed the effectiveness of the planning process, and offered input on the increased number of work sessions and how fundamental planning documents should move through the Board and committees for approval. The committee expressed enthusiasm for the additional work sessions held over the past year, with members pointing to the operating budget and the enrollment and tuition philosophy work sessions as being highly effective. The committee also encouraged President Kaler to take a more active role during work session discussions.

Cohen summarized the consensus of the committee: that the full Board be given additional opportunities to engage with the fundamental planning documents before they come for review and approval, and that those additional opportunities be incorporated into the 2016-17 planning calendar.

DRAFT 2016 BOARD POLICY REPORT

Regent Cohen invited Executive Director Steeves and Jason Langworthy, Board Associate, Policy & Committees, Office of the Board of Regents, to present the draft 2016 Board policy report (report), as detailed in the docket.

Steeves reviewed the practice of policy work planning. He noted the goal of comprehensively reviewing each of the Board's 92 policies every six years. He explained that to manage the process, the policies were divided into six classes of 14 to 16 policies each.

Langworthy reminded the committee of the objectives and key questions policy implementers are asked to consider when undertaking a comprehensive review of a policy. He outlined the three outcomes of the comprehensive review process and offered recent examples from the past year for each.

Langworthy summarized 2015-16 policy work. He also reviewed the 2016-17 plan, identifying those policies that will be comprehensively reviewed, carried forward from the previous year, and that could be added as requested by the Board or administration. He noted that the final report would come to the Board as a receive and file item in July.

RECORDING VOTES IN BOARD MINUTES

Regent Cohen invited Regent Johnson to discuss potential changes to how votes are recorded in the Board's minutes.

Johnson reminded the committee of its discussion in May and outlined the current process for recording votes. He described his proposal that a voice vote be recorded only as approved or not approved, a division be recorded with the number of votes in favor and opposed, and a roll call be recorded as a list showing each Regent and his or her vote. McMillan voiced his support for the proposal and the desire to ensure that Board staff is able to accurately and effectively record the Board's votes.

The committee discussed the proposal, with members expressing their desire to ensure accuracy; the difficulty of recording who voted during a voice vote; their role as a public body that should have public votes recorded; the possibility that roll call votes could increase tension during deliberations; a proposal to automatically require roll call votes on specific items; and the ability for any Regent to amend the minutes if they felt a vote had not been recorded accurately.

Johnson suggested that given the lack of consensus among the committee, and since any change impacts the full Board, the current practice be used until the full Board could discuss the topic further.

The meeting adjourned at 4:45 p.m.



BRIAN R. STEEVES
Executive Director and
Corporate Secretary

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Board of Regents
June 10, 2016**

A meeting of the Board of Regents was held on Friday, June 10, 2016 at 7:30 a.m. in the Minnesota Room, McNamara Alumni Center.

Regents present: Dean Johnson, presiding; Thomas Anderson, Richard Beeson, Laura Brod, Linda Cohen, Thomas Devine, Michael Hsu, Peggy Lucas, David McMillian, Abdul Omari, Darrin Rosha, and Patricia Simmons.

Staff present: President Eric Kaler; Vice President Kathy Brown; General Counsel William Donohue; and Executive Director Brian Steeves.

Others present: Brent Benrud, Mark Coyle, and Amy Phenix.

**RESOLUTION TO CONDUCT NON-PUBLIC MEETING
OF THE BOARD OF REGENTS**

A motion was made and seconded that the following resolution be adopted:

WHEREAS, based on advice of the General Counsel, the Board of Regents has balanced the purposes served by the Open Meeting Law and determined that there is a need for absolute confidentiality to discuss particular matters involving the University of Minnesota;

NOW, THEREFORE, BE IT RESOLVED, that in accordance with Minn. Stat. § 13D.01, Subd. 3; 13D.03; and 13D.05 Subd. 3(b), a non-public meeting of the Board of Regents be held on Friday, June 10, 2016 at 7:30 a.m. in the Minnesota Room, McNamara Alumni Center, for the purpose of discussing labor negotiations strategy and an attorney-client privileged matter.

The Board voted unanimously to adopt the resolution. The public portion of the meeting ended at 7:31 a.m.

The Board discussed labor negotiations strategy and an attorney-client privileged matter. The meeting adjourned at 8:42 a.m.



**BRIAN R. STEEVES
Executive Director and
Corporate Secretary**

**UNIVERSITY OF MINNESOTA
BOARD OF REGENTS**

**Board of Regents
June 10, 2016**

A meeting of the Board of Regents of the University of Minnesota was held on Friday, June 10, 2016 at 8:45 a.m. in the Boardroom, 600 McNamara Alumni Center.

Regents present: Dean Johnson, presiding; Thomas Anderson, Richard Beeson, Laura Brod, Linda Cohen, Thomas Devine, Michael Hsu, Peggy Lucas, David McMillian, Abdul Omari, Darrin Rosha, and Patricia Simmons.

Staff present: President Eric Kaler; Chancellors Lendley Black, Jacqueline Johnson, Stephen Lehmkuhle, and Fred Wood; Executive Vice President and Provost Karen Hanson; Vice Presidents Katrice Albert, Kathy Brown, Brooks Jackson, and Richard Pfitzenreuter; Interim Vice President Bernard Gulachek; General Counsel William Donohue; Executive Director Brian Steeves; and Associate Vice Presidents Michael Berthelsen, Gail Klatt, Julie Tonneson, and Michael Volna.

ANNUAL MEETING

Chair Johnson called the Annual Meeting to order at 8:55 a.m.

ESTABLISHMENT OF MEETING DATES

Chair Johnson outlined proposed meeting dates for 2016-17. A motion was made and seconded to approve the meeting schedule.

Regent Hsu moved that an additional meeting be added to the 2016-17 calendar and suggested the month of August. The motion was not seconded.

The meeting was interrupted by the actions of protesters. Johnson called the meeting to order, instructing the protesters to leave the room or they would be removed. He recessed the meeting when the protesters did not disperse; the Board left the room.

The annual meeting reconvened at 9:21 a.m.

Regent Hsu withdrew his motion to add another meeting.

The Board of Regents voted unanimously to approve the following meeting schedule for 2016-17:

- July 6-8, 2016 (includes annual retreat)
- September 8-9, 2016
- October 13-14, 2016
- December 8-9, 2016
- February 9-10, 2017
- March 23-24, 2017
- May 11-12, 2017
- June 8-9, 2017

The annual meeting adjourned at 9:23 a.m.

The regular meeting of the Board of Regents convened at 9:23 a.m.

REGULAR MEETING

RECOGNITIONS

Vice President and Chief Financial Officer/Treasurer

Recognition was given to Richard Pfutzenreuter, Vice President & Chief Financial Officer, and Treasurer of the Board, who will retire at the end of the fiscal year.

General Counsel

Recognition was given to William Donohue, University General Counsel, who will retire at the end of the fiscal year.

**Academic Professionals & Administrators
Consultative Committee Outgoing Chair**

Recognition was given to Susanne Vandergon, Senior Financial Analyst in the Office of Information Technology and outgoing 2015-16 chair of the Academic Professionals & Administrators Consultative Committee.

Student Representatives to the Board of Regents

Recognition was given to the 2015-16 Student Representatives to the Board of Regents:

Callie Livengood, Chair
Twin Cities (MSA)

Samantha Jensen
Duluth

Cory Schroeder, Vice Chair
Morris

Love Odetola
Twin Cities (COGS)

Max Hall
Twin Cities (PSG)

Nikki Ripp
Rochester

Dalton Javner
Crookston

Chase Taylor
Twin Cities (MSA)

INTRODUCTION OF DIRECTOR OF INTERCOLLEGIATE ATHLETICS

President Kaler introduced Mark Coyle, new Director of Intercollegiate Athletics.

APPROVAL OF MINUTES

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

- Board of Regents Meeting – May 12, 2016
- Facilities, Planning & Operations Committee – May 12, 2016
- Faculty & Staff Affairs Committee – May 12, 2016
- Audit & Compliance Committee – May 12, 2016

Governance & Policy Committee – May 12, 2016
Academic & Student Affairs Committee – May 12, 2016
Finance Committee – May 12, 2016
Board of Regents Meeting – May 13, 2016
Board of Regents Public Forum – May 13, 2016
Presidential Performance Review Committee – May 13, 2016
Presidential Performance Review Committee – May 27, 2016
Presidential Performance Review Committee – May 31, 2016

REPORT OF THE PRESIDENT

President Kaler reported on the appointment of a new athletics director, discussed challenges facing that department, and highlighted the accomplishments of the University’s athletic teams. He discussed the outcome of the legislative session and expressed disappointment at the lack of a bonding bill. He emphasized the importance of student mental health and assured the campus community that he is aware of their concerns.

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

REPORT OF THE CHAIR

Chair Johnson reported on Regent outreach during the past month, including attendance at events throughout the state. He discussed Presidential Performance Review Committee progress, noting that its summary of conclusions would be provided at the Board’s July meeting.

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

RECEIVE AND FILE REPORTS

Chair Johnson noted the receipt and filing of the Report of the Academic Professionals and Administrators Consultative Committee, the Report of the Civil Service Consultative Committee, and the Quarterly Report of Grant and Contract Activity.

CONSENT REPORT

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

- Regents Professor Recommendations
- Report of the All-University Honors Committee
- Gifts

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

Kaler remarked that one item in the Consent Report was the posthumous conferral of an Honorary Doctor of Humane Letters degree to Prince Rogers Nelson (Prince). He added that a public event is being planned in Prince’s honor and that details would be released when known.

REPORT OF THE FACULTY CONSULTATIVE COMMITTEE

Chair Johnson invited Professor Colin Campbell, chair of the Faculty Consultative Committee (FCC), to report on the committee's recent activities. Campbell highlighted the committee's focus on equity and diversity, shared governance, academic freedom and freedom of expression, and faculty unionization efforts. He announced that he will continue as FCC chair for the 2016-17 academic year and added that a vice chair has not yet been elected.

Regent Simmons noted that faculty are a driving force in developing a broader, more diverse University community. She remarked on the importance of the FCC in the process of shared governance and is pleased that Campbell will continue as chair.

Regent Brod thanked Campbell for developing strong relationships with the Board and with his fellow faculty. She applauded his general candor and his efforts related to freedom of speech and intellectual diversity.

BOARD OF REGENTS POLICY: CODE OF ETHICS FOR MEMBERS OF THE BOARD OF REGENTS – ANNUAL REVIEW

General Counsel William Donohue reviewed Board of Regents Policy: *Code of Ethics for Members of the Board of Regents*. The Board, with assistance of the general counsel, annually reviews the requirements and procedures set forth in the policy.

Donohue highlighted the guiding principles Board members are obligated to follow. First, Board members are responsible for the governance of the University and must be accountable in the areas of financial disclosure, gifts, expenses, and conflicts of interest; and second, Board members are expected to put aside parochial interests, keeping the welfare of the entire University paramount at all times. He described when conflicts of interest exist, how to manage them, and what to do if a Board member has a conflict.

SYSTEM-WIDE STRATEGIC PLANNING: UMC

Chair Johnson invited Chancellor Wood to report on the University of Minnesota Crookston (UMC) strategic planning process. Wood provided an overview of the UMC mission statement, emphasizing the vision and core values of campus. He discussed real-time strategic planning, a non-profit planning approach Wood characterized as a good fit for the campus community and culture. He detailed the key strategic initiatives of the UMC plan, including enrollment management, philanthropic engagement, diversity and inclusion, and employee engagement. Wood emphasized alignment between the UMC and Twin Cities strategic plans.

Regent Devine applauded Wood for his efforts to improve the student experience and student life at UMC.

In response to a question from Regent Cohen, Wood remarked that it can be difficult to recruit and retain faculty, especially given geographic challenges. He noted that there has been less turnover this year than in years past, and commented that there is a strong commitment to the campus from the younger faculty. He attributed this to factors such as improved benefits.

In response to a question from Regent Beeson, Wood reported that 24 academic programs are offered online and that those programs are directly aligned with the strategic plan. The online portal through which the courses are offered provides technology support, but the content of the courses is driven exclusively by Crookston faculty.

Regent Rosha commented on the positive alignment with the UMTC strategic plan, and stated he is eager for additional conversations about system-wide strategies.

In response to a question from Regent McMillan about workforce development, Wood noted that the program dates back to the beginning of the school. He highlighted changes in workforce development as the campus transitioned from an agricultural school, to a technical college, to a four-year campus. He remarked that faculty are deeply committed to workforce development and its integration into the curriculum, since it is central to the mission and history of the institution. He commented that the business community in Crookston is smaller than that of the Twin Cities, but emphasized their strong partnerships and involvement.

UNIVERSITY OF MINNESOTA HEALTH

Chair Johnson invited Regent Simmons to provide the Board with an update on the University of Minnesota Health (M Health) agreement. Simmons reported on the progress of searches for board members and a CEO. She explained that the new board will be made up equally of University and Fairview appointees. University appointments will be made by the Board of Regents.

Simmons asked for feedback on desired characteristics and skills of board appointees, and requested suggestions for attracting top talent. She discussed the importance of finding the right attributes, characteristics and competencies, and asked for Regent input on the search process.

Regent Beeson stated that the top priority after establishing a competency-based board is to clearly define the organization's mission statement and organizational objectives, since that will drive future progress.

Regent Lucas emphasized that this board is not merely honorary, which means it is critical to appoint competent, skilled members.

Regent Cohen remarked on the importance of academic experience among the board members, in addition to strengths in finance and health care.

In response to a question from Regent Omari regarding term limits, Simmons replied that one of the main goals is continuity. She explained that to avoid having the entire board turn over at once, terms will be staggered. She noted that desired competences for board members will likely evolve as the entity becomes more established. Simmons added that three- to four-year terms are very common among similar boards.

Regent Brod supported the idea of three-year term limits for board members, given the dynamic nature of the health care industry. She agreed with the importance of a strong organizational mission. She cautioned that board loyalty must be to the new entity and not to the appointing institution.

PRESIDENT'S RECOMMENDED FY 2017 ANNUAL CAPITAL IMPROVEMENT BUDGET

Chair Johnson introduced Vice Presidents Pfutzenreuter and Wheelock to present for action the President's recommended FY 2017 Annual Capital Improvement Budget (Capital Budget), as presented in the docket.

Wheelock reminded the Board that policy directs the administration to develop a Capital Budget with a six-year time horizon, updated annually. She explained that approval of the budget allows individual projects with completed predesigns and financing plans to proceed with design and construction. She reviewed the major components of the Capital Budget.

Wheelock noted that all projects requiring state funding have been pulled from the proposed budget due to the results of the legislative session. She noted that if a special session is called to discuss a bonding bill, the Board and relevant committees will be notified. She outlined the projects that are able to proceed despite the lack of state funding, and discussed additional changes to the budget since May.

Regent McMillan, Chair of the Facilities, Planning & Operations Committee, reported that the committee reviewed the project components of the Capital Budget and recommends approval of the Resolution Related to the FY 2017 Capital Improvement Budget. He moved its approval.

Regent Beeson, Chair of the Finance Committee, reported that the committee reviewed the financial components of the Capital Budget and recommends approval of the resolution. He seconded the motion.

In response to questions from Regent Simmons regarding a special legislative session, Kaler noted that he is encouraged by recent conversations and meetings but cannot speak to the likelihood of a special session. He emphasized his continued commitment to advocating for requested projects and funds.

In response to a question from Regent Lucas about the status of the track, Wheelock reported that progress is ongoing. She remarked that a more detailed report would be ready in the fall, which will include possible recommendations for next steps. Lucas commented that a plan being provided sooner is preferable, especially given the quality of both track teams this season. Wheelock emphasized that there are designated funds for the new track.

The Board of Regents voted unanimously to approve the Resolution Related to the FY 2017 Capital Improvement Budget, as follows:

WHEREAS, the Board of Regents (Board) directed the administration to annually submit a capital improvement budget and a six-year capital improvement plan; and

WHEREAS, the Board has adopted principles to guide the formulation of the capital improvement budget and six-year capital improvement plan; and

WHEREAS, the Board 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; and

NOW, THEREFORE, BE IT RESOLVED, that the Board approves the FY 2017 Capital Improvement Budget and reaffirms its prior year capital expenditure.

**PRESIDENT'S RECOMMENDED FY 2017
ANNUAL OPERATING BUDGET**

Regent Johnson invited President Kaler to present for action his recommended FY 2017 Annual Operating Budget (Operating Budget) as detailed in the docket materials. Kaler invited Vice President Pfutzenreuter and Associate Vice President Julie Tonneson to join the discussion.

Kaler reported that the Operating Budget is a reflection of the University's values and priorities and focuses on several institutional goals: a commitment to accessibility, affordability, and academic excellence; creating a culture of operational excellence and accountability; and appreciation for faculty and staff.

Kaler detailed sources of revenue and reported that the total FY 2017 budget is \$3.8 billion. He explained that the incremental changes in the budget are due to unit-level reallocations and resources, as well as tuition dollars. Kaler noted the proposed reallocation of administrative costs, which leaves only about 20 percent remaining to achieve the six-year goal of reallocating \$90 million in administrative costs.

Kaler described his updated proposal for tuition and fees, stating his goal of limiting the impact of a tuition increase for most Minnesota undergraduates. The revised budget proposes a tuition increase of 2.5 percent for resident undergraduate students on the Twin Cities campus – with increases in the Promise Scholarship program – and zero increase for resident undergraduates on system campuses. For non-resident, non-reciprocity (NRNR) undergraduates, the revised budget proposes a tuition increase of 7.5 percent on the Twin Cities campus – versus the previously proposed 9.9 percent increase – an increase of 2.5 percent on the Duluth campus, and reinstatement of a separate NRNR rate for the Morris campus. The Crookston and Rochester campuses will charge resident and NRNR students the same rates. Tuition for most graduate programs increase by approximately 2.5 percent.

Kaler outlined total cost of attendance under the proposed budget, including modest increases to room and board rates for undergraduate students. He discussed changes to student aid programs, including the federal Pell Grant, the Minnesota State Grant Program, and the U Promise Scholarship.

Kaler discussed the timeline for the 2017-19 biennial budget request. He noted that the administration is already focusing on key priorities for the biennial budget request, including MnDRIVE efforts, investing in student success, and core mission support.

Regent Beeson, Chair of the Finance Committee, reported that the committee recommends approval of the Resolution Related to the Fiscal Year 2016-17 Annual Operating Budget. He moved its approval. The motion was seconded.

Regent Hsu moved to amend the operating budget to adopt Scenario 1 in Attachment 14 and add 1.5 full-time equivalent (FTE) positions to mental health services. He explained that any remaining deficit will be provided by central reserves. Pfutzenreuter confirmed sufficient funds in central reserves to allow for a balanced budget. The motion was seconded.

Regent Brod cautioned that the proposed change could decrease funding for compliance, which is a critical University function.

Regent Anderson commented that his support for the motion is primarily due to the additional mental health resources. He asked for clarification on the use of funds allocated to mental health services. Kaler replied that funds will go toward alleviating the challenges of mental health support for students. He committed to investing the funds needed to find a reasonable solution to the challenges.

Regent McMillan commented that he fully supports the president's efforts toward improving mental health services, though he does not support the amendment.

Regent Simmons added that mental health is a critical issue and suggested that additional funds are justified, with a guarantee that the funds will truly support programs or services.

Regent Rosha disagreed that the amendment would result in a decrease in compliance. He voiced support for the amendment.

Regent Cohen agreed with the importance of mental health services, but disagreed that now is the appropriate time to make changes to the budget.

A roll call vote was requested on the Hsu amendment to the operating budget, which proposes to adopt Scenario 1 in Attachment 14 of the budget, add 1.5 FTE to mental health services, and balance remaining gaps in the budget with funds from the central reserve. The vote was as follows:

Thomas Anderson	yay
Richard Beeson	nay
Laura Brod	nay
Linda Cohen	nay
Thomas Devine	abstain
Michael Hsu	yay
Peggy Lucas	nay
David McMillian	nay
Abdul Omari	nay
Darrin Rosha	yay
Patricia Simmons	nay
Dean Johnson	nay

Three votes were cast in favor of the motion, eight votes were cast against the motion, and one Regent abstained. The motion failed.

Regent Omari remarked on the importance of issues highlighted by protesters at the beginning of the meeting. He stated that even if some disagree with the method used to voice those concerns, the students are still the people the Board supports and it is critical to pay attention to their issues.

Regent Devine commented on the total cost of attendance, disagreeing with the increases to room and board rates. He added that student fees on the Twin Cities campus are much higher than on system campuses, and suggested that many fees are included for resources not all students use. He voiced his support for the operating budget, despite his concerns.

Regent Rosha remarked that he cannot support an increase in tuition that exceeds the rate of inflation. He thanked the administration for providing more detail about compensation increases but noted his discomfort with the pool since tuition is also being raised. He suggested that NRNR tuition could be increased without too great an effect on enrollment or recruitment. Rosha remarked on the perceived value of the institution in contrast to the sticker price. He cautioned that by using tuition increases to cover costs, the legislature may be less inclined to provide sufficient funding to the University in the future.

Regent Brod commented that the budget, while not perfect, delivers on the value proposition. She suggested the University can be better in areas such as compliance and condition of facilities. She emphasized that the budget only increases spending by 1 percent, which is quite low.

Regent Beeson identified strong alignment between resources and strategic goals. He voiced support for merit-based aid. He commented that he does not support lowering the compensation pool and taking resources away from faculty and staff. He appreciated the robust discussion surrounding NRNR tuition and suggested that data should drive the decision about price elasticity, as well as enrollment and recruitment. Beeson expressed support for the budget.

Regent McMillan remarked that the budget is for the whole system. He pointed out that when system campus tuition is considered, the increases are not that high. He called for greater

focus on the cost side of the budget and the need to reduce spending so the University is not relying solely on allocations from the state.

Regent Simmons remarked that the budget is well thought out and reasonable, and cautioned against making last-minute changes to such a complex document. She voiced support for the budget.

Regent Anderson voiced support for the budget. He expressed his desire to make education as affordable as possible for residents, but realizes the complexity of the budget and acknowledged that there is no simple solution.

Regent Hsu moved to add 1.5 FTE positions for mental health services. The motion was not seconded.

The Board of Regents voted 10-2 to approve the Resolution Related to the Fiscal Year 2016-17 Annual Operating Budget, as follows. Regents Hsu and Rosha voted no.

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

WHEREAS, the State of Minnesota, through its legislative and executive branches, has appropriated \$626,449,000 in state general fund monies for fiscal year 2016-17 to the University of Minnesota, which includes an increase over fiscal year 2015-16 of \$900,000, for the pursuit of its mission and in support of our goals and objectives; and

WHEREAS, the University of Minnesota is committed to achieving standards of national and international excellence; and

WHEREAS, the future of the University is premised on partnerships within the University community of faculty, staff and students, with the State of Minnesota, other educational institutions, business and industry, University alumni, local communities, and the citizens of Minnesota.

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents hereby approves the University of Minnesota Fiscal Year 2016-17 Annual Operating Budget as follows:

The Fiscal Year 2016-17 Annual Operating Budget approved by the Board of Regents includes the following attachments from the President’s Recommended FY17 Operating Budget:

- Attachment 3 Resource and Expenditure Budget Plan (University Fiscal Page)
- Attachment 6 University of Minnesota 2016-17 Tuition Plan: Tuition Rates
- Attachment 8 University of Minnesota 2016-17 Tuition Plan: Course/Class Fees
- Attachment 9 University of Minnesota 2016-17 Tuition Plan: Miscellaneous Fees
- Attachment 10 University of Minnesota 2016-17 Tuition Plan: Academic Fees
- Attachment 11 University of Minnesota 2016-17 Student Services Fees
- Attachment 12 Fund Forecast – Centrally Distributed and Attributed Funds

REPORT OF THE FACILITIES, PLANNING & OPERATIONS COMMITTEE

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

1. Approval of following real estate transactions as presented to the committee and described in the June 9, 2016 minutes:
 - A. Sale of 217.46 Acres of Salt Spring Lands in the Bear Head Lake State Park, St. Louis County, to the State of Minnesota, Department of Natural Resources (Salt Spring Lands).

The Board of Regents voted unanimously to approve the recommendation of the Facilities, Planning & Operations Committee.

McMillan reported that the committee also discussed long-term planning for University facilities; received a report on academic health sciences strategic facilities planning; reviewed a resolution related to long-term development on the Twin Cities campus; and reviewed information items as outlined in the docket materials.

REPORT OF THE FACULTY & STAFF AFFAIRS COMMITTEE

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

1. Approval of the Consent Report for the Faculty & Staff Affairs Committee as presented to the committee and described in the June 9, 2016 minutes.

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

Simmons reported that the committee also reviewed implications of the Affordable Care Act; discussed human resources components of the Twin Cities strategic plan; received an update on the security of human resources data; and reviewed information items as outlined in the docket materials.

REPORT OF THE AUDIT & COMPLIANCE COMMITTEE

Regent Brod, Chair of the committee, reported that the committee received an update on the human participant research protection plan; discussed the 2016-17 internal audit plan; received an update on recent internal audits; and reviewed information items as outlined in the docket materials.

REPORT OF THE FINANCE COMMITTEE

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

1. Approval of the Consent Report for the Finance Committee as presented to the committee and described in the June 9, 2016 minutes.

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

Beeson reported that the committee also discussed long-range financial and biennial request planning; received a report on annual insurance and risk management; and reviewed information items as outlined in the docket materials.

REPORT OF THE ACADEMIC & STUDENT AFFAIRS COMMITTEE

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

1. Adoption of amendments to Board of Regents Policy: *Student Conduct Code*.

Regent Rosha opposed the proposed amendments as described in the docket materials. He noted that work is still being done to finalize certain definitions related to sexual misconduct and his belief that there are key protections for victims and the accused that are missing from the policy.

Regent Devine suggested that student groups should have an opportunity to provide feedback on the final draft, since changes have been made since they last saw the document.

Regent Simmons remarked that the proposed policy is better than existing policy and she feels it is important to implement changes in time to be communicated to the incoming fall class.

Regent Cohen noted that while the committee did not vote unanimously to recommend approval, there was strong support for its adoption. She clarified that the Board policy is in its final form; any drafts still pending are part of a separate administrative policy.

Regent Hsu voiced concern that the policy modifies the definition of sexual assault. He moved to table the discussion until a memorandum can be produced that would outline the impact of a changed definition of sexual assault. The motion was seconded.

Regent Omari commented that the revision process has been long and has involved faculty and staff. He stated it would be unfortunate to discount all the work to bring forth a revised policy. He noted that the Board can always bring back a matter for future review and revision.

Regent Devine commented that he does not oppose delaying approval of the policy, if there is more information pending. He suggested there is still time to review and act before students arrive in the fall.

Regent Rosha suggested it is unlikely the matter would be resolved by the July meeting, which is the only meeting scheduled before school begins. He noted that the policy draft reviewed by students last year is not what is before the Board for action and reiterated a preference for language that has been fully reviewed.

The Board of Regents voted 8-3 against the motion. Brod, Devine, and Hsu voted yes. The motion failed.

The Board of Regents voted 8-3 to adopt amendments to Board of Regents Policy: *Student Conduct Code* as follows. Devine, Hsu, and Rosha voted no.

SECTION I. SCOPE.

This policy applies to all students and student groups at the University of Minnesota (University), whether or not the University is in session.

SECTION II. GUIDING PRINCIPLES.

- (a) The University seeks an environment that promotes academic achievement and integrity, that is protective of free inquiry, and that serves the educational mission of the University.
- (b) The University seeks a community that is free from violence, threats, and intimidation; that is respectful of the rights, opportunities, and welfare of

- students, faculty, staff, and guests of the University; and that does not threaten the physical or mental health or safety of members of the University community.
- (c) The University is dedicated to responsible stewardship of its resources and to protecting its property and resources from theft, damage, destruction, or misuse.
 - (d) The University supports and is guided by state and federal law while also setting its own standards of conduct for its academic community.
 - (e) The University is dedicated to the rational and orderly resolution of conflict.
 - (f) Students are entitled to the rights and responsibilities of other citizens with regard to freedom of speech, peaceable assembly, and right to petition. Students are entitled to exercise their rights to inquire and dissent, speak freely, and peaceably assemble and protest to the extent permissible under both the First Amendment and the Student Conduct Code.
 - (g) Students are entitled to due process and procedural fairness protections, including the prompt notification of charges, the opportunity to respond, the right to an advocate of choice, and the right to the resolution of a case within a reasonable period of time.

SECTION III. DEFINITIONS.

Subd. 1. Academic Environment. *Academic environment* shall mean any setting where a student is engaged in work toward academic credit, satisfaction of program-based requirements, or related activities including but not limited to on line courses, learning abroad, and field trips.

Subd. 2. Campus. *Campus* shall mean all University premises, including all land, buildings, facilities, and other property owned, possessed, leased, used, or controlled by the University, and adjacent streets and sidewalks.

Subd. 3. Plagiarism. *Plagiarism* shall mean representing the words, creative work, or ideas of another person as one's own without providing proper documentation of source. Examples include, but are not limited to:

- copying information word for word from a source without using quotation marks and giving proper acknowledgement by way of footnote, endnote, or in-text citation;
- representing the words, ideas, or data of another person as one's own without providing proper attribution to the author through quotation, reference, in-text citation, or footnote;
- producing, without proper attribution, any form of work originated by another person such as a musical phrase, a proof, a speech, an image, experimental data, laboratory report, graphic design, or computer code;
- paraphrasing, without sufficient acknowledgment, ideas taken from another person that the reader might reasonably mistake as the author's; and
- borrowing various words, ideas, phrases, or data from original sources and blending them with one's own without acknowledging the sources.

It is the responsibility of all students to understand the standards and methods of proper attribution and to clarify with each instructor the standards, expectations, and reference techniques appropriate to the subject area and class requirements, including group work and internet use. Students are encouraged to seek out information about these methods from instructors and other resources and to apply this information in all submissions of academic work.¹

Subd. 4. Student. *Student* shall mean any person taking courses at the University or enrolled in a University program; any person participating as a student in University activities prior to the start of classes; any student who is

not enrolled or registered for a particular term but has a continuing relationship with the University; any student who withdraws, transfers, or graduates after an alleged violation of the Student Conduct Code; and any already graduated student when the conduct at issue implicates the student's University degree.

Subd. 5. Student Group. *Student group* shall mean any group of students that is or has been registered as a University student group under applicable University policies or procedures.

Subd. 6. University-Sponsored Activities. *University-sponsored activities* shall mean any program or event sponsored by the University, including but not limited to those sponsored by student groups, or athletics.

Subd. 7. Medical Amnesty. *Medical amnesty* shall align with Minnesota Statutes § 340A.503, Subd. 8, and it shall mean that a student is not subject to Student Conduct Code disciplinary sanctions for underage possession and consumption of alcohol if the student contacts a 911 operator to report that the student or another student is in need of medical assistance for an immediate health or safety concern. To be eligible for medical amnesty, the student who initiates contact must be the first person to make such a report, must provide a name and contact information, must remain on the scene until assistance arrives, and must cooperate with the authorities at the scene. The student who receives medical assistance and up to two students acting in concert with the student initiating contact with a 911 operator shall also be immune from disciplinary sanctions.

SECTION IV. DISCIPLINARY OFFENSES.

Any student or student group found to have committed, attempted to commit, or assisted or abetted another person or group to commit the following misconduct is subject to appropriate disciplinary action under this policy:

Subd. 1. Scholastic Dishonesty. Scholastic dishonesty means plagiarism; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using course materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; altering, forging, misrepresenting, or misusing a University academic record; or fabricating or falsifying data, research procedures, or data analysis.

Subd. 2. Disruption of the Academic Environment. Disruption of the academic environment means engaging in behavior that substantially or repeatedly interrupts either the instructor's ability to teach and/or a student's ability to learn.

Subd. 3. Falsification. Falsification means willfully providing University offices or officials with false, misleading, or incomplete information; forging or altering without proper authorization official University records or documents or conspiring with or inducing others to forge or alter without proper authorization University records or documents; misusing, altering, forging, falsifying, or transferring to another person University-issued identification; or intentionally making a false report of a bomb, fire, natural disaster, or other emergency to a University official or an emergency service agency.

Subd. 4. Refusal to Identify and Comply. Refusal to identify and comply means willfully refusing to or falsely identifying one's self or willfully failing to comply with a proper order or summons when requested by law enforcement personnel,

by emergency medical staff responding to an emergency, or by a University employee acting within the purview of his or her job responsibilities.

Subd. 5. Attempt to Injure or Defraud. Attempt to injure or defraud means making, forging, printing, reproducing, copying, or altering any record, document, writing, or identification used or maintained by the University when done with intent to injure, defraud, or misinform.

Subd. 6. Harm to Person. Harm to person means engaging in conduct that endangers or threatens to endanger the physical and/or mental health, safety, or welfare of another person, including, but not limited to, threatening, stalking, harassing, intimidating, or assaulting behavior.

Subd. 7. Bullying. Bullying means aggressive behavior directed at another person that causes stress or harm and that is repeated over time, including but not limited to assaulting, defaming, terrorizing, making obscene gestures, or invading privacy.

Subd. 8. Sexual Misconduct. Sexual misconduct means any non-consensual behavior of a sexual nature that is committed by force or intimidation, or that is otherwise unwelcome. Sexual misconduct includes the following behaviors: sexual assault, relationship violence, stalking, and sexual or gender-based harassment.

Subd. 9. Disorderly Conduct. Disorderly conduct means engaging in conduct that incites or threatens to incite an assault or breach of the peace; breaching the peace; obstructing or disrupting teaching, research, administrative, or public service functions; or obstructing or disrupting disciplinary procedures or authorized University activities.

Subd. 10. Illegal or Unauthorized Possession or Use of Weapons. Illegal or unauthorized possession or use of weapons means possessing or using weapons or articles or substances usable as weapons, including, but not limited to, firearms, incendiary devices, explosives, and dangerous biological or chemical agents, except in those instances when authorized by law and, where applicable, by proper University authority.

Subd. 11. Illegal or Unauthorized Possession or Use of Drugs or Alcohol. Illegal or unauthorized possession or use of drugs or alcohol means possessing or using drugs or alcohol illegally or, where applicable, without proper University authorization.

Subd. 12. Providing Alcohol to Minors. Providing alcohol to minors means directly or indirectly providing alcohol to anyone under the legal drinking age.

Subd. 13. Unauthorized Use of University Facilities or Services. Unauthorized use of University facilities or services means wrongfully using University properties or facilities; misusing, altering, or damaging fire-fighting equipment, safety devices, or other emergency equipment or interfering with the performance of those specifically charged to carry out emergency services; or acting to obtain fraudulently—through deceit, unauthorized procedures, bad checks, or misrepresentation—goods, quarters, services, or funds from University departments or student groups or individuals acting on their behalf.

Subd. 14. Theft, Property Damage, or Vandalism. Theft, property damage, or vandalism means theft or embezzlement of, damage to, destruction of, unauthorized possession of, or wrongful sale or gift of property.

Subd. 15. Unauthorized Access. Unauthorized access means accessing without authorization University property, facilities, services, or information systems, or obtaining or providing to another person the means of such unauthorized

access, including, but not limited to, using or providing without authorization keys, access cards, or access codes.

Subd. 16. Disruptive Behavior. Disruptive behavior means willfully disrupting University events; participating in a campus demonstration that disrupts the normal operations of the University and infringes on the rights of other individuals; leading or inciting others to disrupt scheduled or normal activities of the University; engaging in intentional obstruction that interferes with freedom of movement, either pedestrian or vehicular, on campus; using sound amplification equipment on campus without authorization; or making or causing noise, regardless of the means, that disturbs authorized University activities or functions.

Subd. 17. Hazing. Hazing means any behavior or activity that endangers the physical and/or mental health or safety of an individual (including, without limitation, an act intended to cause personal degradation or humiliation), for the purpose of initiation in, admission to, affiliation with, or as a condition for continued membership in a student group or University athletic team.

Subd. 18. Rioting. Rioting means engaging in, or inciting others to engage in, harmful or destructive behavior in the context of an assembly of three or more persons disturbing the peace on campus, in areas proximate to campus, or in any location when the riot occurs in connection with, or in response to, a University-sponsored event. Rioting includes, but is not limited to, such conduct as using or threatening violence to others, damaging or destroying property, impeding or impairing fire or other emergency services, or refusing the direction of an authorized person.

Subd. 19. Violation of University Rules. Violation of University rules means engaging in conduct that violates University, collegiate, or departmental regulations that have been posted or publicized, including provisions contained in University contracts with students.

Subd. 20. Violation of Local, State, or Federal Laws or Ordinances. Violation of local, state, or federal laws or ordinances means engaging in conduct that violates a local, state, or federal law, or ordinance, including, but not limited to, laws governing alcoholic beverages, drugs, gambling, sex offenses, indecent conduct, or arson.

Subd. 21. Persistent Violations. Persistent violations means engaging in repeated conduct or action in violation of this Code.

SECTION V. SANCTIONS.

Students and student groups found responsible for disciplinary offenses under the Student Conduct Code are subject to sanctions. Factors to consider in determining appropriate sanctions include: the nature of the offense, the severity of the offense, the culpability of the student or student group, the impact on other students or members of the University community, and the opportunity for student development. Separation from the University through suspension or expulsion is a serious sanction that may be appropriate for: repeated violations of the Student Conduct Code, for serious scholastic dishonesty, and for misconduct that constitutes a threat to community safety or well-being (including, but not limited to harm to person and sexual assault), or significantly disrupts the rights of others or the operations of the University.

The University seeks to provide a safe, secure, and healthy environment for all students. Recognizing that the potential application of disciplinary sanctions could deter students from seeking medical attention for themselves or others, the University will provide medical amnesty as defined in Section III, Subd. 7.

However, a student requiring emergency evaluation or treatment at a medical facility may be required to complete an alcohol assessment or education program. This is not considered a disciplinary response. Amnesty is granted only for violations of Section IV, Subd. 11, and does not apply to other possible violations of the Student Conduct Code (e.g., property damage or assault) which may have occurred during the time of intoxication. In circumstances involving a student group, the willingness of the student group's members to seek medical assistance for a member or a guest will be viewed as a mitigating factor in the review process for any possible violations.

The following sanctions, which are listed in order of least severe to most severe, may be imposed upon students or student groups found to have violated the Student Conduct Code:

Subd. 1. Academic Sanction. An academic sanction means a sanction affecting the course or academic work of the student for violation of Section IV, Subd. 1.

Subd. 2. Warning. A warning means the issuance of an oral or written warning or reprimand.

Subd. 3. Probation. Probation means special status with conditions imposed for a defined period of time and includes the probability of more severe disciplinary sanctions if the student or student group is found to violate any institutional regulation during the probationary period.

Subd. 4. Required Compliance. Required compliance means satisfying University requirements, work assignments, community service, participating in a restorative justice process, or other discretionary assignments.

Subd. 5. Confiscation. Confiscation means confiscation of goods used or possessed in violation of University regulations or confiscation of falsified identification or identification wrongly used.

Subd. 6. Restitution. Restitution means making compensation for loss, injury, or damage.

Subd. 7. Restriction of Privileges. Restriction of privileges means the denial or restriction of specified privileges, including, but not limited to, access to an official transcript for a defined period of time.

Subd. 8. University Housing Suspension. University housing suspension means separation of the student from University Housing for a defined period of time.

Subd. 9. University Housing Expulsion. University housing expulsion means permanent separation of the student from University Housing.

Subd. 10. Suspension. Suspension means separation of the student or student group from the University for a defined period of time, after which the student is eligible to return to the University. Suspension may include conditions for readmission. The suspension may be deferred when an offense is serious enough to warrant separation from the University, but where the specific circumstances of the case justify special consideration.

Subd. 11. Expulsion. Expulsion means the permanent separation of the student from the University.

Subd. 12. Withholding of Diploma or Degree. Withholding of diploma or degree means the withholding of diploma or degree otherwise earned for a defined period of time or until the completion of assigned sanctions.

Subd. 13. Revocation of Admission or Degree. Revocation of admission or degree means revoking a student's admission to the University or revoking a degree already awarded by the University.

SECTION VI. INTERIM SUSPENSION.

The president or delegate may impose an immediate suspension on a student or student group pending a hearing before the appropriate disciplinary committee (1) to ensure the safety and well-being of members of the University community or to preserve University property, (2) to ensure the student's own physical or emotional safety and well-being, or (3) if the student or student group poses an ongoing threat of disrupting or interfering with the operations of the University. During the interim suspension, the student or student group may be denied access to all University activities or privileges for which the student or student group might otherwise be eligible, including access to University housing or property. The student or student group has a right to a prompt hearing before the president or delegate on the questions of identification and whether the interim suspension should remain in effect until the full hearing is completed.

SECTION VII. HEARING AND APPEALS OF STUDENT DISCIPLINE.

Subd. 1. Hearing Process. Any student or student group charged with violation of the Student Conduct Code shall have the opportunity to receive a fair hearing. A finding of responsibility for violation of the Student Conduct Code must be based on a preponderance of the evidence. The president or delegate shall ensure that each campus has a hearing process that includes the following:

- (a) notification of the report and a request to meet;
- (b) an informal meeting to learn more about the steps of the disciplinary process and to share information related to the incident;
- (c) if the student or student group is found responsible, a proposal of an informal resolution that includes the findings and disciplinary sanctions being offered to resolve the incident;
- (d) if the informal resolution is not accepted, a request for a formal hearing in which a panel will determine responsibility and potential sanctions; and
- (e) if the formal resolution is not accepted, a request for an appeal. In exceptional circumstances where the University determines that an informal resolution is not appropriate, a student's responsibility will be decided through a formal hearing in which a panel will determine responsibility and possible sanctions. In regard to sexual misconduct cases, both the reporting party and the accused student have the opportunity to request a formal hearing and appeal as part of due process.

Subd. 2. Appeals Process. To safeguard the rights of students and student groups, the president or delegate shall ensure that each campus has a campus-wide appeals procedure to govern alleged violations of this policy. The appeals procedure shall provide both substantive and procedural fairness for the student or student group alleged to have violated the Student Conduct Code and shall provide for resolution of cases within a reasonable period of time.

The appeals procedure must describe:

- (a) grounds for an appeal;
- (b) procedures for filing an appeal; and
- (c) the nature of an appellate review.

SECTION VIII. JURISDICTION.

Subd. 1. The Student Conduct Code shall apply to student and student group conduct that occurs on campus or at University-sponsored activities.

Subd. 2. The Student Conduct Code shall apply to student and student group conduct that directly relates to the University's education, services, programs, or

rules, including but not limited to scholastic dishonesty, hazing, violation of University rules, and falsification, whether the conduct occurs on campus or off campus.

Subd. 3. At the discretion of the president or delegate, the Student Conduct Code also shall apply to off-campus student and student group conduct when the conduct, as alleged, adversely affects a substantial University interest and either:

- (a) constitutes a criminal offense as defined by local, state, or federal law or ordinance, regardless of the existence or outcome of any criminal proceeding; or
- (b) indicates that the student or student group may present a danger or threat to the health or safety of the student or others.

Subd. 4. Conduct of a student who is a member of a student group will not be considered to be conduct of the student group unless the facts and circumstances surrounding the conduct suggest that the student group sponsored, organized, or otherwise endorsed the conduct.

SECTION IX. THE RESPONSIBILITIES OF DUAL MEMBERSHIP.

Students are both members of the University community and of the state. Students are responsible to the community of which they are a part, and they are responsible to the academic community of the University. By enforcing the Student Conduct Code, the University neither substitutes for nor interferes with other civil or criminal legal processes. When a student is charged in both jurisdictions, the University will decide on the basis of its interests, the interests of affected students, and the interests of the community whether to proceed with its disciplinary process or to defer action. Determinations made or sanctions imposed under the Student Conduct Code will not be subject to change because criminal charges arising out of the same facts were dismissed, reduced, or resolved in favor of the criminal law defendant.

SECTION X. DELEGATION OF AUTHORITY.

The president or delegate shall implement this policy, including publishing and distributing the Student Conduct Code and the procedures governing the student disciplinary process at the University.

- 2. Approval of the Consent Report for the Academic & Student Affairs Committee as presented to the committee and described in the June 9, 2016 minutes.

The Board of Regents voted unanimously to approve the Consent Report for the Academic & Student Affairs Committee.

Cohen reported that the committee also reviewed registration and payment processes; discussed online learning; and discussed student mental health.

REPORT OF THE LITIGATION REVIEW COMMITTEE

Regent Devine, Chair of the committee, reported that pursuant to notice sent by the University, the Litigation Review Committee met on June 9, 2016. A resolution was considered and adopted that authorized the closing of the meeting. In the closed meeting a discussion was held on matters subject to the attorney-client privilege.

REPORT OF THE GOVERNANCE & POLICY COMMITTEE

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

1. Adoption of an amendment to Board of Regents Policy: *Reservation and Delegation of Authority*.

Regent Simmons moved to refer the amendment to the Faculty & Staff Affairs Committee (FSA) prior to a vote by the Board.

Regent Rosha expressed his concern with the motion, noting it could set a precedent that any committee could request delay of an issue.

Regent Simmons clarified that this situation is unique, since the amendment specifies matters directly within the purview of FSA.

Regent Cohen explained that passage of the amendment in committee was not unanimous. She noted that she voted against the amendment but does not want to take advantage of her position as committee chair to influence others.

The Board voted 10-1 in favor of referring the policy amendment to FSA. Regent Rosha voted no.

Cohen reported that the committee also discussed the Board's annual planning process; reviewed a draft of the Board policy report; and discussed the recording of votes in official minutes.

The meeting adjourned at 12:39 p.m.



BRIAN R. STEEVES
Executive Director
and Corporate Secretary



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: Report of the President

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: President Eric W. Kaler

BACKGROUND INFORMATION

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



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: Report of the Chair

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: Regent Dean E. Johnson

BACKGROUND INFORMATION

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



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: Receive & File Reports

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: Regent Dean E. Johnson

PURPOSE & KEY POINTS

The following items are included for receipt and filing:

- A. Board of Regents Policy Report



Office of the Board of Regents 2016 Board Policy Report

2015-16 POLICY REVIEW SUMMARY

The objective of the policy review process is to ensure that the Board’s policies align with the strategic direction and mission of the University. Over the past year, the Office of the Board of Regents coordinated review of policies included in the 2015-16 Policy Work Plan, listed below.

Policies Reviewed by Policy Implementers – No Revisions Recommended
1. Academic Misconduct
2. Code of Conduct
3. College Constitutions
4. Eminent Domain
5. Foundations at the University
6. Gift Solicitation and Acceptance
7. Individual Conflicts of Interest
8. Institutional Conflicts of Interest
9. Purchasing
10. Tuition and Fees

Policies Amended by the Board of Regents	Date Amended
11. Awards, Honors, and Recognition	May 2016
12. Namings	December 2015
13. Student Conduct Code*	June 2016

* - Indicates a policy added to the work plan at the request of the Board or President.



Office of the Board of Regents 2016 Board Policy Report

2016-17 POLICY WORK PLAN

Each year, the Office of the Board of Regents develops an annual policy work plan that includes policies scheduled for comprehensive review, policies requested for inclusion by the Board or the President, or policies held over from the previous year.

Policies for Comprehensive Review in 2016-17	Last Reviewed/ Amended	Policy Implementer
1. Associated Organizations	March 2007	General Counsel
2. Board Operations and Agenda Guidelines	December 2012	Board of Regents
3. Campus Public Art	March 2010	University Services
4. Central Reserves Fund	March 2010	University Finance
5. Disability Services	July 2010	Provost
6. Employee Health Benefits	February 2011	Human Resources
7. Employee Performance Evaluation and Development	February 2011	Human Resources
8. Historic Preservation	May 2010	University Services
9. Investment of Reserves	May 2010	University Finance
10. Legal Review of Contracts and Transactions	February 2010	General Counsel
11. Openness in Research	February 2010	Research
12. Responsibilities of the Board and Individual Regents	September 2009	Board of Regents
13. Student Financial Aid	March 2010	Provost
14. University of Minnesota Press	June 2010	Research

Policies Carried Over from 2015-16	Last Reviewed/ Amended	Policy Implementer
15. American Indian Advisory Boards	January 1994	Equity and Diversity
16. Board Authority	March 2009	Board of Regents
17. Board Policy Development	March 2009	Board of Regents
18. Equity, Diversity, Equal Opportunity, and Affirmative Action	July 2009	Equity and Diversity
19. Legal Defense and Indemnification of Employees	March 1985	General Counsel
20. Research Involving Human Subjects	September 2012	Research
21. Student Services Fee	June 2005	Provost



Office of the Board of Regents 2016 Board Policy Report

Policies Requested for Possible Inclusion	Last Reviewed/ Amended	Policy Implementer
22. Animal Care and Use	February 2013	Research
23. Employee Compensation and Recognition	July 2012	Human Resources
24. Intercollegiate Athletics – Twin Cities Campus	February 2014	President
25. Reservation and Delegation of Authority	March 2012	Board of Regents
26. Sexual Harassment	May 2012	Human Resources



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: Consent Report

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: Regent Dean E. Johnson

PURPOSE & KEY POINTS

The purpose of this item is Board action on items in the Consent Report:

A. Gifts

The President recommends approval of the Summary Report of Gifts to the University of Minnesota through May 31, 2016 (included in docket).

B. Finance Committee Consent Report

The President recommends approval of the Finance Committee Consent Report Items (included in docket).

General Contingency

- The purpose of this item is to seek approval for allocations from General Contingency greater than \$250,000. There are no items requiring approval this period.
- There was an additional expenditure in June 2016, after the meeting of the Finance Committee on June 9. An updated report showing this expenditure and the fiscal year-end balance is attached, along with the July report. Please note that the \$1.00 difference between the June balance and the July carry forward represents correction of accumulated rounding over fiscal 2016.

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

- The purpose of this item is to seek approval for purchases of goods and services of \$1,000,000 and over.
 - To Idexx Laboratories, Inc. for \$2,300,000 for test kits as needed for the Minnesota Veterinary Diagnostic Laboratory for the period of July 1, 2016, through June 30, 2017, with contract extensions through June 30, 2019. These test kits will be purchased from departmental funds currently available. The test kits were identified as a line item in the Veterinary Diagnostic Lab's FY2016 and FY2017

budget process. See enclosed documentation regarding basis for vendor selection.

- To Life Technologies Corporation for an estimated \$2,111,400 for the purchase of Custom VetMAX North American and European PRRSV Testing Reagents and Positive PCR controls as needed for the Molecular Diagnostics Lab located in the Veterinary Diagnostics Laboratory for the period of July 1, 2016, through June 30, 2017, with contract extensions through June 30, 2019. The reagents will be purchased with departmental funds currently available for clinical testing of client samples. See enclosed documentation regarding basis for vendor selection.
- To Sand Creek for an estimated \$1,491,244.40 to provide employee assistance program services through the Employee Benefits Department, Office of Human Resources for the period of January 1, 2017, through December 31, 2019, with contract extensions through December 31, 2022. The contract will be funded on an annual basis out of the Fringe Benefits Recovery. Vendor was selected through a competitive process.

FY17 Tuition Band Adjustment

- University of Minnesota – MBA Day Program Credit Band Update

In response to a change in required curriculum for first-year MBA students, the Carlson School of Management (CSOM) is proposing to adjust the corresponding tuition band for FY17 to accommodate an additional credit within the band. The change affects the top end of the credit band only (moving from 19 to 20 credits) and will not affect the rates charged or the projected tuition revenue. No change is proposed for the rates or the tuition band for continuing students:

	A		B		C		D		E		F	
	2015-2016		2015-2016		2016-2017		2016-2017		2016-2017		2016-2017	
	Semester Rates		Semester Rates		Semester Rates		Semester Rates		Semester Rates		Semester Rates	
	Resident	Nonresident	Resident	Nonresident	Resident	Nonresident	Resident	Nonresident	Resident	Nonresident	% Increase	% Increase
Twin Cities												
Carlson School of Management												
M.B.A. Day Program												
<i>Entering Students (guaranteed two-year rates)</i>												
Per Credit	\$1,505.84	\$1,937.50	\$1,545.84	\$1,979.17	\$1,545.84	\$1,979.17	\$1,545.84	\$1,979.17	2.7%	2.2%		
12-20 Credits	\$18,070.00	\$23,250.00	\$18,550.00	\$23,750.00	\$18,550.00	\$23,750.00	\$18,550.00	\$23,750.00	2.7%	2.2%		
<i>(2015-2016: 12-19 Credits)</i>												
Each Credit over 20	\$1,505.84	\$1,937.50	\$1,545.84	\$1,979.17	\$1,545.84	\$1,979.17	\$1,545.84	\$1,979.17	2.7%	2.2%		
<i>(2015-2016: over 19)</i>												
<i>Continuing Students</i>												
Per Credit	\$1,469.17	\$1,875.00	\$1,505.84	\$1,937.50	\$1,505.84	\$1,937.50	\$1,505.84	\$1,937.50	2.5%	3.3%		
12-18 Credits	\$17,630.00	\$22,500.00	\$18,070.00	\$23,250.00	\$18,070.00	\$23,250.00	\$18,070.00	\$23,250.00	2.5%	3.3%		
Each Credit over 18	\$1,469.17	\$1,875.00	\$1,505.84	\$1,937.50	\$1,505.84	\$1,937.50	\$1,505.84	\$1,937.50	2.5%	3.3%		

The credit band change is technical in nature and will solve logistical issues that arose with the addition of a required ECON course for first-year students. CSOM has committed to ensuring that first-year students can complete required coursework within the credit band, and a complicated workaround is required if the credit band remains at the 2015-2016 level.

C. Faculty & Staff Affairs Committee Consent Report

The President recommends approval of the Faculty & Staff Affairs Committee Consent Report item (included in docket).

- Appointment of Dr. Samuel Mukasa, Dean of the College of Science and Engineering

BACKGROUND INFORMATION

Approvals are sought in compliance with Board of Regents Policy: *Reservation and Delegation of Authority*.

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***

July 2016 Regents Meeting

	May		Year-to-Date	
	2016	2015	07/01/15 05/31/16	07/01/14 05/31/15
U of M Gift Receiving	\$ 86,570	\$ 161,786	\$ 3,133,121	\$ 12,976,624
4-H Foundation	130,207	50,115	831,152	1,235,239
Arboretum Foundation	409,809	791,289	9,368,608	7,246,596
Univ of MN Foundation	24,122,755	15,656,762	263,691,377	298,376,665
Total Gift Activity	\$ 24,749,341	\$ 16,659,952	\$277,024,258	\$ 319,835,124

*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 May 2016

<u>Donor</u>	<u>Rec'd by</u>	<u>Gift/Pledge</u>	<u>Purpose of gift</u>
<u>\$1 Million and Over</u>			
Sharon B. Weinel Trust	UMF	Gift	College of Science and Engineering
Kurt and Beth Heikkila	UMF	Pledge	University of Minnesota Duluth
<u>\$500,000 - \$1,000,000</u>			
Florine J. Prusak Estate	UMF	Gift	Medical School
David A. Goldberg	UMF	Pledge	University of Minnesota Duluth
Eric and Tracy Aanenson	UMF	Pledge	Medical School
<u>\$250,000 - \$500,000</u>			
Childrens Cancer Research Fund	UMF	Gift	Medical School
Hill's Pet Nutrition Inc.	UMF	Gift	College of Veterinary Medicine
Gary J. and Patricia K. Ray	UMF	Gift	Hormel Institute
Tom P. Dennison Estate	UMF	Gift	College of Science and Engineering
Lillian Wright and C. Emil Berglund Fdn.	UMF	Pledge	Bell Museum of Natural History
Prospect Creek Fdn.	UMF	Gift	Academic Health Center
<u>\$100,000 - \$250,000</u>			
Edelstein Family Fdn.	UMF	Gift	College of Liberal Arts, TBD
Betty L. LaPlante Rick Trust	UMF	Gift	College of Biological Sciences
Muyuan Foodstuff Co. Ltd.	UMF	Pledge	College of Veterinary Medicine
Marvin D. Richards	UMF	Gift	Medical School
The Hormel Fdn.	UMF	Gift	Hormel Institute
Elaine E. Mansfield	UMF	Gift	School of Nursing
Ruth A. Jacobs Estate	UMF	Gift	Medical School
Medtronic Inc.	UMF	Gift	Humphrey School of Public Affairs
Barbara Mackey Kaerwer Estate	UMF/UM	Gift	Minnesota Landscape Arboretum
Burton S. Visnick	UMF	Pledge	College of Design
<u>\$50,000 - \$100,000</u>			
NRLCA Auxiliary	UMF	Gift	Medical School
Matthew A. Mazzucchi	UMF	Gift	Intercollegiate Athletics
Foundation for Child Development	UMF	Gift	College of Education and Human Development
Horst Rechelbacher Fdn.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Phileona Fdn.	UMF	Gift	College of Veterinary Medicine

\$50,000 - \$100,000

Multiple District 5M Lions Hearing Fdn. Inc.	UMF	Gift	Medical School
Anonymous	UMF	Gift	Medical School
George and Barbara Barany	UMF	Gift	College of Science and Engineering
David A. and Anne S. Rogotzke	UMF	Gift	University of Minnesota Duluth
The McKnight Fdn.	UMF	Gift	Law School
Emerson Electric Co.	UMF	Gift	Intercollegiate Athletics
Helen S. Henton Trust	UMF	Gift	Unrestricted
George B. Chesley	UMF	Gift	College of Science and Engineering
Julia L. Pettibone Estate	UMF	Gift	College of Education and Human Development, Minnesota Landscape Arboretum
BASF Corp.	UMF	Gift	College of Science and Engineering
BlueCross BlueShield of Minnesota	UMF	Gift	Humphrey School of Public Affairs
Boehringer Ingelheim Pharmaceuticals Inc.	UMF	Gift	College of Pharmacy
Conrad O. and Joyce M. Thompson	UMF	Gift	College of Pharmacy
Environmental Defense Fund Inc.	UMF	Gift	Institute on the Environment
Love Your Melon Inc.	UMF	Pledge	Medical School
The Bush Fdn.	UMF	Gift	Carlson School of Management
Think Small	UMF	Gift	College of Education and Human Development
Visnick and Caulfield LLP	UMF	Gift	College of Design
William H. Dudley Family Fund-Mpls Fdn.	UMF	Gift	College of Veterinary Medicine
With One Breath	UMF	Pledge	Medical School

\$25,000 - \$50,000

Sabic Innovative Plastics US LLC	UMF	Gift	College of Science and Engineering
Arlington Gaylord Gibbon Winthrop Cable Comm	UM	Gift	4H Foundation
U S Bank	UMF	Gift	Intercollegiate Athletics
Johnson Brothers Liquor Co.	UMF	Gift	Intercollegiate Athletics
Robert H. Putnam Estate	UMF	Gift	College of Liberal Arts
Al Hilde Jr. Gift Fund-Fidelity Charitable Gift Fund	UMF	Gift	Intercollegiate Athletics
Ephraim M. Sparrow	UMF	Gift	College of Science and Engineering
Robert K. Eddy	UMF	Gift	Intercollegiate Athletics, College of Science and Engineering
Stephanie J. Spahr	UMF	Gift	School of Public Health
George E. Bugbee Estate	UM	Gift	Minnesota Landscape Arboretum
Lori Bloodworth Morrow	UMF	Gift	Medical School
Wayland E. Noland	UMF	Gift	College of Science and Engineering

\$25,000 - \$50,000

Syngenta Crop Protection LLC	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Andrew J. Holewa Estate	UMF	Gift	Intercollegiate Athletics, College of Science and Engineering, College of Food, Agricultural and Natural Resource Sciences
Luella S. Shaw Estate	UM	Gift	Minnesota Landscape Arboretum
Raymond A. Reister Estate	UM	Gift	Law School
Anonymous	UMF	Gift	Intercollegiate Athletics
Delta Dental of Minnesota	UMF	Gift	Academic Health Center
Albert J. Mayer Estate	UMF	Gift	College of Science and Engineering
Blythe Brenden-Mann Fdn.	UMF	Gift	Medical School, Academic Health Center
Susan K. Stubblebine Estate	UMF	Gift	School of Nursing
Mary M. Tjosvold	UMF	Gift	College of Education and Human Development
Thomas S. Schreier Jr.	UMF	Gift	Medical School
Land O'Lakes Inc.	UMF	Gift	Various Colleges
Anonymous	UM	Gift	Minnesota Landscape Arboretum
Anonymous	UMF	Pledge	University of Minnesota Duluth
Boston Scientific Corp.	UMF	Gift	Medical School
Carol and Frank Trestman Philanthropic Fund	UMF	Gift	Carlson School of Management
Fidelity Charitable Fund			
Henricus P. Hogenkamp	UMF	Gift	Medical School
Katrina L. Schweiker	UMF	Gift	Scholarships
Michael Cahan	UMF	Gift	Medical School
PIC USA Inc.	UMF	Gift	College of Veterinary Medicine
Rich and Mary Ostlund Family Fund-MN Community Fdn.	UMF	Gift	Medical School
Timothy N. and Amy K. Schuchard	UMF	Pledge	Medical School
Washington DC Alumni Chapter	UMF	Gift	Scholarships

\$10,000 - \$25,000

Joseph D. Miller	UMF	Gift	Medical School
Charles H. and Karen S. Andresen	UMF	Gift	University of Minnesota Duluth
Schneiderman's Furniture Inc.	UMF	Gift	Medical School
Jay L. Kim	UMF	Pledge	Law School
Thomas P. and Jane B. Nelson	UM	Gift	Minnesota Landscape Arboretum
Ameriprise Financial Inc.	UMF	Gift/Pledge	Various Colleges
Citizens for Backus/AB Inc.	UM	Gift	4H Foundation
American Chemical Society	UMF	Gift	College of Science and Engineering
Best Buy Fdn.	UMF	Gift	College of Science and Engineering

\$10,000 - \$25,000

Gust Family Charitable Fund-Fidelity Charitable Gift Fund	UMF	Gift	College of Science and Engineering
Matthew R. Monsein	UM	Gift	Libraries
NCASI National Council for Air/Stream Improvement Inc.	UMF	Gift	University of Minnesota Duluth
RSP Architects Ltd	UMF	Gift/Pledge	College of Design, Hormel Institute
The Journey North Community Church	UMF	Gift	Medical School, University of Minnesota Morris
Vivid Seats	UMF	Gift	Intercollegiate Athletics
Justin Carroll	UMF	Gift	Intercollegiate Athletics
Big Stone Co. Cancer Support Group, Inc.	UMF	Gift	Medical School
Dorothy P. Murphy Estate	UMF	Gift	Humphrey School of Public Affairs
Kohl's Corp.	UM	Gift	Minnesota Landscape Arboretum
Leedstone	UMF	Gift	Intercollegiate Athletics
MN Annual Conference-United Methodist Church	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Stephen J. Lukasik	UM	Gift	Libraries
Steven J. Thomas Jr.	UMF	Gift	Scholarships
Arvid Olson Estate	UMF	Gift	Medical School
St. Jude Medical Inc.	UMF	Gift	Medical School
James G. Boulger Sr. and Dee A. Boulger	UMF	Gift	Medical School
Best Buy Purchasing LLC	UMF	Gift/Pledge	Various Colleges
Irene M. Ott	UMF	Gift	College of Education and Human Development
Abby J. Barlament	UM	Gift	Minnesota Landscape Arboretum
Anonymous	UMF	Gift	College of Veterinary Medicine
Bentson Fdn.	UMF	Pledge	Academic Health Center, Scholarships
Craig R. Dahl	UMF	Gift	Medical School
Julie A. Matonich and Robert Bras	UMF	Gift	College of Liberal Arts
Richard K. and Theresa A. Davis	UMF	Gift	Scholarships
Stanley L. Gendler Estate	UMF	Gift	College of Science and Engineering
The Valspar Fdn.	UMF	Gift	Weisman Art Museum
Minnesota Veterinary Medical Fdn.	UMF	Gift	College of Veterinary Medicine
Bradley A. Hoyt	UMF	Gift	Intercollegiate Athletics
Cargill Inc.	UMF	Gift	Carlson School of Management
Rick D. Moulton	UMF	Gift	Intercollegiate Athletics
John E. and Nancy E. Lindahl	UMF	Gift	Medical School
Galil Medical Inc.	UMF	Gift	College of Science and Engineering
Good Charity Inc.	UMF/UM	Gift	Academic Health Center
General Mills Inc.	UMF	Gift	Humphrey School of Public Affairs
Chemical Coaters Association	UMF	Gift	School of Public Health

\$10,000 - \$25,000

Repech Family Fund-Minnesota Community Fdn.	UMF	Gift	Medical School
Summit Brazil Renewables LLC	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Philip J. Miller Estate	UMF	Gift	College of Biological Sciences
Flowers Foods	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Loren and Rebecca Schechter	UMF	Gift	Medical School
Gary A. Tangwall	UMF	Gift	Intercollegiate Athletics
York Potash Limited	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Dale J. Seymour	UMF	Gift	Medical School
Miriam Segall	UMF	Gift	College of Liberal Arts
Target Corp.	UMF	Gift	Carlson School of Management, Intercollegiate Athletics, Libraries
Morgan Ayres	UMF	Pledge	Medical School
Michael and Brittany Reger Family Fdn.	UMF	Gift	Medical School
Dimitrios Smyrnios	UMF	Gift	Medical School
Truist	UMF	Gift	Various Colleges
Federated Insurance Co.	UMF	Gift	Intercollegiate Athletics
Jason D. Alt	UMF	Gift	Medical School
Matthew and Colleen Ginter	UMF	Gift	Carlson School of Management
Cindy F. Silianoff	UMF	Gift	Intercollegiate Athletics
Agrium U S Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Alfred Harrison	UMF	Gift	Medical School
Amgen Inc.	UMF	Gift	College of Pharmacy
Arthur C. Klassen	UMF	Gift	Medical School
Frahm Charitable Fund-Fidelity Charitable Gift Fund	UMF	Gift	University of Minnesota Duluth
Gary L. and Nancy J. Grammers	UMF	Gift	Academic Health Center
Gordon and Betty Moore Fdn.	UMF	Gift	College of Science and Engineering
Great Clips Inc.	UMF	Gift	Medical School
Hormel Foods Corp. Charitable Trust	UMF	Pledge	University of Minnesota Rochester
Hubbard Broadcasting Inc.	UMF	Gift	Eastcliff
Hugh and Aynsley Smith	UMF	Gift	University of Minnesota Rochester
James I. and Susan G. Swenson	UMF	Gift	University of Minnesota Duluth
Jennifer M. Marrone and David H. Short	UMF	Gift	College of Education and Human Development
Joanne L. Blatt	UMF	Gift	College of Science and Engineering
Madhava Natural Sweeteners	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Marc Gilmartin	UMF	Gift	Medical School

\$10,000 - \$25,000

Peter J. Quinn	UMF	Gift	Medical School
Rob and Barb Schaller Charitable Fund	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Robert and Beverly Sundahl	UMF	Pledge	College of Science and Engineering
The Minneapolis Fdn.	UM	Gift	4H Foundation
The Waters Senior Care Management LLC	UMF	Pledge	Center for Spirituality and Healing
Virginia H. Morris	UMF	Gift	Scholarships, Medical School
Walgreens Co.	UMF	Gift	College of Pharmacy
Wayne A. and Carol A. Pletcher	UMF	Gift	College of Biological Sciences

\$5,000 - \$10,000

James Forbes	UMF	Gift	Intercollegiate Athletics
Eric W. Kaler	UMF	Gift	Medical School
AmeriChoice Health Services Inc.	UM	Gift	4H Foundation
Jon W. Springer	UMF	Gift	Intercollegiate Athletics
Hugh A. Edmondson Jr.	UM	Gift	Minnesota Landscape Arboretum
Adobe Systems Inc.	UMF	Gift	College of Science and Engineering
AgStar Financial Services	UM	Gift	4H Foundation
Michael D. Erickson	UMF	Gift	Medical School
Terry Stade Farms Inc.	UMF	Gift	Intercollegiate Athletics
Anonymous	UMF	Gift	Intercollegiate Athletics
David A. Johnson	UMF	Gift	Medical School
Lyle C. Fahning	UMF	Gift	Medical School, Intercollegiate Athletics
Craig L. Thorvig	UMF	Gift	Intercollegiate Athletics
Robert F. Crosby	UMF	Gift	Intercollegiate Athletics
Michael L. Reger	UMF	Gift	Medical School
Virginia M. Anderson Estate	UMF	Gift	College of Education and Human Development
Gary Finley	UMF	Gift	University of Minnesota Duluth, TBD
Minnesota Corn Growers Assn.	UM	Gift	Minnesota Landscape Arboretum
Noel P. Rahn Sr.	UMF	Gift	Intercollegiate Athletics
Willis and Dorothy Peterson Fund-Fidelity Charitable Fund	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Jacquelyn E. Zustiak	UMF	Gift	School of Dentistry
Paint the Town Pink	UMF	Gift	Hormel Institute
Anonymous	UMF	Gift	Libraries
Lenore B. Danielson	UMF	Gift	College of Biological Sciences
Adama Materials Inc.	UMF	Gift	College of Science and Engineering
CMGRP Inc.	UMF	Gift	Carlson School of Management
College Art Association	UMF	Gift	Graduate School

\$5,000 - \$10,000

Hall Frost Charitable Fund-Schwab Charitable	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Minnesota Power	UMF	Gift	School of Public Health
Nelson Family Fdn.	UMF	Gift	Weisman Art Museum
Sage Glass/Electrochromics Inc.	UMF	Gift	College of Science and Engineering
Tamron USA Inc.	UM	Gift	Minnesota Landscape Arboretum
Community Health Charities Minnesota	UMF	Gift	Academic Health Center
Peter F. Rockers	UMF	Gift	Medical School, Intercollegiate Athletics
Luis E. Razuri Gonzales	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Anika M. Hagenon	UMF	Gift	Medical School
Richard B. Sachs	UMF	Gift	Intercollegiate Athletics
Zachary Quinn	UMF	Gift	Medical School
Wells Fargo Fdn.	UMF	Pledge	Various Colleges
CHS Inc.	UMF	Gift	4H Foundation, Intercollegiate Athletics
Minnesota Landscape Arboretum Auxiliary	UM	Gift	Minnesota Landscape Arboretum
H. William Walter	UMF	Gift	Intercollegiate Athletics
Packaging Corp. of America	UMF	Gift	Intercollegiate Athletics
Robert C. Klas Sr.	UMF	Gift	Intercollegiate Athletics
AgXplore International Inc.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Larry A. Zavadil	UMF	Gift	Intercollegiate Athletics
Laurie K. Houle	UMF	Gift	Medical School
Dellwood Fdn.	UMF/UM	Gift	Minnesota Landscape Arboretum, Bell Museum of Natural History, College of Veterinary Medicine
Ellen V. Miller	UMF	Gift	Medical School
John E. and Jean G. Geisler	UMF	Gift	Medical School
Wells Fargo Wealth Management	UMF	Gift	Intercollegiate Athletics
Lori's Gifts	UMF	Gift	Academic Health Center
Lockridge Grindal Nauen PLLP	UMF	Gift	Academic Health Center
Gary A. Peterson	UMF	Gift	Medical School
Royal and Karen Alworth	UMF	Gift	University of Minnesota Duluth
Benjamin J. Peake	UMF	Gift	Medical School
Mary L. Knoblauch	UMF	Gift	Medical School
Richard G. Spiegel	UM	Gift	Minnesota Landscape Arboretum
Larry Colbeck	UMF	Gift	Medical School
GovDelivery	UMF	Gift	Libraries
Twin Town Trading	UMF	Gift	Intercollegiate Athletics
Jeffrey A. Fecho	UMF	Gift	Medical School

\$5,000 - \$10,000

Brian and Jill Reynolds	UMF	Gift	University of Minnesota Extension
Nancy M. and Paul E. Huepenbecker	UMF	Gift	Intercollegiate Athletics
Jennifer L. Martin	UMF	Gift	Weisman Art Museum
3M Co.	UMF	Gift	School of Public Health
Advanced Food Products LLC	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Aerospace Control and Guidance System Committee Inc.	UMF	Gift	College of Science and Engineering
Ampa Inc.	UMF	Gift	Medical School
Anonymous	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Barbara A. Coffin and Daniel R. Engstrom	UMF	Pledge	Bell Museum of Natural History
Barbara J. Gullickson	UM	Gift	Minnesota Landscape Arboretum
BNG Management Co.	UMF	Gift	Weisman Art Museum
Carlson-LaVine Inc.	UMF	Gift	Academic Health Center
Computer Aided Technology Inc.	UMF	Gift	College of Science and Engineering
CSM Corp.	UMF	Gift	Medical School
Daneshy Charity-Fidelity Charitable Gift Fund	UMF	Gift	College of Science and Engineering
Daniel A. and Katharine C. Whalen	UMF	Gift	Humphrey School of Public Affairs
Danisco	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Dante Cicchetti	UMF	Gift	College of Education and Human Development
Debra A. and Gregory A. Peterson	UMF	Gift	Carlson School of Management
Deluxe Corp.	UMF	Gift	College of Veterinary Medicine
DiaSorin Inc.	UMF	Gift	Medical School
Fairview Health Services	UMF	Gift	Medical School
Fluid Fertilizer Fdn.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Frank H. Burton	UMF	Gift	Medical School
Gardner Builders	UMF	Gift	College of Design
Haworth Inc.	UMF	Pledge	College of Design
Helen S. Waldron	UMF	Gift	Medical School
Herbert L. Lewis	UMF	Pledge	University of Minnesota Duluth
Hurley Funeral Home PC	UMF	Gift	Medical School
IEEE Fdn.	UMF	Gift	College of Science and Engineering
Jacqueline H. Smith	UM	Gift	Minnesota Landscape Arboretum
Jan Conlin and Gene Goetz Fund-Mpls Fdn.	UMF	Gift	Law School
Jay and Gail Lund	UMF	Gift	Medical School
John A. Sullivan	UMF	Gift	Medical School

\$5,000 - \$10,000

Kaplan Strangis and Kaplan PA	UMF	Gift	Law School
Karen I. and Daniel S. Klekner	UMF	Gift	Academic Health Center
Kotula Family Fdn.	UMF	Gift	University of Minnesota Duluth
Lois A. Anselment	UM	Gift	Minnesota Landscape Arboretum
Matrix Integration LLC	UMF	Gift	Minnesota Supercomputing Institute
Max Fund-Renaissance Charitable Fdn. Inc.	UMF	Gift	College of Veterinary Medicine
Meridian Behavioral Health LLC	UMF	Gift	Academic Health Center
Mike and Linda Fiterman Family Fdn.	UMF	Gift	Medical School
Patricia A. Erlandson	UMF	Gift	Medical School
Patty and David Murphy Family Fund-Mpls Fdn.	UMF	Gift	Academic Health Center
Philip L. Gardner	UMF	Gift	Medical School
Phyllis Reha and Ronald Erickson	UMF	Gift	Law School
Richard S. Gregory	UMF	Gift	Northrop
Robert C. Hansen	UMF	Gift	University of Minnesota Morris
Robert D. DeMaster	UMF	Gift	College of Science and Engineering
Rod J. Tafelski	UMF	Pledge	University of Minnesota Duluth
Srdan Babovic and Dusica Babovic-Vuksanovic	UMF	Gift	Weisman Art Museum
Steven C. and Corilee J. Skildum	UMF	Gift	University of Minnesota Duluth
Summit Mortgage Corp.	UMF	Gift	Medical School
Swiss Valley Farms Co.	UMF	Gift	College of Food, Agricultural and Natural Resource Sciences
Syngenta Corp.	UM	Gift	Minnesota Landscape Arboretum
Terrance E. Swor	UMF	Gift	University of Minnesota Duluth
The Jamar Co.	UMF	Gift	University of Minnesota Duluth
The Mosaic Co.	UMF	Gift	Carlson School of Management
Paul H. Boening	UMF	Gift	Intercollegiate Athletics

General Contingency

Fiscal Year 2015-16

Recipient	Amount	Balance	Purpose
1 FY2016 General Contingency		\$1,000,000	
2 Carryforward from FY16 to FY17	172,500	1,172,500	
13 New items this reporting period:			
None		0	
18 FY 2015-16 Ending Balance		1,172,500	

* Subject to Board approval due to cost of \$250,000 or more

General Contingency

Recipient	Amount	Balance	Purpose
1 FY2016 General Contingency		\$1,000,000	
2 Carryforward from FY15 to FY16	8,496	1,008,496	
3 UM Crookston	186,000	822,496	Offset UMC FY15 tuition shortfall
4 Reversal of JE0000702057 from FY15	(132,000)	954,496	Transfer in FY15 did not post properly and was deleted
5 Office of Real Estate	132,000	822,496	Purchase of 120 acres in Isanti County for Cedar Creek
6 University Services	11,500	810,996	Reconstruction of Eastcliff Event Lawn space
7 CFANS	166,400	644,596	Beef Feedlot relocation and renovation in Rosemount
8 Small Project Balances Returned to General Contingency	(18,762)	663,358	
9 CPPM	75,000	588,358	Rare Books Relocation Predesign
10 Office of Real Estate	45,200	543,158	Electric Steel Elevator Study
11 Office of Real Estate	\$35,200	507,958	Purchase BNSF RR Easement for 8th St Improvement Project
12 CPPM	\$20,000	487,958	Additional funding for Rare Books Predesign
13 Business, Community & Economic Development	60,000	427,958	Support for Award Incentive & Recognition (AIR) program
14 Office of Real Estate	** 98,774	329,184	Relocation of Hmong Farming Cooperative to Vermillion Hts
15 Office of Risk Management & Insurance	10,000	319,184	Deductible for water-damaged Medical Chemistry equipment
16 CPPM	75,000	244,184	SE Gateway entry monument at Huron & Fulton
17 New items this reporting period:			
18 US Department of Health & Human Services	71,683	172,501	Estimated interest earned from October 17, 2014, to June 30, 2016, on the estimated federal share of the settlement payment.
19 FY 2015-16 Ending Balance		172,501	

** Typo on June report showed amount of \$98,744

* Subject to Board approval due to cost of \$250,000 or more

Purchase of Goods and Services 1,000,000 and over

To Idexx Laboratories, Inc. for an estimated \$2,300,000 for test kits as needed for the Minnesota Veterinary Diagnostic Laboratory for the period of July 1, 2016 through June 30, 2017 with contract extensions through June 30, 2019.

The Minnesota Veterinary Diagnostic Laboratory (MVDL) provides quality diagnostic services for various animal diseases for the livestock and poultry industries and the companion animal owners throughout the country. MVDL is fully accredited by the American Association of Veterinary Laboratory Diagnosticians (AAVLD) and is the official laboratory of Minnesota Board of Animal Health. The AAVLD and the Minnesota Board of Animal Health require the use of IDEXX diagnostic test kits to ensure inter-laboratory consistency within the United States. These kits are also needed from this supplier to maintain consistency in test results to our clients. MVDL needs to be able to purchase these kits and to have them constantly in stock in order to provide testing for its clients in a timely manner. These kits are used on a daily basis and ordered regularly. Inability to purchase these test kits as required would result in VDL's inability to process tests for our clients that provide a substantial portion of their annual income.

Most of these test kits are manufactured by Idexx and have been used routinely in VDL labs for more than 23 years. Using this source ensures our accreditation and the integrity and reliability of test results. To ensure consistency of results and maintain quality standards according to AAVLD requirements, these kits have to be consistently used.

These test kits will be purchased from departmental funds currently available. The test kits were identified as a line item in the Veterinary Diagnostic Lab's FY 2016 and FY 2017 budget process.

Submitted by: Devi Patnayak, Assistant Clinical Specialist
350 VetDI
1333 Gortner Avenue
St. Paul, MN 55108
Phone: 612-626-2712
Fax: 612-624-8707

Approved for this item requested by:



VP or Exec. VP Signature

6-21-16

Date

Rationale for Exception to Competitive Bidding

This purchase has not been competitively bid because the accrediting body of the Veterinary Diagnostic Laboratory (The American Association of Veterinary Laboratory Diagnosticians) and the Minnesota board of Animal Health require use of Idexx diagnostic test kits to ensure inter-laboratory consistency with in the United States. These kits are also needed from this supplier to maintain consistency in test results to the clients.

Procedures undertaken to ensure reasonableness of price included comparing pricing to the previous contract with Idexx, pricing of all kits have remained the same as the past year.

The Director of Purchasing and the University Controller concluded that the process used resulted in a fair and reasonable price to the University.

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

To Life Technologies Corporation for an estimated \$2,111,400 for the purchase of Custom VetMAX North American and European PRRSV Testing Reagents and Positive PCR controls as needed for the Molecular Diagnostics Lab located in the Veterinary Diagnostics Laboratory for the period of July 1, 2016 through June 30, 2017 with contract extensions through June 30, 2019.

Due to the increased need for fast, accurate results related to the detection of Porcine Respiratory and Reproductive Syndrome Virus (PRRSV), The Molecular Diagnostics Department in the Veterinary Diagnostic Laboratory validated and began using the custom Vet MAX North American and European PRRSV reagents created by Life Technologies in 2011.

A consistent supply of quality assured reagents is necessary in order to meet client need in the field of porcine diagnostics. There has been an extensive validation of the custom Vet MAX kits for PRRSV detection and these reagents have been in general lab use since 2011. This will enable reliable and rapid results to be provided to our clients.

The reagents will be purchased with departmental funds currently available for clinical testing of client samples.

Submitted by: Michele Leiferman, Section Head, Molecular Diagnostics
Rm 130 Veterinary Diagnostic Laboratory
St. Paul Campus
Phone: (612) 624-0791
Fax: (612) 624-8707

Approval for this item requested by:



VP or Exec. VP Signature

6-21-2016

Date

Rationale for Exception to Competitive Bidding

This purchase has not been competitively bid because Life Technologies is the manufacturer and sole supplier of the majority of reagents and testing supplies currently used in the laboratory. These products have been used for the past 18 years, have been extensively validated and compared against competitors' products and were found to be superior in performance. The consistency of Life Technologies reagents guarantee rapid, reliable test results and are compatible with the equipment we already own. In addition, we must follow protocols from the USDA NVSL (National Veterinary Service Laboratories) for many of our assays, which require Life Technologies testing kits.

Price reasonableness is based on negotiations with the supplier that have resulted in discounts of up to 30%.

The Director of Purchasing and the University Controller concluded that the process used resulted in a fair and reasonable price.

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

To Sand Creek for an estimated \$1,491,224.40 to provide employee assistance program services through the Employee Benefits Department, Office of Human Resources for the period of January 1, 2017 through December 31, 2019 with contract extensions through December 31, 2022.

The Employee Assistance Program (EAP) is offered for the University's approximately 19,000 benefits eligible faculty, professional and administrative, civil service, and labor represented employees, and their spouse and immediate family. The EAP provides confidential professional consultation and referral services to address personal or work concerns.

Sand Creek was selected as a provider for employee assistance programs as a result of a request for proposal conducted March-May 2016. The initial contract will be for three years, with three one-year options to renew the contract.

The contract will be funded on an annual basis out of the Fringe Benefits Recovery.

Submitted by: Ken Horstman
Director, Benefits and Compensation

Approval for this item is requested by:



Kathryn F. Brown
Vice President, Office of Human Resources

July 6, 2016

Faculty & Staff Affairs Committee
Consent Report
July 6, 2016

Personnel Appointment

Pending approval by the Board of Regents, Dr. Samuel Mukasa will be appointed Dean of the College of Science and Engineering, effective August 31, 2016.

Position Overview

The dean of College of Science and Engineering is a senior leadership position reporting directly to and serving at the pleasure of the executive vice president and provost. As a member of the provost's leadership team, the dean works in collaboration with faculty and collegiate leadership to set strategic priorities and sustain policies that support academic excellence.

The dean of the College of Science and Engineering will be expected to advance the quality, reputation, stature, and goals of research-based graduate education. The dean is also responsible for the effective oversight and administration of the College of Science and Engineering, including:

- developing innovative strategies that support the highest aspirations of the college and programs;
- providing administrative oversight of the College of Science and Engineering;
- overseeing planning and the stewardship and management of fiscal, capital, and human resources of the College of Science and Engineering;
- promoting and representing the College of Science and Engineering in private and public forums;
- integrating the College of Science and Engineering and its many resources and functions into the broader community – locally, nationally, and globally;
- playing a leadership role in fundraising for the College of Science and Engineering, leading energetic efforts to secure philanthropic support for its mission; and
- garnering support for the College of Science and Engineering from both internal and external stakeholders

Appointees Background and Qualifications

Dr. Mukasa comes from the University of New Hampshire (UNH), where he has been dean of the College of Engineering and Physical Sciences and Eric J. Essene Professor of Geochemistry. Previously, he spent 21 years on the faculty of the University of Michigan, where he was chair of the Department of Geological Sciences from 2007 to 2010. As dean at New Hampshire since 2011, he has led the development of a strategic plan for the college, new undergraduate degree programs, and faculty cluster hiring initiatives to enhance interdisciplinary scholarship.

Dr. Mukasa also has successfully led fundraising efforts, securing \$17M in the past three years alone for student scholarships, in addition to raising a \$8M for new facilities supporting entrepreneurship, campus-industry partnerships, and experiential learning opportunities for students. He also was part of the team that helped to launch the new School of Marine Science and Ocean Engineering at UNH. A longtime champion of diversity in STEM fields, he has implemented K-12 pipeline and mentorship programs and a successful program to bring women and people of color into faculty and academic leadership positions.

Dr. Mukasa holds a Ph.D. in geochemistry from the University of California, Santa Barbara, an M.S. in geology from Ohio State University and a B.S. in geology from UNH. He completed a postdoctoral fellowship at Lamont-Doherty Earth Observatory of Columbia University in New York. He also received a D.Sc. honorary degree from Nkumba University, Entebbe, Uganda, in 2008. He is highly regarded for his research in geochemistry, geochronology, and petrology. His work on the origin and evolution of rocks in the Bering Sea and Arctic Ocean regions has helped to shed new light on the evolution of continents and has relevance to issues of climate change. Dr. Mukasa has served as president of the Geochemical Society and in leadership positions for programs at the National Science Foundation and National Academy of Sciences focused on polar climate issues, among many other scientific and professional leadership roles. He is a Fellow of the American Association for the Advancement of Science and the Geological Society of America.

Recommended Salary and Appointment Type

Dr. Samuel Mukasa's annual salary will be \$340,000. His appointment as dean is a 100%-time, A-term (12-month), L-type (limited) appointment, reporting to and serving at the pleasure of the Executive Vice President and Provost. The full employment agreement between the University of Minnesota and Dr. Mukasa is attached as an exhibit.

Individually Negotiated Terms of Employment or Separation Agreements

There are no individually negotiated terms of employment or separation agreements.

Comparable Market Data

With respect to a broad set of research universities that submitted salary data for the 2015-16 CUPA-HR (College and University Professional Association for Human Resources) survey, which includes both public and private institutions, the median salary for deans of engineering is \$292,992 and for deans of sciences is \$255,000 (CUPA-HR data for a combined position of dean of science and engineering is not available).

Dr. Mukasa's annual salary falls appropriately within the range of the 2016 salaries for the position of dean of engineering among our Big 10 peers - Purdue University, The Ohio State University, University of Iowa, University of Michigan, and University of Wisconsin (a 10% standard premium was added to salaries to account for the added complexity that science brings to the unique college structure at the University of Minnesota):

Minimum – \$370,260

Median – \$381,517

Maximum – \$573,696

Recommendation

The president recommends the appointment of Dr. Samuel Mukasa as dean of the College of Science and Engineering.

EMPLOYMENT AGREEMENT

THIS EMPLOYMENT AGREEMENT is entered into as of this May 26, 2016, by and between Regents of the University of Minnesota, a Minnesota constitutional educational corporation (the "University"), and Dr. Samuel B. Mukasa ("you").

WHEREAS, the University wishes to employ Dr. Samuel Mukasa as the Dean of the College of Science and Engineering and Dr. Samuel Mukasa wishes to accept employment as Dean of the College of Science and Engineering;

WHEREAS, this Employment Agreement is subject to the approval of the Board of Regents of the University of Minnesota and the completion of a background check satisfactory to the University;

THEREFORE, the University and Dr. Samuel Mukasa agree as follows, subject to the approval of the Board of Regents:

I. EMPLOYMENT TERM AND DUTIES

Subject to the terms and conditions of this Agreement and University Policies and Procedures, the University appoints Dr. Samuel B. Mukasa as the Dean of the College of Science and Engineering and he agrees to be so employed by the University for a term commencing on August 31, 2016. The Dean of the College of Science and Engineering is a 100-percent-time, 12-month L appointment in the professional and academic personnel classification who serves as an at will employee at the pleasure of the Executive Vice President and Provost. As such, you report to and serve at the pleasure of the Executive Vice President and Provost and your appointment may be terminated at any time without advance notification.

II. DUTIES

During the term of your employment as Dean of the College of Science and Engineering you will diligently and consciously devote your full-time attention and best efforts in performing and discharging the duties of Dean of the College of Science and Engineering as they are set forth in the job description for this position (attached) including, but not limited to, the following duties:

- A. Developing innovative strategies that support the highest aspirations of colleges and programs;
- B. Providing administrative oversight of the College of Science and Engineering;
- C. Overseeing planning and the stewardship and management of fiscal, capital, and human resources of the College of Science and Engineering;
- D. Promoting and representing the College of Science and Engineering in private and public forums;
- E. Integrating the College of Science and Engineering and its many resources and functions into the broader community – locally, nationally, and globally;
- F. Playing a leadership role in fundraising for the College of Science and Engineering, leading energetic efforts to secure philanthropic support for its mission;

- G. Garnering support for the College of Science and Engineering from both internal and external stakeholders; and
- H. Performing such other duties as related to your employment position and assigned to you by your appointing authority.

III. PERFORMANCE

In accordance with University policy, you will receive regular annual performance evaluations and, in accordance with University policy, you will receive a broader systemic review of your performance no later than the end of your third year in the position.

IV. FACULTY APPOINTMENT

In addition to your appointment as Dean of the College of Science and Engineering, you will also be considered for appointment as a tenured, full professor in the college. Any such appointment as a professor is subject to Board of Regents Policy: *Faculty Tenure*. Your appointment requires approval of the faculty as well as the Board of Regents. During the time you serve as Dean of the College of Science and Engineering, you will not receive any compensation for your faculty appointment, but a salary for this appointment will be established each year by the University, based on the average increase to base of your same-ranked collegiate peers. In the event you no longer are employed as Dean of the College of Science and Engineering and retain this faculty appointment, this will be your established faculty salary.

V. COMPENSATION

- A. Subject to the terms of this Agreement for all services provided by you on behalf of the University, the University shall pay you an annual salary of Three Hundred Forty Thousand and No/100 Dollars (\$340,000).
- B. All base salary shall be paid in accordance with the University's regular payroll procedures for Professional and Administrative employees and shall be subject to withholding for applicable federal and state income taxes, federal social security taxes, and other applicable taxes and deductions.
- C. In accordance with University policies and procedures, you shall be eligible for salary increases on an annual basis based upon the evaluation of the appointing authority or his/her designee.
- D. The base salary is subject to furloughs, pay freezes, salary reductions or other adjustments to the same extent they are required for other employees of the University.

VI. BENEFITS

The University shall provide you with a benefits program as provided generally for its Professional and Administrative employees as described in its policies and procedures (<http://www.umn.edu/ohr/benefits/summary/>). These programs shall be subject to amendments and modifications by the University.

VII. RELOCATION

The University will pay for relocation costs associated with your move by means of a lump sum for relocation expenses equivalent to one month's salary (\$28,333), in accordance with the University's Relocation Policy (<http://policy.umn.edu/finance/employee relocation>).

VIII. SEPARATION

- A. Your appointment as Dean of the College of Science and Engineering is an L appointment, which means you serve at the pleasure of your appointing authority. Your appointment may be terminated without any required notice period.
- B. In the event you are separated from your administrative position, you may be eligible for certain benefits provided by the University, in accordance with University policy. Any exception from or waiver of University policy related to your separation must be approved by the Board of Regents.
- C. If you are a faculty member at the end of your administrative appointment, you may return to the faculty at your established faculty salary.

IX. UNIVERSITY POLICIES AND GENERAL CONDITIONS

- A. Your appointment is subject to the University's policies and procedures that govern your position (<http://policy.umn.edu/>), which may be amended from time to time.
- B. **Amendment.** Any amendment to this Agreement shall be in a writing executed and delivered by the parties.
- C. **Parties In Interest/Assignment.** This Agreement shall be binding upon and the benefits and obligations provided for herein shall inure to the parties hereto and their respective heirs, legal representatives, successors, assigns, transferees or donees, as the case may be. No portion of this Agreement shall be assignable without the prior written consent of the other party.
- D. **Effect of Prior Agreements.** This Agreement is intended by the parties as the final and binding expression of their contract and agreement and as the complete and exclusive statement of the terms thereof. This Agreement supersedes and revokes all prior negotiations, representations, and agreements, whether oral or written, relating to the subject matter hereof.
- E. **Enforceability.** If any provision contained herein shall be deemed or declared unenforceable, invalid, or void, the same shall not impair any of the other provisions contained herein, which shall be enforced in accordance with their respective terms.
- F. **Construction.** The headings preceding and labeling the sections of this Agreement are for the purpose of identification only and shall not in any event be employed or used for the purpose of construction or interpretation of any portion of this Agreement. No waiver by any party of any default or nonperformance hereunder shall be deemed a waiver of any subsequent default or nonperformance. As used herein and where necessary, the singular shall include the plural and vice versa, and masculine, feminine and neuter expressions shall be interchangeable.

**X. BOARD OF REGENTS APPROVAL
AND APPROVAL OF TENURED APPOINTMENT**

This agreement is subject to the approval of the Board of Regents and a background check that is satisfactory to the University. This agreement is also subject to the approval of the faculty appointment provided for in Section IV of this agreement.

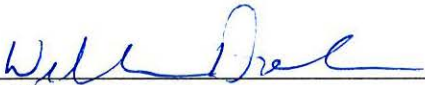
IN WITNESS WHEREOF, the undersigned have caused this Agreement to be executed as of the date first shown above.

By: 
Dr. Samuel B. Mukasa

REGENTS OF THE UNIVERSITY OF MINNESOTA

By: 
Karen Hanson
Executive Vice President and Provost

Approved as to Form and Execution

By: 
William P. Donohue
General Counsel



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: System-wide Strategic Planning: UMR

- Review** **Review + Action** **Action** **Discussion**
- This is a report required by Board policy.*

PRESENTERS: President Eric W. Kaler
Stephen Lehmkuhle, Chancellor, University of Minnesota Rochester

PURPOSE & KEY POINTS

The purpose of this item is to discuss the following:

1. Strategic planning process on the UMR campus.
2. Key elements and accomplishments of the UMR strategic plan.
3. Alignment between the UMR and the UMTC strategic plans.

BACKGROUND INFORMATION

The UMR campus was established in December 2006. Over the past 10 years, its strategic planning process has been focused on creating change in higher education. Since the campus is young, the planning process has been more similar to that of a start-up company, rather than an established institution. UMR has not had to focus as heavily on managing change or on transforming or undoing an existing program or administrative structure.

Planning Phases for Starting a New Campus

1. Start-Up
 - Concept – Establish the value propositions. For the city of Rochester, the focus is on addressing healthcare workforce needs. For the University, the goal is to build an institution focused on innovations in learning.
 - Design – Create a unique supportive structure and deploy faculty talents in new ways to empower students to learn and develop.
 - Build – Launch a new undergraduate program in the health sciences and build and refine the curriculum and student support from entry through graduation.
2. Evaluation – “Does it Work?”
 - Review graduation rates.
 - Review success of graduates.
 - Review success of underrepresented students.

3. Stabilization
 - Build administrative structures and operational procedures, and hire the right people to ensure the program is sustainable and scalable – for example, stabilizing enrollment volatility.
4. Growth
 - UMR will soon launch a formalized planning process to grow its influence, size, and impact on students.
 - The process for growth will be anchored by UMR’s value propositions and by what was learned during the start-up, evaluation, and stabilization phases.
 - A document that captures UMR’s institutional learning, “Optimizing Distinctiveness: A Framework for Strategic Planning,” is included in the docket.

Rochester and Twin Cities Strategic Plan Alignment

- Address the Grand Challenges
 - Establish a Strategic Plan vision.
 - UMR will inspire transformation in higher education through innovations that empower its graduates to solve the grand health challenges of the 21st century.
- Support excellence and reject complacency
 - Determine the value proposition.
 - Focus exclusively on health and building a premier undergraduate program.
- Aggressively recruit, retain and promote field shaping researchers and teachers
 - Assemble a faculty and a professional teaching corps with a commitment research and scholarship.
 - Shape the field of student learning through a community of practice and interdisciplinary collaboration.
- Build a culture of reciprocal engagement that capitalizes on our location
 - The campus has worked with the city of Rochester and the Mayo Clinic to develop the Downtown Master Plan.
 - The current UMR master plan defines one of the districts of the destination medical center and is actively engaged in its planning process.



UMR 2.0

Optimizing Distinctiveness: A Framework for Strategic Planning

As we move from a start-up university into our next season of innovation and health, we will build on this strategic framework of Vision, Values, Mission, Student Outcomes, Strengths and Aspirations.

University of Minnesota Strategic Plan Vision

The University of Minnesota will be pre-eminent in solving the grand challenges of a diverse and changing world.

University of Minnesota Rochester Strategic Plan Vision

The University of Minnesota Rochester (UMR) will inspire transformation in higher education through innovations that empower our graduates to solve the grand health challenges of the 21st century.

Mission

University of Minnesota Mission

The University of Minnesota, founded in the belief that understanding enriches all people, 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. *(University of Minnesota Mission Statement, Board of Regents Policy, January 1994)*

Rochester Campus Mission

The University of Minnesota Rochester promotes learning and development through personalized education in a technology-enhanced environment. The University of Minnesota Rochester empowers undergraduate and graduate students to be responsible for their own learning and provides appropriate support to prepare them to succeed in a global and multicultural society. The University of Minnesota Rochester serves as a conduit and catalyst for leveraging intellectual and economic resources in Rochester and southeastern Minnesota through its signature academic, research, and public engagement programs in collaboration with other campuses of the University of Minnesota, other higher education institutions throughout the state and nation, governmental and non-profit organizations, and private enterprise. *(Campus Mission Statement Approved, Board of Regents, June 2009)*

Grounding Values

UMR's Values, as developed by the entire UMR community, are embedded in our Vision and emanate from our collective belief in the transformative power of higher education, a belief evident in the ambitious work of our Rochester founders. Accomplishing this vision requires mutual **respect** as we contribute to this endeavor with unique strengths, perspectives, roles, and responsibilities. Given that foundation of respect for our purpose and for one another, we are committed to the value of **community** among faculty, staff, students, and our many partners in this innovative educational enterprise. To build and sustain collaborative communities that move us toward our vision while creating a culture of trust, accountability, and belonging, we necessarily place high value on **diversity and inclusiveness**. As a diverse and purpose-driven community, we value **human potential** and the significance of every person, compelling us to make **evidence-based decisions** that will empower individual learning and development so that students, staff, faculty, and community partners will flourish.

Respect

We value habits of interaction that demonstrate the worth and dignity of each person.

Human Potential

We value every person's capacity to learn, develop, imagine, create, and contribute.

Community

We value collective work and a culture of trust that promotes collaboration, problem-solving, and partnerships while creating belonging, accountability, and courageous action.

Diversity and Inclusiveness

We value the range of human differences and the active pursuit and involvement of varied perspectives.

Evidence-Based Decision Making

We value strategic collection and careful assessment of data to inform our choices in all matters, including student learning and development.

UMR Strengths: Established Arenas of Distinctiveness

Our riveted focus on undergraduate education has generated innovations that are significantly enhancing student learning and development. We are committed to sustaining and optimizing these six established arenas of distinctiveness.

- Customized undergraduate health education
- Individualized care, attention, and guidance
- Connected curricular experiences
- Collaborative culture
- Learner-centered core shaped by ongoing learning research
- Community immersion and engagement

Centering Aspirations

In pursuit of this Vision and Mission, and grounded in these Values, Student Outcomes, and established Arenas of Distinctiveness, we will engage in strategic planning with the following Aspirations:

- Devote our expertise and energy to student learning and development, choosing habits that enable us to thrive as a healthy, high-integrity community characterized by our Values.
- Generate transformative contributions to the renewal of higher education, providing a collaborative environment of inquiry that allows innovative thought-leadership in teaching and learning; educational research; public engagement; organizational efficiency; and community integration.
- Enhance the diversity of the healthcare workforce, through intentional inclusivity emanating from our core commitment to respectful human relationships and permeating our habits of interaction in recruitment, teaching and learning, and the ongoing life of our UMR community.
- Optimize the established arenas of distinctiveness, assessing results to provide ongoing evidence for decision-making and mindfully aligning emerging innovations with these established strengths.
- Sustain UMR as an innovative, educational enterprise, through increased enrollment of passionate, resilient students commensurate with the goals established in our Enrollment Management plan as well as increased strategic generation of mission-driven resources.
- Contribute significantly to the continued development of the Rochester community, through intentional partnerships and initiatives including Destination Medical Center (DMC).

UMR Student Learning and Development Outcomes

UMR faculty, working together with student development staff, have re-envisioned the original UMR student learning and development outcomes based on evidence from our educational research endeavors and collaborative critical reflection as well as the other elements of this strategic framework. These distinctive UMR student outcomes reveal how we will measure student success and serve as a core component of our framework for strategic planning.

Knowledge in the Health Sciences

UMR students will acquire knowledge to provide a substantive foundation for advanced learning in the health sciences and related disciplines, including: humanities, biological science, historical perspective, literature, mathematical thinking, physical science, and the social sciences.

Intellectual and Practical Skills

UMR students will demonstrate progressively advanced competence in the intellectual and practical skills related to oral and written communication, independence, interdependence, and reasoning, including but not limited to scientific inquiry, quantitative literacy, information literacy, and problem solving.

Self Regulation

UMR students will develop and implement practices associated with self-monitoring, goal orientation, academic discipline, determination, accountability and responsibility. In addition, students will develop the ability to evaluate and modify reactions and behaviors in order to work under conditions of uncertainty and facilitate introspection and resilience.

Social Engagement

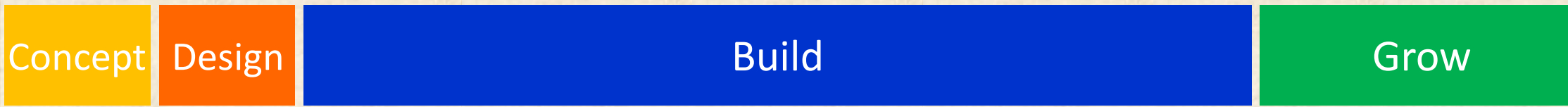
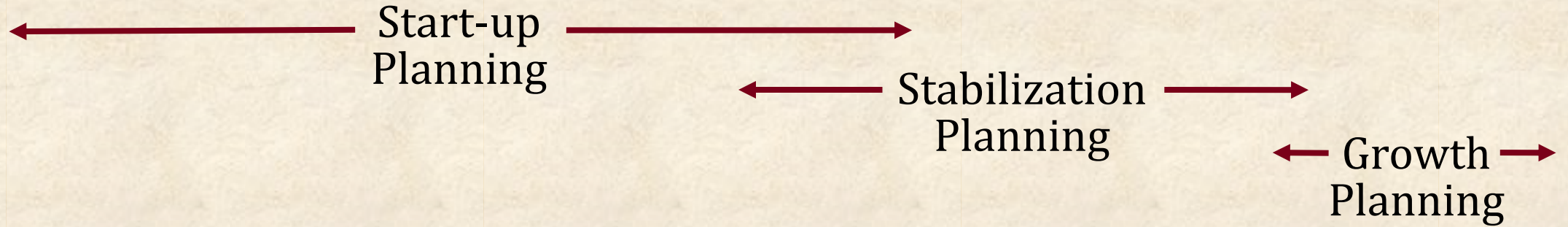
UMR students will apply an understanding of multiple perspectives, experiences, and social structures to interact with people from diverse backgrounds and recognize local and global challenges.



UNIVERSITY OF MINNESOTA
ROCHESTER

Driven to DiscoverSM

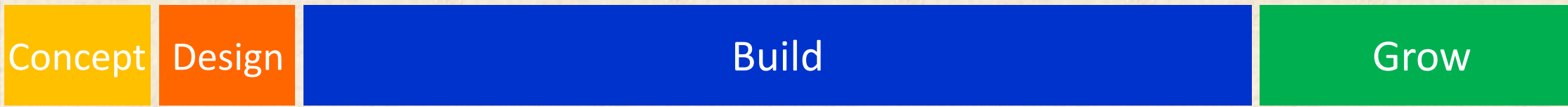
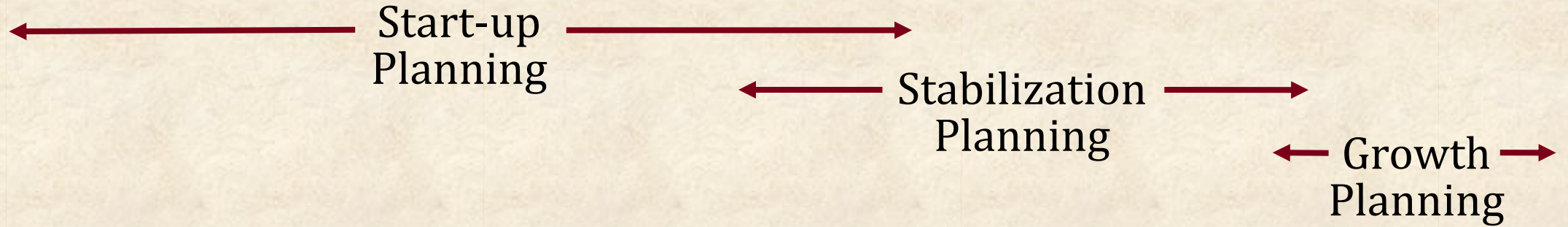
UMR Planning



Does it work?

**UNIVERSITY OF MINNESOTA
ROCHESTER**

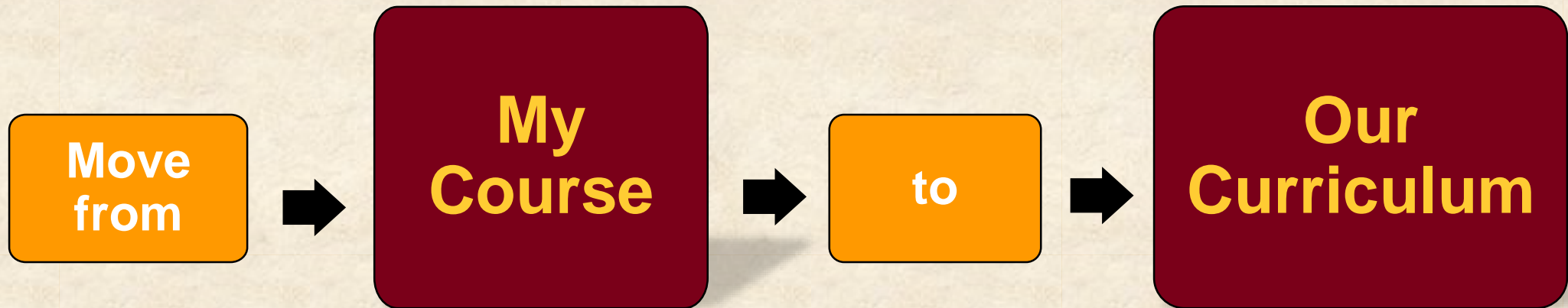
UMR Planning



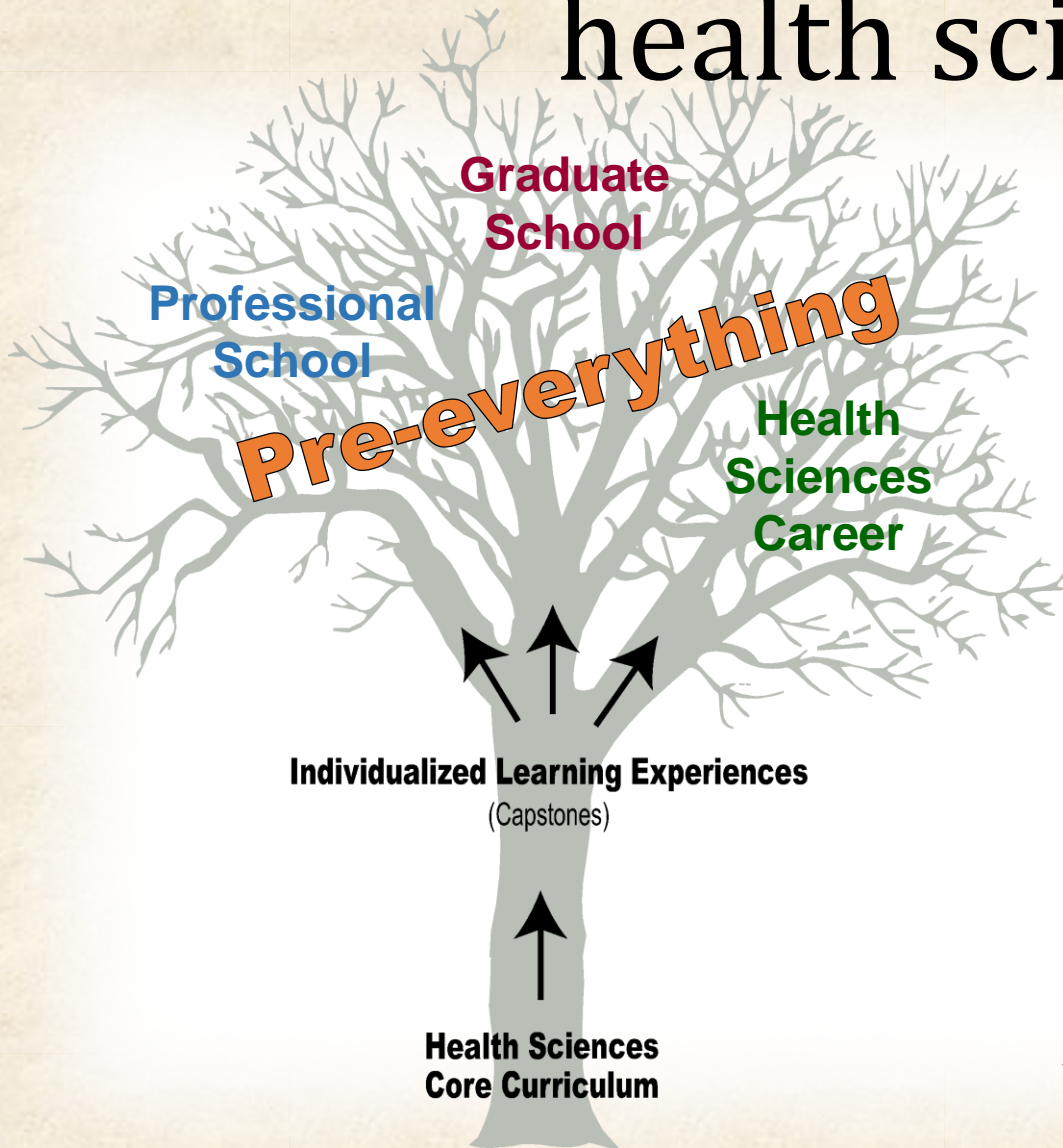
Does it work?



Learning is about making connections.



Where can your interest in health sciences take you?



The Bachelor of Science in Health Sciences (BSHS) degree program opens the door to professional school, graduate education, or a health science career, in addition to many other opportunities.

Patient Care

Dentist
 Optometrist
 Pharmacist
 Physical Therapist
 Physician
 Physician Assistant
 Veterinarian
 Genetic Counselor
 Occupational Therapist
 Prosthetist (Prosthetics)
 Echocardiographer
 Radiographer
 Respiratory Care Therapist
 Sonographer

Research

Biostatistician
 Food Scientist
 Clinical Researcher
 Addiction Scientist

Laboratory

Clinical Laboratory Scientist
 Cytotechnologist
 Molecular Geneticist

Wellness

Chiropractor
 Mental Health Counselor
 Psychologist / Psychiatrist
 Corporate Wellness Coach
 Nutritionist
 Recovery Coach

Business

Healthcare Administrator
 Health Entrepreneurship
 Medical Device Sales Rep
 Pharmaceutical Sales Rep

Communication

Communication Consultant
 Medical Journalist

Education

Health Sciences Professor
 Medical Historian
 Public Health Educator
 Community Health Educator

Information Technology

Computational Biologist
 Director of Health Information
 Health System Analyst
 Health Records Software Developer

Law

Health Policy Analyst
 Intellectual Property Attorney
 Regulatory Affairs

Color Guide

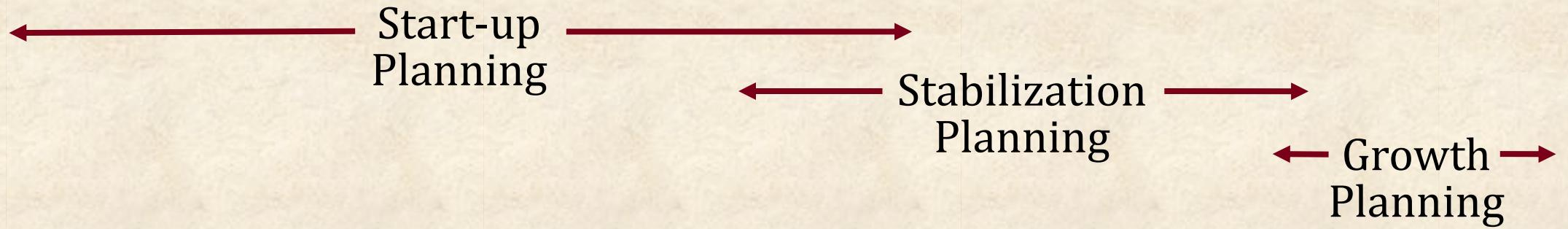
Professional Degree ◆ Master's or Ph.D. ◆ Bachelor's Degree and/or Certificate

Optimizing Distinctiveness

Relevant, Relational, and Rigorous

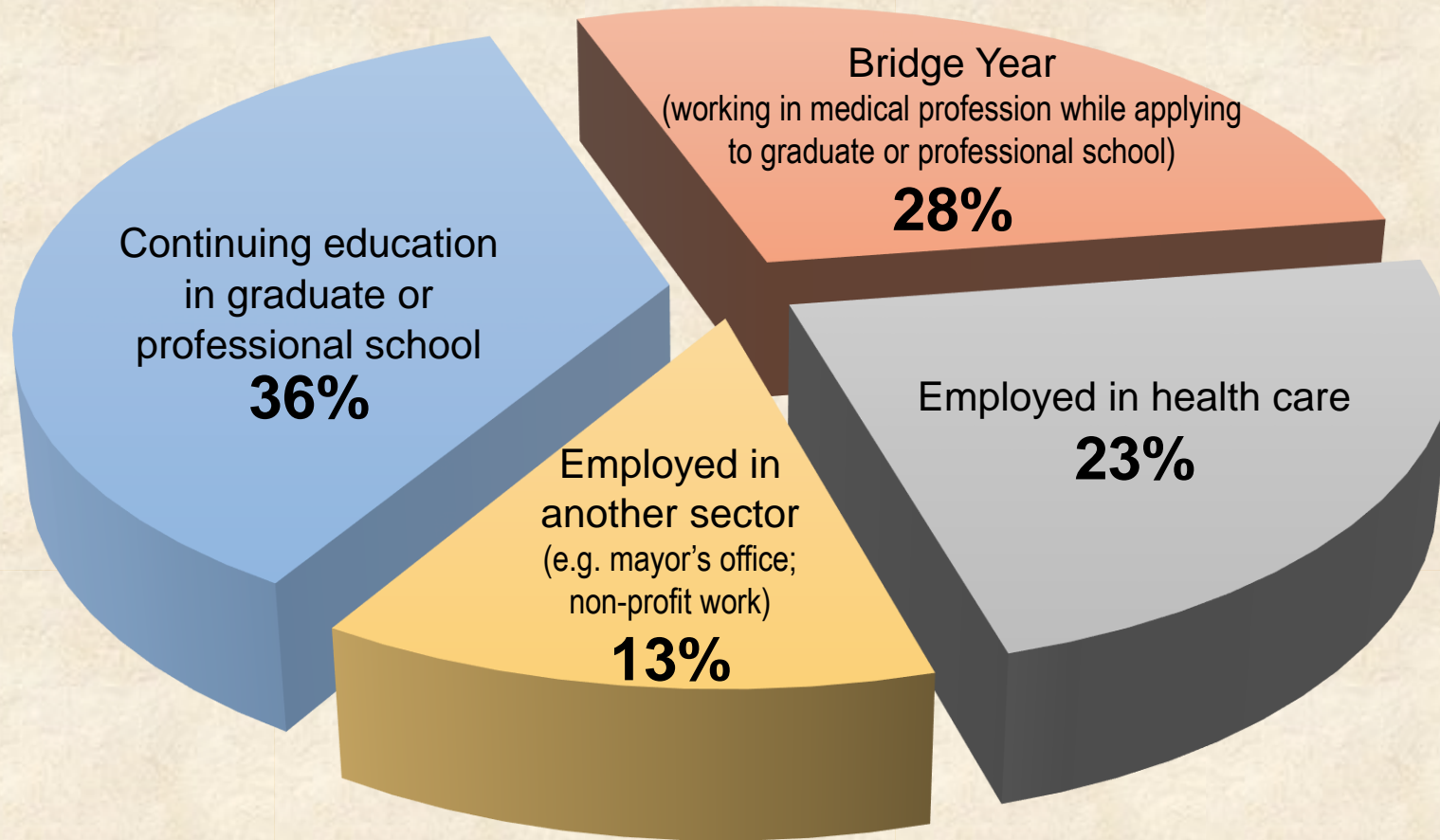
- Customized undergraduate health education
- Individualized care, attention, and guidance
- Learner-centered core shaped by ongoing learning research
- Community immersion
- Collaborative culture
- Connected curricular experiences

UMR Planning

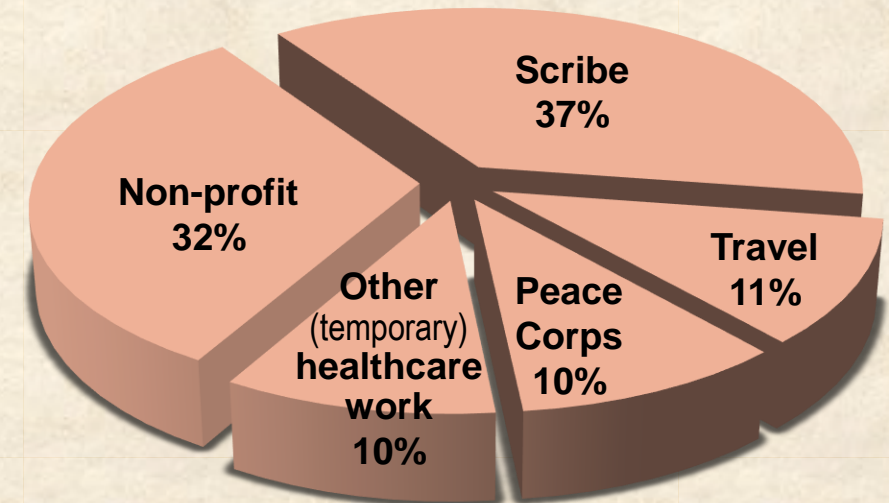


Does it work?

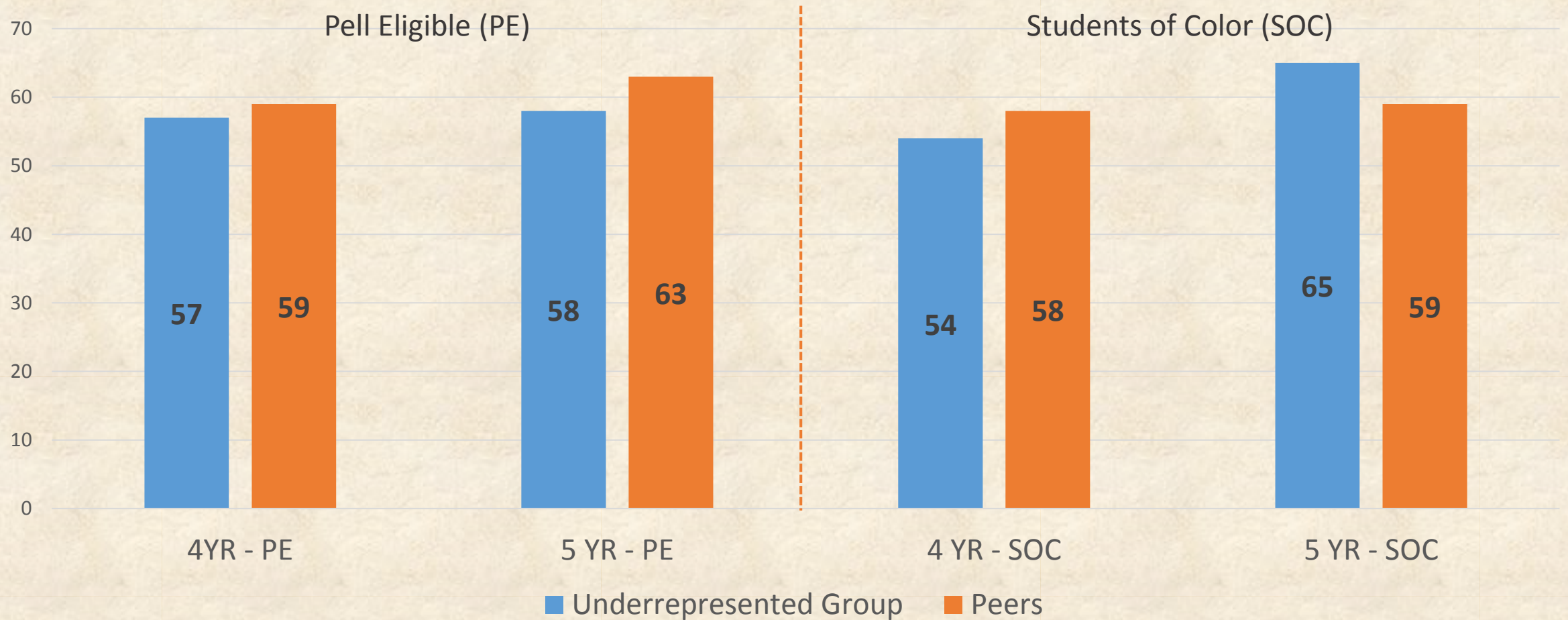
Immediate Plans After Graduation



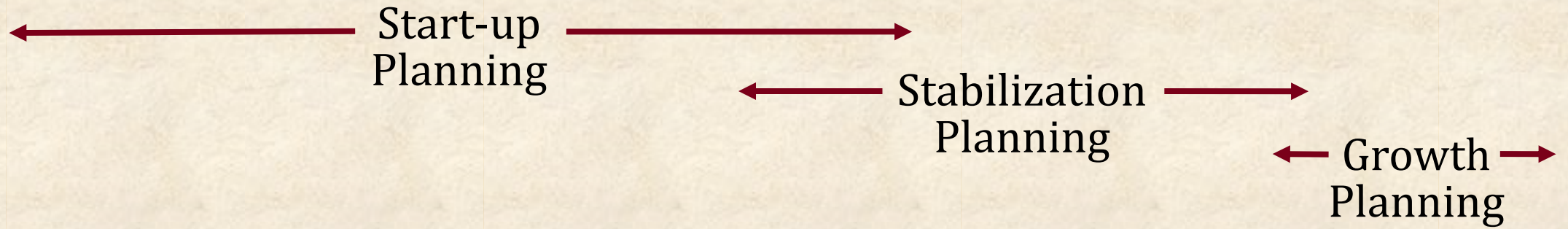
Bridge Year Breakdown



Composite Graduation Rates of Underrepresented Groups at UMR

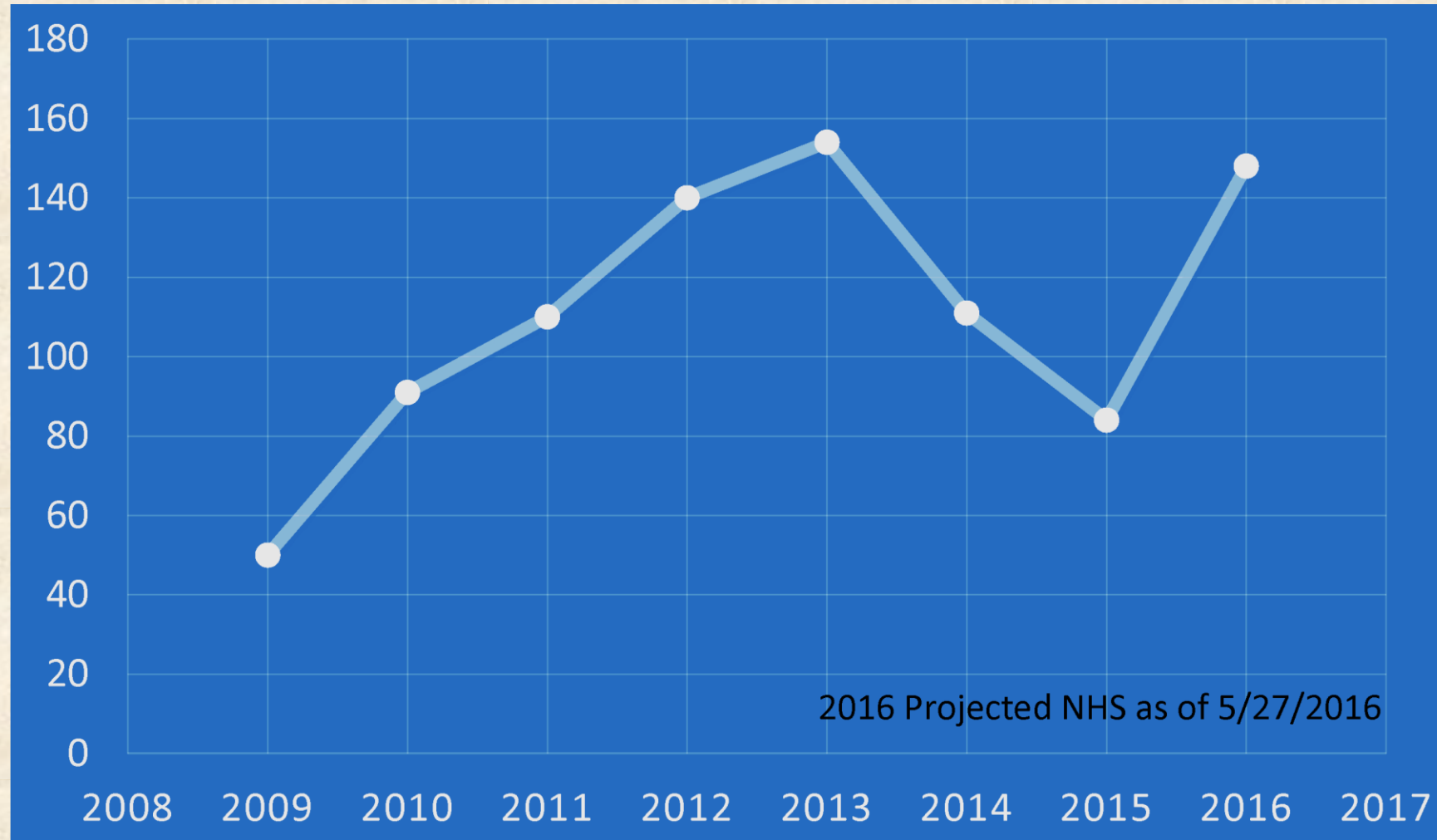


UMR Planning

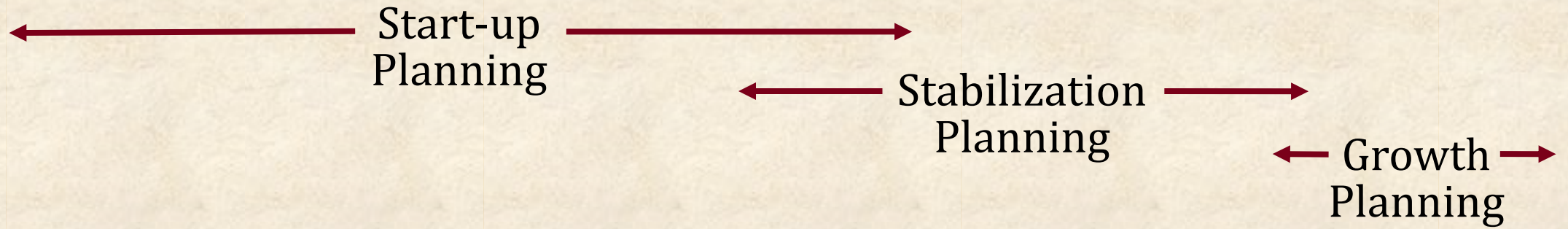


Does it work?

Official New High School (NHS) UMR - BSHS



UMR Planning



Does it work?

Strategic Framework



UNIVERSITY OF MINNESOTA ROCHESTER

UMR 2.0

Optimizing Distinctiveness: A Framework for Strategic Planning

As we move from a start-up university into our next season of innovation and health, we will build on this strategic framework of Vision, Values, Mission, Student Outcomes, Strengths and Aspirations.

University of Minnesota Strategic Plan Vision

The University of Minnesota will be pre-eminent in solving the grand challenges of a diverse and changing world.

University of Minnesota Rochester Strategic Plan Vision

The University of Minnesota Rochester (UMR) will inspire transformation in higher education through innovations that empower our graduates to solve the grand health challenges of the 21st century.

Mission

University of Minnesota Mission

The University of Minnesota, founded in the belief that understanding enriches all people, 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. *(University of Minnesota Mission Statement, Board of Regents Policy, January 1994)*

Rochester Campus Mission

The University of Minnesota Rochester promotes learning and development through personalized education in a technology-enhanced environment. The University of Minnesota Rochester empowers undergraduate and graduate students to be responsible for their own learning and provides appropriate support to prepare them to



UM-ROCHESTER
It's interdisciplinary

THE CHRONICLE
of Higher Education
NOVEMBER 6, 2009
VOLUME LXVI #11

INSIDE HIGHER ED
Experiment in the Health Sciences
September 8, 2009
By Jennifer Epstein
Home to the Mayo Clinic and the largest IBM facility under one roof, the city of Rochester, Minn., has for more than a century been a center of experimentation and innovation.

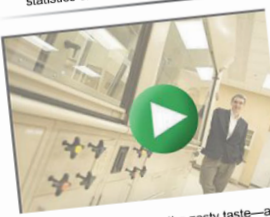
NATIONAL
CROSSTALK

Vol. 19 No. 1 May 2011
Published by The National Center for Public Policy and Higher Education

CROSSTALK
Interdisciplinary Curriculum
Newly established University of Minnesota Park
a radically different

hhmi Howard Hughes Medical Institute
HHMI News
[September 8, 2009]
New Health Science Major in Minnesota
Redefines Interdisciplinary

Summary
An innovative new health sciences curriculum at the University of Minnesota Rochester, spearheaded by Professor Claudia Neuhauser, is specially designed to integrate seemingly unrelated topics, such as statistics or chemistry and ethics.



If you've ever bitten into a chili pepper, then you're probably familiar with the spicy-hot chemical capsaicin. But for professor Rajeev Muthyala, the chemical was troublesome for more than just its slow burn—it also presented a vexing pedagogical problem.

"The chemistry of capsaicin is fascinating, but it's also interesting from a physiological standpoint," the chemist says. Aside from the zesty taste—and sometimes overpowering heat—that capsaicin imparts, it can also be used as a pain reliever. A student being taught a traditional college curriculum would likely learn the chemical and physiological details about capsaicin in different classes, which might be taken years apart, Muthyala says.

But an innovative new health sciences curriculum, spearheaded by Howard Hughes Medical Institute Professor Claudia Neuhauser, is making it easier for undergraduates at the University of Minnesota Rochester to tackle interdisciplinary themes, including the properties of capsaicin.

The curriculum is specially designed to integrate seemingly unrelated topics, such as biology and statistics or chemistry and ethics. Neuhauser and her colleagues hope the courses will help students to make the kinds of intellectual leaps that will be crucial to their success in careers as scientists, doctors, even entrepreneurs. The first class of 55 students in this innovative curriculum, which Neuhauser and her colleagues have designed from scratch, will start in September.

"It's not enough for students to learn a bunch of facts for four years, because the amount of information around us is exploding," says Neuhauser, vice chancellor for academic affairs at the University of Minnesota Rochester (UMR). "We want students to learn to think."



DON'T LECTURE ME
Inventing a New Kind of College
BY EMILY HANFORD

There are many reasons professors who lecture don't want to give it up. Tradition says, "Lecturing is just the way a lot of professors have always done it," says Joe Redish, a Maryland, College Park who has done research on why lectures aren't effective. "A lot of [them] are not excited about the idea that they might have to move out of their professor's under pressure to publish."

"Your research matters," Redish says. "Your teaching you can get by with." This is the message Redish got from his department when he started teaching a young faculty got today. "Until the perception of the quality of a department begins to depend on how many papers, there's not going to be much incentive for professors to try new approaches. Even at liberal arts colleges where teaching is more of a focus, professors are under pressure to produce research."

"You risk your tenure as an early-career professor if you focus too much on teaching, even at our teaching-centered institutions," says Julie Schell, an education researcher at Harvard University who wrote her dissertation on why the lecture continues to be a dominant approach. Schell says another reason professors stick with traditional approaches is they don't know much about alternatives. Few get training or coaching on how to teach.

"It's kind of ironic that we as professors don't have any type of training in any way, shape or form," says Andy Petzold, "it's the only teaching degree that you don't need to go through any actual training in teaching to do."

A Clean Slate
The chancellor of the University of Minnesota Rochester is Steve Lehman. He is a psychologist and an administrator at the University of Missouri and a psychologist studying how the brain processes information. He says advancing the past 30 years lead him to believe that colleges should not deliver education. But universities are stubborn places where extremely difficult to make substantial changes in the way they teach. "You spend a lot of energy just to create space for innovative progress with one innovation, but people are so set in their ways that [the innovation] just gets sucked up as though it's a foreign object. Lehman needed a clean slate to make the changes he had in mind. So when the University of Minnesota decided to create a new campus in Rochester, he applied for the chancellor's job. The university wanted a school that would prepare students for the 21st century. The University of Minnesota didn't have the money for a "real" university. More important, the man chosen to lead the new institution, Stephen Zemsky, insisted on thinking outside the box."

THE FACULTY
Learning Goes Under a New Microscope
The faculty at the University of Minnesota Rochester, a new experiment is underway -- not in medicine but in learning.

Forbes
OPINION 1/16/2014 @ 9:13 AM | 62,171 views
Small, New University Does Something Radical -- Only Professors Who Want To Teach Only Admits Students Who Want To Learn
Is a college degree worth what it costs? More and more Americans are questioning the conventional wisdom that it is, as the price tag climbs while the educational value (at least for many students) falls.

That isn't either a "right" or a "left" critique. Honest observers from all over the political landscape realize that to a great extent, colleges and universities are run more for the benefit of their faculty, than for the benefit of their students.

Two well-known liberal writers, Andrew Hacker and Claudia Dreifus made that point in their 2011 book *Higher Education*. "The schools almost function for (the professors), for their aspirations and interests. Students come and go every four years, administrators will move on, but the tenured stay on in Bloomington, College Park, and Chapel Hill, accumulating power, controlling resources, reshaping needs," they write.

The libertarian Peter Thiel, a Stanford graduate, thinks that the pursuit of the college and start their productive careers years sooner. But just because much of our higher education system is now a poor investment shouldn't think that worthwhile schools are a thing of the past. The University of Minnesota Rochester is a good example of a school that is doing it right.

While online education is up, UMR shows that the serious students a true education. First, a short history of UMR. Rochester, Minnesota is being reborn. Going back to the 1960s, UMR resulted in a community college educational models didn't exist.

Business and civic leaders kept when the state designated UMR. At that point, however, there have set up UMR like almost all teams, and so forth. Had that had graduates who have had a good education. Fortunately, that did not happen. The man chosen to lead the new institution, Stephen Zemsky, insisted on thinking outside the box.

COMPLETE TO COMPETE
BRIEFING PAPER
Education in Tough Economic Times
The University of Minnesota Rochester, a new experiment is underway -- not in medicine but in learning.

CHECKLIST FOR CHANGE

Making American Higher Education a Sustainable Enterprise

Zemsky, R. (2013). *Checklist for Change: Making American Higher Education a Sustainable Enterprise*. New Brunswick: Rutgers University Press.

"And that ultimately is why UMR is such an important harbinger of a better, more productive, and responsive future for American higher education."





UNIVERSITY OF MINNESOTA
ROCHESTER

Driven to DiscoverSM



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: University of Minnesota Alumni Association Annual Report

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

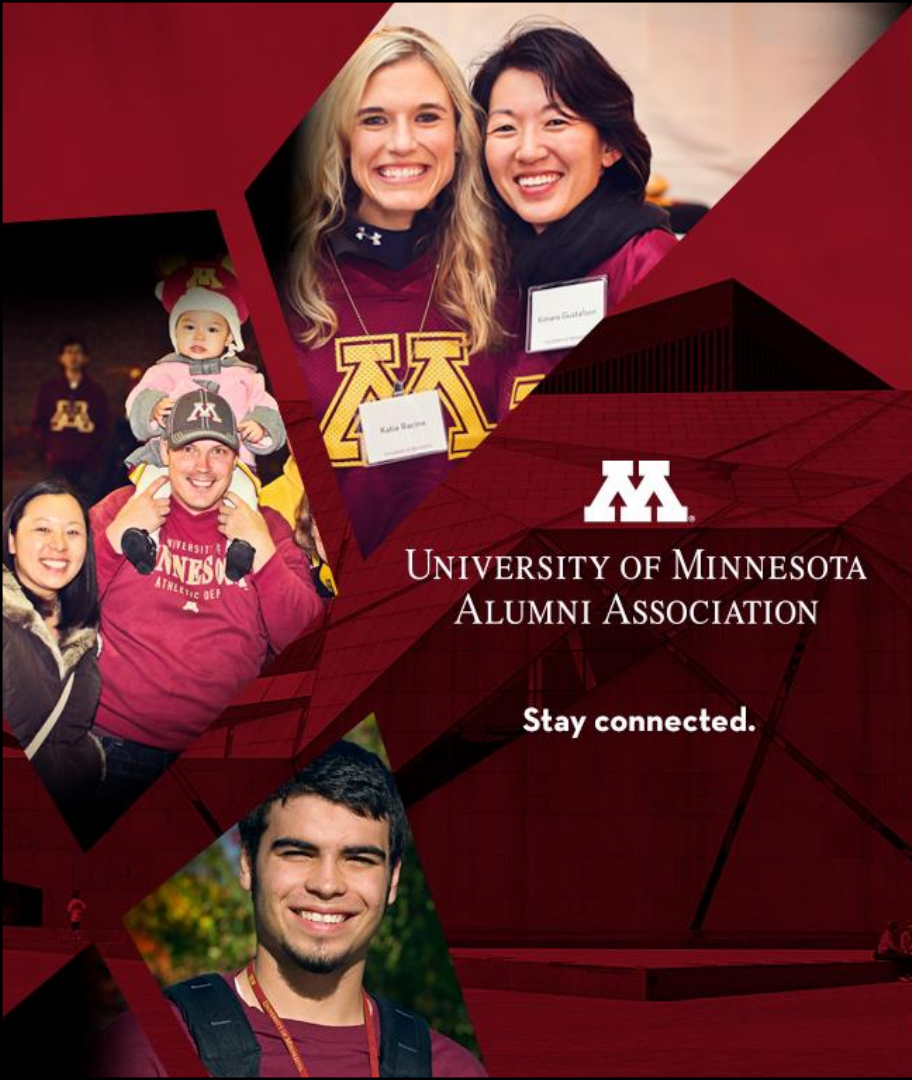
PRESENTERS: Lisa R. Lewis, President and CEO, UMAA
Alison Page, FY 2016 Board Chair, UMAA
Dan McDonald, FY 2017 Board Chair, UMAA

PURPOSE & KEY POINTS

The purpose of this item is the annual update on alumni relations at the University of Minnesota Twin Cities.

BACKGROUND INFORMATION

The UMAA annual report was last delivered to the Board in July 2015.




UNIVERSITY OF MINNESOTA
ALUMNI ASSOCIATION

Stay connected.

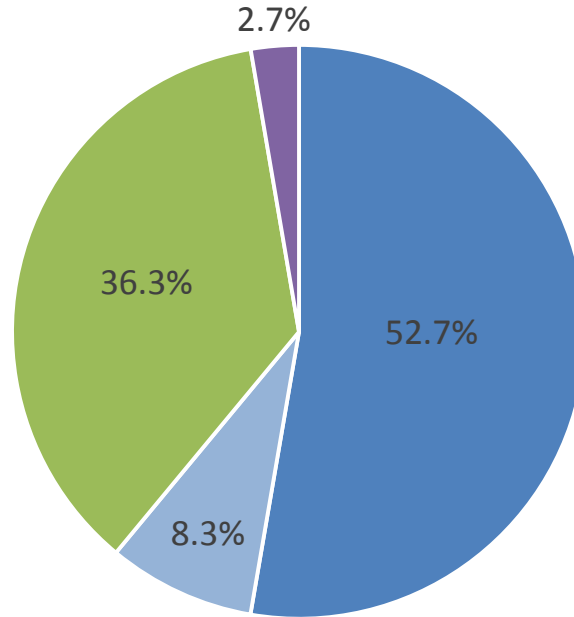
Report to the Board of Regents

July 6, 2016

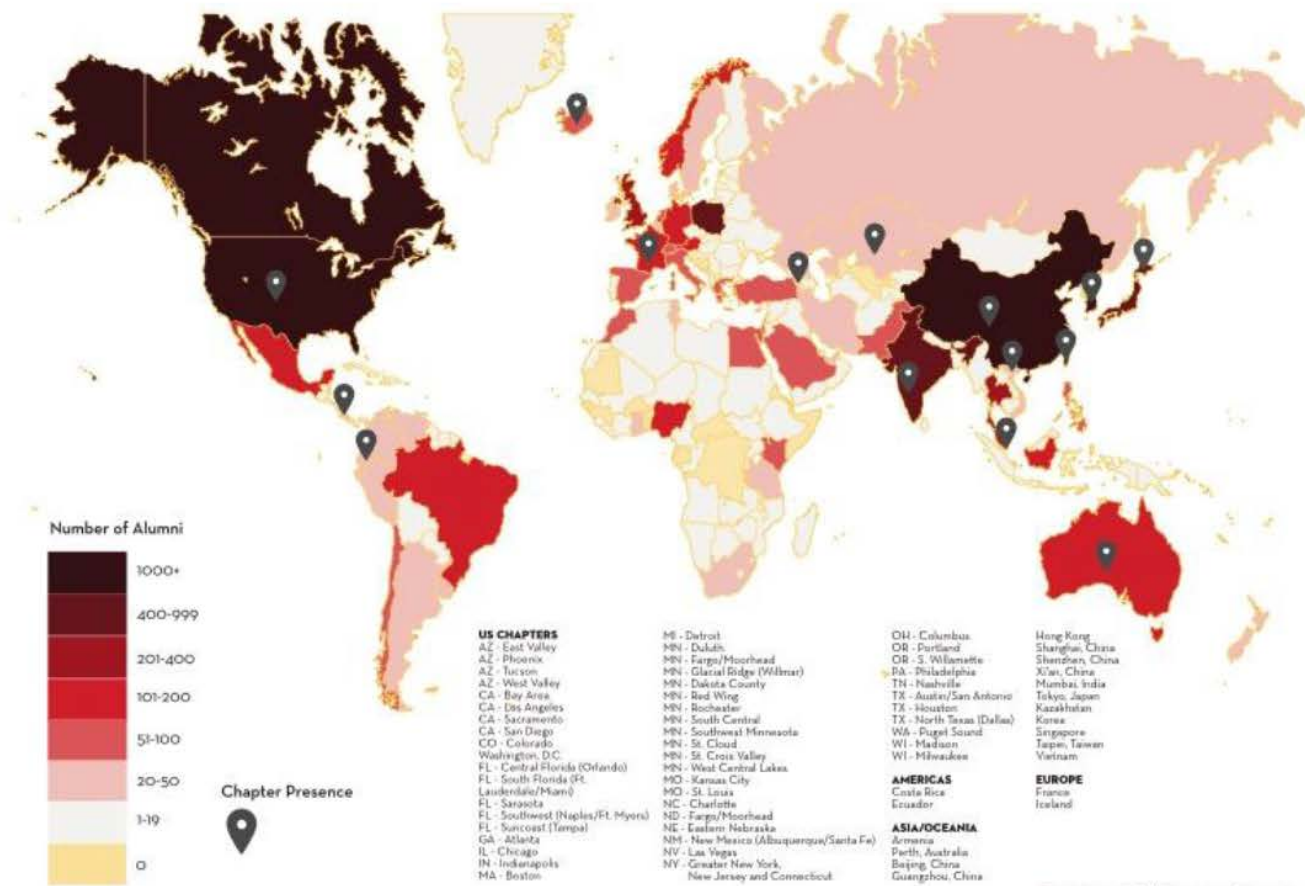
ALUMNI PROFILE

Location of Living Twin Cities Campus Alumni

466,000 living
Twin Cities
campus alumni

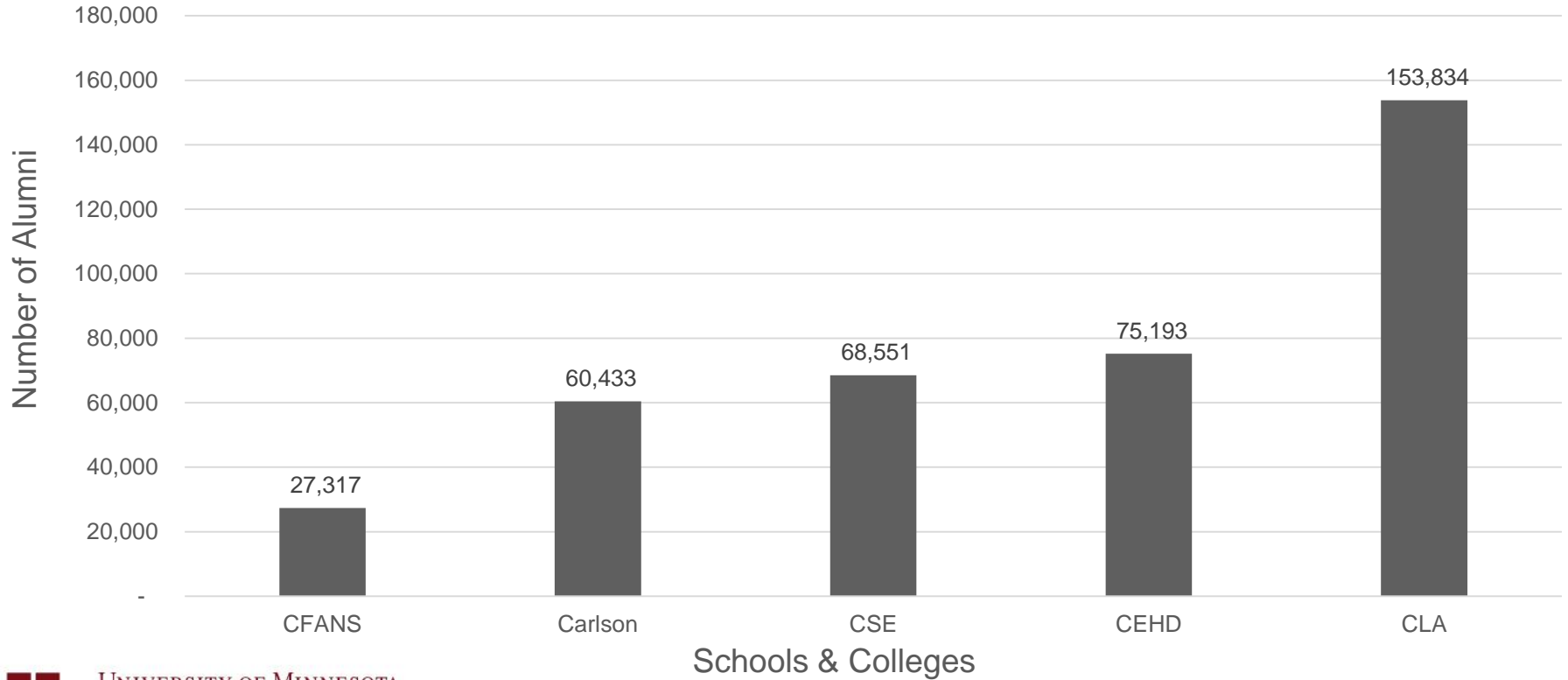


■ Twin Cities ■ Greater Minnesota ■ U.S., excluding MN ■ International



ALUMNI PROFILE

Biggest Schools & Colleges by Number of Living Twin Cities Campus Alumni



ALUMNI PROFILE

FY16 Mid-Year Engagement Metrics

Time Period	Number of Living Graduates from Twin Cities Campus	Number of Contactable Alumni	Number of Engaged Alumni	Percent of Engaged Alumni
FY15 (year-end)	456,347	420,773	212,187	50.4%
FY16 (mid-year)	459,129	422,921	200,943	47.5%

ALUMNI IMPACT

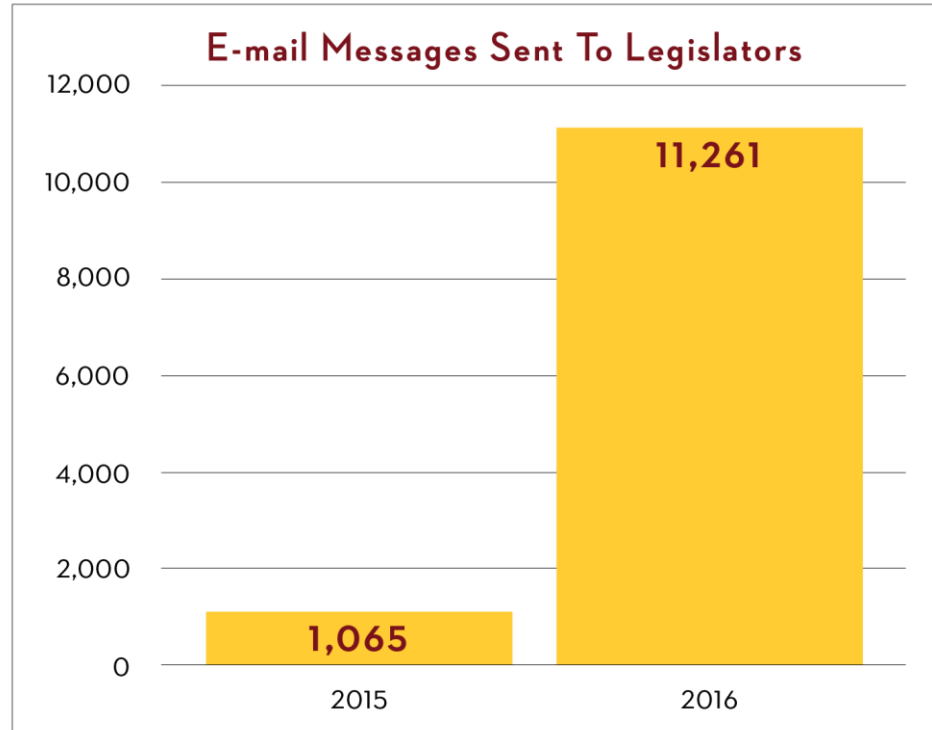
Legislative Advocacy

- Legislative Breakfast - 2/23
- State of the State Reception - 3/9
- Support the U Day - 3/29
- Intern/Alumni Breakfast - 4/12



ALUMNI IMPACT

Legislative Advocacy



ALUMNI IMPACT

National Student Recruitment

- Program launched in February 2015
- In partnership with the Office of Admissions
- 102 Alumni Ambassadors identified in seven states



ALUMNI IMPACT

Greater MN Outreach

Completed:

- Red Wing - March 22
- Brainerd - April 19
- Mountain Iron - May 17



Coming this fall: Fergus Falls, Marshall and St. Cloud

ALUMNI IMPACT

Greater MN Outreach

- Presidential social hours at five locations-Rochester, Winona, Albert Lea, Willmar, Alexandria
- Five alumni networks in Greater Minnesota had ten faculty presentations



ALUMNI IMPACT

Philanthropy



More than 44,000 alumni gave \$167,600,000 to the U in FY15!



ALUMNI IMPACT Service

- U of M Day of Service 2015
 - 270 alumni volunteers across the US
 - 10 sites in Minnesota
 - 11 sites nationally
 - One international volunteer in Nicaragua
- U of M Alumni Day of Service 2016-
October 15th



ALUMNI IMPACT

Student Mentorship



- Supported 1400 mentor pairs across nine schools and colleges.
- Organized two UMAA-specific webinars featuring mentors
- Hosted April 5 Mentor Appreciation Dinner

UMAA SERVICE TO ALUMNI

SERVICE TO ALUMNI

Career Support

WEBINARS

- 2,100+ day-of attendees/4,600+YouTube viewers
- 36 states and countries

VIRTUAL NETWORKING

- 800+ participants
- 1,250+ unique online conversations
- 41% of attendees for these virtual networking events live outside Minnesota (150+ students)
- 31 states and 17 countries



SERVICE TO ALUMNI

Alumni Networks



6/24 Corporate Group Breakfast

Networks (Chapters)

- Minnesota – 8
- National – 29
- International-19
- Affinity Groups – 3 (Black Alumni, Band, Greek)
- Corporate Groups –
 - Three established (Best Buy, US Bank, Target)
 - Four in progress (United Health Group, Ameriprise, General Mills, 3M)

SERVICE TO ALUMNI

Special Access

Behind the Scenes

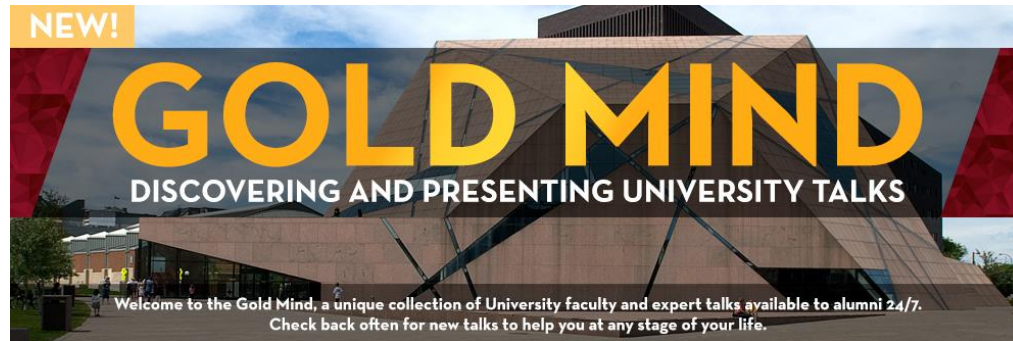
- Alumni-exclusive access to Twin Cities locations:
 - WCCO
 - U of M Libraries
 - Chocolat Celeste



SERVICE TO ALUMNI

Lifelong Learning

- Gold Mind launched June 2015
 - Over 100 pieces of content
- Over 30 faculty presenters at UMAA events nationally



SERVICE TO ALUMNI

Staying Informed

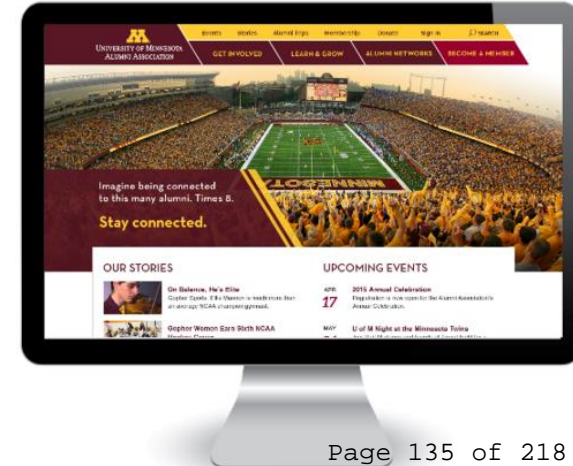
- **Minnesota Alumni Magazine**
- **Alumni Angle** - UMAA's monthly e-newsletter
- **At the U** -
 - University events/activities in and around the Twin Cities campus
- **Social Media**

The screenshot displays the University of Minnesota Alumni Association website. At the top, there is a navigation bar with the U of M logo and the text 'UNIVERSITY OF MINNESOTA ALUMNI ASSOCIATION'. Below this, a banner reads 'READ THE SUMMER ISSUE OF MINNESOTA ALUMNI MAGAZINE ONLINE HERE' with a link to 'Hello, Christopher'. The main content area features a large image of a man in a suit, likely the President and CEO, Lisa Lewis. To the right of the image, there is a sidebar with the text 'READ BELOW FOR INSIGHT FROM UMAA PRESIDENT AND CEO LISA LEWIS' and a list of articles under the heading 'INSIDE', including 'Burning Questions About Food', 'A Work With Soul', 'History: Home Remedies', '2017 Travel Guide', 'Campus and Alumni', and 'New and more'. Below the main image, there is a section titled 'A MESSAGE FROM U' and a 'MONTHLY LIST OF EVENTS YOU CAN'T MISS' section. This section lists several events with dates and brief descriptions, such as 'CULTURAL ARTS' on June 2, 'EAT, LEARN, GATHER' on June 3, 'RAPTOR REHAB' on June 4-20, 'MUSIC ON THE PLAZA' on June 6, 'BIG BUGS' on June 15, and 'FIND YOUR VOICE' on June 9. At the bottom of the page, there is a membership information section with the U of M logo and the text 'Become a life member today!' followed by a table of rates.

Become a life member today!		
Current life member rates (rates effective July 1)		
Single - \$550/\$750	Senior (65+) Single - \$350/\$500	
Joint - \$700/\$950	Senior (65+) Joint - \$400/\$600	

LOOKING AHEAD FY17

- New website is on track for a fall release
- Technology upgrade highlights include:
 - Fully customized website that's mobile and tablet friendly
 - Customized alumni content based on personal preferences and affinities
 - Single database for all alumni and donors



LOOKING AHEAD FY17

Increased Focus

- Student and recent alumni engagement
- Legislative advocacy
- Corporate networks
- Greater Minnesota and national outreach

LOOKING AHEAD

Homecoming: October 22, 2016

- Grand Marshal: Clara Adams-Ender (Ret.)
 - MS '69 Nursing
 - Brigadier General
 - Many awards including Living Legend by the American Academy of Nursing



Increased alumni engagement leads to a stronger University.





BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: University Progress Card Update

- Review
 Review + Action
 Action
 Discussion
- This is a report required by Board policy.*

PRESENTERS: President Eric W. Kaler
Lincoln Kallsen, Director, Institutional Analysis

PURPOSE & KEY POINTS

The purpose of this item is to discuss the first full update of the University’s Progress Card and related policy implications regarding Progress Card results.

As envisioned, the Progress Card will:

1. Focus oversight on a limited number of strategically measurable goals (Gold measures) that establish an at-a-glance roadmap for the future and provide insights into important trends (Maroon measures) that signal institutional strength.
2. Inform and help align operational metrics and strategic plan implementation.
3. Be frequently referenced and updated annually.

The Progress Card is only one of the University’s metrics measures. It is related to, but does not substitute for, other operational metrics and measures of the success of strategic plan implementation. Some examples of these differences include:

	Progress Card	Operational Metrics & Strategic Plan Implementation
Purpose	Focus is on governance and moving the organization forward. Limited number of strategic but measurable goals.	Focus is on implementing the strategic plan, including establishment of numerous operational metrics that will sustain strategic plan momentum over a long period.

	Progress Card	Operational Metrics & Strategic Plan Implementation
Measures	Sets clear targets and measures that connect to establish a strategy roadmap for the future. Uses a mix of leading indicators (or performance drivers) and lagging indicators (or outcomes).	Tracks data points to assist management and articulate how the University community will know if implementation of the plan is having the desired impact. In some cases, may use small groups of proxy metrics since cultural change can be difficult to measure.
Timeframe	5- to 8-year goals; progress reviewed annually.	Establish 2014-15 baseline and track progress throughout the strategic plan horizon.

To clarify the Board’s expectations and establish targets for measuring success, the Progress Card includes a limited number of focused measures.

Gold measures are defined by the following characteristics:

- Well understood and agreed upon data sources.
- Ability to set a quantifiable goal for 2021.
- Reasonable historic data and accuracy.
- University can take actions to influence.

Maroon measures are defined by the following characteristics:

- Directional goals, or goals may change.
- May only need to be monitored.
- May need to be developed, added, or deleted.
- University action alone does not significantly influence.

The docket includes the first update on the Progress Card, with the most recent data available for all measures, as well as definitions for each Progress Card measure.

BACKGROUND INFORMATION

- February 2016, “Progress Card Metrics for Minnesota Students,” Academic & Student Affairs Committee
- October 2015, “University Progress Card – Approval,” Board of Regents
- September 2015, “University Progress Card – Review,” Board of Regents
- July 2015, Board of Regents Annual Retreat
- May 2015, “Draft Progress Card,” Board of Regents Work Session

Progress Card: Gold Measures

- Well understood and agreed upon data sources
- Able to set a quantifiable goal for 2021
- Reasonable historic data and accuracy
- University can take action to influence

Entering year	Campus	2008	2009	2010	2011	Goal/Year
4-year graduation rate (by entering year)	Crookston	35.5%	34.7%	42.5%	44.5%	45%/2017 cohort
	Duluth	37.4%	37.5%	38.2%	39%	45%/2017 cohort
	Morris	57.4%	53.2%	53.4%	52.6%	60%/2017 cohort
	Rochester	NA	50%	50%	63.1%	60%/2017 cohort
	Twin Cities	58.1%	59.1%	60.9%	63.3%	65%/2017 cohort
Entering year		2006	2007	2008	2009	Goal/Year
6-year graduation rate (by entering year)	Crookston	53.4%	46.6%	51.7%	48.4%	60%/2015 cohort
	Duluth	59.6%	66.7%	65.5%	66.5%	68%/2015 cohort
	Morris	64.2%	68.2%	73.5%	68.1%	80%/2015 cohort
	Rochester	NA	NA	NA	60%	60%/2015 cohort
	Twin Cities	73.2%	75.7%	78.7%	77.6%	82%/2015 cohort
Entering year		2008	2009	2010	2011	Goal/Year
4-year graduation rates of Pell-eligible students (by entering year)	System	41.2%	41.5%	44.1%	45.2%	54%/2017 cohort
		2012-13	2013-14	2014-15	2015-16	Goal
Twin Cities freshman average ACT	Twin Cities	27.7	27.9	27.9	28.2	>28.0
		2011-12	2012-13	2013-14	2014-15	Goal/Year
Institutional gift aid	System	\$210M	\$216M	\$223M	\$233M	\$275M/2021
		FY2011	FY2012	FY2013	FY2014	Goal/Year
R&D expenditures	Twin Cities	\$847M	\$826M	\$858M	\$877M	\$900M/2021
		FY2012	FY2013	FY2014	FY2015	Goal/Year
Medical School ranking	Twin Cities/ Duluth	28	27	30	32	Top 20/2021
		2009-10	2010-11	2011-12	2012-13	Goal/Year
Faculty awards (N and Rank: Public Universities)	Twin Cities	34 (7th)	25 (10th)	33 (5th)	32 (6th)	35+ (Top 10)/2021
			2013	2014	2015	Goal/Year
% Participation Employee Engagement Survey	System		57%	64%	67%	72%/2021
			FY2014	FY2015	FY2016	Goal/Year
Op Ex—continued progress on \$90M	System		\$18.8M	\$40.4M	\$57.8M	\$90M/FY19

Progress Card: Maroon Measures

- Directional goals, or goals may change
- May need to be developed/added/deleted
- May only need to be monitored
- University action alone does not significantly influence

Strategic Focus	Campus	Performance Drivers/Outcomes	2009	2010	2011	2012	Goal
Undergraduate Education	Twin Cities	Twin Cities transfer student 3-year graduation rate	56.4%	58.6%	62.5%	61.4%	>65%
			2011-12	2012-13	2013-14	2014-15	Goal
Graduate Education	Twin Cities/ Duluth	Graduate and professional degrees awarded	5,291	5,242	5,294	5,305	>5250
			2011-12	2012-13	2013-14	2014-15	Goal
Financial Accessibility	System	Median undergraduate debt at graduation –system	\$25,186	\$ 24,880	\$ 24,854	\$ 24,776	Grow no faster than CPI; Correct for federal/state policy changes
			2012	2013	2014	2015	Goal
Inclusive success	Twin Cities	Students of color with a favorable sense of belonging on campus (SERU survey)	58.7%	59.2%	57.5%	57.3%	Match to non-SOC response (currently 71.5%)
			2012	2013	2014	2015	Goal
Serving Minnesota students	System	Percent of incoming new (and all currently enrolled undergraduate) students who are Minnesota high school graduates	70.3% (72.5)%	72.3% (71.9)%	71.0% (71.4)%	70.0% (71.0)%	Maintain historical access
			13.9%	16.2%	16.7%	16.6%	Maintain historical access
Serving Minnesota students	System	Percent of Minnesota high school graduates that elect to attend college in Minnesota and enroll at the U of M as freshmen	13.9%	16.2%	16.7%	16.6%	Maintain historical access
			2012-13	2013-14	2014-15	2015-16	Goal
Health Sciences	Twin Cities/ Duluth/ Rochester	Enrollment in in-demand health science specialties (Nursing, Pharmacy, Dentistry)	1,988	2,000	2,051	2,085	>2,100
	Twin Cities/ Duluth/ Rochester	The total combined fall enrollments in the Academic Health Center schools and the AHC Center for Allied Health	6,268	6,292	6,194	6,198	>6,350
Research	Twin Cities	National public research ranking	8	9	9	8	Maintain top 10
	System	MN-IP agreements	14	41	51	69	10% annual growth
Land Grant Mission	System	Public service expenditures	\$245M	\$249M	\$253M	\$248M	>\$245M
			2011-12	2012-13	2013-14	2014-15	Goal
Academic Excellence	Twin Cities	Citations per faculty member	127	126	124	133	>125
			2000-05	2005-10	2010-15	Goal	
Operational Excellence	System	National scholarships awarded to students		31	52	75	>80 from 2015-2020
			FY2012	FY2013	FY2014	FY2015	Goal
Operational Excellence	System	Spending on leadership & oversight vs. mission and mission support (%)	7.9%	7.7%	7.4%	7.4%	Decrease over time
		GSF in poor or critical condition (facility condition assessment)	7.33M	7.61M	7.73M	8.32M	Decrease over time
		Sustainability–Metric tons of greenhouse gasses (2008 base level: 703,311)	566,057	626,599	603,504	592,269	50% reduction from 2008 levels by 2021 (351,656)
		Credit rating	Aa1	Aa1	Aa1	Aa1	Maintain per Board policy
Athletics	Twin Cities	Graduation Success Rate (GSR)	83.2%	83.6%	86.2%	88.2%	Maintain recent gains
			2002-05	2003-06	2004-07	2005-08	Goal

PROGRESS CARD MEASURES DEFINITIONS

GOLD MEASURES

Measure: 4- and 6-year graduation rates, by campus

Definition/Discussion: The percentage of first-time, full-time new entering freshmen that graduated within four or six years. The University counts as a successful completion a student that first enrolls at any U of M campus and graduates from any U of M campus in the given timeframe. (For federally reported measures, a student must begin and graduate from the same campus to be counted as a successful completion for that institution.)

The four-year graduation rates reported in 2021 will be based on the 2017 entering cohorts, while the six-year graduation rates in 2021 will be based on the 2015 entering cohorts (this year's cohorts). The Provost on the Twin Cities campus and Chancellors on the system campuses were asked to set reasonable stretch goals for their individual campuses given incoming student characteristics, availability of degree programs, and peer comparisons.

Measure: 4-year graduation rates of Pell-awarded students (system)

Definition/Discussion: The percentage of first-time, full-time new entering freshmen who received federal Pell grants their first year and graduated within four years.

This is a system-level measure of undergraduates at all campuses. Similar to overall four-year graduation rates, this measure takes an incoming cohort of students receiving Pell grants and examines their graduation levels four years later. Ideally financial need would not be a barrier to graduation, yet we know that Pell eligibility can also correlate with other graduation risk factors such as being a first-generation student.

The ultimate goal for these students would be to bring their graduation rate up to that of the student body as a whole. Although this may be unrealistic in a shorter time frame, the proposed goal grows the graduation rate of Pell-awarded students at twice the rate of the proposed growth rate for the student body overall.

Measure: Twin Cities entering freshman average ACT

Definition/Discussion: The composite score on the ACT exam for entering students. The ACT uses a 36-point scale on four multiple-choice testing areas: Math, English, Science, and Reading.

A long-time measure of the academic preparedness of the incoming class, the average ACT score of the freshmen class has been rising steadily, from 24.8 in 2003 to 28.2 in 2015. However, given state demographics, natural limits, and the desire to meet multiple goals for the incoming class (including access

for students across Minnesota, students of color, and students from diverse socio-economic backgrounds), it is unlikely that the University will see or desire a significant increase in this measure in the near future.

The University has a goal of exceeding an average ACT of 28.0 while continuing to monitor student access to a University education.

Measure: Institutional gift aid (system)

Definition/Discussion: The total amount of student gift aid provided by the University across all campuses. Gift aid includes Promise scholarships, admissions scholarships, collegiate and department scholarships, athletic scholarships, Regents scholarships, and graduate assistant tuition benefits. This measure does *not* include state or federal grants, student employment, or loans.

While there is no “correct” level of institutional gift aid, the University has a long standing commitment to making education as affordable as possible for our students, and increasing gift aid through fundraising and institutional resources is an important strategy in meeting that commitment. The goal represents a three-percent annual increase in institutional gift aid through 2021.

Measure: R&D expenditures

Definition/Discussion: The total dollar amount of research and development expenditures defined and collected annually by the National Science Foundation through the Higher Education Research & Development Survey. All institutions expending at least \$150,000 on R&D in the fiscal year are surveyed, and the data is comprehensive of all sources of R&D expenditures. For FY 2014, UMTC had \$877M in R&D expenditures; for the University system, R&D expenditures exceeded \$900M.

Though this measure includes the many sources of an institution’s R&D funding, the largest source continues to be federally sponsored funding. The federal investment in sponsored research projects has been flat for several years and is predicted to remain so for the foreseeable future. Despite this, the Office of the Vice President for Research has proposed a goal that would increase our R&D expenditures by nearly five percent over the next few years.

Measure: Medical School ranking

Definition/Discussion: An annual ranking based on the total amount of grants from the National Institute of Health to medical schools as analyzed by the Blue Ridge Institute for Medical Research.

Medical school rankings have traditionally been based on National Institute of Health (NIH) awards to U.S medical schools in a given year. In 2015, the University of Minnesota’s medical school received nearly \$128

million in NIH awards, ranking it 32nd in the country. As additional context, the University of California – San Francisco Medical Center was the top-ranked school in the country, with \$497 million in NIH awards. Minnesota ranked 4th in the Big 10, behind Michigan (12th), Northwestern (18th), and Wisconsin (23rd). The Mayo Clinic in Rochester was 19th in the country in 2015.

Senior Vice President and Dean of the Medical School Brooks Jackson has stated the desire to return to being a “Top 20” medical school. The 20th ranked school in 2015 was the Baylor College of Medicine with \$206 million in NIH awards, so this is an ambitious goal over a relatively short time period.

Measure: Faculty awards

Definition/Discussion: The number of prestigious national awards received by faculty in the arts, humanities, sciences, engineering, and health fields as measured annually by the Center for Measuring University Performance (MUP) at Arizona State University.

The MUP analyzes and ranks research universities in nine different areas, including the number of prestigious national faculty awards. The twenty-four awards included in their analysis are the Guggenheim Fellowships, MacArthur Foundation Fellowships, National Humanities Center Fellowships, and NSF CAREER awards.

This measure can be quite variable from year to year, but the University desires to maintain its place among the top 10 public research universities with regard to prestigious national awards. The ranking goal requires approximately 25-30 of these faculty awards annually, and the numeric goal of 35 or more faculty with annual awards aligns with the strategic emphasis on faculty excellence.

Measure: Participation in the employee engagement survey (system)

Definition/Discussion: The system-level survey response rate for faculty and staff on the annual Employee Engagement survey. Though employee engagement is a nebulous concept to attempt to measure at the all-University level, a private-sector standard is to measure participation in such a survey so that local-level units can receive as much rich and comprehensive data as possible. The University measures faculty and staff participation in this survey.

Although employee survey participation is already high compared to other higher education institutions, the University strives to increase participation by 2 percent with each administration of the survey.

Measure: Operational excellence

Definition/Discussion: The President has set as a goal a minimum of \$90M in cost savings over a six-year period (FY14-FY19). The cost savings are identified annually in the budget process and must come from categories not directly related to mission activities of instruction, research, or public service.

The goal for this measure is \$90M by FY19.

MAROON MEASURES

Measure: Twin Cities transfer student 3-year graduation rate

Definition/Discussion: The percentage of students who previously attended a postsecondary institution outside the University system and graduated within three years of transferring to the Twin Cities campus.

Though not generally reported on a nation-wide basis, the ability to graduate transfer students is an equally important and worthy goal to our traditional freshman graduation rate. There is naturally more variability in these cohorts, with some students entering with 30 credits or less, while a few come in with as many as 90 credits. The three-year graduation rate for transfer students would be comparable to the five-year traditional rate, understanding the additional variability among these students. Much like goals for increasing the traditional four- and six-year rates, the University believes it should also increase these graduation rates.

The University has a goal of exceeding a 65 percent graduation rate for transfer students.

Measure: Graduate and professional degrees awarded (system)

Definition/Discussion: The total number of master's, doctoral, and professional degrees awarded annually across the University.

The University is the primary generator of graduate and professional degree recipients for the State of Minnesota. The ongoing need for an educated workforce, both throughout the general population but also at the highest levels of education, requires the University to maintain our priorities in this area.

Graduate enrollments have predictably been falling as the economy has improved. However, the University has been opening new programs at the professional master's level, filling demand for new emerging areas in technology, business intelligence, international law, and other fields. The University will need new programs such as these to maintain current degree completions above 5,250 per year.

Measure: Median undergraduate debt at graduation (system)

Definition/Discussion: The median amount of student debt accumulated by undergraduates with student debt at the time of their graduation.

This measure can be heavily influenced by many factors, only some of which the University controls. Along with tuition and institutional aid policies, other factors that influence student debt include federal and state financial aid policies, program choice and time to degree, and student and parent behaviors and choices. Because this measure is relevant to all students in the U of MN system, we monitor this at the all-University level.

The University proposes a goal of limiting increases in the median amount of cumulative debt for undergraduates with debt to no greater than the consumer price index, with adjustments according to state and federal policy changes. Although a wide variety of factors will influence this measure, it is an important priority for the Board and administration to continue to monitor.

Measure: Students of color with a favorable sense of belonging on campus (SERU survey)

Definition/Discussion: Percentage of undergraduate students of color responding agree or strongly agree to the statement “I feel that I belong at this campus.” Data is collected as part of the Student Experience in the Research University (SERU) survey, administered to all undergraduates on the Twin Cities campus.

The University’s goal is to improve the campus climate and sense of campus belonging for all students. The goal for this measure would be to have the student of color favorable sense of belonging metric match the nonstudent of color response. The data source for this measure is the SERU survey, which will next be administered in 2017.

Measure: Percent of new entering (and all currently enrolled undergraduate) students who are Minnesota high school graduates

Definition: Percent of the University’s new entering students and the percent of all enrolled undergraduate students who identified Minnesota as their home location prior to enrollment. The source for this measure is the University’s enrollment statistics. This measure analyzes fall enrollments to help assess access for Minnesota students throughout their academic careers. The percent of Minnesota high school students among both new entering and all undergraduate students throughout the University system wide has remained consistently high.

The goal for this measure is to maintain the historical access of Minnesota students to the University of Minnesota.

Measure: Percent of recent Minnesota high school graduates choosing a Minnesota college who enroll at the University

Definition: The percent of Minnesota public high school students who graduate in the spring and enroll at a Minnesota postsecondary institution in the fall of that year who choose the University of Minnesota. The source for this measure is the Minnesota Office of Higher Education's Basic Data Series.

This measure focuses service to Minnesota students to those recent high school graduates who choose to continue their education in Minnesota. The University has traditionally been an attractive choice for Minnesota students seeking a bachelor's degree and has increased its share of the Minnesota college-bound students who graduate from a Minnesota high school. Approximately 1/5 of Minnesota high school graduates choose a postsecondary institution outside of Minnesota and 1/3 do not attend a postsecondary institution the following fall after graduation. Those students are not included in this measure.

The goal for this measure is to maintain the historical access of Minnesota high school graduates to the University of Minnesota.

Measure: Enrollment in health science specialties with shortages (Nursing, Pharmacy, Dentistry)

Definition/Discussion: The annual fall enrollments in health sciences fields identified by the Minnesota Department of Employment and Economic Development's Labor Market Information Office as leading to Occupations in Demand in Minnesota.

The University has a crucial role in meeting the need for growing the health care workforce across the state. In particular, the University recognizes its ability to meet the needs for health care professionals in high demand throughout the state, and has prioritized enrollments at all educational levels in the fields of nursing, dentistry, and pharmacy. The University proposes to increase enrollments to greater than 2,100 students in these fields.

Measure: Total enrollment in the AHC schools and Center for Allied Health

Definition/Discussion: The total combined fall enrollments in the Academic Health Center schools of Dentistry, Medicine, Nursing, Pharmacy, Public Health, and Veterinary Medicine, and the Center for Allied Health. This measure includes enrollments on the Twin Cities, Duluth, and Rochester campuses.

In keeping with the goals of the AHC's strategic plans and recommendations from the Governor's blue-ribbon committee on the medical school, expanding access to health education across the AHC is a key component in returning to national leadership in healthcare training, research, and care. In addition to the state-level demand for healthcare workers identified in the preceding measure, expanding enrollments across the AHC addresses the growing needs for doctors and other health professionals across a wide variety

of in-demand specialties at the state and national levels. The University proposes to increase enrollments to above 6,350 students, an increase of over 156 students.

Measure: National public research university ranking

Definition/Discussion: The annual ranking by the National Science Foundation of public higher education institutions according to total annual research and development expenditures.

Reported annually by the Vice President for Research, the public research university rankings are compiled from the Higher Education Research & Development Survey completed by all institutions with at least \$150,000 in dedicated R&D expenditures in a fiscal year. While the total R&D expenditures metric is our primary measure of research productivity, monitoring the ranking allows the administration and Board to evaluate the relative competitiveness of the University.

The University continues to be among the top 10 public institutions on this measure and strives to stay at this high level understanding that there will be year-to-year variance.

Measure: Minnesota intellectual property agreements

Definition/Discussion: The total number of intellectual property agreements executed annually through the MN-IP Program.

Over the past few years, the University has prioritized making it easier for business to partner with the University to transform discoveries into innovative solutions. MN-IP is designed to improve access to University-developed technology while reducing the risk and cost associated with licensing intellectual property (IP) and sponsoring research. Programs to help both create and license University IP have been developed, and increasing the number of agreements is an important policy direction.

With limited trend data for this emerging program, it is unclear what the optimal rate for increasing the annual number of MN-IP agreements should be. Currently, the University has a goal of increasing agreements 10 percent year-over-year, with updated information provided by the Vice President for Research as it becomes available.

Measure: Public service expenditures (system)

Definition/Discussion: The University's total annual expenditures on public service. The University records its mission-related expenditures into instruction, research, and public service categories.

There are no agreed-upon comprehensive measures of public service and outreach in higher education, in part because public service and outreach informs much of the work of a land-grant institution. The wide range of activities and expenditures included broadly under public service and outreach makes it difficult to identify a single measure of progress. While exploring and defining a more comprehensive measure, the University proposes to continue to monitor our overall expenditures.

The University has had a staunch commitment to public service and outreach as a core mission function and plans to keep its expenditures above \$245 million annually.

Measure: Average citations per faculty member

Definition/Discussion: The number of times a recent faculty publication is cited by scholars during a five-year period as measured by Academic Analytics, a data analytics source provider. The total number of citations is averaged across all faculty at the institution and pertains to works published within that same five-year period.

There are several different services for faculty citation counts, none of which are comprehensive. The University proposes to further discussion of this measure by using currently available data from Academic Analytics, a national leader in academic scholarship data and analytics, while exploring data options for use across campus, including by the libraries and the Faculty and Academic Affairs office.

The specific goal of maintaining an average citation count per faculty above 125 annually may be updated with different data sources, but the goal's emphasis on faculty scholarship and excellence will continue.

Measure: National scholarship awards to students

Definition/Discussion: The number of prestigious national awards annually received by University undergraduates. The seven leading student awards included in this measure are the Beinecke, Churchill, Truman, Rhodes, Fulbright, Goldwater, and Astronaut awards.

These awards represent a wide variety of fields and expertise and are some of the most prestigious student awards in the world. Any given year can be quite variable in the number of awards our students apply for and receive; additionally, many of these leading awards have limitations based on location of the students' institution or home residence.

As such, the measure examines awards in five-year blocks (2015-20) of awards, with a goal of exceeding the previous half-decade's achievement. The Board will also receive annual progress updates on this measure.

Measure: Spending on leadership & oversight vs. mission and mission support

Definition/Discussion: The percentage of University expenditures on leadership and oversight as determined by the University's internal cost benchmarking study, which has divided all University expenditures into mission, mission-support, and leadership and oversight categories since 2012.

One purpose of this study is to ensure that the University continues to make investments in mission-related activities, while limiting new investment where possible in oversight and overhead. The University now has three years of data, and has shown the ability to contain leadership and administrative costs. However, monitoring levels vs. setting an actual target is probably prudent, as many variables go into this metric.

The University proposes to maintain and continue to try to decrease the percentage of spend on leadership and oversight, understanding that there is a natural floor for this percentage of expenditures.

Measure: University square feet considered in "poor" or "critical" condition

Definition/Discussion: The number of gross square feet of University facilities system wide rated through the Facilities Condition Assessment as being in "poor" or "critical" condition.

The University has for a number of years completed a comprehensive facility condition assessment (FCA) on many of its buildings. Beginning in 2013 this was extended to all buildings system wide with an enhanced methodology.

The University proposes a goal of tracking the total number of gross square feet considered either "poor" or "critical" by this methodology and decreasing the total square footage in these categories over time.

Measure: Sustainability – Metric tons of greenhouse gasses

Definition/Discussion: The number of metrics tons of greenhouse gasses produced annually across the University system.

The Board of Regents policy on Sustainability and Energy Efficiency directs campus operations to reduce emissions to the environment. In addition, the institution has committed to regular greenhouse gas inventories as part of the American College and University Presidents' Climate Commitment, and the Minnesota state legislature has also established emission reduction requirements for buildings constructed with state funds.

In 2008, when we first began measuring greenhouse gas emissions, the University set as a goal a 50 percent reduction in emissions by 2021. With changes to the emission calculation methodology in 2016 to more

accurately reflect trend data in purchased electricity and campus steam plants, the base level of 703,311 metric tons yields a 50 percent reduction target of 351,656 metric tons by 2021.

Measure: University credit rating

Definition/Discussion: Moody's Investors Services routinely monitors the University's credit rating and takes into account several factors related to the University's overall financial health, student demand, financial statement analysis, state support, and analysis of the University's management strength. Moody's credit ratings range from a high of Aaa to C.

The University works to maintain its current credit rating per Board policy.

Measure: Athletics graduation success rate (GSR)

Definition/Discussion: The percentage of first-time, full-time undergraduates in Division I athletics who begin at the Twin Cities campus as freshmen or transfers, receive athletic aid their first year, and graduate within six years of their first term at any institution. The GSR excludes student athletes who leave the University in good academic standing with remaining athletic eligibility.

Though it functions much like a traditional graduation rate statistic, the GSR is a measure unique to intercollegiate athletics. The GSR holds colleges accountable for graduating those student athletes who transfer into the University and but also does not penalize an institution's graduation rate for student athletes that transfer or leave an institution with athletic eligibility and in good academic standing.

The University already ranks very highly in this measure and has the goal to maintain the significant gains of the past several years.

University Progress Card Update

Eric W. Kaler, President
Board of Regents
July 6, 2016



UNIVERSITY OF MINNESOTA

Driven to DiscoverSM



Purpose

- Focus oversight on a limited number of measurable goals and trends that indicate or drive excellence
- Provide roadmap for the future
- Inform and help align operational metrics and strategic plan implementation
- Measure items that are governance related and move the University forward
- Be frequently referenced and updated annually



History

- May 2015 – Board work session
- September 2015 – Board review, draft includes Board input
- October 2015 – Board adopts the Progress Card with one measure outstanding
- February 2016 – Final measure on serving Minnesota students is adopted
- July 2016 – First annual update

Progress Card: Gold Measures

- Well understood and agreed upon data sources
- Able to set a quantifiable goal for 2021
- Reasonable historic data and accuracy
- University can take action to influence

Entering year	Campus	2008	2009	2010	2011	Goal/Year
4-year graduation rate (by entering year)	Crookston	35.5%	34.7%	42.5%	44.5%	45%/2017 cohort
	Duluth	37.4%	37.5%	38.2%	39%	45%/2017 cohort
	Morris	57.4%	53.2%	53.4%	52.6%	60%/2017 cohort
	Rochester	NA	50%	50%	63.1%	60%/2017 cohort
	Twin Cities	58.1%	59.1%	60.9%	63.3%	65%/2017 cohort
Entering year		2006	2007	2008	2009	Goal/Year
6-year graduation rate (by entering year)	Crookston	53.4%	46.6%	51.7%	48.4%	60%/2015 cohort
	Duluth	59.6%	66.7%	65.5%	66.5%	68%/2015 cohort
	Morris	64.2%	68.2%	73.5%	68.1%	80%/2015 cohort
	Rochester	NA	NA	NA	60%	60%/2015 cohort
	Twin Cities	73.2%	75.7%	78.7%	77.6%	82%/2015 cohort
Entering year		2008	2009	2010	2011	Goal/Year
4-year graduation rates of Pell-eligible students (by entering year)	System	41.2%	41.5%	44.1%	45.2%	54%/2017 cohort
		2012-13	2013-14	2014-15	2015-16	Goal
Twin Cities freshman average ACT	Twin Cities	27.7	27.9	27.9	28.2	>28.0
		2011-12	2012-13	2013-14	2014-15	Goal/Year
Institutional gift aid	System	\$210M	\$216M	\$223M	\$233M	\$275M/2021



Access and affordability

Measures drive policy and investment decisions related to access and affordability

Entering Year		2008	2009	2010	2011	Goal/Year	
4-year graduation rates of Pell-eligible students (by entering year)	System	41.7%	41.9%	43.9%	45.2%	54%/2017 cohort	
			2011-12	2012-13	2013-14	2014-15	Goal
Financial Accessibility	System	Median undergraduate debt at graduation	\$25,186	\$24,880	\$24,854	\$24,776	Grow no faster than CPI; Correct for federal/state policy changes
			2012	2013	2014	2015	Goal
Serving Minnesota Students	System	Percent of incoming new (and all currently enrolled undergraduate) students who are Minnesota high school graduates	70.3% (72.5%)	72.3% (71.9%)	71.0% (71.4%)	70.0% (71.0%)	Maintain historical access
	System	Percent of Minnesota high school graduates that elect to attend college in Minnesota and enroll at the University as freshmen	13.9%	16.2%	16.7%	16.6%	Maintain historical access



Student success

Measures drive policy and investment decisions related to inclusive success for all students

		Cohort Year	2008	2009	2010	2011	Goal/Year	
4-year graduation rate (by entering year)	Crookston		35.5%	34.7%	42.5%	44.5%	45%/2017 cohort	
	Duluth		37.4%	37.5%	38.2%	39.0%	45%/2017 cohort	
	Morris		57.4%	53.2%	53.4%	52.6%	60%/2017 cohort	
	Rochester		NA	50.0%	50.0%	63.1%	60%/2017 cohort	
	Twin Cities		58.1%	59.1%	60.9%	63.3%	65%/2017 cohort	
				2009	2010	2011	2012	Goal
Undergraduate Education	Twin Cities	Twin Cities transfer student 3-year graduation rate		57.1%	58.6%	62.5%	61.4%	>65%
				2012	2013	2014	2015	Goal
Inclusive success	Twin Cities	Students of color with a favorable sense of belonging on campus (SERU survey)		58.7%	59.2%	57.5%	57.3%	Match non-SOC response (currently 71.5%)
				2002-05	2003-06	2004-07	2005-08	Goal
Athletics	Twin Cities	Graduation Success Rate (GSR)		83.2%	83.6%	86.2%	88.2%	Maintain recent gains



Graduate, professional & health science students

The University provides the vast majority of advanced graduate and professional education for Minnesota
 How do we sustain and advance this important part of our mission?

			2011-12	2012-13	2013-14	2014-15	Goal
Graduate Education	Twin Cities/ Duluth	Graduate and professional degrees awarded	5,291	5,242	5,294	5,305	>5,250

			2012-13	2013-14	2014-15	2015-16	Goal
Health Sciences	Twin Cities/ Duluth/ Rochester	Enrollment in in-demand health science specialties (Nursing, Pharmacy, Dentistry)	1,988	2,000	2,051	2,085	>2,100
	Twin Cities/ Duluth/ Rochester	The total combined fall enrollment in Academic Health Center schools and the AHC Center for Allied Health	6,268	6,292	6,194	6,198	>6,350



Research and academic excellence

How do we support and attract world-class faculty?

		FY2011	FY2012	FY2013	FY2014	Goal/Year
R&D expenditures	Twin Cities	\$847M	\$826M	\$858M	\$877M	\$900M/2021
		FY2012	FY2013	FY2014	FY2015	Goal/Year
Medical School ranking	Twin Cities/ Duluth	28	27	30	32	Top 20/2021
		2009–10	2010–11	2011–12	2012–13	Goal/Year
Faculty awards N and (Rank: Public Universities)	Twin Cities	34 (7 th)	25 (10 th)	33 (5 th)	32 (6 th)	35+ (Top 10)/2021

			2011–12	2012–13	2013–14	2014–15	Goal
Research	Twin Cities	National public research ranking	8	9	9	8	Maintain top 10
	System	MN-IP agreements	14	41	51	69	10% annual growth

			2011–12	2012–13	2013–14	2014–15	Goal
Academic Excellence	Twin Cities	Citations per faculty member	127	126	124	133	>125
				2000–05	2005–10	2010–15	Goal
	System	National scholarships awarded to students		31	52	75	>80 from 2015–2020



Operational excellence

Operational Excellence goes beyond the \$90M target
Facilities in particular need continued attention

			FY2014	FY2015	FY2016	Goal/Year
Op-Ex—continued progress on \$90M	System		\$18.8M	\$40.4M	\$57.8M	\$90M/FY19

			2013	2014	2015	Goal/Year
% Participation in Employee Engagement Survey	System		57%	64%	67%	72%/2021

			FY2012	FY2013	FY2014	FY2015	Goal/Year
Operational Excellence	System	Spending on leadership & oversight vs. mission and mission support (%)	7.9%	7.7%	7.4%	7.4%	Decrease over time
	System	GSF in poor or critical condition (facility condition assessment)	7.33M	7.61M	7.73M	8.32M	Decrease over time
	System	Sustainability—Metric tons of greenhouse gasses (2008 base level: 728,000)	556,057	626,599	603,504	592,269	50% reduction from 2008 levels by 2021 (364,000)
	System	Credit rating	Aa1	Aa1	Aa1	Aa1	Maintain per Board policy



Conclusions and next steps

- Summary
 - Vast majority of Progress Card measures are directionally positive, though some must move faster to meet goals by 2021
 - Movement in any given year not as powerful as multi-year trends
 - In total, this set of measures is designed to have balance and tradeoffs. It is unlikely that all measures will move towards goals simultaneously at the same rate
- Next steps
 - Use Progress Card measures and goals to inform governance priorities, decisions and agenda setting, long-range University planning, new investments and institutional oversight
 - Deepen connections to the accountability report and campus strategic plans
 - Update the data semi-annually – December and July



UNIVERSITY OF MINNESOTA
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BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: M Health Letter of Intent

Review

Review + Action

Action

Discussion

This is a report required by Board policy.

PRESENTERS: President Eric W. Kaler
Brooks Jackson, Vice President for Health Sciences and Dean of the Medical School
Bobbi Daniels, CEO, UM Physicians and Vice Dean, Clinical Affairs, Medical School

PURPOSE & KEY POINTS

The purpose of this item is to take action on a Resolution Related to Termination of the University of Minnesota Health Letter of Intent.

PRESIDENT'S RECOMMENDATION

The President recommends adoption of the Resolution Related to Termination of the University of Minnesota Health Letter of Intent.



REGENTS OF THE UNIVERSITY OF MINNESOTA

RESOLUTION RELATED TO

Termination of University of Minnesota Health Letter of Intent

WHEREAS, the University of Minnesota (“University”), University of Minnesota Physicians (“UMPhysicians”), and Fairview Health Services (“Fairview”) have been engaged in negotiations for more than a year to create a single, integrated academic health system dedicated to high-quality patient care, leading-edge research, and training of tomorrow’s health workforce; and

WHEREAS, the Board of Regents approved in October 2015 the execution of a Letter of Intent and key integration principles to guide the negotiations; and

WHEREAS, the University remains fully committed to creating a new, successful integrated academic health system but recognizes that current negotiations with Fairview are not achieving that goal; and

WHEREAS, UMPhysicians Board of Directors voted unanimously to terminate the Letter of Intent effective July 1, 2016; and

WHEREAS, that the University and UMPhysicians have made numerous, consistent, good faith efforts to achieve terms acceptable to all parties in pursuit of a shared vision to improve health, discover new cures and treatments, and educate the health workforce while delivering market-leading clinical quality, service, efficiency and growth.

NOW THEREFORE BE IT RESOLVED that the Board of Regents hereby endorses termination of the Letter of Intent and authorizes University administration to provide Fairview and UMPhysicians with notice of that termination.



BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: Resolution Related to Long-Term Development in Key Areas of the Twin Cities Campus

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

This is a report required by Board policy.

PRESENTERS: Pamela Wheelock, Vice President, University Services
Suzanne Smith, Assistant Vice President, Capital Planning and Project Management

PURPOSE & KEY POINTS

The purpose of this item is to take action on a resolution related to long-term development in key areas of the Twin Cities campus.

The resolution is informed by the University’s Development Framework, which considers existing and emerging University needs related to the core mission of the institution in teaching, research, and outreach activities. The framework addresses changing conditions in surrounding neighborhoods, as well as supportive infrastructure and new and planned land acquisitions. It supports the needs of the campus community and defines goals that represent the desired future of the campus.

The resolution focuses on long-term development and change in the area referred to as the southeast gateway, which is roughly bordered by Huron Boulevard, Washington Avenue, and East River Parkway. A 30-year vision for this area was discussed by the Board during its February 2016 work session, and its adoption is included within the resolution.

In that vision, the delivery of patient-centered healthcare migrates east toward Huron Boulevard for visibility and ease of access. Existing buildings in the health sciences academic core are either reinvested in or removed. If a new hospital facility is built, existing health science facilities along East River Parkway will be demolished and new residence halls for student housing constructed. The northern half of today’s Superblock residential community is vacated to create connections between the academic and clinical health sciences. Other components of the vision include removal of obsolete facilities, such as the Mayo Building, to create new green spaces and connections across the campus and a commitment to first-year student housing in this district.

BACKGROUND INFORMATION

Board members have received presentations and/or approved resolutions related to campus planning at several recent meetings:

- June 2016: Academic Health Sciences Strategic Facilities Planning: Phase II Final Report (FAC)
- May 2016: The Role of Master Leasing in Meeting Enrollment Goals (FAC)
- February 2016: Work session - A Vision to Guide Long-Term Development and Change in Key Areas of the Twin Cities Campus (BOR)
- February 2016: Long-Range Campus Planning II: University Housing (FAC)
- December 2015: Long-Range Campus Planning I: Academic Health Sciences Strategic Facilities Plan (FAC)
- September/October 2015: 2016 State Capital Request (FAC, FIN, BOR)
- July 2015: Long-Term Campus Planning for the Academic Health Center and University Housing (BOR)
- June 2015: History of AHC Planning and Findings from Phase I of the Strategic Facility Plan (FAC)
- May 2015: The University's Housing Strategy: Twin Cities Campus (FAC)
- February 2015: Overview of the Governor's Blue Ribbon Committee on the University of Minnesota Medical School and Resolution Related to the FY 2016-2017 Biennial Budget Request (BOR)

PRESIDENT'S RECOMMENDATION

The President recommends adoption of the Resolution Related to Long-Term Development in Key Areas of the Twin Cities Campus.



REGENTS OF THE UNIVERSITY OF MINNESOTA

RESOLUTION RELATED TO LONG-TERM DEVELOPMENT IN KEY AREAS OF THE TWIN CITIES CAMPUS

WHEREAS, the Board of Regents (Board) set as one of the 2015-2016 Board priorities to “create a vision to guide long-term development and change in key areas of campus and bring Twin Cities Campus Master Plan (adopted in 2009) into alignment;” and

WHEREAS, in February 2016 the Board reviewed the results of planning efforts to create such a vision which allows for the continued operationalization of the Campus Master Plan, provides additional direction for reuse and redevelopment within the campus core, and envisions strategic land acquisition and joint planning at the campus edges; and

WHEREAS, this vision provides alternatives on both the East and West Bank for the potential long term replacement of M Health/Fairview hospital facilities and envisions additional new clinic facilities as the business model permits, and allows for siting these facilities in a way which prioritize patient convenience, wayfinding, and ease of access to the regional transportation system; and

WHEREAS, these alternatives will impact additional decisions related to student housing along the Mississippi Riverfront, but also provides opportunities to strengthen student housing, particularly first year student housing, along the river corridor on the East Bank and envisions new residential development should the existing Unit J hospital be demolished; and

WHEREAS, the Board recently adopted a Twin Cities campus undergraduate enrollment plan for 2016-2021 that seeks to increase total undergraduate enrollment from 30,500 to approximately 32,000 to 33,000 students and to accommodate 90 percent of first-year students, 20-25 percent of returning second-year students who lived on campus their first year, and a minimum of 10 percent of fall transfer students in University housing; and

WHEREAS, the University assumes that all student housing costs (construction/debt, operations, maintenance, renovation) will continue to be paid through room and board rates charged to the students living in its facilities; and

WHEREAS, the University will continue to manage room and board rates so that University’s rates remain in the lower one-half of the Big 10, stewarding its assets through managed costs, planned investment schedules, and adequate resource allocation; and

WHEREAS, first-year students will be housed in residence halls with community living arrangements with other first-year students in facilities designed to support academic success, prevent self-isolation and encourage student interaction, and foster the development of lifelong relationships; and

WHEREAS, first-year students benefit from living in community-based residential neighborhoods with the following characteristics: a density of other first-year students; proximity to classrooms, academic support facilities, and student-related services; access to green space and transit; and separation from activities that impede academic success; and

WHEREAS, the University's existing residence halls are consistent with peer institutions' housing stock and will remain relevant and support affordable room and board rates if properly maintained and refreshed; and

WHEREAS, historic Pioneer Hall has significant systems and design deficiencies, has reached the end of its useful life, and requires reinvestment for continued use. In addition to its facilities condition deficiencies, it is not ADA accessible, it lacks sufficient community gathering spaces, student lounges, and study areas, and a satisfactory dining facility and therefore no longer meets University goals relative to providing a quality residential student experience, with the exception of the highly attractive location, without reinvestment sufficient to achieve the character, amenities, and dining opportunities expected in modern residential facilities; and

WHEREAS, the Administration is preparing a recommendation on the future of Pioneer Hall, consistent with enrollment targets and housing capacity goals, for Board review and action; and

WHEREAS, the University will continue to focus on building, operating, and maintaining this type of residence hall style housing for primarily first-year students, which is not provided by the private sector; and

WHEREAS, master leasing existing apartments in desirable locations near campus is a key component in retaining 25% of second-year students in University Housing, as master leasing does not impact University credit, provides great flexibility for managing the variability of student demand over time, and allows the University to respond to new options in the apartment marketplace.

NOW, THEREFORE, BE IT RESOLVED that the Board of Regents, exercising their reserved authority for the adoption of fundamental plans for the physical development of the University, affirms its support for this vision to guide long-term development and change in key areas of campus (see attached) and reaffirms its delegation to the President or designees the authority to advance the long-term plan for health sciences and student housing, the goals of which are not mutually exclusive.

This long-term plan will include a phased approach to decommissioning of obsolete facilities, redevelopment of currently owned land, acquisition of real estate, and renovation, maintenance, and repair of existing facilities. Execution of such plans will occur over decades as resources are available and will focus on redevelopment of existing facilities and land in the core academic areas of campus, with strategic acquisition of land on the edges for patient and visitor focused uses. Key components of these efforts include the following related to health sciences and student housing, but will also include advancing the other components of the Long Range Development Framework:

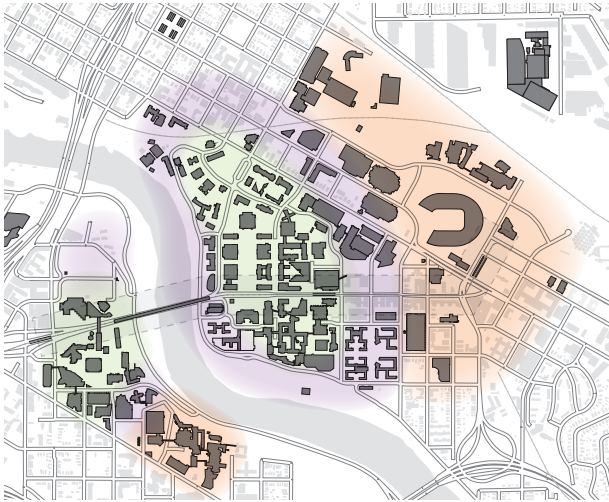
- 1) A long range facilities plan for the health sciences including the identification of facilities to be decommissioned, renovated, and built along with their preferred site/location that knits together the academic, research, and clinical cores of campus including:
 - a. A preferred site/ location, project scope, and cost to support interprofessional health sciences learning, in both pre-clinical and clinical environments, across all schools of the academic health sciences.
 - b. A preferred site/ location, project scope, and cost to support clinical research activities that represent both current day and desired future state for all the schools of the academic health sciences.
 - c. The removal of the Mayo Building and a proposed re-use for that site.
 - d. Two site options, one on the East Bank and one on the West Bank, for replacement and future expansion of clinical and hospital facilities.
 - e. Beyond the thirty year horizon, facilities planning will be prioritized based upon patient experience, access, financial feasibility, and adjacencies. Growth in this model is focused on the eastern edge, a land acquisition, outward facing functions such as patient-care, and opportunities for collaboration in development are identified in this area.

- 2) A long range plan for student housing including the identification of facilities to be decommissioned, renovated, and built along with their preferred site/location, focusing first year student housing in a residential neighborhood along the Mississippi River corridor. The plan will include:
 - a. Prioritizing student housing facilities planning based upon high quality residential student experiences, density of residential neighborhoods, proximity to classrooms, academic support facilities, and student-related services, access to green space and transit, safety, financial feasibility, and affordability.
 - b. Committing to the current residential Superblock site to continue to support student housing needs for the next several decades. Therefore, the University will engage in ongoing and planful maintenance, repair, and reinvestment of the existing housing as necessary in order to provide a quality student experience with targeted financial parameters within this lifecycle.
 - c. Exploring and proposing options for housing a larger percentage of undergraduate students given the anticipated increase in enrollment and the Board's desire to expand housing availability beyond the first year to a greater percentage of second-year and transfer students in support of increased student retention and stronger academic achievement.
 - d. Advancing the use of master lease agreements to expand University housing capacity in the short-term and build additional capacity in the long-term for non-first-year students.
 - e. Engage the support of the University of Minnesota Foundation to help identify and evaluate opportunities to collaborate or coordinate housing strategies with private parties.

BE IT FURTHER RESOLVED that the administration will report progress on these goals regularly and recommend to the Board of Regents the capital resources necessary to advance this vision as well as room and board rates necessary to sustain University housing facilities and programs.

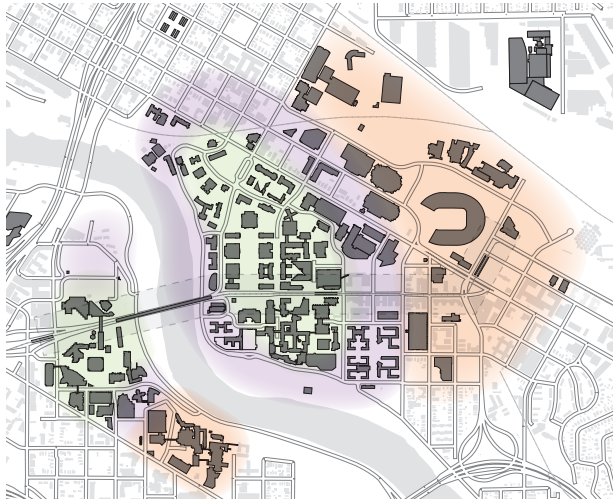


30+ year vision with options for riverfront housing



MINNEAPOLIS CAMPUS DEVELOPMENT FRAMEWORK

February 11, 2016



What it is

The Development Framework is a location-based model that shows the most appropriate use and function for campus development and investment. The primary organizing features are the central academic core areas on the East Bank and West Bank. Outreach-oriented functions lie at the campus edges, and service and support functions serve and link the two by occupying the areas between.

The campus centers are different—in character and function—from the campus edges. Accordingly, the Development Framework provides a way to understand, reinforce, and acknowledge the various characteristics and needs of distinct campus districts when planning for the future.

The Development Framework is organized by:

- Function, meaning how the current patterns of activity, movement, and intensity

of use shape the campus today and may inform the future.

- Form, meaning how the shape, size, orientation, and arrangement of buildings, spaces, and pathways reflect and strengthen our image, identity, and legacy.
- Trends, meaning how demographics, enrollment, multi-modal transportation, and urban growth inform and convey our unique position in a vibrant urban setting.

Why it is important

A common vision for the place-based campus of the future helps reinforce a consistently safe, high-quality campus experience for students, faculty, staff, and visitors. It ensures alignment between investments and desired outcomes, and reinforces the value of our unique campus heritage and presence in a dynamic metropolitan area.

What it does

The Development Framework guides decision-making about campus evolution over time. It indicates appropriate places for buildings, uses, and connections, and identifies locations for significant campus growth and change based on form, function, and access. Furthermore, the Development Framework supports future infrastructure and urban planning decisions within and outside the University.

DEVELOPMENT FRAMEWORK



Development Framework

- Academic
- Student service & residential
- Outreach & public-focused*
- Mixed-use

**research, patient care, athletics*

DEVELOPMENT GOALS

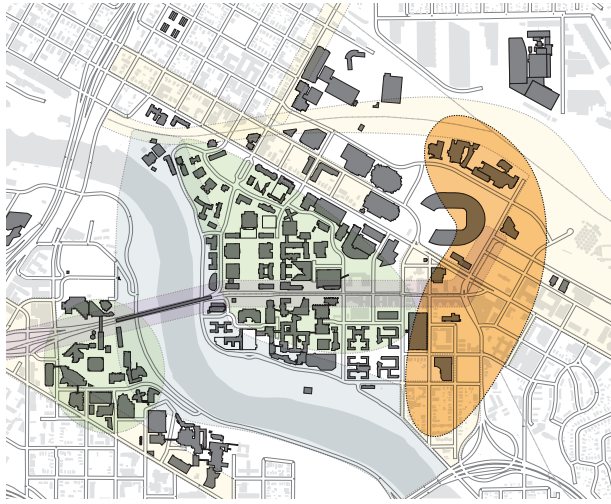
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DEVELOPMENT GOALS



- 1 ADVANCE OUTREACH MISSION**
 - Prioritize human scale medium-density development.
 - Improve the pedestrian experience.
 - Connect the AHC and the BDD.
 - Locate clinical and potential new hospital.
 - Acquire land strategically.
- 2 REINVEST IN THE CAMPUS CORE**
 - Prioritize the pedestrian experience.
 - Locate collaboration spaces in ground floors.
 - Maintain density.
 - Improve path and open space connectivity.
 - Design to discourage car use in campus core.
 - Ensure safe paths, open spaces, and entries.
- 3 REINFORCE THE TRANSIT CORRIDOR**
 - Prioritize mixed-use development.
 - Activate the street edge.
 - Stitch together East and West Banks.
 - Design a pedestrian-friendly environment.
 - Create a distinct identity.
- 4 ENGAGE THE RIVER**
 - Create new physical and visual connections.
 - Design riverfront open space sites.
 - Design buildings with dual river and campus faces.
 - Develop housing to support student experience.
- 5 INTEGRATE CAMPUS AND COMMUNITY EDGES**
 - Participate in efforts in joint planning areas.
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 - Improve safe routes to and through campus.

DEVELOPMENT GOALS: CRESCENT



ADVANCE OUTREACH MISSION

Prioritize human scale medium-density development.

New development will happen in this area. Because human comfort is essential to the attractiveness, vitality, and safety of a place, we must focus appropriate development intensity at a scale that promotes healthy interaction.

Some important building features that create hospitable environments, visual interest, and increased security of adjacent outdoor spaces and sidewalks include ground-level windows; well-marked entrances; and detailed facades without blank walls. The overall building heights in this area should be between 6 and 10 stories, and will vary depending on the campus district characteristics.

Improve the pedestrian experience.

Pedestrian infrastructure in this area is disjointed and favors the motorist over the

pedestrian. Because walking is the primary mode of movement on campus, it is important to improve conditions on and near Huron to balance the needs of pedestrians, cyclists, and motorists.

The edge of campus is more urban and compact than the center, and the University is not the only landowner. Design and operations decisions that advance pedestrian movement will be the result of thoughtful coordination with public and private partners.

Connect the AHC and the BDD.

Students, faculty, and staff move regularly between the Academic Health Center and the Biomedical Discovery District areas, which are several blocks apart. The walk takes eight minutes, and both the time and experience can be improved with better sidewalk connectivity and more human-scaled building and site elements. Convenient access to the LRT station at both locations is another supportive link to reduce the perceived gap between locations.

Locate clinical facilities and potential new hospital.

Clinics and hospitals are a central component of the Academic Health Center and the University's mission. The current hospital facility does not meet expectations for single-patient rooms and privacy, and will be in need of a significant renovation or relocation.

The next generation of clinical care is here in 2016. Since a modern hospital is a vision for the future, it is important identify a location.

Planning ahead for the entire complex and strategically phasing the development enables the University and its clinical care partners to create a scenario that can result in the most functional, attractive, and convenient hospital and clinical care facilities possible.

Acquire land strategically.

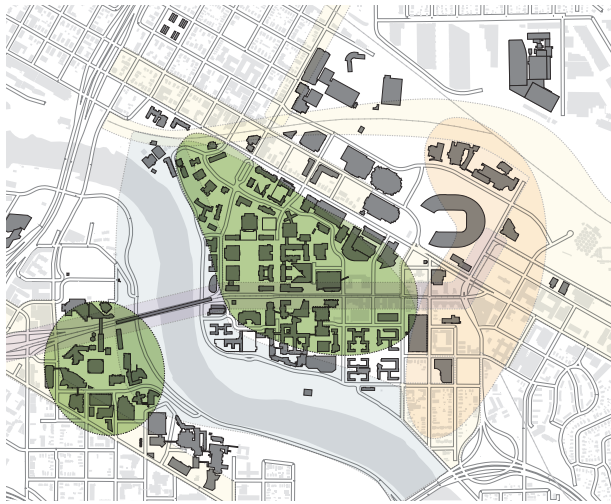
Land assembly will be required in order to realize the complete set of development goals referenced above. Land acquisition has typically been opportunistic, guided by campus planning directives. Partnerships can advance some of these goals. Determining best use of land and identifying relevant development conflicts prior to acquisition is supportive of the institution's long term goals.

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DEVELOPMENT GOALS: CAMPUS CORE



REINVEST IN THE CAMPUS CORE

Prioritize the pedestrian experience.

Most people move through the campus core by walking. It is a safe, convenient, and necessary way to move from place to place, and the activity resulting from pedestrian movement fills our outdoor spaces with vitality.

Prioritizing the pedestrian experience means creating an environment where pedestrians come first. This means little to no disruption in flow (such as now exists when waiting for cars and bicycles), direct connections between buildings and spaces (instead of buildings or other structures blocking direct access and requiring roundabout routes), and universal accessibility for all kinds of pedestrians with a range of abilities.

As we move forward, priority is given to the pedestrian experience first, and other elements in the built environment (buildings, landscape or infrastructure) respond.

Locate collaboration spaces in ground floors.

As much collaboration space as possible should be located at the ground levels in campus core buildings. Collaboration spaces are common areas shared by the entire campus community, and include spaces for studying, meeting, gathering, eating, and promoting engagement between people.

Ground floors are the most accessible and visible, offer the most convenient access to and from the outside, and provide the best opportunity to create a relationship between indoor and outdoor activity.

Maintain density.

The campus core is compact and organized, with buildings and spaces assembled in a logical, coherent pattern. Destinations are close together, pedestrians move comfortably between them, and outdoor spaces between buildings are active and lively. The current density of buildings (in size and relation to one another) is the main reason for this.

Because there is a direct relationship between the vitality of campus and density of buildings, population, and activity, the current density should be maintained to preserve a high-quality place-based experience. This means a commitment to reinvesting in core area buildings and spaces is essential to keep this special place intact. Even losing a single building leaves a hole in the fabric, which impacts the experience within the historic core campus area.

Improve path and open space connectivity.

An interconnected network of paths and open spaces helps pedestrians move around campus easily. Connections offer more route choices,

more direct access, and improved campus navigation for visitors.

Design to discourage car use in campus core.

It will always be important to accommodate service, delivery, and paratransit vehicles in the campus core, but it is not necessary to accommodate private vehicles except for ADA accessibility, limited delivery activity and entries and exits to some core area parking garages. In most areas, designing to promote slower speeds, pedestrian-oriented infrastructure, and alternative primary vehicle routes will improve the pedestrian experience and minimize mode conflicts.

Ensure safe paths, open spaces, and entries.

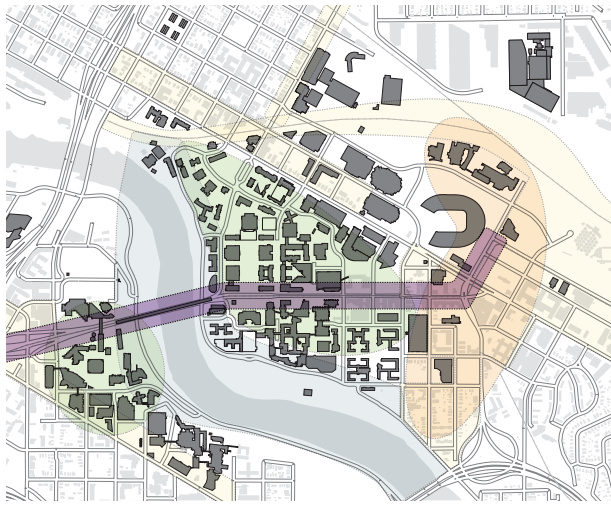
It is essential that all campus buildings and spaces are safe. In campus core outdoor areas, this means capitalizing on opportunities for natural surveillance, such as promoting activity by placing popular destinations in strategic locations; emphasizing good wayfinding with well-marked building entries and clearly delineated primary paths; and improving visibility with open sightlines, transparent building facades, and lighting that reduces glare, is calibrated for vertical and horizontal illuminance, and distributes light uniformly.

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DEVELOPMENT GOALS: TRANSIT CORRIDOR



REINFORCE THE TRANSIT CORRIDOR

Prioritize mixed-use development.

Access to transit service at the LRT station sites offers visitors, workers, and students a convenient way to get to campus. The concentration of people passing through the corridor brings opportunity for projects that maximize density, visibility, and ease of use when locating specific investments. Future projects will mix uses (student facing, teaching, people-intensive research, outreach, etc.) on sites or within buildings closest to LRT platforms and along the Washington Avenue corridor. This advances the goal of “highest and best use” of LRT-related land, and brings multiple benefits to members of the campus community.

Activate the street edge.

Transit riders move around on foot before and after their experience on the LRT train or bus. How University buildings face the street, in terms of which activities are happening at the first and second levels, and how buildings

and sites address the street edge, will make a difference in how people walking along the Washington Avenue corridor will relate to the campus. Uses that are people-intensive, with views into and out of the space, will make the street edge dynamic and interesting, which is a highly desirable feature of campus experience.

Stitch together East and West Banks.

LRT service makes the connection across the River a more comfortable choice for members of the campus community. The comfort and reliability of LRT travel brings options that can reduce the perception of distance and the discomfort of being outdoors in extreme weather conditions across the seasons. The corridor will be one of the wayfinding tools to make the campus experience between the East and West Banks more consistent and predictable. It will serve as a Main Street and will reinforce campus identity.

Design a pedestrian-friendly environment.

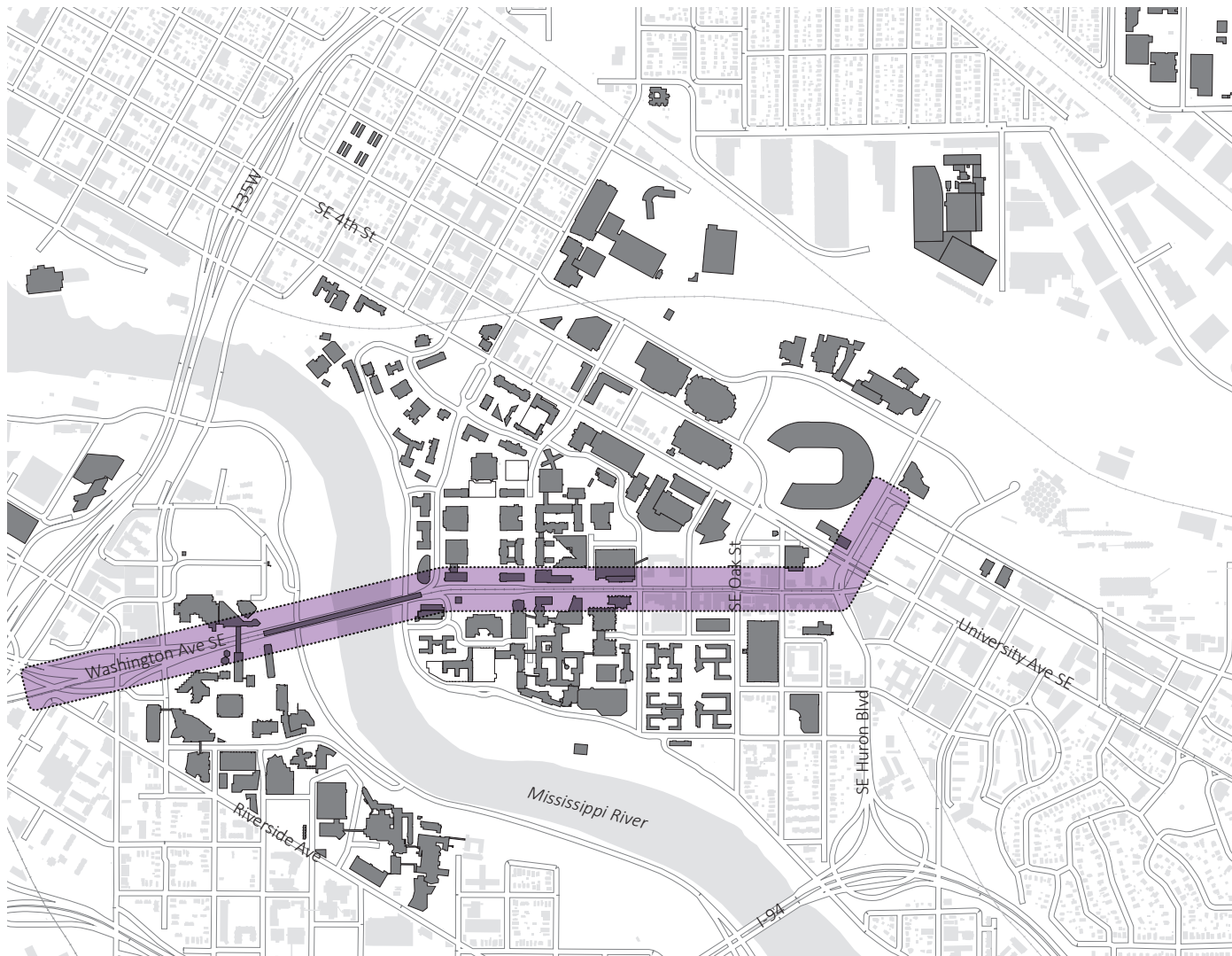
The Washington Avenue Pedestrian Mall was built as a component of the Green Line LRT project. It has demonstrated success as an attractive, functional gathering place. Other locations on East Bank are limited in space and level of investment potential. A unified approach to investing in the corridor will assume a common set of responses and potential solutions that respond to the variation in conditions. Working with adjacent property owners and jurisdictions to implement an attractive, welcoming place with street trees, stormwater treatment practices, comfortable paths for circulation, and other gathering places will be an important effort to support this goal.

Create a distinct identity.

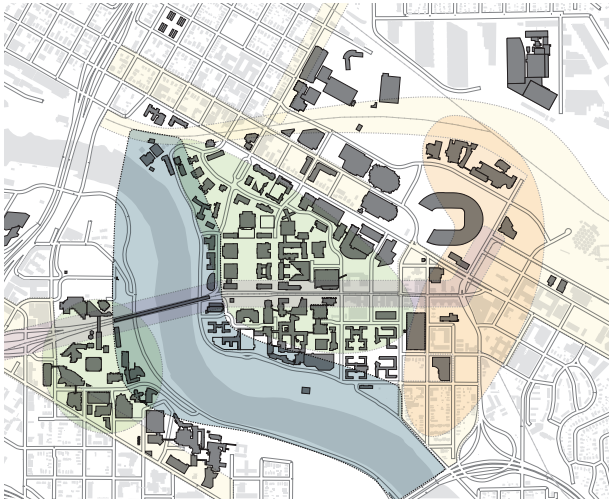
The Transit Corridor is recognizable as a

unique place on campus, and within the Green Line LRT corridor as well. The corridor will, over time, serve as a Main Street for the campus. This commitment will drive a series of University decisions. Examples include making intentional decisions about which uses and levels of density will locate along the corridor, and investing in sites and pedestrian connections with a consistent design vocabulary. With valuable access to regional LRT transit, and a number of opportunity sites across the West and East Bank sites, the corridor from 19th Avenue on the West and 23rd Avenue on the east creates continuity and strong identity for the Minneapolis campus.

DEVELOPMENT GOALS: TRANSIT CORRIDOR



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ENGAGE THE RIVER

Create new physical and visual connections.

The Minneapolis campus was built with an internal focus and an orientation away from the Mississippi River. In the past, the river was about function, and buildings faced away from it. Now, the river is about beauty and wonder, and is a unique, treasured natural feature that new and renovated buildings should acknowledge equally.

Although the river gorge is the most prominent natural campus feature, physical and visual connections to it are scarce. Providing regular places to see and get to the river in key locations is an essential way to highlight this majestic place-based feature. Appropriate visual connections include spaces between buildings and overlooks on the bluff that offer direct views from campus. Appropriate physical connections include paths between buildings that lead directly to the riverfront, and no-build zones that protect viewing areas for the future.

Design riverfront open space sites.

Current open spaces near and overlooking the river now are remnant spaces resulting from what was not used as a building site. Many are not considered safe, attractive, or worth frequenting. In the future, open space sites adjacent to the river--or with choice views of it--should be deliberately selected and purposefully designed to take advantage of the premier location on both banks of the river.

Design buildings with dual river and campus faces.

A well-designed relationship between buildings and open spaces is the foundation of a successful place-based campus. Some campus locations have a mandate to consider two equally important mandates, the campus environment as well as the river gorge. Buildings should face and frame the University's attractive quads, courtyards, and lawns, with windows overlooking them and doors opening onto them. Buildings should also take advantage of the most significant natural feature of the campus: the Mississippi River.

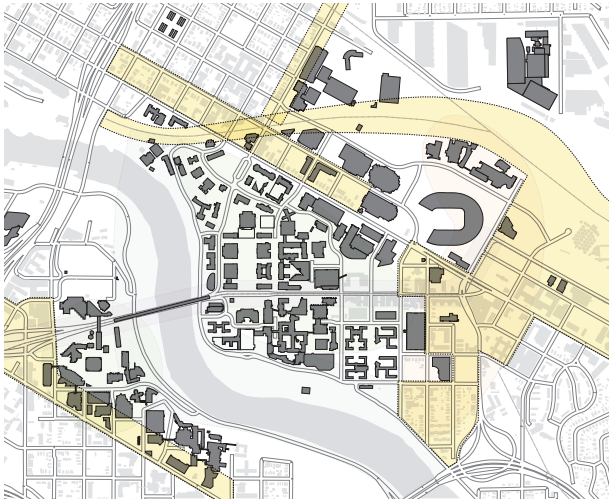
Develop housing to support student experience.

This is a new goal. Text still to come.

DEVELOPMENT GOALS: RIVER CORRIDOR



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INTEGRATE CAMPUS AND COMMUNITY EDGES

Participate in efforts in joint planning areas.

Joint planning areas are districts immediately adjacent to the campus that are in transition and may accommodate future development. New development located at the campus edge conveys the institution's image and physical identity, while acknowledging and respecting the adjacent urban environment.

The types of uses and activities that locate on these edges influence the nature of the University's relationship with its neighbors. The University wants to work with landowners, neighborhoods, and respective municipalities to plan for the mutual benefit of the University and the community. Whenever possible, these activities will be informed by a collaborative planning process with area stakeholders to better define and present the University's physical image to the broader community.

Define land use patterns and density in context.

Given the history of campus growth and need for continued investment in the existing set of buildings and infrastructure, limited changes are expected at the edges. New University development will be planned within density ranges that are contextual to their surroundings. Land uses will be aligned with adjacent campus uses. Transitions to neighborhoods will be managed to balance University needs with surrounding areas' plans for development.

Access to regional and municipal systems, including infrastructure systems such as sewer, transit, water, and street networks, has and will affect the pace of change and the density of campus development. As the campus has evolved over time, access and investments in supporting systems has changed. The campus of the future will take into consideration physical context and infrastructure capacity, as well as available resources, to locate future projects and work with regional and municipal entities to support change.

Determine new build sites and decommission/demolition candidates.

Evaluation of new build and demolition alternatives will take a comprehensive view of challenges that face the campus in the near and long term. Facility condition, campus fit, aesthetics, and historic status (if any) are the starting points. The availability of alternatives that support the variety of program needs will be considered. Impacts to the campus community in terms of open space systems and transportation networks (pedestrians, bikes, or vehicular) are other important considerations.

Improve safe routes to and through campus.

The community around campus has evolved, with many more students residing in apartments within one-two miles of campus and moving around between destinations at all hours of the day. Designating and investing in "safe routes" to and through campus is an important commitment to making the campus environment safer. Physical enhancements such as lighting and surveillance cameras represent some of these investments. Communicating about these routes as operational changes such as "night owl" bus service and expanded patrolling are made will deepen their effectiveness for the campus community.

DEVELOPMENT GOALS: EDGES



- 1 **ADVANCE OUTREACH MISSION**
 - Prioritize human scale medium-density development.
 - Improve the pedestrian experience.
 - Connect the AHC and the BDD.
 - Locate clinical facilities and potential new hospital.
 - Acquire land strategically.
- 2 **REINVEST IN THE CAMPUS CORE**
 - Prioritize the pedestrian experience.
 - Locate collaboration spaces in ground floors.
 - Maintain density.
 - Improve path and open space connectivity.
 - Design to discourage car use in campus core.
 - Ensure safe paths, open spaces, and entries.
- 3 **REINFORCE THE TRANSIT CORRIDOR**
 - Prioritize mixed-use development.
 - Activate the street edge.
 - Stitch together East and West Banks.
 - Design a pedestrian-friendly environment.
 - Create a distinct identity.
- 4 **ENGAGE THE RIVER**
 - Create new physical and visual connections.
 - Design riverfront open space sites.
 - Design buildings with dual river and campus faces.
 - Develop housing to support student experience.
- 5 **INTEGRATE CAMPUS AND COMMUNITY EDGES**
 - Participate in efforts in joint planning areas.
 - Define land use patterns and density in context.
 - Determine new build sites and decommission/demolition candidates.
 - Improve safe routes to and through campus.

Resolution Regarding a Vision for Long-Range Planning and Change in Key Areas of UMTC

Board of Regents
July 6, 2016

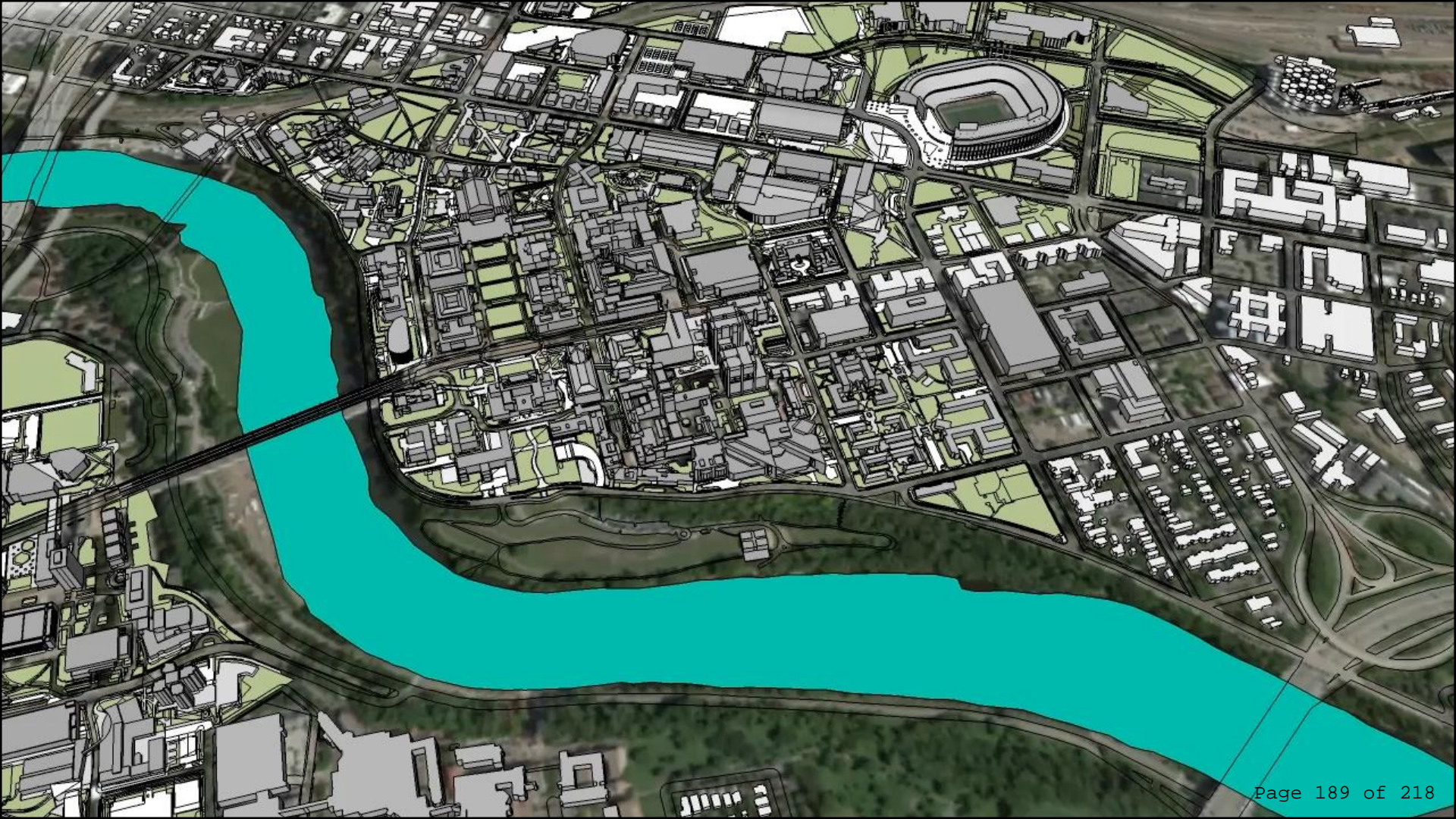


UNIVERSITY OF MINNESOTA

Driven to DiscoverSM



- **WHEREAS**, the Board of Regents (Board) set as one of the 2015-2016 Board priorities to “create a vision to guide long-term development and change in key areas of campus and bring Twin Cities Campus Master Plan (adopted in 2009) into alignment;” and
- **WHEREAS**, in February 2016 the Board reviewed the results of planning efforts to create such a vision which allows for the continued operationalization of the Campus Master Plan, provides additional direction for reuse and redevelopment within the campus core, and envisions strategic land acquisition and joint planning at the campus edges;





Planning Principles and Assumptions

Land, Facilities, and Space that are Aligned, Managed, and Sustainable

- Strengthen linkages between research, teaching and learning, and patient care
- Prioritize patient and visitor convenience, wayfinding, and ease of access
- Ensure quality, affordable, community-based first and second year residential experience
- Strengthen residential communities that support student interaction, convenience, and academic success
- Strategically balance reinvestment in existing facilities with new construction, as well as current campus footprint and land acquisition
- Advance key interests of the University and the surrounding community through creation of public private partnerships
- Encourage private investment near campus that is compatible with U interests



- **WHEREAS**, this vision provides alternatives on both the East and West Bank for the potential long term replacement of M Health/Fairview hospital facilities and envisions additional new clinic facilities as the business model permits, and allows for siting these facilities in a way which prioritize patient convenience, wayfinding, and ease of access to the regional transportation system;



Land Use Focus on Patient Access, Academic Mission, Outreach

- Future land use focus on clinical activity (patient related), new hospital facility, other academic uses
- Align investments for transportation to predominant mode of travel (ped, bike, vehicle), including parking needs



if new East Bank hospital investment



Land Use Focus on Patient Access, Academic Mission, Outreach

- Allocate future land use to support clinical activity (patient related and research), other campus or supportive development needs
- Maintain the current hospital at present day location
- Align investments for transportation to predominant mode of travel (ped, bike, vehicle)



if no new East Bank hospital investment



- **WHEREAS**, these alternatives will impact additional decisions related to student housing along the Mississippi Riverfront, but also provides opportunities to strengthen student housing, particularly first year student housing, along the river corridor on the East Bank and envisions new residential development should the existing Unit J hospital be demolished;



Riverfront Housing Neighborhood

- Achieves connectivity and neighborhood goals for both housing and the academic health sciences
- Meets expected enrollment growth to provide residence hall experience to first-year students
- Provides guidance on future maintenance and renovation investments



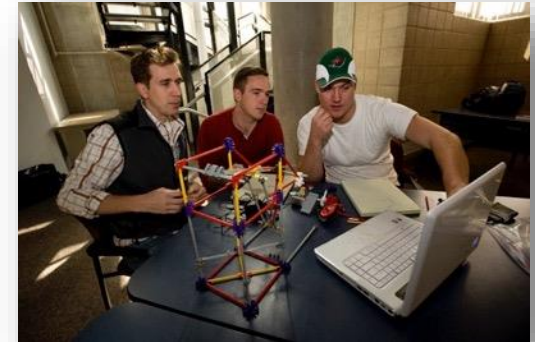


- **WHEREAS**, the Board recently adopted a Twin Cities campus undergraduate enrollment plan for 2016-2021 that seeks to increase total undergraduate enrollment from 30,500 to approximately 32,000 to 33,000 students and to accommodate 90 percent of first-year students, 20-25 percent of returning second-year students who lived on campus their first year, and a minimum of 10 percent of fall transfer students in University housing;



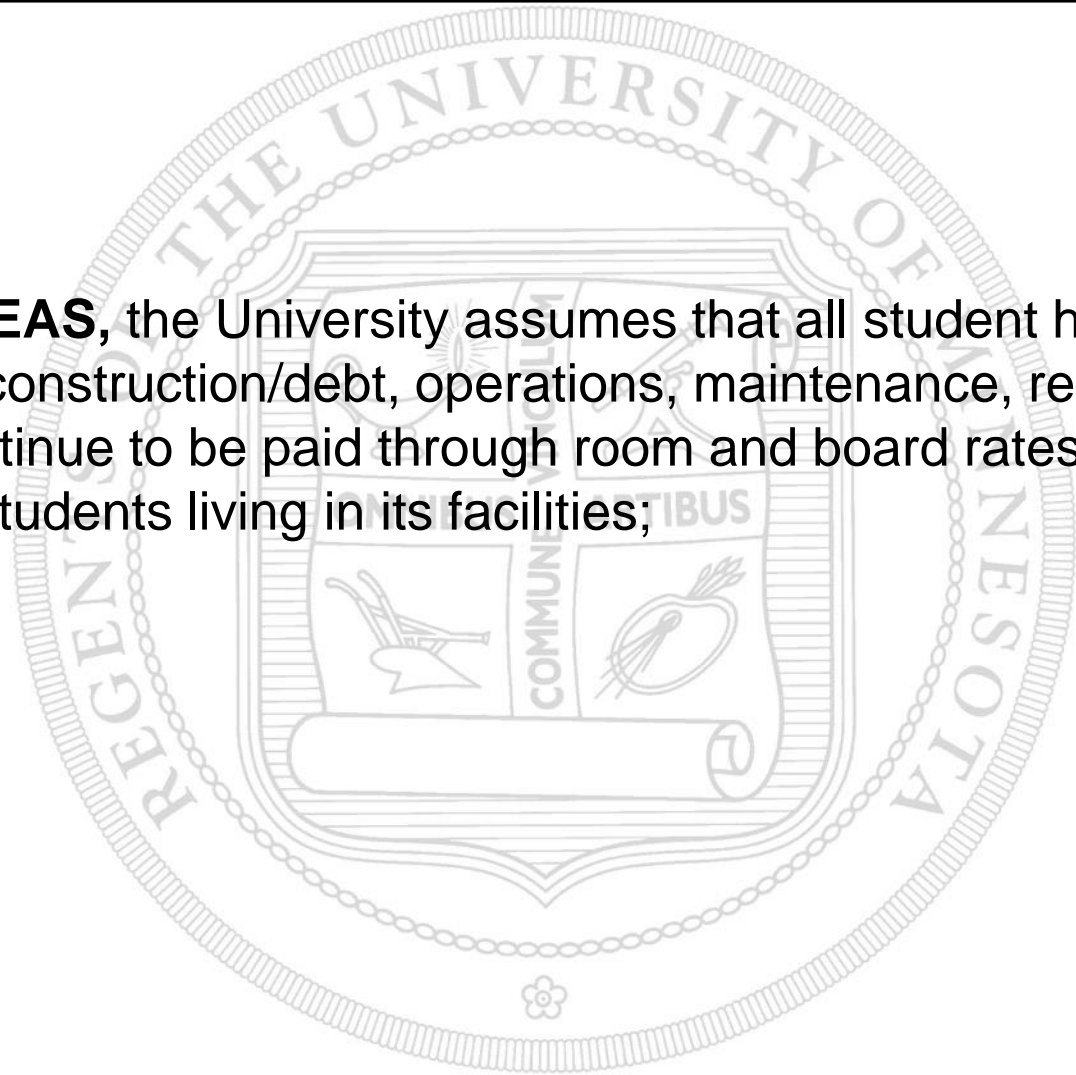
Regents 2016 Enrollment Plan

- Anticipated growth in undergraduate class from 30,500 to 32,000-33,000
 - First-year class grows from 5,745 (fall 2016 planned) to 6,000-6,100 (2021)
 - Fall transfer class grows to 2,250
- University goals provide housing for
 - 90% of first-year students
 - (guarantee for all who apply by May 1, 88-90% historical capture)
 - 25% returning for a second year
 - 10% of incoming transfer students





- **WHEREAS**, the University assumes that all student housing costs (construction/debt, operations, maintenance, renovation) will continue to be paid through room and board rates charged to the students living in its facilities;





Economics of University Housing

- Room and board rates are directly impacted by debt
- University housing rates must be reasonably competitive with non-University housing costs
- Most residence halls can be modernized and refreshed and will have a useful life for decades to come





- **WHEREAS**, the University will continue to manage room and board rates so that University's rates remain in the lower one-half of the Big 10, stewarding its assets through managed costs, planned investment schedules, and adequate resource allocation;



Balancing Vision with Affordability

- Analysis of rates provides guidance on pace of investments in University-owned housing
- Evaluating implications of moving from lowest to lower half of the Big Ten for room rates
- 30-year vision requires remaining residence halls be maintained to a high quality in order to retain affordability
- Emphasis on refreshing and modernizing lounges and common spaces





- **WHEREAS**, first-year students will be housed in residence halls with community living arrangements with other first-year students in facilities designed to support academic success, prevent self-isolation and encourage student interaction, and foster the development of lifelong relationships; and
- **WHEREAS**, first-year students benefit from living in community-based residential neighborhoods with the following characteristics: a density of other first-year students; proximity to classrooms, academic support facilities, and student-related services; access to green space and transit; and separation from activities that impede academic success;



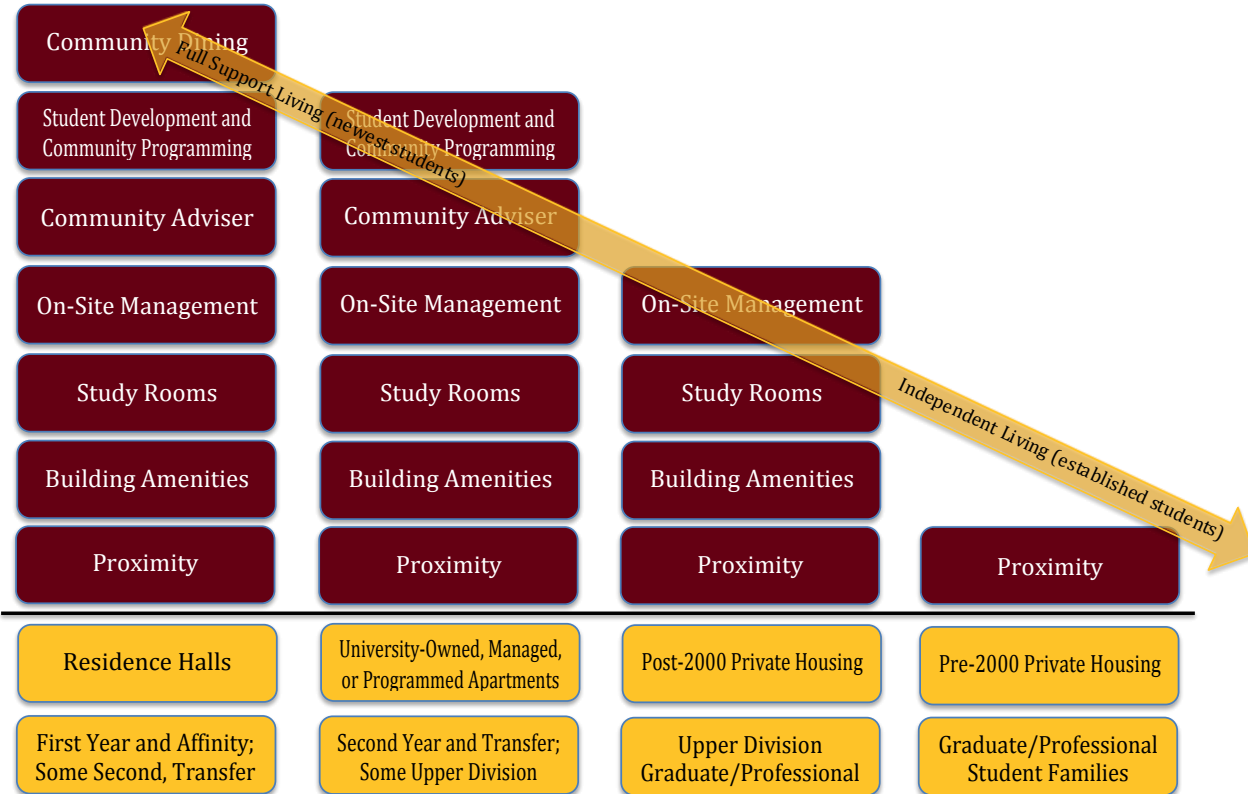
University Housing...

- Understands student and parent perspectives
- Provides a product that meets program goals
 - Intentional community, prevents self-isolation
- Focuses on first-year and some second-year students (generally)
- Impacts student success
 - ability to focus on academic pursuits
 - personal relationships and well-being
 - retention and graduation
- Cultivates institutional affinity





Supportive Services Matrix





- **WHEREAS**, the University's existing residence halls are consistent with peer institutions' housing stock and will remain relevant and support affordable room and board rates if properly maintained and refreshed;



Big 10 Peers' Housing Plans

Institution	Beds	Type and Detail
Illinois	503	residence hall (double rooms)
Indiana	500	residence hall (suite style), 2/3 double rooms and 1/3 single rooms
	200	apartment style, replacing 180 apartment beds
Iowa	1,023	residence hall (double rooms), replaces 360 beds
	501	residence hall (pod style)
Maryland	800	residence hall (pod style)
Michigan	640	apartment style, graduate student focus
Michigan State	926	apartment style, replaces 1,100 apartment beds
Nebraska	240	residence hall (pod style)
	130	apartment style
Northwestern	435	residence hall (suite style)
Ohio State	3,200	residence hall (double rooms), some suite style
Penn State	600	residence hall (double rooms)
Purdue	825	residence hall (pod style)



Declarations

- Existing facilities continue to be relevant and are expected to remain in inventory
 - well-maintained and regularly refreshed
 - potential for modification over time to reduce student:bath ratio
 - **exception for Centennial and Territorial if current hospital and AHC sites on riverfront are cleared**
- Facilities are strategically positioned on campus to enhance first-year experience



- **WHEREAS**, historic Pioneer Hall has significant systems and design deficiencies, has reached the end of its useful life, and requires reinvestment for continued use. In addition to its facilities condition deficiencies, it is not ADA accessible, it lacks sufficient community gathering spaces, student lounges, and study areas, and a satisfactory dining facility and therefore no longer meets University goals relative to providing a quality residential student experience, with the exception of the highly attractive location, without reinvestment sufficient to achieve the character, amenities, and dining opportunities expected in modern residential facilities; and
- **WHEREAS**, the Administration is preparing a recommendation on the future of Pioneer Hall, consistent with enrollment targets and housing capacity goals, for Board review and action;

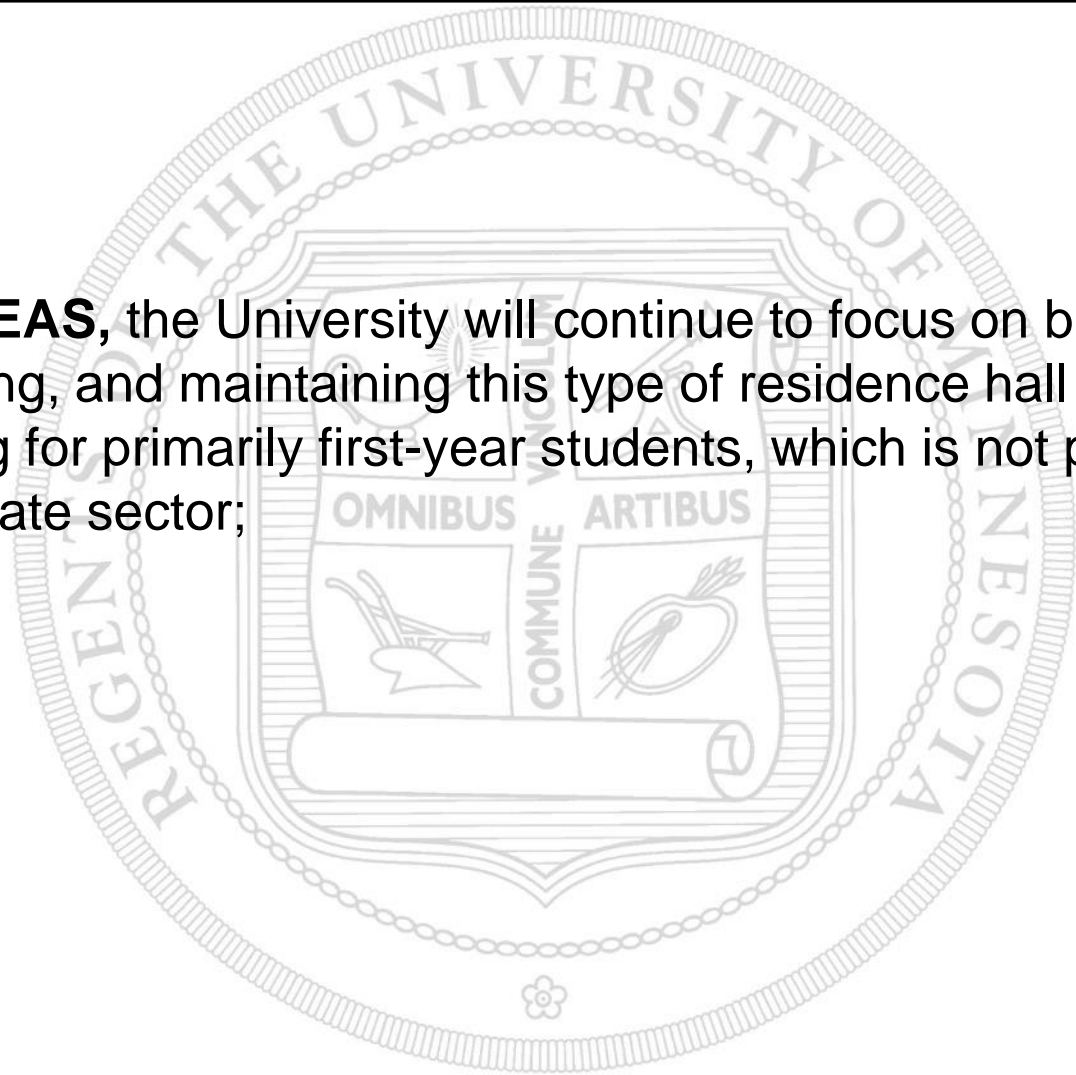


Pioneer Hall

Option	Housing			Dining	
	Beds	Cost	Per Bed	Seats	Cost
Mothball	0	\$2,850,000	\$7,200	0	included
Extend Useful Life (low estimate)	693	\$15,500,000	\$22,370	190	included
Extend Useful Life (high estimate)	693	\$34,950,000	\$50,430	190	included
Renovate Existing Structure	385	\$51,000,000	\$111,690	225	\$8,500,000
Maintain Character and Capacity	696	\$76,225,000	\$95,260	850	\$22,725,000
Maintain Character and Capacity +	756	\$81,725,000	\$93,920	850	\$22,725,000
Demolish and Build New	798	\$105,250,000	\$112,160	900	\$24,750,000

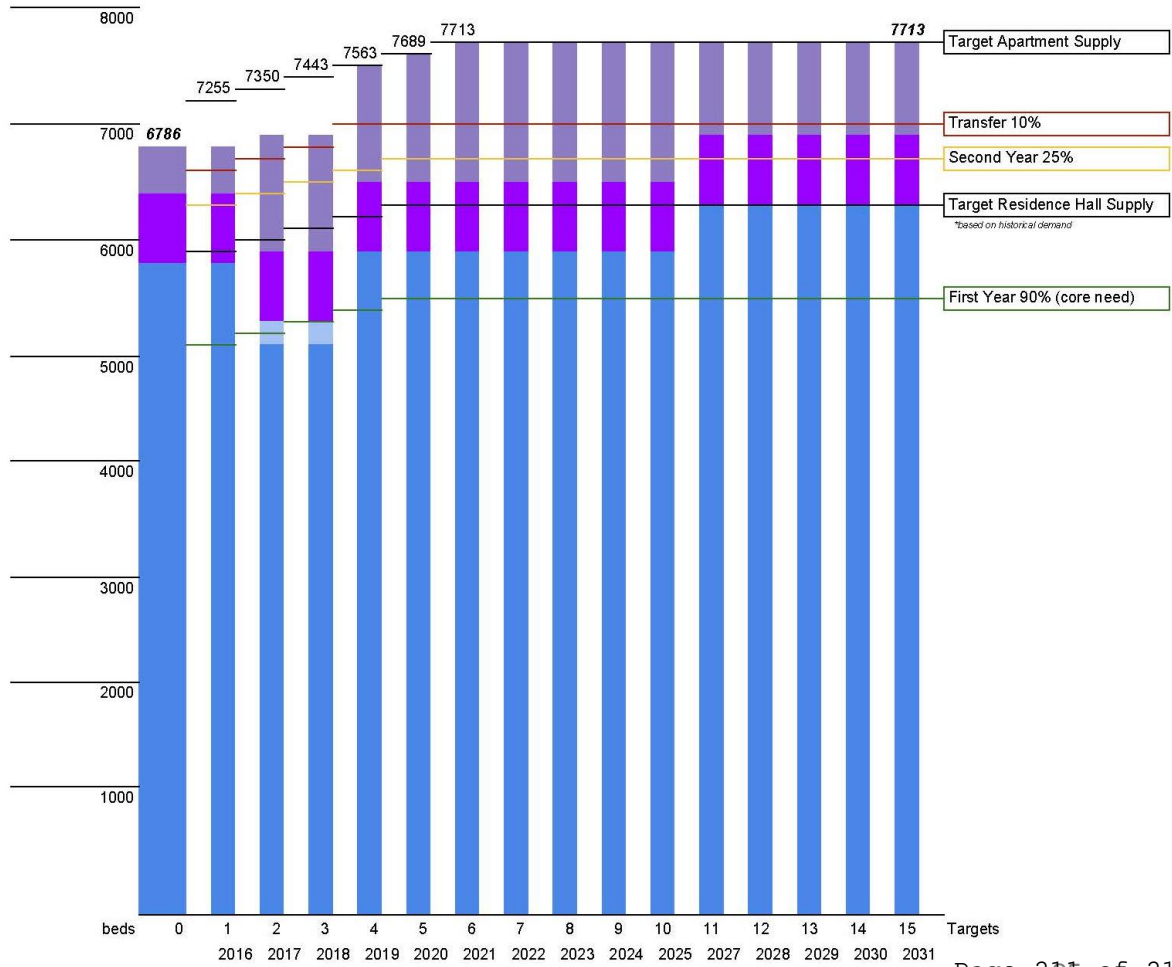


- **WHEREAS**, the University will continue to focus on building, operating, and maintaining this type of residence hall style housing for primarily first-year students, which is not provided by the private sector;





Demand Forecast





- **WHEREAS**, master leasing existing apartments in desirable locations near campus is a key component in retaining 25% of second-year students in University Housing, as master leasing does not impact University credit, provides great flexibility for managing the variability of student demand over time, and allows the University to respond to new options in the apartment marketplace.



Why Master Leasing?

- Ability to quickly add or reduce capacity
- Leases do not impact University debt capacity
- Flexibility in product as student trends change
- Experience with expanded master leasing will inform future own vs. lease decisions





- **NOW, THEREFORE, BE IT RESOLVED** that the Board of Regents, exercising their reserved authority for the adoption of fundamental plans for the physical development of the University, affirms its support for this vision to guide long-term development and change in key areas of campus and reaffirms its delegation to the President or designees the authority to advance the long-term plan for health sciences and student housing, the goals of which are not mutually exclusive.



30+ year vision with options for riverfront housing



DISCUSSION



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BOARD OF REGENTS DOCKET ITEM SUMMARY

Board of Regents

July 6, 2016

AGENDA ITEM: Report of the Committees

Review Review + Action Action Discussion

This is a report required by Board policy.

PRESENTERS: Regent Dean E. Johnson

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

Current committee chairs:

- Academic & Student Affairs Committee – L. Cohen
- Audit & Compliance Committee – L. Brod
- Facilities, Planning & Operations Committee – D. McMillan
- Faculty & Staff Affairs Committee – P. Simmons
- Finance Committee – R. Beeson
- Governance & Policy Committee – L. Cohen
- Litigation Review Committee – T. Devine